



Daily Compliance Activity Report

Trade Date: 06/22/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EVERCORE WEALTH MGMT	012	ABC	S	3,000	18.08	n/a	n/a	150.00	5.0
MORGAN BANK /JPM	070	ABT	S	580	46.71	n/a	22-Apr	17.40	3.0
COUGAR TRADING	044	AEO	B	15,000	13.65	20-Apr	5-Jun	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	B	50,000	13.59	20-Apr	5-Jun	2,000.00	4.0
PRINCIPLE CAPITAL	040	AET	S	92,300	24.43	n/a	n/a	2,769.00	3.0
PILOT ADV	038	AVP	SS	20,000	25.68	2-Jun	2-Jun	800.00	4.0
COUGAR TRADING	044	AXL	B	25,000	3.07	n/a	10-Jun	750.00	3.0
COUGAR TRADING	044	AXL	S	25,000	2.95	n/a	10-Jun	750.00	3.0
SOROS	036	AXP	SS	85,000	23.48	n/a	17-Jun	3,400.00	4.0
MORGAN BANK /JPM	070	AZO	C	10,526	155.97	n/a	n/a	315.78	3.0
EVERCORE WEALTH MGMT	012	BCO	S	1,400	29.02	n/a	n/a	70.00	5.0
BALYASNY ASSET MGMT	044	BEN	SS	20,100	70.43	5-Jun	17-Jun	1,005.00	5.0
PORTER-ORLIN-FELDMAN	044	CAM	B	30,000	26.81	n/a	n/a	900.00	3.0
PROSPECTOR PARTNERS LLC	036	CBT	B	10,000	11.84	n/a	22-Jun	400.00	4.0
EVERCORE WEALTH MGMT	012	CFL	S	1,400	27.98	n/a	n/a	70.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	CGW	B	23,290	15.03	n/a	n/a	1,164.50	5.0
MATRIX ASSET ADV.	036	COP	B	3,000	41.33	n/a	n/a	120.00	4.0
PROSPECTOR PARTNERS LLC	036	CPB	B	10,000	28.70	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	256	CRR	S	14,411	33.01	1-May	1-Jun	720.55	5.0
JP MORGAN VENTURES	070	CSCO	B	7,364	18.48	n/a	22-Mar	220.92	3.0
MORGAN BANK /JPM	070	CSCO	B	332,073	18.48	n/a	22-Mar	9,962.19	3.0
PRIMECAP MGMT	048	CSCO	B	1,300	18.39	n/a	22-Mar	65.00	5.0
JMPB	070	CSCO	B	1,750	18.48	n/a	22-Mar	52.50	3.0
CATAPULT	040	CYN	B	5,000	35.55	n/a	n/a	250.00	5.0
MORGAN BANK /JPM	070	DELL	B	194,442	13.20	n/a	n/a	5,833.26	3.0
MATRIX ASSET ADV.	036	DVN	B	10,000	56.72	6-May	1-Jun	400.00	4.0
HIGHBRIDGE CAPITAL	038	DY	B	40,563	11.13	n/a	n/a	1,622.52	4.0
EVERCORE WEALTH MGMT	012	EEP	S	1,500	37.51	n/a	n/a	75.00	5.0
EVERCORE WEALTH MGMT	012	EPD	S	2,200	24.80	n/a	n/a	110.00	5.0
CUMBERLAND	038	EXH	B	10,000	15.44	27-May	22-Jun	400.00	4.0
HIGHBRIDGE CAPITAL	038	FISV	B	10,400	44.79	n/a	n/a	416.00	4.0
NORTHPOINT	030	FISV	S	900	44.73	n/a	n/a	36.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENVEST PART	045	FOR	B	30,000	10.64	12-Feb	8-May	1,500.00	5.0
EVERCORE WEALTH MGMT	012	GLD	S	1,100	90.53	n/a	n/a	55.00	5.0
NEUBERGER BERMAN	036	GNTX	S	53,700	11.01	10-Jun	10-Jun	2,416.50	4.5
EVERCORE WEALTH MGMT	012	GOOG	S	150	406.94	n/a	n/a	7.50	5.0
EVERCORE WEALTH MGMT	012	GR	S	1,000	49.60	5-Jun	5-Jun	50.00	5.0
EVERCORE WEALTH MGMT	012	GS	S	500	138.35	11-May	19-Jun	25.00	5.0
COBALT	041	HBI	SS	100,000	15.41	n/a	n/a	5,000.00	5.0
EVERCORE WEALTH MGMT	012	HRS	S	1,600	27.99	6-May	1-Jun	80.00	5.0
EVERCORE WEALTH MGMT	012	HSTX	S	397	5.91	n/a	n/a	19.85	5.0
TRELLUS PARTNERS LP	028	IP	B	80,000	13.03	n/a	1-May	4,000.00	5.0
NEUBERGER BERMAN	036	ISLE	B	50,200	12.07	n/a	26-Jan	2,259.00	4.5
PILOT ADV	038	JCG	SS	5,000	24.81	n/a	30-Jan	200.00	4.0
KACELA CAPITAL	034	JCP	B	25,000	26.15	13-Apr	19-Jun	1,000.00	4.0
EVERCORE WEALTH MGMT	012	JJC	S	1,000	29.61	n/a	n/a	50.00	5.0
