



Daily Compliance Activity Report

Trade Date: 04/30/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSM CAPITAL PARTNERS	032	AAPL	B	1,100	125.60	n/a	n/a	55.00	5.0
BUCK CAPITAL MGMT	001	ABG	B	70,000	9.85	n/a	30-Apr	2,100.00	3.0
DSM CAPITAL PARTNERS	032	ADBE	B	5,100	27.24	n/a	n/a	255.00	5.0
DSM CAPITAL PARTNERS	032	ADP	B	3,100	35.02	n/a	n/a	155.00	5.0
BALYASNY ASSET MGMT	044	AEO	B	25,000	14.89	20-Apr	20-Apr	1,250.00	5.0
CUMBERLAND	038	AEO	S	25,000	15.10	20-Apr	20-Apr	1,000.00	4.0
DSM CAPITAL PARTNERS	032	AGN	B	2,500	46.59	24-Mar	28-Apr	125.00	5.0
PENNANT CAP MGMT	029	ALTR	B	200,000	16.24	n/a	n/a	6,000.00	3.0
WAGONHOUND/NIC	048	ALV	B	1,182	25.16	12-Mar	22-Apr	47.28	4.0
CARDINAL CAPITAL	044	AMG	S	21,400	60.49	30-Apr	30-Apr	1,070.00	5.0
DSM CAPITAL PARTNERS	032	AMZN	B	1,100	80.48	n/a	n/a	55.00	5.0
SAXON WOODS ADVISORS	038	AVP	B	215,890	22.74	25-Feb	30-Mar	8,635.60	4.0
DSM CAPITAL PARTNERS	032	BCR	B	2,500	71.73	n/a	22-Apr	125.00	5.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	27.08	4-Mar	24-Apr	800.00	4.0
1798 CAPITAL MGMT	040	BKE	SS	5,000	37.52	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BWA	B	40,000	29.81	12-Mar	20-Apr	1,600.00	4.0
COLUMBIA PARTNERS	028	BWA	C	25,624	29.69	12-Mar	20-Apr	1,024.96	4.0
PEQUOT CAPITAL MGMT	070	BWA	SS	4,400	29.44	12-Mar	20-Apr	176.00	4.0
SLS CAPITAL LLC	224	CAT	B	53,400	35.26	n/a	22-Apr	2,136.00	4.0
DSM CAPITAL PARTNERS	032	CELG	B	9,800	42.02	n/a	n/a	490.00	5.0
NEWCASTLE FUNDS	033	CHD	S	40,000	54.42	27-Apr	27-Apr	1,600.00	4.0
CAMBIAR CAP	046	CL	B	75,185	58.96	16-Mar	20-Mar	3,007.40	4.0
ROSEDALE CAPITAL	046	CMC	S	10,000	14.88	n/a	n/a	500.00	5.0
DSM CAPITAL PARTNERS	032	CSCO	B	7,800	19.31	n/a	22-Mar	390.00	5.0
DSM CAPITAL PARTNERS	032	CVS	B	6,300	31.70	n/a	n/a	315.00	5.0
JP MORGAN VENTURES	046	DSW	B	20,000	11.28	24-Mar	17-Apr	1,000.00	5.0
FARALLON CAP MGMT	040	EEM	B	100,000	28.72	n/a	n/a	3,000.00	3.0
BALYASNY ASSET MGMT	044	FLS	SS	7,000	71.36	n/a	n/a	350.00	5.0
ADALY INV MGMT	067	FXI	S	10,000	31.78	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	60,000	22.04	n/a	10-Jan	2,400.00	4.0
DSM CAPITAL PARTNERS	032	GENZ	B	6,400	53.48	n/a	n/a	320.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	046	GE	B	100,000	12.60	n/a	n/a	4,000.00	4.0
CATAPULT	040	GE	SS	50,000	12.55	n/a	n/a	2,500.00	5.0
S.A.C. CAP/ORENSTEIN	044	GE	B	250,000	12.74	n/a	n/a	10,000.00	4.0
1798 CAPITAL MGMT	040	GIL	SS	10,000	11.60	11-Dec	14-Apr	500.00	5.0
COUGAR TRADING	044	GNTX	B	5,000	13.42	30-Jan	23-Apr	250.00	5.0
DSM CAPITAL PARTNERS	032	GOOG	B	700	395.86	n/a	n/a	35.00	5.0
DSM CAPITAL PARTNERS	032	GPRO	B	4,500	47.92	n/a	n/a	225.00	5.0
BUCK CAPITAL MGMT	001	HOG	SS	10,000	22.03	n/a	n/a	400.00	4.0
NEWCASTLE FUNDS	033	HON	B	30,000	31.41	n/a	24-Apr	1,200.00	4.0
JETSTREAM GLOBAL FUND LP	065	HPQ	S	60,000	37.07	n/a	n/a	3,000.00	5.0
WAGONHOUND/NIC	048	HSC	B	12,298	28.37	29-Jan	24-Apr	491.92	4.0
WAGONHOUND/NIC	048	IBKR	S	1,606	15.17	n/a	n/a	64.24	4.0
