



Daily Compliance Activity Report

Trade Date: 08/06/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	AEO	B	10,000	14.67	25-Jun	3-Aug	500.00	5.0
HOLLIS CAPITAL	033	AN	B	15,000	19.61	3-Aug	5-Aug	750.00	5.0
TRELLUS PARTNERS LP	028	AN	B	30,000	19.74	3-Aug	5-Aug	1,500.00	5.0
EATON VANCE MGMT	039	APA	B	60,684	86.43	31-Jul	3-Aug	1,820.52	3.0
COUGAR TRADING	044	ARO	B	5,000	36.06	n/a	3-Aug	250.00	5.0
SNYDER CAPITAL	038	ARP	B	75,000	9.76	n/a	n/a	3,000.00	4.0
COUGAR TRADING	044	AXL	S	30,000	3.63	n/a	6-Aug	900.00	3.0
L.R.BURTSCHY & CO	045	AXL	B	100,000	3.89	n/a	6-Aug	5,000.00	5.0
LAGRANGE CAP ADV	048	AXL	B	40,000	2.95	n/a	6-Aug	800.00	2.0
MORTAR ROCK	033	AXL	B	50,000	3.81	n/a	6-Aug	2,000.00	4.0
SLS CAPITAL LLC	224	AXL	B	369,100	3.19	n/a	6-Aug	9,227.50	2.5
TRELLUS PARTNERS LP	028	AXL	B	200,000	3.24	n/a	6-Aug	6,000.00	3.0
TROUBH PART	067	AXL	B	25,000	3.05	n/a	6-Aug	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	BA	C	40,000	45.58	n/a	n/a	2,000.00	5.0
COUGAR TRADING	044	BWA	S	5,000	32.88	3-Aug	5-Aug	250.00	5.0
MATRIX ASSET ADV.	036	CMCSK	S	3,000	14.52	n/a	n/a	90.00	3.0
CAPITAL GROWTH MGMT.	241	CMI	B	100,000	45.73	n/a	6-May	5,000.00	5.0
DECADE CAPITAL PARTNERS	040	CPB	SS	53,000	30.72	n/a	n/a	2,120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	C	S	100,000	3.75	n/a	20-Jul	2,000.00	2.0
DIAMONDBACK CAP MGMT	232	DOW	S	30,000	22.79	n/a	30-Jul	1,500.00	5.0
EGS ASSOCIATES LP	091	DRI	B	5,000	32.50	19-Mar	15-Jul	300.00	6.0
COUGAR TRADING	044	EL	B	5,000	36.08	5-May	5-May	250.00	5.0
SNYDER CAPITAL	038	ESI	B	19,500	101.91	n/a	n/a	780.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.43	n/a	n/a	600.00	6.0
DALTON GREINER	012	FII	B	108,300	26.37	3-Aug	4-Aug	5,415.00	5.0
EPOCH INV MGMT	030	FII	B	134,850	26.44	3-Aug	4-Aug	4,045.50	3.0
DSG CAPITAL	225	F	B	5,000	8.24	3-Aug	5-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	20,000	16.93	25-Jun	25-Jun	800.00	4.0
DSG CAPITAL	225	GLW	S	27,000	16.71	27-Jul	27-Jul	810.00	3.0
THE JAY GOLDMAN	034	GPS	B	20,000	17.73	n/a	30-Jan	800.00	4.0
NOMURA CAPITAL	045	GRA	S	100	17.58	n/a	n/a	5.00	5.0
BNP PARIBAS SEC	040	IP	S	20,000	19.39	30-Jul	30-Jul	800.00	4.0
RBC CAPITAL MARKETS	040	IP	B	25,000	19.59	30-Jul	30-Jul	1,000.00	4.0
CATAPULT	040	IVZ	B	20,000	20.02	6-Aug	6-Aug	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	JCP	B	16,000	31.64	13-Apr	3-Aug	800.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JNY	SS	25,000	14.24	n/a	30-Jul	1,000.00	4.0
EATON VANCE MGMT	039	JPM	S	39,888	41.18	n/a	20-Jul	1,196.64	3.0
COUGAR TRADING	044	JWN	S	15,000	28.41	n/a	3-Aug	750.00	5.0
MILLENIUM PARTNERS	028	LOW	B	91,500	22.74	12-May	18-May	3,660.00	4.0
CATAPULT	040	MDU	SS	25,000	20.45	n/a	n/a	1,250.00	5.0
HOLLIS CAPITAL	033	M	SS	10,000	14.98	n/a	3-Aug	500.00	5.0
JP MORGAN VENTURES	046	M	B	40,000	15.06	n/a	3-Aug	2,000.00	5.0
DECADE CAPITAL PARTNERS	040	PEP	B	24,200	57.90	n/a	n/a	968.00	4.0
COUGAR TRADING	044	PVH	S	14,817	34.60	28-Jul	28-Jul	740.85	5.0
