

Daily Compliance Activity Report Trade Date: 06/22/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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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	В	15,000	13.65	20-Apr	5-Jun	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	В	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	В	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	С	10,526	155.97	n/a	n/a	315.78	3.0
EVERCORE WEALTH MGMT	012	всо	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	В	30,000	26.81	n/a	n/a	900.00	3.0
PROSPECTOR PARTNERS LLC	036	CBT	В	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	В	23,290	15.03	n/a	n/a	1,164.50	5.0
MATRIX ASSET ADV.	036	COP	В	3,000	41.33	n/a	n/a	120.00	4.0
PROSPECTOR PARTNERS LLC	036	СРВ	В	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	В	7,364	18.48	n/a	22-Mar	220.92	3.0
MORGAN BANK /JPM	070	CSCO	В	332,073	18.48	n/a	22-Mar	9,962.19	3.0
PRIMECAP MGMT	048	CSCO	В	1,300	18.39	n/a	22-Mar	65.00	5.0
JMPB	070	CSCO	В	1,750	18.48	n/a	22-Mar	52.50	3.0
CATAPULT	040	CYN	В	5,000	35.55	n/a	n/a	250.00	5.0
MORGAN BANK /JPM	070	DELL	В	194,442	13.20	n/a	n/a	5,833.26	3.0
MATRIX ASSET ADV.	036	DVN	В	10,000	56.72	6-Мау	1-Jun	400.00	4.0
HIGHBRIDGE CAPITAL	038	DY	В	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	В	10,000	15.44	27-May	22-Jun	400.00	4.0
HIGHBRIDGE CAPITAL	038	FISV	В	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	В	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	В	80,000	13.03	n/a	1-May	4,000.00	5.0
NEUBERGER BERMAN	036	ISLE	В	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	В	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	В	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	В	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	В	49,970	28.71	n/a	n/a	1,998.80	4.0
EVERCORE WEALTH MGMT	012 067	MSFT MSFT	S B	2,500 35,000	23.32	n/a n/a	3-Apr 3-Apr	125.00 1,750.00	5.0 5.0
COUGAR TRADING	044	М	В	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	В	21,100	11.50	n/a	n/a	844.00	4.0
HIGHBRIDGE CAPITAL	038	PAYX	В	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	РНО	В	25,000	14.07	n/a	n/a	1,250.00	5.0
KINGDON ASSET MGMT	041	RIMM	С	50,000	68.41	n/a	n/a	2,000.00	4.0

