



Daily Compliance Activity Report

Trade Date: 06/12/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	ABT	B	20,000	45.66	n/a	22-Apr	1,000.00	5.0
SCOA	048	ADP	SS	63,506	37.21	n/a	n/a	2,540.24	4.0
NEUBERGER BERMAN	036	ADVS	S	22,500	31.08	n/a	n/a	1,012.50	4.5
BUCK CAPITAL MGMT	001	ARO	B	30,000	34.68	n/a	5-Jun	1,200.00	4.0
TRELLUS PARTNERS LP	028	AXL	B	50,000	4.12	n/a	10-Jun	1,500.00	3.0
COUGAR TRADING	044	BIG	SS	10,000	22.21	28-May	9-Jun	500.00	5.0
OSS CAPITAL/KEVIN DANN	067	BIG	SS	75,000	22.40	28-May	9-Jun	2,250.00	3.0
ASCEND PARTNERS	033	BMV	B	30,000	19.85	n/a	n/a	1,500.00	5.0
SONTERRA CAP	041	CCL	B	30,000	23.93	n/a	26-Jan	1,200.00	4.0
ASCEND PARTNERS	033	CEPH	S	7,400	57.28	21-May	10-Jun	370.00	5.0
ADAGE CAPITAL MGMT	030	COH	B	100,000	25.57	9-Jan	22-Apr	4,000.00	4.0
EGS ASSOCIATES LP	091	CPKI	B	3,000	12.98	29-May	12-Jun	180.00	6.0
ADAGE CAPITAL MGMT	030	DKS	S	400,000	17.23	27-Apr	20-May	16,000.00	4.0
CR INTRINIC INVESTMENT	044	ETR	SS	50,000	78.01	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	FDO	C	20,000	29.14	5-Mar	9-Jun	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	FISV	B	10,000	46.40	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	FIS	S	96,343	20.01	n/a	n/a	4,335.47	4.5
NEUBERGER BERMAN	036	GCA	B	19,600	6.96	n/a	n/a	588.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	21.80	n/a	10-Jan	800.00	4.0
IRONBOUND CAPITAL	012	GS	S	126,200	145.02	11-May	12-Jun	5,048.00	4.0
BUCK CAPITAL MGMT	001	HBI	S	92,500	17.28	n/a	n/a	3,700.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	15.36	n/a	1-May	1,000.00	5.0
MILLENIUM PARTNERS	028	IP	SS	25,000	15.44	n/a	1-May	1,250.00	5.0
SACC-SCHWARTZ	044	ITW	SS	100,000	37.96	n/a	22-May	4,000.00	4.0
CR INTRINIC INVESTMENT	044	IWM	SS	20,000	52.60	n/a	n/a	800.00	4.0
MILLENIUM PARTNERS	028	JAVA	S	100	9.25	n/a	n/a	4.00	4.0
SANDLER CAPITAL	038	JCI	S	100,000	21.39	2-Jun	2-Jun	6,000.00	6.0
OVERLAND PARK CAP	028	JCP	S	12,500	28.00	13-Apr	5-Jun	500.00	4.0
ADAGE CAPITAL MGMT	030	JWN	B	117,504	20.28	20-Feb	5-Jun	4,700.16	4.0
OVERLAND PARK CAP	028	JWN	B	7,000	20.41	20-Feb	5-Jun	280.00	4.0
CAMBIAR CAP	046	KG	B	64,960	10.02	n/a	12-Jun	2,598.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	MW	B	20,000	19.01	n/a	n/a	1,000.00	5.0
ADAGE CAPITAL MGMT	030	M	SS	142,730	12.01	n/a	5-Jun	5,709.20	4.0
OVERLAND PARK CAP	028	M	B	15,000	11.97	n/a	5-Jun	600.00	4.0
JMP ASSET MGMT	210	NTRI	B	5,000	13.99	n/a	n/a	250.00	5.0
CR INTRINIC INVESTMENT	044	PALM	B	20,000	14.57	n/a	n/a	800.00	4.0
HIGHBRIDGE CAPITAL	038	PAYX	B	19,000	27.24	n/a	n/a	950.00	5.0
CR INTRINIC INVESTMENT	044	PEG	B	200,000	32.59	n/a	n/a	8,000.00	4.0
CR INTRINIC INVESTMENT	044	PPL	B	50,000	33.26	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	20,000	13.47	n/a	n/a	800.00	4.0
JENNISON	032	QCOM	S	48,800	45.56	n/a	n/a	1,805.60	3.7
RAIL-SPLITTER	031	RCL	SS	27,000	13.80	22-Apr	24-Apr	1,350.00	5.0
APEX CAPITAL MGMT.	091	SBUX	SS	175,000	14.23	20-Apr	30-Apr	7,000.00	4.0
MACKLOWE ASSET MGMT	041	SKS	S	30,000	4.52	n/a	n/a	1,200.00	4.0
CR INTRINIC INVESTMENT	044	SO	S	30,000	30.68	n/a	n/a	1,200.00	4.0
CR INTRINIC INVESTMENT	044	SPLS	SS	100,000	21.10	n/a	27-Jul	4,000.00	4.0
STG INVESTORS	041	SWKS	S	50,000	10.34	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	TEX	B	94,200	14.33	13-Feb	12-Jun	4,710.00	5.0
CR INTRINIC INVESTMENT	044	TGT	B	50,000	40.24	25-Feb	9-Jun	2,000.00	4.0
JP MORGAN VENTURES	046	TJX	B	35,000	30.29	4-May	5-Jun	1,750.00	5.0
CR INTRINIC INVESTMENT	044	UIL	S	28,250	22.50	n/a	n/a	1,130.00	4.0
JP MORGAN VENTURES	046	URBN	B	40,000	21.24	n/a	30-Jan	2,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	25,000	21.22	n/a	30-Jan	1,000.00	4.0
APEX CAPITAL MGMT.	091	WMT	S	250,000	49.66	11-May	9-Jun	10,000.00	4.0
CR INTRINIC INVESTMENT	044	WMT	SS	50,000	49.75	11-May	9-Jun	2,000.00	4.0
CR INTRINIC INVESTMENT	044	WTR	B	60,000	17.10	n/a	n/a	2,400.00	4.0
JP MORGAN VENTURES	046	XRT	S	15,000	27.83	n/a	n/a	750.00	5.0
TOTAL (Trade Date) :								138,161.57	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/11	BALYASNY ASSET MGMT (BALY)	044	AMG	B	8,400	57.34	5-Jun	12-Jun	420.00 5.0
AO,	06/11	BALYASNY ASSET MGMT (BALY)	044	AMG	B	900	57.34	5-Jun	12-Jun	45.00 5.0
AO,	06/11	BALYASNY ASSET MGMT (BALY)	044	AMG	B	9,100	57.34	5-Jun	12-Jun	455.00 5.0
AO,	06/11	BALYASNY ASSET MGMT (BALY)	044	AMG	B	1,600	57.34	5-Jun	12-Jun	80.00 5.0
AO,	06/11	RAINIER INV MGMT (RAINENERGY)	035	NTRS	B	530	55.80	22-Apr	12-Jun	26.50 5.0
AO,CXL	06/11	RAINIER INV MGMT (RAINENERGY)	035	NTRS	B	530	55.80	22-Apr	12-Jun	26.50 5.0

TOTAL (AO, CXL, CRT) :	1,000.00
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TOTAL (RUN DATE) / NFS :	139,161.57
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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