NEUBERGER BERMAN	036	INTU	B	19,895	23.08	n/a	n/a	895.28	4.5
DSM CAPITAL PARTNERS	032	ISRG	B	1,300	143.70	n/a	n/a	65.00	5.0
BUCK CAPITAL MGMT	001	IVZ	B	65,000	15.24	7-Apr	23-Apr	2,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JACK	S	10,700	25.13	n/a	n/a	535.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	JACK	B	9,100	25.12	n/a	n/a	0.00	0.0
LISTED ERR	099	JACK	S	9,100	24.76	n/a	n/a	0.00	0.0
NEWCASTLE FUNDS	033	JCI	B	25,000	19.04	22-Apr	22-Apr	1,000.00	4.0
GOLDMAN SACHS ASSET MGMT	044	JCP	B	135,895	30.61	13-Apr	23-Apr	2,717.90	2.0
WILLOW CREEK	033	JCP	B	6,000	30.86	13-Apr	23-Apr	240.00	4.0
DSM CAPITAL PARTNERS	032	MA	B	900	181.75	23-Dec	29-Apr	45.00	5.0
DSM CAPITAL PARTNERS	032	MON	B	4,200	84.77	n/a	2-Apr	210.00	5.0
WAGONHOUND/NIC	048	MU	S	5,078	4.98	n/a	n/a	152.34	3.0
11:11 CAPITAL CORP	046	MYL	B	100,000	13.43	n/a	30-Apr	5,000.00	5.0
WILLOW CREEK	033	M	B	10,000	13.77	n/a	13-Apr	400.00	4.0
GRISANTI BROWN & PARTNER	048	NAV	B	50,000	37.74	n/a	n/a	2,500.00	5.0
DSM CAPITAL PARTNERS	032	NSRGY	B	5,500	32.50	n/a	n/a	275.00	5.0
DSM CAPITAL PARTNERS	032	NTRS	B	2,800	54.29	22-Apr	28-Apr	140.00	5.0
DSM CAPITAL PARTNERS	032	NVO	B	3,785	47.53	n/a	n/a	189.25	5.0
BUCK CAPITAL MGMT	001	NWY	S	10,000	5.77	n/a	30-Jan	300.00	3.0
CATAPULT	040	NYB	B	20,000	11.46	n/a	n/a	1,000.00	5.0
NOMURA CAPITAL	045	OC	S	25,196	18.62	n/a	n/a	1,259.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	OSK	C	20,000	10.64	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	PAG	B	140,000	13.62	n/a	23-Apr	5,600.00	4.0
SCOPUS FUND	041	PAG	B	10,000	13.64	n/a	23-Apr	500.00	5.0
WAGONHOUND/NIC	048	PCP	B	300	76.57	n/a	n/a	12.00	4.0
DSM CAPITAL PARTNERS	032	PEP	B	2,100	49.77	n/a	n/a	105.00	5.0
WILLOW CREEK	033	PII	B	4,500	33.79	n/a	n/a	180.00	4.0
PZENA INV ADV	044	PNM	B	14,500	8.43	n/a	n/a	507.50	3.5
DSM CAPITAL PARTNERS	032	PPDI	B	5,400	19.62	n/a	n/a	270.00	5.0
KENNEDY CAPITAL	046	PSUN	B	76,552	3.88	6-Feb	6-Feb	1,531.04	2.0
1798 CAPITAL MGMT	040	PVH	B	5,000	29.46	20-Apr	20-Apr	250.00	5.0
COLUMBIA PARTNERS	028	PVH	B	105,454	29.28	20-Apr	20-Apr	4,218.16	4.0
DSM CAPITAL PARTNERS	032	QCOM	B	4,400	42.11	n/a	n/a	220.00	5.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.58	n/a	n/a	1,720.00	4.0
1798 CAPITAL MGMT	040	RCL	B	5,000	14.80	22-Apr	24-Apr	250.00	5.0
DSM CAPITAL PARTNERS	032	RIMM	B	3,400	69.15	n/a	n/a	170.00	5.0
DSM CAPITAL PARTNERS	032	SCHW	B	9,800	18.26	n/a	n/a	490.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	032	SEIC	B	12,800	14.05	n/a	n/a	640.00	5.0
WEISS PECK	040	SKX	S	60,950	11.77	n/a	13-Mar	3,047.50	5.0
PZENA INV ADV	044	SLE	B	3,093	8.30	n/a	n/a	108.28	3.5
NEWCASTLE FUNDS	033	SMG	S	30,000	34.51	5-Feb	29-Apr	1,200.00	4.0
WAGONHOUND/NIC	048	SPIL	S	3,684	7.51	n/a	n/a	110.52	3.0
DSM CAPITAL PARTNERS	032	STJ	B	1,900	33.63	n/a	n/a	95.00	5.0
COUGAR TRADING	044	SUP	B	5,000	15.80	27-Feb	27-Feb	250.00	5.0
