



## Daily Compliance Activity Report

Trade Date: 04/22/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWCASTLE FUNDS	033	AEO	B	50,000	15.73	20-Apr	20-Apr	2,000.00	4.0
COUGAR TRADING	044	ALV	B	5,000	24.00	12-Mar	22-Apr	250.00	5.0
DSG CAPITAL	225	ALV	SS	20,000	23.36	12-Mar	22-Apr	1,000.00	5.0
SCOPUS FUND	041	ALV	B	25,000	24.29	12-Mar	22-Apr	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	AME	B	60,000	32.68	n/a	n/a	3,000.00	5.0
HUNTER GLOBAL INVESTOR	067	ARG	B	6,300	39.62	23-Mar	23-Mar	315.00	5.0
HOLDEN CAPITAL MGMT	035	AUO	B	50,000	10.59	n/a	n/a	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	AVB	B	8,900	56.46	n/a	n/a	445.00	5.0
AVESTA CAP	229	BBY	S	25,000	40.79	n/a	27-Jul	1,000.00	4.0
BALYASNY ASSET MGMT	044	BIG	C	30,000	26.89	4-Mar	6-Apr	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>B</b>	<b>20,000</b>	<b>26.44</b>	<b>4-Mar</b>	<b>6-Apr</b>	<b>800.00</b>	<b>4.0</b>
BRENCOURT	028	BWA	SS	50,000	26.09	12-Mar	20-Apr	2,500.00	5.0
COUGAR TRADING	044	BWA	B	5,000	25.59	12-Mar	20-Apr	250.00	5.0
CATAPULT	040	CAT	S	60,698	32.74	n/a	22-Apr	3,034.90	5.0
COLUMBIA PARTNERS	028	CHS	C	50,000	7.86	5-Dec	30-Jan	1,500.00	3.0
TROUBH PART	067	COH	B	600	22.05	9-Jan	22-Apr	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MIFD	256	COH	B	51,258	21.27	9-Jan	22-Apr	2,050.32	4.0
SIGMA CAPITAL ASSOCIATES	041	COST	B	75,000	46.54	n/a	27-Jul	3,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>50,000</b>	<b>22.13</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
STELLIAM INV ADV	040	DAL	S	50,000	7.91	n/a	n/a	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	DDR	B	100,000	3.05	n/a	n/a	2,000.00	2.0
JP MORGAN VENTURES	046	DKS	B	50,000	19.88	24-Mar	24-Mar	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	DLR	B	6,900	36.06	n/a	n/a	345.00	5.0
PHILADELPHIA FINANCIAL	033	EVR	S	6,300	16.52	n/a	n/a	252.00	4.0
HUNTER GLOBAL INVESTOR	067	FDO	B	125,000	33.89	5-Mar	8-Apr	6,250.00	5.0
SCOPUS FUND	041	FDO	SS	30,000	34.11	5-Mar	8-Apr	1,500.00	5.0
VENTANA CAPITAL	060	FDO	S	7,500	33.40	5-Mar	8-Apr	225.00	3.0
<b>&amp;LBACENTRP</b>	<b>AC*</b>	<b>FDRXX</b>	<b>S</b>	<b>10,323</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HUNTER GLOBAL INVESTOR	067	FDS	B	5,100	49.40	n/a	n/a	255.00	5.0
BALYASNY ASSET MGMT	044	FOSL	S	20,000	19.08	23-Jan	30-Jan	1,000.00	5.0
NOMURA CAPITAL	045	F	B	1	4.32	n/a	20-Apr	0.00	0.0
1798 CAPITAL MGMT	040	GES	B	10,000	25.19	n/a	n/a	500.00	5.0
COUGAR TRADING	044	GNTX	B	10,000	12.56	30-Jan	20-Apr	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	GWW	B	25,200	79.94	n/a	14-Apr	1,260.00	5.0
THOMSON HORSTMAN BRYANT	040	GYMB	S	15,000	32.91	9-Apr	13-Apr	750.00	5.0
WAGONHOUND/NIC	048	HSC	B	11,325	27.01	29-Jan	16-Apr	453.00	4.0
MILLENIUUM PARTNERS	028	IP	B	20,000	9.00	n/a	20-Apr	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	IR	S	243,500	19.55	n/a	n/a	9,740.00	4.0
MILLENIUUM PARTNERS	028	IR	S	25,000	18.04	n/a	n/a	1,250.00	5.0
TROUBH PART	067	IR	SS	30,000	19.81	n/a	n/a	1,500.00	5.0
WAGONHOUND/NIC	048	JCI	B	5,655	17.90	22-Apr	22-Apr	226.20	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>50,000</b>	<b>27.99</b>	<b>13-Apr</b>	<b>13-Apr</b>	<b>2,000.00</b>	<b>4.0</b>
