



Daily Compliance Activity Report

Trade Date: 06/01/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	50,000	14.98	20-Apr	1-Jun	2,000.00	4.0
NEWCASTLE FUNDS	255	AEO	S	30,000	15.50	20-Apr	1-Jun	1,200.00	4.0
LAGRANGE CAP ADV	048	AER	S	20,000	7.02	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	40,000	31.73	16-Apr	1-Jun	1,600.00	4.0
SIGMA CAP BOBBY	044	ANF	S	25,000	31.31	16-Apr	1-Jun	1,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	ARO	S	100,000	36.13	n/a	1-Jun	4,000.00	4.0
BUCK CAPITAL MGMT	001	AVP	SS	50,000	27.02	25-Feb	6-May	2,000.00	4.0
JMP ASSET MGMT	210	BARE	SS	5,000	9.42	n/a	n/a	200.00	4.0
HUNTER GLOBAL INVESTOR	067	BAX	S	49,200	50.46	n/a	22-Apr	2,460.00	5.0
CIRCLE T/SES PART	035	BKC	B	25,000	16.24	16-Apr	29-Apr	1,000.00	4.0
JMP ASSET MGMT	210	BKC	B	5,000	16.20	16-Apr	29-Apr	250.00	5.0
DSG CAPITAL	225	CIT	B	40,000	3.82	23-Apr	27-May	1,200.00	3.0
AVESTA CAP	229	CPB	SS	50,000	28.28	n/a	n/a	2,000.00	4.0
BREEDEN CAP MGMT	080	EBAY	S	100,000	18.18	n/a	n/a	5,000.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.50	n/a	n/a	600.00	6.0
SCHOTTENFELD ASSOC	041	FDO	B	18,914	31.23	5-Mar	18-May	945.70	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JMP ASSET MGMT	210	FRED	SS	2,000	13.88	n/a	27-Mar	100.00	5.0
BMO NESBITT BURNS	041	F	SS	50,000	6.00	n/a	1-Jun	2,500.00	5.0
COUGAR TRADING	044	F	B	25,000	6.12	n/a	1-Jun	1,000.00	4.0
DSG CAPITAL	225	F	B	20,000	6.19	n/a	1-Jun	600.00	3.0
HILLTOP PARK ASSOC	041	F	S	100,000	6.14	n/a	1-Jun	4,000.00	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	27.32	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	GES	S	50,000	28.37	n/a	n/a	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GES	S	25,000	28.29	n/a	n/a	1,000.00	4.0
AVESTA CAP	229	GIS	SS	50,000	51.42	n/a	n/a	2,000.00	4.0
CAXTON PART	040	GIS	B	5,507	51.52	n/a	n/a	192.76	3.5
BRENCOURT	028	GM	B	200,000	0.57	19-Feb	1-Jun	4,000.00	2.0
BUCK CAPITAL MGMT	001	HD	B	30,000	23.68	12-May	20-May	1,200.00	4.0
AVESTA CAP	229	HON	B	50,000	34.87	n/a	24-Apr	2,000.00	4.0
TYEE/TYGH	035	IVZ	B	68,951	17.09	11-May	1-Jun	2,758.04	4.0
BALYASNY ASSET MGMT	044	JCP	S	20,000	29.88	13-Apr	1-Jun	1,000.00	5.0
CIRCLE T/SES PART	035	JNY	B	25,000	9.59	n/a	30-Apr	1,000.00	4.0
SCOPUS FUND	041	JNY	B	30,000	9.46	n/a	30-Apr	1,500.00	5.0
DSG CAPITAL	225	KG	B	15,000	9.60	n/a	26-May	450.00	3.0
NEWCASTLE FUNDS	255	KR	S	40,000	23.44	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	KSS	B	20,000	45.00	8-May	1-Jun	1,000.00	5.0
BMO NESBITT BURNS	041	KSS	SS	25,000	45.01	8-May	1-Jun	1,250.00	5.0
BUCK CAPITAL MGMT	001	LVS	S	75,000	10.65	n/a	n/a	3,000.00	4.0