EVERCORE WEALTH MGMT	012	JPM	S	2,200	33.56	n/a	17-Jun	110.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	JWN	S	7,675	18.92	20-Feb	5-Jun	383.75	5.0
JP MORGAN VENTURES	046	KR	S	25,000	21.91	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	LXK	B	25,000	15.23	n/a	n/a	1,000.00	4.0
EVERCORE WEALTH MGMT	012	MA	S	300	159.51	n/a	22-Jun	15.00	5.0
COUGAR TRADING	044	MCD	B	700	57.39	n/a	11-Jun	35.00	5.0
EVERCORE WEALTH MGMT	012	MON	S	600	78.33	n/a	16-Jun	30.00	5.0
CAMBIAR CAP	046	MRO	B	49,970	28.71	n/a	n/a	1,998.80	4.0
EVERCORE WEALTH MGMT	012	MSFT	S	2,500	23.32	n/a	3-Apr	125.00	5.0
TROUBH PART	067	MSFT	B	35,000	23.65	n/a	3-Apr	1,750.00	5.0
COUGAR TRADING	044	M	B	25,000	10.96	n/a	5-Jun	1,250.00	5.0
EVERCORE WEALTH MGMT	012	NE	S	1,600	31.36	n/a	n/a	80.00	5.0
SUN AMERICA ASSET MGMT	030	NNI	B	21,100	11.50	n/a	n/a	844.00	4.0
HIGHBRIDGE CAPITAL	038	PAYX	B	19,000	26.55	n/a	n/a	760.00	4.0
MORGAN BANK /JPM	070	PFE	S	1,820	14.89	n/a	31-Mar	54.60	3.0
PATTEN & PATTEN	067	PHO	B	25,000	14.07	n/a	n/a	1,250.00	5.0
KINGDON ASSET MGMT	041	RIMM	C	50,000	68.41	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	SCHW	B	5,000	17.46	n/a	n/a	250.00	5.0
MORGAN BANK /JPM	070	SGP	S	1,150	23.42	n/a	n/a	34.50	3.0
MORGAN BANK /JPM	070	SHLD	B	29,700	65.01	n/a	n/a	891.00	3.0
JMP ASSET MGMT	210	SHOO	SS	2,650	26.50	n/a	n/a	132.50	5.0
EVERCORE WEALTH MGMT	012	SHW	S	1,000	52.76	17-Apr	17-Apr	50.00	5.0
JMP ASSET MGMT	210	SKS	B	7,300	3.97	n/a	n/a	219.00	3.0
EVERCORE WEALTH MGMT	012	SLB	S	1,000	52.70	n/a	n/a	50.00	5.0
FARALLON CAP MGMT	040	SPY	SS	333,000	90.07	n/a	n/a	9,990.00	3.0
JMP ASSET MGMT	210	SSRI	SS	3,500	17.52	n/a	n/a	175.00	5.0
PRINCIPLE CAPITAL	040	TECD	B	64,400	31.13	n/a	n/a	1,932.00	3.0
SCOPUS FUND	041	TIN	B	54,547	11.84	5-Jun	5-Jun	2,727.35	5.0
EVERCORE WEALTH MGMT	012	TJX	S	2,500	31.05	4-May	5-Jun	125.00	5.0
EVERCORE WEALTH MGMT	012	UTX	S	800	52.65	n/a	n/a	40.00	5.0
ROSEDALE CAPITAL	046	VOD	B	20,000	19.38	n/a	n/a	1,000.00	5.0
CATAPULT	040	V	B	9,000	61.99	n/a	22-Jun	450.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COBALT	041	WEN	S	300,000	3.75	n/a	24-Apr	6,000.00	2.0
PORTER-ORLIN-FELDMAN	044	WFT	B	40,000	18.62	n/a	n/a	1,200.00	3.0
EVERCORE WEALTH MGMT	012	WMT	S	700	48.47	11-May	19-Jun	35.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	100,000	32.04	13-May	13-May	4,000.00	4.0
PRINCIPLE CAPITAL	040	WYNN	B	21,200	34.91	n/a	n/a	636.00	3.0
PRIMECAP MGMT	048	WY	B	200	28.76	n/a	6-May	10.00	5.0
CAMBIAR CAP	046	XTO	B	156,580	37.40	n/a	n/a	6,263.20	4.0
TOTAL (Trade Date) :								101,805.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/19	OVERLAND PARK CAP (OVERCREDIT)	041	AEO	B	21,500	13.95	20-Apr	5-Jun	1075.00 5.0
AO,CRT	06/19	OVERLAND PARK CAP (OVERCREDIT)	041	AEO	B	21,500	13.95	20-Apr	5-Jun	860.00 4.0
AO,	06/19	MKT MAKER (MKT MAKER)	099	NCX	B	16	5.92	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) :	-215.00
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TOTAL (Trade Date) :	101,805.17
TOTAL (AO, CXL, CRT) :	-215.00

TOTAL (RUN DATE) / NFS:	101,590.17
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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