HUNTER GLOBAL INVESTOR	067	LHO	B	28,100	9.11	n/a	n/a	983.50	3.5
HUNTER GLOBAL INVESTOR	067	LMT	B	13,200	75.88	n/a	n/a	660.00	5.0
DAWSON SANBERG & CO	041	LOW	B	322,400	21.44	31-Mar	31-Mar	16,120.00	5.0
HUNTER GLOBAL INVESTOR	067	LRY	B	10,700	23.62	n/a	n/a	535.00	5.0
GLOBAL 56 LLC	060	LYV	B	2,500	4.12	n/a	n/a	100.00	4.0
SUFFOLK CAPITAL MGMT	040	MCD	B	107,000	54.95	n/a	22-Apr	4,280.00	4.0
BRENCOURT	028	MGA	SS	50,000	36.08	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	MGA	SS	5,000	36.06	n/a	n/a	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	MHP	B	44,700	28.23	n/a	n/a	1,564.50	3.5
DALTON GREINER	012	MLI	S	15,485	22.98	n/a	22-Apr	774.25	5.0
NEWCASTLE FUNDS	033	MMM	C	28,200	53.86	n/a	17-Mar	1,128.00	4.0
HUNTER GLOBAL INVESTOR	067	MT	B	35,000	27.04	n/a	n/a	1,750.00	5.0
CATAPULT	040	MWV	B	25,000	14.45	28-Jan	20-Apr	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>9,523</b>	<b>12.96</b>	<b>n/a</b>	<b>13-Apr</b>	<b>380.92</b>	<b>4.0</b>
STADIA CAPITAL	035	M	B	25,000	12.96	n/a	13-Apr	1,000.00	4.0
JMP ASSET MGMT	210	NFLX	S	3,200	48.80	n/a	n/a	160.00	5.0
CUMBERLAND	038	NSC	SS	50,000	36.07	n/a	n/a	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	NVLS	B	150,000	18.24	n/a	n/a	7,500.00	5.0
HUNTER GLOBAL INVESTOR	067	OFC	B	8,600	28.60	n/a	n/a	430.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OMX</b>	<b>B</b>	<b>100,000</b>	<b>6.18</b>	<b>n/a</b>	<b>15-Apr</b>	<b>3,000.00</b>	<b>3.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PAG</b>	<b>B</b>	<b>50,000</b>	<b>11.75</b>	<b>n/a</b>	<b>20-Apr</b>	<b>2,000.00</b>	<b>4.0</b>
SCOPUS FUND	041	PAG	B	10,000	11.71	n/a	20-Apr	500.00	5.0
TRELLUS PARTNERS LP	028	PCAR	SS	5,000	33.82	25-Mar	25-Mar	250.00	5.0
HUNTER GLOBAL INVESTOR	067	PCP	B	3,700	67.39	n/a	n/a	185.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	PDS	B	15,000	4.49	n/a	n/a	300.00	2.0
MILLRACE FUND LP	028	PFCB	SS	10,000	33.54	17-Apr	22-Apr	400.00	4.0
RAMIUS CAP	040	PFCB	S	37,500	32.31	17-Apr	22-Apr	1,500.00	4.0
BMO NESBITT BURNS	041	PKG	SS	25,000	16.00	8-Apr	21-Apr	1,250.00	5.0
GALT INVESTMENT	041	PLCE	S	10,000	27.87	19-Mar	13-Apr	500.00	5.0
NEUBERGER BERMAN	036	PLD	S	69,000	7.43	n/a	n/a	2,070.00	3.0
CANTILLON CAPITAL	040	PM	S	90,000	36.78	n/a	n/a	3,600.00	4.0
HUNTER GLOBAL INVESTOR	067	PSA	B	4,000	62.33	n/a	n/a	200.00	5.0
FIRST NEW YORK LEDDY	035	Q	S	20,000	3.55	n/a	n/a	1,200.00	6.0
HUNTER GLOBAL INVESTOR	067	REG	B	6,800	37.31	n/a	n/a	340.00	5.0
NORTHPOINT	030	RFMD	B	14,360	2.81	n/a	n/a	430.80	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>50,000</b>	<b>53.29</b>	<b>n/a</b>	<b>16-Apr</b>	<b>2,000.00</b>	<b>4.0</b>
JMP ASSET MGMT	210	RSH	S	36,712	10.97	n/a	n/a	1,835.60	5.0
COUGAR TRADING	044	SBUX	B	10,000	12.18	20-Apr	20-Apr	500.00	5.0
SCOGGIN CAP	039	SGP	B	132,000	21.78	n/a	n/a	3,960.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>50,000</b>	<b>8.81</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,500.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STELLIAM INV ADV	040	SNDK	S	25,000	15.38	n/a	n/a	1,250.00	5.0
RDK CAPITAL MGMT	034	SPY	SS	20,000	84.18	n/a	n/a	800.00	4.0
TRELLUS PARTNERS LP	028	SUP	SS	5,000	14.92	27-Feb	27-Feb	250.00	5.0
ELM RIDGE ADVISORS	044	TIN	S	433,500	9.37	5-Dec	22-Apr	13,005.00	3.0