CATAPULT	040	PWR	SS	23,000	23.29	n/a	n/a	1,150.00	5.0
NOMURA CAPITAL	045	RRD	B	800	14.33	n/a	n/a	40.00	5.0
JP MORGAN VENTURES	046	RX	B	40,000	12.45	n/a	n/a	2,000.00	5.0
ARAGON GLOBAL	041	SLG	B	5,352	31.28	n/a	n/a	267.60	5.0
CUMBERLAND	038	SPY	B	10,000	99.63	n/a	n/a	300.00	3.0
BALYASNY ASSET MGMT	044	SUP	B	15,000	15.73	10-Jun	10-Jun	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	SUP	B	8,100	15.79	10-Jun	10-Jun	405.00	5.0
KACELA CAPITAL	034	TGT	B	16,000	41.72	6-Aug	6-Aug	640.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	30,000	35.41	28-Jul	3-Aug	1,200.00	4.0
CATAPULT	040	TROW	S	20,000	47.34	n/a	4-Aug	1,000.00	5.0
LISTED ERR	099	TROW	B	10,000	47.37	n/a	4-Aug	0.00	0.0
LISTED ERR	099	TROW	SS	10,000	47.37	n/a	4-Aug	0.00	0.0
MATRIX ASSET ADV.	036	TYC	S	4,000	30.74	30-Jul	30-Jul	160.00	4.0
ARAGON GLOBAL	041	VNO	B	2,942	57.15	n/a	n/a	147.10	5.0
TYEE/TYGH	035	WDR	B	50,000	27.62	29-Jul	6-Aug	2,000.00	4.0
TOTAL (Trade Date):								85,738.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/05	NOMURA CAPITAL (NOMUNOMIR)	045	C	S	3,725	3.60	n/a	20-Jul	74.50 2.0
AO,	08/05	NOMURA CAPITAL (NOMUL3)	045	C	S	5,325	3.60	n/a	20-Jul	106.50 2.0
AO,	08/05	NOMURA CAPITAL (NOMUEB6J)	045	C	S	21,500	3.60	n/a	20-Jul	430.00 2.0
AO,	08/05	NOMURA CAPITAL (NOMUAYCB)	045	C	S	100,400	3.60	n/a	20-Jul	2008.00 2.0
AO,	08/05	NOMURA CAPITAL (NOMUMCERS)	045	C	S	7,900	3.60	n/a	20-Jul	158.00 2.0
AO,	08/05	NOMURA CAPITAL (NOMU7MS7)	045	C	S	61,150	3.60	n/a	20-Jul	1223.00 2.0
AO,	08/05	HEALTHCOR MGMT (HLTHFIDPB)	038	CBE	C	100,000	35.15	n/a	27-Jul	5000.00 5.0
AO,CRT	08/05	CONIFER/ISF (CONIISFRIP)	025	EBAY	S	3,500	21.45	n/a	n/a	140.00 4.0
AO,CXL	08/05	WILLOW CREEK (WILLMAIN4C)	033	EBAY	S	3,500	21.45	n/a	n/a	140.00 4.0
AO,	08/05	NOMURA CAPITAL (NOMUSTRATE)	045	FCN	B	500	47.75	n/a	n/a	25.00 5.0
AO,	08/05	NOMURA CAPITAL (NOMUBSMAN)	045	FCN	B	500	47.75	n/a	n/a	25.00 5.0
AO,	08/05	NOMURA CAPITAL (NOMUBATT2)	045	GPI	S	600	31.34	n/a	29-Jul	30.00 5.0
AO,	08/05	NOMURA CAPITAL (NOMUBSMAN)	045	GPI	S	100	31.34	n/a	29-Jul	5.00 5.0
AO,	08/05	NOMURA CAPITAL (NOMUBATT2)	045	GRA	S	700	17.59	n/a	n/a	35.00 5.0
AO,	08/05	NOMURA CAPITAL (NOMUBSMAN)	045	GRA	S	300	17.59	n/a	n/a	15.00 5.0
AO,	08/05	NOMURA CAPITAL (NOMUBATT2)	045	NRG	S	400	27.67	n/a	n/a	20.00 5.0
AO,	08/05	NOMURA CAPITAL (NOMUBSMAN)	045	NRG	S	300	27.67	n/a	n/a	15.00 5.0
AO,CXL	08/04	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	041	QQQQ	SS	50,000	40.07	n/a	n/a	2000.00 4.0
AO,CRT	08/04	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	041	QQQQ	SS	50,000	40.07	n/a	n/a	1500.00 3.0
AO,	08/05	NOMURA CAPITAL (NOMUSTRATE)	045	SMG	B	1,700	40.05	30-Jul	30-Jul	85.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/05	NOMURA CAPITAL (NOMUBSMAIN)	045	SMG	B	400	40.05	30-Jul	30-Jul	20.00 5.0
TOTAL (AO, CXL, CRT) :										8,775.00
TOTAL (Trade Date) :										85,738.71
TOTAL (AO, CXL, CRT) :										8,775.00
TOTAL (RUN DATE) / NFS :										94,513.71

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