PROSPECTOR PARTNERS LLC	036	LZ	S	10,000	45.69	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	PCZ	S	10,000	45.43	n/a	n/a	400.00	4.0
CAXTON PART	040	PM	B	5,507	43.33	n/a	n/a	192.76	3.5
SLS CAPITAL LLC	224	RBA	SS	47,200	23.48	n/a	n/a	1,888.00	4.0
JMP ASSET MGMT	210	ROL	SS	2,000	17.55	n/a	n/a	100.00	5.0
LISTED ERR	099	STI	B	1,500	13.25	n/a	n/a	0.00	0.0
EMP ERROR	099	STI	S	1,500	13.85	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	THC	S	594,890	3.89	n/a	5-May	17,846.70	3.0
AVESTA CAP	229	TJX	S	25,000	30.41	4-May	1-Jun	1,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	33.18	13-May	13-May	1,200.00	4.0
HILLTOP PARK ASSOC	041	X	S	25,000	36.67	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):								85,683.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/29	GALT INVESTMENT (GALTGS)	041	CWTR	B	50,000	3.76	n/a	n/a	2500.00 5.0
AO,CRT	05/29	GALT INVESTMENT (GALTGS)	041	CWTR	B	50,000	3.76	n/a	n/a	1250.00 2.5
AO,CXL	05/29	BNP PARIBAS SEC (BNPPMAIN)	040	DE	B	12,000	43.16	26-Jan	20-May	480.00 4.0
AO,CRT	05/29	BNP PARIBAS SEC (BNPPMAIN)	040	DE	B	12,000	43.16	26-Jan	20-May	600.00 5.0
AO,CXL	05/29	FIRST NEW YORK LEDDY (FNYS)	035	F	B	50,000	5.60	n/a	1-Jun	3000.00 6.0
AO,CRT	05/29	FIRST NEW YORK LEDDY (FNYS)	035	F	B	50,000	5.60	n/a	1-Jun	1500.00 3.0
AO,	05/29	THIRD POINT MGMT (THIRMS)	044	GE	B	151,300	13.28	n/a	n/a	4539.00 3.0
AO,CXL	05/29	TRUST CO/COWEN/CALF. (TRCO4510)	040	GE	B	151,300	13.28	n/a	n/a	4539.00 3.0
AO,CXL	05/27	PEQUOT CAPITAL MGMT (PEQUMSPB)	070	HAR	B	44,400	18.90	12-Mar	1-May	1776.00 4.0
AO,	05/27	PEQUOT CAPITAL MGMT (PEQUMSPB)	070	HAR	B	44,400	18.90	12-Mar	1-May	1776.00 4.0
CRT	06/01	AVESTA CAP (AVESDEUTS)	229	HON	B	50,000	34.87	n/a	24-Apr	2000.00 4.0
AO,	05/29	TYEE/TYGH (TYEE49)	035	IVZ	B	288	15.00	11-May	1-Jun	11.52 4.0
AO,	05/29	TYEE/TYGH (TYEE49)	035	IVZ	B	194	15.00	11-May	1-Jun	7.76 4.0
AO,	05/29	TYEE/TYGH (TYEE47)	035	IVZ	B	594	15.00	11-May	1-Jun	23.76 4.0
AO,	05/29	TYEE/TYGH (TYEE48)	035	IVZ	B	568	15.00	11-May	1-Jun	22.72 4.0
AO,	05/29	TYEE/TYGH (TYEE46)	035	IVZ	B	449	15.00	11-May	1-Jun	17.96 4.0
AO,	05/29	TYEE/TYGH (TYEE40)	035	IVZ	B	439	15.00	11-May	1-Jun	17.56 4.0
AO,	05/29	TYEE/TYGH (TYEE43)	035	IVZ	B	94	15.00	11-May	1-Jun	3.76 4.0
AO,	05/29	TYEE/TYGH (TYEE44)	035	IVZ	B	121	15.00	11-May	1-Jun	4.84 4.0
AO,	05/29	TYEE/TYGH (TYEE45)	035	IVZ	B	61	15.00	11-May	1-Jun	2.44 4.0
AO,	05/29	TYEE/TYGH (TYEE142)	035	IVZ	B	1,648	15.00	11-May	1-Jun	65.92 4.0
AO,	05/29	TYEE/TYGH (TYEE36)	035	IVZ	B	75	15.00	11-May	1-Jun	3.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/29	TYEE/TYGH (TYEE38)	035	IVZ	B	99	15.00	11-May	1-Jun	3.96 4.0