MILLENIUM PARTNERS	028	TIN	S	25,000	9.32	5-Dec	22-Apr	1,250.00	5.0
NWQ INVESTMENT MGMT CO	048	TIN	S	218,750	8.82	5-Dec	22-Apr	6,562.50	3.0
SLS CAPITAL LLC	224	TIN	B	50,000	9.48	5-Dec	22-Apr	1,500.00	3.0
WASHINGTON ASSET	048	TIN	S	8,000	9.29	5-Dec	22-Apr	400.00	5.0
LISTED ERR	099	TIN	B	75,000	9.18	5-Dec	22-Apr	0.00	0.0
LISTED ERR	099	TIN	S	75,000	8.82	5-Dec	22-Apr	0.00	0.0
CANTILLON CAPITAL	040	TMO	S	100,000	35.40	n/a	n/a	4,000.00	4.0
BALYASNY ASSET MGMT	044	TROW	C	10,000	37.16	n/a	22-Apr	500.00	5.0
GRUBER MACBAINE	033	TROW	SS	40,000	37.52	n/a	22-Apr	1,600.00	4.0
AELTUS/ING IVESTMENT MGT	215	TRV	B	29,900	41.25	n/a	n/a	1,046.50	3.5
COOPER CREEK PART	028	ULTA	B	5,800	8.53	n/a	n/a	174.00	3.0
HUNTER GLOBAL INVESTOR	067	VMC	B	9,900	50.14	n/a	n/a	495.00	5.0
CAXTON PART	040	WFC	B	69,699	19.24	n/a	n/a	2,439.51	3.5
NATIONAL BK OF CAN	031	WFC	B	100,000	19.97	n/a	n/a	4,000.00	4.0
NATIONAL BK OF CAN	031	WFC	SS	100,000	20.29	n/a	n/a	4,000.00	4.0
OSS CAPITAL/KEVIN DANN	067	WYN	S	250,000	8.54	n/a	n/a	7,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	XOM	SS	24,700	65.23	n/a	n/a	988.00	4.0
TROUBH PART	067	XTO	S	25,000	33.20	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	XTO	S	2,529	32.92	n/a	n/a	101.16	4.0
THIRD POINT MGMT	044	YHOO	B	250,000	15.02	n/a	n/a	10,000.00	4.0
HUNTER GLOBAL INVESTOR	067	YUM	B	100,000	32.37	n/a	22-Apr	5,000.00	5.0
<b>TOTAL (Trade Date):</b>								<b>204,180.66</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	04/21	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	EVR	B	5,100	14.50	n/a	n/a	255.00	5.0
CRT	04/22	COUGAR TRADING (COUGPB MS)	044	GNTX	B	10,000	12.56	30-Jan	20-Apr	500.00	5.0
AO,CXL	04/21	NOMURA CAPITAL (NOMUL3)	045	TWC	S	88	28.05	n/a	4-Jan	3.52	4.0
AO,	04/21	NOMURA CAPITAL (NOMUL3)	045	TWC	S	104	28.05	n/a	4-Jan	4.16	4.0
AO,CXL	04/21	NOMURA CAPITAL (NOMULASERS)	045	TWC	S	496	28.05	n/a	4-Jan	19.84	4.0
AO,	04/21	NOMURA CAPITAL (NOMULASERS)	045	TWC	S	891	28.05	n/a	4-Jan	35.64	4.0
AO,CXL	04/21	NOMURA CAPITAL (NOMUSTRATE)	045	TWC	S	135	28.05	n/a	4-Jan	5.40	4.0
AO,CXL	04/21	NOMURA CAPITAL (NOMUBATT2)	045	TWC	S	119	28.05	n/a	4-Jan	4.76	4.0
AO,CXL	04/21	NOMURA CAPITAL (NOMUBSMAN)	045	TWC	S	157	28.05	n/a	4-Jan	6.28	4.0
AO,CXL	04/17	CANTILLON CAPITAL (CANTSTATES)	040	WSH	B	12,100	23.78	n/a	n/a	605.00	5.0
AO,CRT	04/17	CANTILLON CAPITAL (CANTSTATES)	040	WSH	B	12,100	23.78	n/a	n/a	484.00	4.0
AO,CXL	04/17	CANTILLON CAPITAL (CANTVALLP)	040	WSH	B	14,200	23.78	n/a	n/a	710.00	5.0
AO,CRT	04/17	CANTILLON CAPITAL (CANTVALLP)	040	WSH	B	14,200	23.78	n/a	n/a	568.00	4.0
AO,CXL	04/17	CANTILLON CAPITAL (CANTESB)	040	WSH	B	15,400	23.78	n/a	n/a	770.00	5.0
AO,CRT	04/17	CANTILLON CAPITAL (CANTESB)	040	WSH	B	15,400	23.78	n/a	n/a	616.00	4.0
AO,CXL	04/17	CANTILLON CAPITAL (CANTVALUE)	040	WSH	B	47,100	23.78	n/a	n/a	2355.00	5.0
AO,CRT	04/17	CANTILLON CAPITAL (CANTVALUE)	040	WSH	B	47,100	23.78	n/a	n/a	1884.00	4.0

**TOTAL (AO, CXL, CRT) :****-133.00**

TOTAL (Trade Date):

204,180.66

TOTAL (AO, CXL, CRT):

-133.00



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TOTAL (RUN DATE) / NFS:

204,047.66

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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