



## Daily Compliance Activity Report

Trade Date: 05/04/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	450	129.79	n/a	n/a	18.00	4.0
CRAMER ROSENTHAL/SCOTT	012	AAP	B	1,400	43.42	n/a	n/a	56.00	4.0
CRAMER ROSENTHAL/SCOTT	012	ADI	B	2,700	21.76	n/a	n/a	108.00	4.0
CUMBERLAND	038	ADS	B	7,000	41.31	n/a	n/a	280.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>14.91</b>	<b>20-Apr</b>	<b>4-May</b>	<b>2,000.00</b>	<b>4.0</b>
CRAMER ROSENTHAL/SCOTT	012	AEP	B	1,700	26.62	n/a	n/a	68.00	4.0
EPOCH INV MGMT	030	AET	B	1,700	22.58	n/a	n/a	68.00	4.0
EPOCH INV MGMT	030	AMP	B	1,700	25.49	n/a	n/a	68.00	4.0
CRAMER ROSENTHAL/SCOTT	012	AOC	B	1,300	36.50	n/a	n/a	52.00	4.0
CRAMER ROSENTHAL/SCOTT	012	APD	B	800	67.42	n/a	22-Apr	32.00	4.0
CRAMER ROSENTHAL/SCOTT	012	APH	B	1,000	34.94	n/a	n/a	40.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>30,000</b>	<b>34.88</b>	<b>n/a</b>	<b>4-May</b>	<b>1,200.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	ATK	B	700	81.68	n/a	n/a	28.00	4.0
CRAMER ROSENTHAL/SCOTT	012	AVT	B	2,100	22.94	n/a	n/a	84.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	BA	B	1,050	41.72	n/a	n/a	42.00	4.0
CRAMER ROSENTHAL/SCOTT	012	BCR	B	1,100	72.39	n/a	22-Apr	44.00	4.0
EPOCH INV MGMT	030	BEN	B	750	61.46	7-Apr	4-May	30.00	4.0
CRAMER ROSENTHAL/SCOTT	012	BHI	B	800	38.07	n/a	n/a	32.00	4.0
WAGONHOUND/NIC	048	BIDU	S	162	246.23	n/a	n/a	6.48	4.0
M&I FUNDS	256	BJ	S	63,905	33.34	n/a	27-Jul	2,556.20	4.0
MERRILL ASSET	032	BKC	B	87,500	17.97	16-Apr	29-Apr	3,937.50	4.5
CRAMER ROSENTHAL/SCOTT	012	BK	B	2,300	26.87	22-Apr	24-Apr	92.00	4.0
EPOCH INV MGMT	030	BK	B	2,050	26.70	22-Apr	24-Apr	82.00	4.0
CRAMER ROSENTHAL/SCOTT	012	BMC	B	2,200	34.67	n/a	n/a	88.00	4.0
WAGONHOUND/NIC	048	BRCD	S	3,941	5.89	n/a	n/a	118.23	3.0
EPOCH INV MGMT	030	BSX	B	4,300	8.52	n/a	22-Apr	172.00	4.0
EPOCH INV MGMT	030	BTU	B	600	31.80	n/a	n/a	24.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWA</b>	<b>B</b>	<b>200,000</b>	<b>30.70</b>	<b>1-May</b>	<b>1-May</b>	<b>8,000.00</b>	<b>4.0</b>
PEQUOT CAPITAL MGMT	070	BWA	SS	13,600	31.41	1-May	1-May	544.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CAH	B	1,400	34.45	n/a	n/a	56.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	CMCSK	B	3,350	15.61	n/a	n/a	134.00	4.0
WAGONHOUND/NIC	048	CMI	B	1,549	34.12	n/a	4-Feb	61.96	4.0
ROTHSCHILD ASSET	040	CMP	S	6,070	50.75	n/a	n/a	273.15	4.5
SANDLER O'NEILL ASSET	031	COF	SS	50,000	20.03	n/a	29-Apr	2,500.00	5.0
TROUBH PART	067	COH	B	25,000	25.35	9-Jan	22-Apr	1,250.00	5.0
EPOCH INV MGMT	030	COP	B	1,200	43.66	n/a	n/a	48.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DAI</b>	<b>B</b>	<b>20,000</b>	<b>36.96</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PHILADELPHIA FINANCIAL	033	EVR	S	5,548	18.78	n/a	n/a	221.92	4.0
COOKBIELER	028	FDO	S	28,780	32.07	5-Mar	8-Apr	1,151.20	4.0
BMO NESBITT BURNS	041	FOR	B	5,000	12.33	12-Feb	20-Apr	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FO</b>	<b>B</b>	<b>130,000</b>	<b>42.73</b>	<b>n/a</b>	<b>n/a</b>	<b>5,200.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	GLD	B	22,500	89.04	n/a	n/a	900.00	4.0
PEQUOT CAPITAL MGMT	070	HAR	SS	10,000	21.05	12-Mar	1-May	400.00	4.0
KLEINHEINZ CAP PART	031	INFY	B	50,000	32.11	n/a	n/a	2,500.00	5.0
STG INVESTORS	041	INTC	B	30,000	16.56	n/a	n/a	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	IP	SS	24,000	13.56	n/a	1-May	1,200.00	5.0
BALYASNY ASSET MGMT	044	JCG	B	25,000	19.36	n/a	30-Jan	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JCP	S	25,000	32.28	13-Apr	4-May	1,000.00	4.0
WAGONHOUND/NIC	048	JOYG	B	879	30.04	26-Jan	5-Mar	35.16	4.0
