



Daily Compliance Activity Report

Trade Date: 05/20/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AMZN	SS	10,000	80.53	n/a	n/a	500.00	5.0
WASHINGTON ASSET	048	APC	B	5,000	46.24	3-Feb	7-May	250.00	5.0
PRINCIPLE CAPITAL	040	AZN	B	75,000	41.30	n/a	n/a	3,000.00	4.0
SIGMA CAP BOBBY	044	BAC	S	20,000	12.15	11-May	19-May	800.00	4.0
JMP ASSET MGMT	210	BARE	SS	10,000	9.56	n/a	n/a	400.00	4.0
LISTED ERR	099	BARE	B	7,500	9.55	n/a	n/a	0.00	0.0
LISTED ERR	099	BARE	S	7,500	9.04	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BEN	B	15,000	62.67	11-May	19-May	750.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	2,200	31.01	1-May	1-May	110.00	5.0
PRINCIPLE CAPITAL	040	COH	SS	70,400	24.81	9-Jan	22-Apr	2,112.00	3.0
BUCK CAPITAL MGMT	001	CRI	B	50,000	21.80	n/a	n/a	2,000.00	4.0
ROTHSCHILD ASSET	040	CVX	S	21,821	65.70	n/a	n/a	981.95	4.5
TROUBH PART	067	DELL	S	25,000	11.52	n/a	n/a	1,250.00	5.0
SANDLER O'NEILL ASSET	031	DFS	S	100,000	8.72	n/a	20-May	3,000.00	3.0
ACK ASSET	028	EMR	SS	12,000	33.59	n/a	n/a	480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	EV	SS	10,000	28.77	19-May	20-May	500.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	60,000	30.28	5-Mar	18-May	2,400.00	4.0
BUCK CAPITAL MGMT	001	GES	B	30,000	23.46	n/a	n/a	1,200.00	4.0
PATTEN & PATTEN	067	GE	B	2,100	13.97	n/a	n/a	105.00	5.0
JP MORGAN VENTURES	046	GME	SS	20,000	26.43	n/a	n/a	1,000.00	5.0
JMP ASSET MGMT	210	HOTT	SS	5,000	8.75	n/a	30-Jan	200.00	4.0
EPOCH INV MGMT	030	IFF	S	19,125	31.05	21-Jan	30-Apr	765.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	SS	20,000	14.65	n/a	1-May	1,000.00	5.0
GRUSS CAPITAL	045	IP	B	3,000	15.27	n/a	1-May	90.00	3.0
MADISON ST PARTNERS LLC	046	IVZ	B	30,000	14.66	11-May	20-May	900.00	3.0
TYEE/TYGH	035	IVZ	B	250,000	14.71	11-May	20-May	10,000.00	4.0
EATON VANCE MGMT	039	JNJ	B	50,000	56.09	n/a	22-Apr	1,500.00	3.0
OVERLAND PARK CAP	041	JWN	SS	13,350	22.49	20-Feb	15-May	534.00	4.0
PILOT ROCK	028	JWN	SS	100,000	22.10	20-Feb	15-May	4,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	42.50	8-May	15-May	400.00	4.0
NEWCASTLE FUNDS	255	MCD	SS	10,000	56.59	n/a	8-May	400.00	4.0
OVERLAND PARK CAP	041	M	B	24,500	12.18	n/a	14-May	980.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	256	NFLX	B	9,097	40.51	n/a	n/a	363.88	4.0
BUCK CAPITAL MGMT	001	NKE	S	30,000	51.20	n/a	n/a	1,200.00	4.0
THIRD COAST CAPITAL	035	NKE	S	5,000	52.03	n/a	n/a	250.00	5.0
CADIAN CAPITAL	067	PVH	B	50,000	28.58	20-Apr	20-Apr	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	17,600	28.59	20-Apr	20-Apr	704.00	4.0
THE BOSTON COMPANY	039	RL	B	58,470	51.83	n/a	16-Apr	2,338.80	4.0
WAGONHOUND/NIC	048	SKS	B	49,749	4.48	n/a	n/a	1,492.47	3.0
WAGONHOUND/NIC	048	SLM	B	78,291	5.94	23-Apr	20-May	2,348.73	3.0
COLUMBIA PARTNERS	028	SWN	S	20,953	41.08	27-Feb	28-Apr	838.12	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	SS	25,000	12.37	n/a	22-Apr	1,250.00	5.0
TRELLUS PARTNERS LP	028	TIN	SS	50,000	12.13	n/a	22-Apr	1,500.00	3.0
&SCH	041	TIN	SS	20,000	11.93	n/a	22-Apr	600.00	3.0
BUCK CAPITAL MGMT	001	WMT	S	20,000	49.13	11-May	14-May	800.00	4.0
TOTAL (Trade Date):								57,793.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/19	COHE & STEERS (COHEUFC)	091	ACC	B	4,305	23.26	n/a	n/a	172.20 4.0
AO,	05/19	COHE & STEERS (COHEUFCS)	091	ACC	B	1,472	23.26	n/a	n/a	58.88 4.0