AO,	05/29	TYEE/TYGH (TYEE17)	035	IVZ	B	2,469	15.00	11-May	1-Jun	98.76 4.0
AO,	05/29	TYEE/TYGH (TYEE19)	035	IVZ	B	458	15.00	11-May	1-Jun	18.32 4.0
AO,	05/29	TYEE/TYGH (TYEE20)	035	IVZ	B	480	15.00	11-May	1-Jun	19.20 4.0
AO,	05/29	TYEE/TYGH (TYEE21)	035	IVZ	B	612	15.00	11-May	1-Jun	24.48 4.0
AO,	05/29	TYEE/TYGH (TYEE64)	035	IVZ	B	162	15.00	11-May	1-Jun	6.48 4.0
AO,	05/29	TYEE/TYGH (TYEE22)	035	IVZ	B	526	15.00	11-May	1-Jun	21.04 4.0
AO,	05/29	TYEE/TYGH (TYEE62)	035	IVZ	B	309	15.00	11-May	1-Jun	12.36 4.0
AO,	05/29	TYEE/TYGH (TYEE23)	035	IVZ	B	4,950	15.00	11-May	1-Jun	198.00 4.0
AO,	05/29	TYEE/TYGH (TYEE63)	035	IVZ	B	215	15.00	11-May	1-Jun	8.60 4.0
AO,	05/29	TYEE/TYGH (TYEE24)	035	IVZ	B	836	15.00	11-May	1-Jun	33.44 4.0
AO,	05/29	TYEE/TYGH (TYEE61)	035	IVZ	B	287	15.00	11-May	1-Jun	11.48 4.0
AO,	05/29	TYEE/TYGH (TYEE27)	035	IVZ	B	1,060	15.00	11-May	1-Jun	42.40 4.0
AO,	05/29	TYEE/TYGH (TYEE60)	035	IVZ	B	152	15.00	11-May	1-Jun	6.08 4.0
AO,	05/29	TYEE/TYGH (TYEE4)	035	IVZ	B	6,381	15.00	11-May	1-Jun	255.24 4.0
AO,	05/29	TYEE/TYGH (TYEE58)	035	IVZ	B	589	15.00	11-May	1-Jun	23.56 4.0
AO,CXL	05/29	TYEE/TYGH (TYEE59)	035	IVZ	B	30,284	15.00	11-May	1-Jun	1211.36 4.0
AO,	05/29	TYEE/TYGH (TYEE59)	035	IVZ	B	2,080	15.00	11-May	1-Jun	83.20 4.0
AO,	05/29	TYEE/TYGH (TYEE53)	035	IVZ	B	644	15.00	11-May	1-Jun	25.76 4.0
AO,	05/29	TYEE/TYGH (TYEE54)	035	IVZ	B	286	15.00	11-May	1-Jun	11.44 4.0
AO,	05/29	TYEE/TYGH (TYEE55)	035	IVZ	B	1,399	15.00	11-May	1-Jun	55.96 4.0
AO,	05/29	TYEE/TYGH (TYEE56)	035	IVZ	B	1,168	15.00	11-May	1-Jun	46.72 4.0
AO,	05/29	TYEE/TYGH (TYEE57)	035	IVZ	B	323	15.00	11-May	1-Jun	12.92 4.0
AO,	05/29	TYEE/TYGH (TYEE51)	035	IVZ	B	71	15.00	11-May	1-Jun	2.84 4.0
AO,	05/29	TYEE/TYGH (TYEE52)	035	IVZ	B	107	15.00	11-May	1-Jun	4.28 4.0
AO,	05/29	TYEE/TYGH (TYEE31)	035	IVZ	B	90	15.00	11-May	1-Jun	3.60 4.0
AO,CXL	05/29	BNP PARIBAS SEC (BNPPMAIN)	040	JOYG	SS	16,000	34.58	n/a	5-Mar	640.00 4.0
AO,CRT	05/29	BNP PARIBAS SEC (BNPPMAIN)	040	JOYG	SS	16,000	34.58	n/a	5-Mar	800.00 5.0
AO,	05/29	MORGAN BANK /JPM (JPMB244090)	070	LMT	S	258	83.63	n/a	n/a	7.74 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/29	MORGAN BANK /JPM (JPMB244090)	0	LMT	S	258	38.99	n/a	n/a	7.74 3.0
AO,CXL	05/29	COBALT (COBAUBS)	041	SGY	SS	100,000	8.38	n/a	n/a	5000.00 5.0
AO,CRT	05/29	COBALT (COBAUBS)	041	SGY	SS	100,000	8.38	n/a	n/a	3000.00 3.0

TOTAL (AO, CXL, CRT) : **-2,470.00**

TOTAL (Trade Date): 85,683.96
TOTAL (AO, CXL, CRT): -2,470.00

TOTAL (RUN DATE) / NFS: **83,213.96**

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