



Daily Compliance Activity Report

Trade Date: 06/25/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	AEO	S	25,000	14.06	25-Jun	25-Jun	1,250.00	5.0
BASIX	033	AEO	B	35,000	14.26	25-Jun	25-Jun	1,050.00	3.0
NEWCASTLE FUNDS	255	AEO	S	50,000	14.10	25-Jun	25-Jun	2,000.00	4.0
DSG CAPITAL	225	AGCO	B	5,000	28.98	n/a	20-May	250.00	5.0
COOPER CREEK PART	028	ALV	B	1,635	27.53	10-Jun	10-Jun	65.40	4.0
CASTLE ARK	031	AMZN	S	100	81.46	n/a	n/a	6.00	6.0
BUCK CAPITAL MGMT	001	ANF	SS	85,000	26.07	3-Jun	18-Jun	3,400.00	4.0
THOMSON HORSTMAN BRYANT	034	ANN	B	10,000	7.75	n/a	30-Jan	400.00	4.0
CIRCLE T/SES PART	035	AN	B	40,000	16.66	10-Jun	10-Jun	1,600.00	4.0
CASTLE ARK	031	APC	S	500	45.16	3-Feb	24-Jun	30.00	6.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	34.28	n/a	5-Jun	2,000.00	4.0
BALYASNY ASSET MGMT	044	AVP	B	30,000	26.14	2-Jun	2-Jun	1,500.00	5.0
CASTLE ARK	031	BAX	S	400	51.43	n/a	22-Apr	24.00	6.0
GRUBER MACBAINE	033	BBBY	S	20,000	30.68	n/a	n/a	800.00	4.0
JMP ASSET MGMT	210	BEBE	B	13,000	6.73	n/a	n/a	520.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	BEC	S	300	56.92	n/a	n/a	18.00	6.0
SCOPUS FUND	041	BIG	SS	10,000	20.99	28-May	24-Jun	500.00	5.0
ARMA	041	BJS	S	35,000	13.27	n/a	n/a	1,400.00	4.0
PLATTE RIVER CAPITAL	240	BSX	B	8,100	9.59	n/a	22-Apr	324.00	4.0
CASTLE ARK	031	BUCY	S	200	28.51	n/a	4-Jun	12.00	6.0
SCOPUS FUND	041	CAKE	B	10,000	16.36	29-May	12-Jun	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	CBE	B	121,000	31.23	n/a	27-Apr	4,235.00	3.5
PLATTE RIVER CAPITAL	240	CHS	S	20,000	10.12	n/a	30-Jan	800.00	4.0
ASCEND PARTNERS	033	COH	SS	15,000	26.15	n/a	22-Apr	750.00	5.0
BUCK CAPITAL MGMT	001	COH	B	70,000	26.20	n/a	22-Apr	2,800.00	4.0
CASTLE ARK	031	DE	S	200	41.64	n/a	17-Jun	12.00	6.0
DC CAPITAL	044	DIS	S	50,000	23.17	n/a	n/a	2,000.00	4.0
CASTLE ARK	031	DKS	S	400	17.03	27-Apr	20-May	24.00	6.0
SCOPUS FUND	041	DPS	B	50,000	20.98	n/a	n/a	2,500.00	5.0
SCOPUS FUND	041	DRI	S	6,500	32.82	19-Mar	24-Jun	325.00	5.0
PLATTE RIVER CAPITAL	240	DRYS	B	13,500	5.66	n/a	n/a	405.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	EMR	S	300	32.83	n/a	n/a	18.00	6.0
THIRD COAST CAPITAL	035	EXBD	S	7,500	19.37	n/a	n/a	375.00	5.0
BUCK CAPITAL MGMT	001	FL	SS	50,000	10.37	27-Apr	22-May	2,000.00	4.0
BMO NESBITT BURNS	041	F	B	50,000	5.61	n/a	3-Jun	2,500.00	5.0
OZ MGMT	040	F	B	150,000	5.73	n/a	3-Jun	4,500.00	3.0
SCHOTTENFELD ASSOC	041	F	B	50,000	5.63	n/a	3-Jun	1,500.00	3.0
CASTLE ARK	031	GILD	S	100	47.24	n/a	n/a	6.00	6.0
CASTLE ARK	031	GS	S	200	142.44	11-May	19-Jun	12.00	6.0
ELM RIDGE ADVISORS	044	IP	B	25,600	13.85	23-Jun	23-Jun	1,024.00	4.0
DALTON GREINER	012	IVZ	S	72,270	16.72	5-Jun	17-Jun	3,613.50	5.0
CASTLE ARK	031	JBHT	S	100	30.68	n/a	n/a	6.00	6.0
BALYASNY ASSET MGMT	044	JWN	C	50,000	19.83	20-Feb	5-Jun	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JWN	B	25,000	19.86	20-Feb	5-Jun	1,000.00	4.0
