



Daily Compliance Activity Report

Trade Date: 04/16/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	AEO	S	30,000	13.88	8-Apr	13-Apr	1,500.00	5.0
NEWCASTLE FUNDS	033	ANN	SS	18,200	7.00	n/a	30-Jan	728.00	4.0
BUCK CAPITAL MGMT	001	BBY	B	10,000	37.71	n/a	27-Jul	400.00	4.0
WINSLOW CAPITAL	030	BLK	B	8,300	133.58	4-Mar	7-Apr	332.00	4.0
RAINIER INV MGMT	035	BYI	S	126,600	23.09	n/a	n/a	5,064.00	4.0
NEWCASTLE FUNDS	033	CAKE	SS	50,000	14.76	n/a	13-Apr	2,000.00	4.0
BUCK CAPITAL MGMT	001	COH	B	50,000	18.67	9-Jan	3-Apr	2,000.00	4.0
REICH AND TANG	067	CRR	B	5,000	31.37	5-Feb	15-Apr	250.00	5.0
TROUBH PART	067	DELL	S	50,000	10.76	n/a	n/a	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	DKS	S	50,000	17.76	24-Mar	24-Mar	2,500.00	5.0
TOKIO MARINE ASSET MGMT	045	ESRX	S	10,500	59.28	n/a	n/a	420.00	4.0
SYSTEMATIC FINANCIAL MGT	035	FDP	S	64,000	18.13	n/a	n/a	2,240.00	3.5
TRUST CO OF THE WEST/NY	040	FITB	S	76,025	4.52	n/a	n/a	3,041.00	4.0
TRUST CO/COWEN/CALF.	040	FITB	S	50,470	4.52	n/a	n/a	2,018.80	4.0
BUCK CAPITAL MGMT	001	GCO	B	50,000	21.09	n/a	10-Jan	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOKIO MARINE ASSET MGMT	045	GENZ	S	11,200	55.50	n/a	n/a	448.00	4.0
FARALLON CAP MGMT	040	GE	B	200,000	11.97	n/a	n/a	8,000.00	4.0
TOKIO MARINE ASSET MGMT	045	GILD	S	14,000	44.85	n/a	n/a	560.00	4.0
CRAMER ROSENTHAL/SCOTT	012	HAR	S	37,800	17.24	12-Mar	12-Mar	1,512.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	118,600	12.62	n/a	n/a	4,744.00	4.0
NEUBERGER BERMAN	036	HCN	S	12,700	33.09	n/a	n/a	571.50	4.5
CSFB GLOBAL PROPRIETARY	041	IP	SS	50,000	8.44	n/a	8-Apr	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	IP	SS	30,000	8.85	n/a	8-Apr	900.00	3.0
MORRISON/TLB/BAYPOINT	040	IP	SS	5,000	8.67	n/a	8-Apr	200.00	4.0
MISSION GLOBAL LLC	041	IR	S	10,000	17.10	n/a	n/a	400.00	4.0
SOUTH POINT CAP	067	IYH	SS	16,600	49.55	n/a	n/a	830.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	10,000	35.31	n/a	n/a	500.00	5.0
AVESTA CAP	229	MLM	B	10,000	91.69	n/a	n/a	400.00	4.0
STADIA CAPITAL	035	MSFT	S	13,800	19.44	n/a	3-Apr	552.00	4.0
ELM RIDGE ADVISORS	044	MU	S	74,600	5.03	n/a	n/a	2,238.00	3.0
DARUMA ASSET MGMT INC	034	NP	S	10,900	3.85	13-Mar	13-Mar	545.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REICH AND TANG	067	NX	S	8,200	10.19	n/a	n/a	410.00	5.0
BUCK CAPITAL MGMT	001	OMX	B	100,000	5.39	n/a	15-Apr	3,000.00	3.0
TRELLUS PARTNERS LP	028	PCAR	SS	10,000	31.62	25-Mar	25-Mar	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	10,000	13.32	8-Apr	8-Apr	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PKI	B	20,000	13.97	n/a	n/a	600.00	3.0
TOKIO MARINE ASSET MGMT	045	PNC	S	42,500	38.39	n/a	n/a	1,700.00	4.0
NEUBERGER BERMAN	036	PSA	S	13,700	61.79	n/a	n/a	616.50	4.5
JP MORGAN VENTURES	046	PVH	B	15,000	25.55	27-Mar	27-Mar	750.00	5.0
REICH AND TANG	067	ROK	S	15,000	29.28	n/a	n/a	750.00	5.0
CADIAN CAPITAL	067	SHW	S	120,000	55.86	31-Mar	13-Apr	4,800.00	4.0
OMEGA ADVISORS	041	SLM	S	75,300	6.01	27-Feb	16-Apr	2,259.00	3.0
SOUTH POINT CAP	067	SPY	B	9,600	85.83	n/a	n/a	480.00	5.0
BUCK CAPITAL MGMT	001	SSI	SS	50,000	11.65	n/a	13-Apr	2,000.00	4.0
WINSLOW CAPITAL	030	SWN	B	20,300	31.15	27-Feb	3-Apr	812.00	4.0
REICH AND TANG	067	TBI	S	32,900	9.35	n/a	n/a	658.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	067	TIN	S	209,773	6.93	5-Dec	8-Apr	6,293.19	3.0
DIAMONDBACK CAP MGMT	232	TJX	C	25,000	27.61	n/a	13-Apr	1,250.00	5.0
MISSION GLOBAL LLC	041	TYC	B	25,000	21.02	n/a	3-Feb	1,000.00	4.0
MISSION GLOBAL LLC	041	TYC	S	20,000	21.30	n/a	3-Feb	800.00	4.0
NEUBERGER BERMAN	036	UDR	S	22,100	9.35	n/a	n/a	994.50	4.5
CANTILLON CAPITAL	040	WSH	B	101,000	23.26	n/a	n/a	5,050.00	5.0
TOTAL (Trade Date):								87,117.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT20229)	215	NDAQ	S	130	19.33	n/a	n/a	4.55 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT31671)	215	NDAQ	S	177	19.33	n/a	n/a	6.20 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT31672)	215	NDAQ	S	328	19.33	n/a	n/a	11.48 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTLUXUSG)	215	NDAQ	S	3,128	19.33	n/a	n/a	109.48 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTALLIED)	215	NDAQ	S	470	19.33	n/a	n/a	16.45 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTSEPCO0)	215	NDAQ	S	17,701	19.33	n/a	n/a	619.54 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTIIMHEB)	215	NDAQ	S	806	19.33	n/a	n/a	28.21 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTAIMPRO)	215	NDAQ	S	737	19.33	n/a	n/a	25.80 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTAIMSCH)	215	NDAQ	S	461	19.33	n/a	n/a	16.14 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	215	NDAQ	S	48,915	19.33	n/a	n/a	1712.03 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	215	NDAQ	S	22,073	19.33	n/a	n/a	772.56 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT31622)	215	NDAQ	S	344	19.33	n/a	n/a	12.04 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT31623)	215	NDAQ	S	327	19.33	n/a	n/a	11.45 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT31621)	215	NDAQ	S	141	19.33	n/a	n/a	4.94 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTINGFRR)	215	NDAQ	S	22,732	19.33	n/a	n/a	795.62 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTINGGPR)	215	NDAQ	S	8,668	19.33	n/a	n/a	303.38 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTIIMANE)	215	NDAQ	S	5,061	19.33	n/a	n/a	177.14 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTSEP819)	215	NDAQ	S	2,294	19.33	n/a	n/a	80.29 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTSEP583)	215	NDAQ	S	1,334	19.33	n/a	n/a	46.69 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELTSEP466)	215	NDAQ	S	941	19.33	n/a	n/a	32.94 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT695342)	215	NDAQ	S	99	19.33	n/a	n/a	3.47 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT25613)	215	NDAQ	S	65	19.33	n/a	n/a	2.28 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT35613)	215	NDAQ	S	220	19.33	n/a	n/a	7.70 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT15613)	215	NDAQ	S	66	19.33	n/a	n/a	2.31 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT240175)	215	NDAQ	S	282	19.33	n/a	n/a	9.87 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT42613)	215	NDAQ	S	183	19.33	n/a	n/a	6.41 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT94613)	215	NDAQ	S	65	19.33	n/a	n/a	2.28 3.5