Account	RR #								
	KK #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
CATAPULT	040	SCHW	В	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	В	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	В	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	В	64,400	31.13	n/a	n/a	1,932.00	3.0
SCOPUS FUND	041	TIN	В	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	В	20,000	19.38	n/a	n/a	1,000.00	5.0
CATAPULT	040	V	В	9,000	61.99	n/a	22-Jun	450.00	5.0
	MORGAN BANK /JPM MORGAN BANK /JPM JMP ASSET MGMT EVERCORE WEALTH MGMT JMP ASSET MGMT EVERCORE WEALTH MGMT FARALLON CAP MGMT JMP ASSET MGMT PRINCIPLE CAPITAL SCOPUS FUND EVERCORE WEALTH MGMT EVERCORE WEALTH MGMT ROSEDALE CAPITAL	MORGAN BANK /JPM 070 MORGAN BANK /JPM 070 JMP ASSET MGMT 210 EVERCORE WEALTH MGMT 012 JMP ASSET MGMT 210 EVERCORE WEALTH MGMT 012 FARALLON CAP MGMT 040 JMP ASSET MGMT 210 PRINCIPLE CAPITAL 040 SCOPUS FUND 041 EVERCORE WEALTH MGMT 012 EVERCORE WEALTH MGMT 012 ROSEDALE CAPITAL 046	MORGAN BANK /JPM 070 SGP MORGAN BANK /JPM 070 SHLD JMP ASSET MGMT 210 SH00 EVERCORE WEALTH MGMT 012 SHW JMP ASSET MGMT 210 SKS EVERCORE WEALTH MGMT 012 SLB FARALLON CAP MGMT 040 SPY JMP ASSET MGMT 210 SSRI PRINCIPLE CAPITAL 040 TECD SCOPUS FUND 041 TIN EVERCORE WEALTH MGMT 012 TJX EVERCORE WEALTH MGMT 012 UTX ROSEDALE CAPITAL 046 VOD	MORGAN BANK /JPM 070 SGP S MORGAN BANK /JPM 070 SHLD B JMP ASSET MGMT 210 SHOO SS EVERCORE WEALTH MGMT 012 SHW S JMP ASSET MGMT 210 SKS B EVERCORE WEALTH MGMT 012 SLB S FARALLON CAP MGMT 040 SPY SS JMP ASSET MGMT 210 SSRI SS PRINCIPLE CAPITAL 040 TECD B SCOPUS FUND 041 TIN B EVERCORE WEALTH MGMT 012 TJX S EVERCORE WEALTH MGMT 012 UTX S ROSEDALE CAPITAL 046 VOD B	MORGAN BANK /JPM 070 SGP S 1,150 MORGAN BANK /JPM 070 SHLD B 29,700 JMP ASSET MGMT 210 SHOO SS 2,650 EVERCORE WEALTH MGMT 012 SHW S 1,000 JMP ASSET MGMT 210 SKS B 7,300 EVERCORE WEALTH MGMT 012 SLB S 1,000 FARALLON CAP MGMT 040 SPY SS 333,000 JMP ASSET MGMT 210 SSRI SS 3,500 PRINCIPLE CAPITAL 040 TECD B 64,400 SCOPUS FUND 041 TIN B 54,547 EVERCORE WEALTH MGMT 012 TJX S 2,500 EVERCORE WEALTH MGMT 012 UTX S 800 ROSEDALE CAPITAL 046 VOD B 20,000	MORGAN BANK /JPM 070 SGP S 1,150 23.42 MORGAN BANK /JPM 070 SHLD B 29,700 65.01 JMP ASSET MGMT 210 SHOO SS 2,650 26.50 EVERCORE WEALTH MGMT 012 SHW S 1,000 52.76 JMP ASSET MGMT 210 SKS B 7,300 3.97 EVERCORE WEALTH MGMT 012 SLB S 1,000 52.70 FARALLON CAP MGMT 040 SPY SS 333,000 90.07 JMP ASSET MGMT 210 SSRI SS 3,500 17.52 PRINCIPLE CAPITAL 040 TECD B 64,400 31.13 SCOPUS FUND 041 TIN B 54,547 11.84 EVERCORE WEALTH MGMT 012 TJX S 2,500 31.05 EVERCORE WEALTH MGMT 012 UTX S 800 52.65 ROSEDALE CAPITAL 046 VOD B 20,000 19.38	MORGAN BANK /JPM 070 SGP S 1,150 23.42 n/a MORGAN BANK /JPM 070 SHLD B 29,700 65.01 n/a JMP ASSET MGMT 210 SH00 SS 2,650 26.50 n/a EVERCORE WEALTH MGMT 012 SHW S 1,000 52.76 17-Apr JMP ASSET MGMT 210 SKS B 7,300 3.97 n/a EVERCORE WEALTH MGMT 012 SLB S 1,000 52.70 n/a EVERCORE WEALTH MGMT 040 SPY SS 333,000 90.07 n/a JMP ASSET MGMT 210 SSRI SS 3,500 17.52 n/a PRINCIPLE CAPITAL 040 TECD B 64,400 31.13 n/a SCOPUS FUND 041 TIN B 54,547 11.84 5-Jun EVERCORE WEALTH MGMT 012 TJX S 2,500 31.05 4-May EVERCORE WEALTH MGMT 012 UTX S 800 52.65 n/a ROSEDALE CAPITAL 046 VOD B 20,000 19.38 n/a	MORGAN BANK /JPM 070 SGP S 1,150 23.42 n/a n/a MORGAN BANK /JPM 070 SHLD B 29,700 65.01 n/a n/a JMP ASSET MGMT 210 SHOO SS 2,650 26.50 n/a n/a EVERCORE WEALTH MGMT 012 SHW S 1,000 52.76 17-Apr 17-Apr JMP ASSET MGMT 210 SKS B 7,300 3.97 n/a n/a EVERCORE WEALTH MGMT 012 SLB S 1,000 52.70 n/a n/a EVERCORE WEALTH MGMT 012 SLB S 1,000 52.70 n/a n/a FARALLON CAP MGMT 040 SPY SS 333,000 90.07 n/a n/a JMP ASSET MGMT 210 SSRI SS 3,500 17.52 n/a n/a PRINCIPLE CAPITAL 040 TECD B 64,400 31.13 n/a n/a SCOPUS FUND 041 TIN B 54,547 11.84 5-Jun 5-Jun EVERCORE WEALTH MGMT 012 TJX S 2,500 31.05 4-May 5-Jun EVERCORE WEALTH MGMT 012 UTX S 800 52.65 n/a n/a ROSEDALE CAPITAL 046 VOD B 20,000 19.38 n/a n/a	MORGAN BANK /JPM 070 SGP S 1,150 23.42 N/A N/A 34.50 MORGAN BANK /JPM 070 SHLD B 29,700 65.01 N/A N/A 891.00 JMP ASSET MGMT 210 SH00 SS 2,650 26.50 N/A N/A 132.50 EVERCORE WEALTH MGMT 012 SHW S 1,000 52.76 17-Apr 17-Apr 50.00 JMP ASSET MGMT 210 SKS B 7,300 3.97 N/A N/A 219.00 EVERCORE WEALTH MGMT 012 SLB S 1,000 52.70 N/A N/A 50.00 FARALLON CAP MGMT 040 SPY SS 333,000 90.07 N/A N/A 9,990.00 JMP ASSET MGMT 210 SSRI SS 3,500 17.52 N/A N/A 175.00 PRINCIPLE CAPITAL 040 TECD B 64,400 31.13 N/A N/A 1,932.00 SCOPUS FUND 041 TIN B 54,547 11.84 5-Jun 5-Jun 2,727.35 EVERCORE WEALTH MGMT 012 TJX S 2,500 31.05 4-May 5-Jun 125.00 EVERCORE WEALTH MGMT 012 UTX S 800 52.65 N/A N/A 1,000.00 ROSEDALE CAPITAL 046 VOD B 20,000 19.38 N/A N/A 1,000.00

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	В	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	В	21,200	34.91	n/a	n/a	636.00	3.0
PRIMECAP MGMT	048	WY	В	200	28.76	n/a	6-May	10.00	5.0
CAMBIAR CAP	046	XTO	В	156,580	37.40	n/a	n/a	6,263.20	4.0

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	06/19	OVERLAND PARK CAP (OVERCREDIT)	041	AEO	В	21,500	13.95	20-Apr	5-Jun	1075.00	5.0
AO,CRT	06/19	OVERLAND PARK CAP (OVERCREDIT)	041	AEO	В	21,500	13.95	20-Apr	5-Jun	860.00	4.0
AO,	06/19	MKT MAKER (MKT MAKER)	099	NCX	В	16	5.92	n/a	n/a	0.00	0.0
TOTAL	OTAL (AO, CXL, CRT): -215.00										

TOTAL (AO, CXL, CRT): TOTAL (RUN DATE) / NFS:	-215.00
TOTAL (AO. CXI. CRT):	101,805.17 -215.00

Legend:

O: 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