M&I FUNDS	256	KG	S	18,631	9.66	n/a	23-Jun	558.93	3.0
CASTLE ARK	031	KSS	S	100	44.26	8-May	5-Jun	6.00	6.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	25,000	44.42	8-May	5-Jun	1,000.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	4,815	25.80	n/a	17-Jun	240.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KEEFE BRUYETTE WOODS A	045	LM	SS	8,000	24.79	25-Jun	25-Jun	400.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.39	n/a	4-Jan	600.00	6.0
MILLENIUM PARTNERS	028	MAS	B	50,000	9.42	n/a	n/a	2,000.00	4.0
CASTLE ARK	031	MCHP	S	600	22.21	n/a	n/a	36.00	6.0
AELTUS/ING INVESTMENT MGT	215	MIG	S	95,706	6.33	n/a	n/a	3,349.73	3.5
PLATTE RIVER CAPITAL	240	MOT	B	10,000	6.25	n/a	n/a	400.00	4.0
CASTLE ARK	031	MSFT	S	1,000	23.67	n/a	3-Apr	60.00	6.0
CASTLE ARK	031	MS	S	800	27.49	11-May	19-Jun	48.00	6.0
CASTLE ARK	031	MTD	S	300	74.78	n/a	n/a	18.00	6.0
COBALT	041	M	SS	100,000	11.76	n/a	5-Jun	5,000.00	5.0
CASTLE ARK	031	NE	S	300	31.55	n/a	n/a	18.00	6.0
AVESTA CAP	229	NKE	B	20,000	50.76	n/a	n/a	800.00	4.0
CASTLE ARK	031	NKE	S	100	50.54	n/a	n/a	6.00	6.0
SUN AMERICA ASSET MGMT	030	NOC	S	27,385	46.57	n/a	n/a	1,095.40	4.0
CASTLE ARK	031	NUVA	S	500	42.46	n/a	n/a	30.00	6.0
BUCK CAPITAL MGMT	001	OXM	SS	20,000	11.46	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	PAYX	B	9,780	25.14	n/a	n/a	391.20	4.0
CASTLE ARK	031	PCAR	S	200	31.60	25-Mar	4-May	12.00	6.0
SLS CAPITAL LLC	224	PKG	B	28,100	15.10	8-Apr	23-Jun	1,124.00	4.0
TRUSTCO/SUNTRUST	040	PKG	B	7,100	14.80	8-Apr	23-Jun	276.90	3.9
TRUSTCO/SUNTRUST	040	PRGO	B	10,900	27.30	n/a	23-Jun	425.10	3.9
BUCK CAPITAL MGMT	001	RL	B	60,000	54.15	25-Jun	25-Jun	2,400.00	4.0
COUGAR TRADING	044	RL	B	700	51.39	25-Jun	25-Jun	35.00	5.0
JP MORGAN VENTURES	046	RL	B	25,000	54.00	25-Jun	25-Jun	1,250.00	5.0
SCOPUS FUND	041	RL	SS	23,200	53.49	25-Jun	25-Jun	1,160.00	5.0
CASTLE ARK	031	RRC	S	200	41.51	n/a	n/a	12.00	6.0
CASTLE ARK	031	SCHW	S	800	17.70	n/a	n/a	48.00	6.0
BARROW HANLEY MEWHINNEY	031	SHW	S	330,300	53.35	17-Apr	24-Jun	13,212.00	4.0
CASTLE ARK	031	SLB	S	200	54.32	n/a	n/a	12.00	6.0
HIGHBRIDGE CAPITAL	038	SOHU	B	22,000	65.50	n/a	n/a	1,100.00	5.0
CASTLE ARK	031	SPLS	S	700	20.50	n/a	27-Jul	42.00	6.0
TRUSTCO/SUNTRUST	040	SSI	B	10,700	11.19	n/a	5-Jun	417.30	3.9
CASTLE ARK	031	STJ	S	400	41.00	n/a	n/a	24.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	STP	S	100,000	18.30	n/a	n/a	4,000.00	4.0
CASTLE ARK	031	TJX	S	500	31.54	4-May	5-Jun	30.00	6.0
HUNTER GLOBAL INVESTOR	067	TTC	B	12,400	29.25	n/a	n/a	620.00	5.0
PLATTE RIVER CAPITAL	240	T	B	15,000	24.53	n/a	4-Jan	600.00	4.0
CASTLE ARK	031	UA	S	200	20.96	29-Apr	29-Apr	12.00	6.0
CONIFER/ISF	025	URI	S	7,694	6.16	n/a	29-Oct	384.70	5.0
DIAMONDBACK CAP MGMT	232	WDR	SS	5,000	25.32	5-Jun	25-Jun	250.00	5.0