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AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT84613T)	215	NDAQ	S	66	19.33	n/a	n/a	2.31 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT87370)	215	NDAQ	S	50	19.33	n/a	n/a	1.75 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT317821)	215	NDAQ	S	186	19.33	n/a	n/a	6.51 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT46736)	215	NDAQ	S	147	19.33	n/a	n/a	5.15 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT97305)	215	NDAQ	S	45	19.33	n/a	n/a	1.58 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT30070)	215	NDAQ	S	262	19.33	n/a	n/a	9.17 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT28461)	215	NDAQ	S	49	19.33	n/a	n/a	1.72 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT23427)	215	NDAQ	S	103	19.33	n/a	n/a	3.61 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT40040)	215	NDAQ	S	107	19.33	n/a	n/a	3.75 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT364701)	215	NDAQ	S	165	19.33	n/a	n/a	5.78 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT45196)	215	NDAQ	S	191	19.33	n/a	n/a	6.69 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT22843)	215	NDAQ	S	97	19.33	n/a	n/a	3.40 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT47074)	215	NDAQ	S	103	19.33	n/a	n/a	3.61 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT49043)	215	NDAQ	S	137	19.33	n/a	n/a	4.80 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT203689)	215	NDAQ	S	241	19.33	n/a	n/a	8.44 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT50994)	215	NDAQ	S	58	19.33	n/a	n/a	2.03 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT56007)	215	NDAQ	S	189	19.33	n/a	n/a	6.62 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT60400)	215	NDAQ	S	145	19.33	n/a	n/a	5.08 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT12524)	215	NDAQ	S	65	19.33	n/a	n/a	2.28 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT20031)	215	NDAQ	S	54	19.33	n/a	n/a	1.89 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT62474)	215	NDAQ	S	99	19.33	n/a	n/a	3.47 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT77904)	215	NDAQ	S	164	19.33	n/a	n/a	5.74 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT82764)	215	NDAQ	S	56	19.33	n/a	n/a	1.96 3.5
AO,	04/15	AELTUS/ING INVESTMENT MGT (AELT97715)	215	NDAQ	S	230	19.33	n/a	n/a	8.05 3.5
AO,	04/15	REINHART & MAHONEY (REINSETLSM)	031	NRIM	S	435	9.80	n/a	n/a	21.75 5.0
AO,	04/15	REINHART & MAHONEY (REINNGLSM)	031	NRIM	S	1,425	9.80	n/a	n/a	71.25 5.0
AO,	04/15	REINHART & MAHONEY (REINHENGJT)	031	NRIM	S	819	9.80	n/a	n/a	40.95 5.0
AO,	04/15	REINHART & MAHONEY (REINKNTJSM)	031	NRIM	S	1,567	9.80	n/a	n/a	78.35 5.0
AO,	04/15	REINHART & MAHONEY (REINCS64SC)	031	NRIM	S	1,852	9.80	n/a	n/a	92.60 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									5,231.54
TOTAL (Trade Date) :									87,117.49
TOTAL (AO, CXL, CRT) :									5,231.54
TOTAL (RUN DATE) / NFS :									92,349.03

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