AO,	05/19	COHE & STEERS (COHECSR)	091	ACC	B	35,037	23.26	n/a	n/a	1401.48 4.0
AO,	05/19	COHE & STEERS (COHECST)	091	ACC	B	1,729	23.26	n/a	n/a	69.16 4.0
AO,	05/19	COHE & STEERS (COHECSIR)	091	ACC	B	16,088	23.26	n/a	n/a	643.52 4.0
AO,	05/19	COHE & STEERS (COHEMEL)	091	ACC	B	683	23.26	n/a	n/a	27.32 4.0
AO,	05/19	COHE & STEERS (COHENYST)	091	ACC	B	5,823	23.26	n/a	n/a	232.92 4.0
AO,	05/19	COHE & STEERS (COHEHEY)	091	ACC	B	75	23.26	n/a	n/a	3.00 4.0
AO,	05/19	COHE & STEERS (COHETEX)	091	ACC	B	3,092	23.26	n/a	n/a	123.68 4.0
AO,	05/19	COHE & STEERS (COHEUTG)	091	ACC	B	655	23.26	n/a	n/a	26.20 4.0
AO,	05/19	COHE & STEERS (COHENEX)	091	ACC	B	674	23.26	n/a	n/a	26.96 4.0
AO,	05/19	COHE & STEERS (COHEASK)	091	ACC	B	5,314	23.26	n/a	n/a	212.56 4.0
AO,	05/19	COHE & STEERS (COHEUTI)	091	ACC	B	580	23.26	n/a	n/a	23.20 4.0
AO,	05/19	COHE & STEERS (COHEUTP)	091	ACC	B	1,086	23.26	n/a	n/a	43.44 4.0
AO,	05/19	COHE & STEERS (COHECOPS)	091	ACC	B	1,063	23.26	n/a	n/a	42.52 4.0
AO,	05/19	COHE & STEERS (COHEFAX)	091	ACC	B	3,192	23.26	n/a	n/a	127.68 4.0
CRT	05/20	LISTED ERR (LISTED ERR)	099	BARE	B	7,500	9.55	n/a	n/a	0.00 0.0
CRT	05/20	LISTED ERR (LISTED ERR)	099	BARE	S	7,500	9.04	n/a	n/a	0.00 0.0
AO,CXL	05/15	PENNANT CAP MGMT (PENAJPMORG)	029	CF	S	206,491	79.47	n/a	n/a	6194.73 3.0
AO,CRT	05/15	PENNANT CAP MGMT (PENAMSPB)	029	CF	S	206,491	79.47	n/a	n/a	6194.73 3.0
AO,CXL	05/19	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	041	CMCSA	B	25,000	15.01	n/a	4-Jan	1250.00 5.0
AO,CRT	05/19	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	041	CMCSA	B	25,000	15.01	n/a	4-Jan	1000.00 4.0
AO,	05/19	COHE & STEERS (COHEUFC)	091	CUZ	B	2,897	8.18	n/a	n/a	57.94 2.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/19	COHE & STEERS (COHEUFCS)	091	CUZ	B	993	8.18	n/a	n/a	19.86 2.0
AO,	05/19	COHE & STEERS (COHECSR)	091	CUZ	B	21,383	8.18	n/a	n/a	427.66 2.0
AO,	05/19	COHE & STEERS (COHECST)	091	CUZ	B	1,137	8.18	n/a	n/a	22.74 2.0
AO,	05/19	COHE & STEERS (COHECSIR)	091	CUZ	B	9,872	8.18	n/a	n/a	197.44 2.0
AO,	05/19	COHE & STEERS (COHEMEL)	091	CUZ	B	450	8.18	n/a	n/a	9.00 2.0
AO,	05/19	COHE & STEERS (COHENYST)	091	CUZ	B	3,849	8.18	n/a	n/a	76.98 2.0
AO,	05/19	COHE & STEERS (COHEHEY)	091	CUZ	B	49	8.18	n/a	n/a	0.98 2.0
AO,	05/19	COHE & STEERS (COHEUTG)	091	CUZ	B	432	8.18	n/a	n/a	8.64 2.0
AO,	05/19	COHE & STEERS (COHENEX)	091	CUZ	B	445	8.18	n/a	n/a	8.90 2.0
AO,	05/19	COHE & STEERS (COHEASK)	091	CUZ	B	3,320	8.18	n/a	n/a	66.40 2.0
AO,	05/19	COHE & STEERS (COHEUTI)	091	CUZ	B	382	8.18	n/a	n/a	7.64 2.0
AO,	05/19	COHE & STEERS (COHEUTP)	091	CUZ	B	715	8.18	n/a	n/a	14.30 2.0
AO,	05/19	COHE & STEERS (COHECOPS)	091	CUZ	B	700	8.18	n/a	n/a	14.00 2.0
AO,	05/19	COHE & STEERS (COHEFAX)	091	CUZ	B	2,103	8.18	n/a	n/a	42.06 2.0

TOTAL (AO, CXL, CRT) :	3,959.26
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TOTAL (Trade Date) :	57,793.95
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TOTAL (AO, CXL, CRT) :	3,959.26
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TOTAL (RUN DATE) / NFS :	61,753.21
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Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

Blue: Employee, Affiliate(BCM) and Proprietary Trades.

Red: Trades in stocks with same day Research/MRI.

Type: AO = As Of, CXL = Cancel, CRT = Corrected.

POTENTIAL ANALYST TRADE VIOLATION