ARMA	041	WFT	B	25,000	19.45	n/a	n/a	1,000.00	4.0
CHILTON CAPITAL MGMT.	036	WNR	C	291,843	7.19	n/a	n/a	8,755.29	3.0
THIRD COAST CAPITAL	035	WRC	SS	10,000	32.47	13-May	13-May	500.00	5.0
AELTUS/ING INVESTMENT MGT	215	WSO	B	598	47.65	n/a	n/a	20.94	3.5
TOTAL (Trade Date) :								105,136.14	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/24	GARDNER LEWIS ASSET MGMT (GLAMCCG)	028	AES	B	226,805	10.47	n/a	n/a	11340.25 5.0
AO,CXL	06/24	COLONIAL FUND LLC (COLOMAINSL)	036	AXL	B	25,000	3.12	n/a	10-Jun	1250.00 5.0
AO,CRT	06/24	COLONIAL FUND LLC (COLOMAINSL)	036	AXL	B	25,000	3.12	n/a	10-Jun	750.00 3.0
AO,CXL	06/24	WINSLOW CAPITAL (WINS138BVT)	030	EQIX	B	500	69.08	n/a	n/a	20.00 4.0
AO,CRT	06/24	WINSLOW CAPITAL (WINS124)	030	EQIX	B	500	69.08	n/a	n/a	20.00 4.0
AO,CXL	06/23	BUCK CAPITAL MGMT (BUCKGILAGX)	001	GCO	B	40,000	18.82	n/a	10-Jan	1600.00 4.0
AO,CRT	06/23	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GCO	B	40,000	18.82	n/a	10-Jan	1600.00 4.0
AO,CXL	06/24	WINSLOW CAPITAL (WINS138BVT)	030	ILMN	B	200	36.64	n/a	n/a	8.00 4.0
AO,CRT	06/24	WINSLOW CAPITAL (WINS124)	030	ILMN	B	200	36.64	n/a	n/a	8.00 4.0
AO,	06/24	ELM RIDGE ADVISORS (ELMRGS)	044	IP	B	150,000	13.84	23-Jun	23-Jun	6000.00 4.0
AO,CXL	06/24	SCOPUS FUND (SCOPBANC O)	041	M	B	26,906	11.50	n/a	5-Jun	1345.30 5.0
AO,CRT	06/24	SCOPUS FUND (SCOPBANC O)	041	M	B	31,656	11.50	n/a	5-Jun	1582.80 5.0
AO,CXL	06/24	SCOPUS FUND (SCOPUBS)	041	M	B	95,394	11.50	n/a	5-Jun	4769.70 5.0
AO,CRT	06/24	SCOPUS FUND (SCOPUBS)	041	M	B	90,644	11.50	n/a	5-Jun	4532.20 5.0
AO,CXL	06/24	DSG CAPITAL (DSGCJEFF)	225	MPEL	SS	2,500	4.74	n/a	23-Jun	125.00 5.0
AO,CRT	06/24	DSG CAPITAL (DSGCJEFF)	225	MPEL	SS	2,500	4.74	n/a	23-Jun	75.00 3.0
AO,CXL	06/24	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PIKE	B	9,800	11.89	n/a	n/a	490.00 5.0
AO,CRT	06/24	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PIKE	B	9,800	11.89	n/a	n/a	392.00 4.0
AO,CXL	06/24	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PWR	B	6,000	22.33	n/a	n/a	300.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/24	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PWR	B	6,000	22.33	n/a	n/a	240.00 4.0
AO,	06/24	AELTUS/ING INVESTMENT MGT (AELTINGGPR)	215	WSO	B	3,189	47.19	n/a	n/a	111.62 3.5
AO,	06/24	AELTUS/ING INVESTMENT MGT (AELTSEP819)	215	WSO	B	2,166	47.19	n/a	n/a	75.81 3.5
AO,	06/24	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	215	WSO	B	20,894	47.19	n/a	n/a	731.29 3.5
AO,	06/24	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	215	WSO	B	8,811	47.19	n/a	n/a	308.39 3.5
TOTAL (AO, CXL, CRT) :										17,859.36
TOTAL (Trade Date):										105,136.14
TOTAL (AO, CXL, CRT):										17,859.36
TOTAL (RUN DATE) / NFS:										122,995.50

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