DSM CAPITAL PARTNERS	032	SYK	B	5,000	38.72	n/a	n/a	250.00	5.0
KSAM	048	TAP	B	27,000	38.22	n/a	n/a	1,080.00	4.0
1798 CAPITAL MGMT	040	UA	SS	15,000	23.69	29-Apr	29-Apr	750.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	50,000	23.94	29-Apr	29-Apr	2,000.00	4.0
DSM CAPITAL PARTNERS	032	VAR	B	3,500	33.24	n/a	n/a	175.00	5.0
SYSTEMATIC FINANCIAL MGT	035	VFC	S	60,000	59.43	n/a	n/a	2,100.02	3.5
DSM CAPITAL PARTNERS	032	V	B	2,800	64.42	n/a	30-Apr	140.00	5.0
COLUMBUS CIRCLE	036	WFMI	B	4,533	20.45	n/a	n/a	144.32	3.0
RBC CAPITAL MARKETS	034	WMT	S	10,000	50.20	n/a	9-Apr	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	WRC	B	50,000	29.03	20-Apr	20-Apr	2,000.00	4.0
DSM CAPITAL PARTNERS	032	WU	B	12,900	16.81	n/a	n/a	645.00	5.0
BNP PARIBAS SEC	040	XLP	B	60,000	22.07	n/a	n/a	3,000.00	5.0
TOTAL (Trade Date) :								117,982.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ABG	B	4,800	8.98	n/a	30-Apr	144.00 3.0
AO,CXL	04/29	BUCK CAPITAL MGMT (BUCKJPMBS)	001	ABG	B	45,200	8.98	n/a	30-Apr	1808.00 4.0
AO,CRT	04/29	BUCK CAPITAL MGMT (BUCKJPMBS)	001	ABG	B	45,200	8.98	n/a	30-Apr	1356.00 3.0
AO,CXL	04/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ABG	B	4,800	8.98	n/a	30-Apr	192.00 4.0
AO,CXL	04/29	WILLOW CREEK (WILLMAIN4C)	033	AZZ	B	10,000	31.13	n/a	n/a	500.00 5.0
AO,CRT	04/29	WILLOW CREEK (WILLMAIN4C)	033	AZZ	B	10,000	31.13	n/a	n/a	400.00 4.0
AO,	04/29	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	EVR	S	27,392	17.14	n/a	n/a	1095.68 4.0
CRT	04/30	WILLOW CREEK (WILLMAIN4C)	033	JCP	B	6,000	30.86	13-Apr	23-Apr	240.00 4.0
AO,	04/29	RESURGENCE ASSET MGMT (RESU7001)	070	JWN	B	13,707	21.91	20-Feb	13-Apr	685.35 5.0
AO,	04/29	RESURGENCE ASSET MGMT (RESU7002)	070	JWN	B	1,293	21.91	20-Feb	13-Apr	64.65 5.0
CRT	04/30	WILLOW CREEK (WILLMAIN4C)	033	M	B	10,000	13.77	n/a	13-Apr	400.00 4.0
AO,	04/29	RESURGENCE ASSET MGMT (RESU7002)	070	MGA	B	1,724	35.07	n/a	n/a	86.20 5.0
AO,	04/29	RESURGENCE ASSET MGMT (RESU7001)	070	MGA	B	18,276	35.07	n/a	n/a	913.80 5.0
AO,CXL	04/28	WILLOW CREEK (WILLMAIN4C)	033	NKE	B	15,000	55.99	n/a	n/a	750.00 5.0
AO,CRT	04/28	WILLOW CREEK (WILLMAIN4C)	033	NKE	B	15,000	55.99	n/a	n/a	600.00 4.0
AO,CXL	04/28	WILLOW CREEK (WILLMAIN4C)	033	SMG	B	8,500	34.49	5-Feb	29-Apr	425.00 5.0
AO,CRT	04/28	WILLOW CREEK (WILLMAIN4C)	033	SMG	B	8,500	34.49	5-Feb	29-Apr	340.00 4.0
AO,CXL	04/29	IMPALA ASSET MMT (IMPAFIDELI)	012	WYN	B	145,000	10.63	n/a	n/a	4350.00 3.0
AO,	04/29	IMPALA ASSET MMT (IMPAFIDELI)	012	WYN	B	200,000	11.22	n/a	n/a	6000.00 3.0
AO,CXL	04/29	IMPALA ASSET MMT (IMPAGOLDMA)	012	WYN	B	200,000	11.22	n/a	n/a	6000.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/29	IMPALA ASSET MMT (IMPAGOLDMA)	012	WYN	B	145,000	10.63	n/a	n/a	4350.00 3.0
TOTAL (AO, CXL, CRT) :										2,650.68
TOTAL (Trade Date) :										117,982.31
TOTAL (AO, CXL, CRT) :										2,650.68
TOTAL (RUN DATE) / NFS :										120,632.99

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