Õ Steven Maguire		KEG	S	18000	4.9300	14-Jan	3-Apr	0.00	0.0
WAGONHOUND/NIC	048	KMT	B	2,490	21.36	n/a	27-Apr	99.60	4.0
AELTUS/ING INVESTMENT MGT	215	K	B	80,000	43.82	n/a	n/a	2,800.02	3.5
JETSTREAM GLOBAL FUND LP	065	LPX	B	55,200	4.39	3-Mar	20-Apr	2,208.00	4.0
SYSTEMATIC FINANCIAL MGT	035	MHP	B	30,650	30.45	n/a	n/a	1,072.76	3.5
BUCK CAPITAL MGMT	001	MW	B	30,000	19.24	n/a	n/a	1,200.00	4.0
TROUBH PART	067	M	B	15,000	14.65	n/a	4-May	750.00	5.0
GRISANTI BROWN & PARTNER	048	NAV	B	50,000	42.00	n/a	n/a	2,500.00	5.0
SOROS	036	NRG	S	37,540	19.50	n/a	n/a	1,501.60	4.0
STG INVESTORS	041	NVDA	B	50,000	12.16	n/a	n/a	1,500.00	3.0
HIGHBRIDGE/MS OLDS	041	OMC	B	88,000	31.94	n/a	n/a	4,400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ORLY	B	25,000	38.46	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	PAG	B	2,500	13.73	n/a	23-Apr	125.00	5.0
SCOPUS FUND	041	PAG	S	105,325	13.47	n/a	23-Apr	5,266.25	5.0
BALYASNY ASSET MGMT	044	PBY	B	25,000	7.04	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	PCL	S	3,000	35.25	n/a	29-Apr	150.00	5.0
PNC/MERCANTILE	028	PM	S	20,891	37.79	n/a	n/a	835.64	4.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.48	n/a	n/a	1,720.00	4.0
WOOSTER CAPITAL	035	RL	B	35,000	52.91	n/a	16-Apr	1,750.00	5.0
BMO NESBITT BURNS	041	RYN	S	2,000	39.36	n/a	1-May	100.00	5.0
DAVIDSON KEMPNER ADVISOR	040	SLM	SS	50,000	5.58	23-Apr	29-Apr	2,500.00	5.0
WAGONHOUND/NIC	048	SNDA	S	182	52.40	n/a	n/a	7.28	4.0
WAGONHOUND/NIC	048	SPIL	S	2,685	8.11	n/a	n/a	80.55	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SSI</b>	<b>SS</b>	<b>10,000</b>	<b>12.19</b>	<b>n/a</b>	<b>4-May</b>	<b>400.00</b>	<b>4.0</b>
WAGONHOUND/NIC	048	TEX	B	26,521	15.30	13-Feb	28-Apr	1,060.84	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>B</b>	<b>20,000</b>	<b>29.03</b>	<b>4-May</b>	<b>4-May</b>	<b>800.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	USB	S	25,000	18.82	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	VAL	S	20,000	24.01	n/a	n/a	1,000.00	5.0
PZENA INV ADV	044	VLO	B	25,800	21.57	n/a	n/a	903.02	3.5
DAVIDSON KEMPNER ADVISOR	040	VMC	SS	23,800	50.50	n/a	n/a	1,190.00	5.0
CASEY CAPITAL	067	WEN	B	50,000	5.02	n/a	24-Apr	2,500.00	5.0
PERSHING SQUARE	029	WEN	S	358,503	4.98	n/a	24-Apr	14,340.12	4.0
HUNTER GLOBAL INVESTOR	067	WFC	SS	300,000	22.27	n/a	n/a	15,000.00	5.0
THIRD COAST CAPITAL	035	WMT	S	6,000	50.45	n/a	9-Apr	300.00	5.0
WEINTRAUB CAPITAL MGT.	040	WRC	B	15,600	29.72	20-Apr	20-Apr	624.00	4.0
BUCK CAPITAL MGMT	001	WSM	B	50,000	13.67	n/a	n/a	2,000.00	4.0
Steven Maguire		XRT	S	7500	28.3700	n/a	n/a	0.00	0.0
<b>TOTAL (Trade Date):</b>								<b>114,186.48</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/01	G WEISS /SASHA (WESSDBDMG)	070	BEN	B	10,600	60.81	7-Apr	4-May	424.00 4.0
AO,	05/01	G WEISS /SASHA (WESSUBSSAS)	070	BEN	B	2,800	60.81	7-Apr	4-May	112.00 4.0
AO,	05/01	G WEISS /SASHA (WESSUBSSAS)	070	BEN	B	11,600	60.81	7-Apr	4-May	464.00 4.0
CRT	05/04	SANDLER O'NEILL ASSET (SANOJPMBS)	031	COF	SS	50,000	20.03	n/a	29-Apr	2500.00 5.0
AO,	05/01	PEQUOT CAPITAL MGMT (PEQUMSPB)	070	HAR	SS	10,700	19.39	12-Mar	1-May	428.00 4.0
AO,CXL	05/01	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	QCOR	S	43,000	4.49	n/a	n/a	2150.00 5.0
AO,CRT	05/01	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	QCOR	S	43,000	4.49	n/a	n/a	1720.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,498.00</b>

TOTAL (Trade Date) :	114,186.48
TOTAL (AO, CXL, CRT) :	3,498.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>117,684.48</b>
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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