



Daily Compliance Activity Report

Trade Date: 06/19/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	ADP	B	12,000	35.60	n/a	n/a	480.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	100,000	13.96	20-Apr	5-Jun	4,000.00	4.0
COUGAR TRADING	044	AEO	B	5,000	14.00	20-Apr	5-Jun	250.00	5.0
OVERLAND PARK CAP	041	AEO	B	21,500	13.95	20-Apr	5-Jun	1,075.00	5.0
WAGONHOUND/NIC	048	ALV	S	11,900	27.38	10-Jun	10-Jun	476.00	4.0
NEWCASTLE FUNDS	255	ANN	SS	20,000	7.48	n/a	30-Jan	800.00	4.0
TRELLUS PARTNERS LP	028	AN	B	100,000	17.03	10-Jun	10-Jun	5,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	70,000	35.17	n/a	5-Jun	2,800.00	4.0
NEUBERGER BERMAN	036	AXE	B	11,910	39.24	27-May	27-May	535.96	4.5
CIRCLE T/SES PART	035	AXL	B	50,000	3.34	n/a	10-Jun	1,500.00	3.0
TRELLUS PARTNERS LP	028	AXL	B	100,000	3.33	n/a	10-Jun	3,000.00	3.0
WAGONHOUND/NIC	048	AXL	B	19,455	3.38	n/a	10-Jun	583.65	3.0
BANK OF NEW YORK	046	BA	S	30,522	49.15	n/a	n/a	1,526.10	5.0
REINHART & MAHONEY	031	BBBB	B	2,800	29.03	n/a	n/a	140.00	5.0
HARVEST MGMT	039	BJ	SS	20,000	32.36	n/a	27-Jul	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	BWA	S	45,000	32.35	10-Jun	10-Jun	1,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BANK OF NEW YORK	046	CAH	B	9,940	31.79	n/a	n/a	497.00	5.0
Õ David Keidan		CIT	B	100000	2.6100	23-Apr	17-Jun	0.00	0.0
MISSION GLOBAL LLC	041	COP	B	15,000	43.46	n/a	n/a	600.00	4.0
AVESTA CAP	229	CVS	B	50,000	31.78	n/a	n/a	2,000.00	4.0
PRINCIPLE CAPITAL	040	DIS	B	94,500	23.69	n/a	n/a	2,835.00	3.0
HIGHBRIDGE CAPITAL	038	DY	B	3,437	11.06	n/a	n/a	137.48	4.0
UBS OCONNOR	031	GS	SS	50,000	142.99	11-May	19-Jun	1,500.00	3.0
SUN AMERICA ASSET MGMT	030	HNZ	B	30,000	37.01	n/a	n/a	1,200.00	4.0
NEWCASTLE FUNDS	255	HON	SS	18,800	32.83	n/a	24-Apr	752.00	4.0
BUCK CAPITAL MGMT	001	HOT	SS	50,000	22.74	n/a	n/a	2,000.00	4.0
GCOR	041	INTC	S	50,000	15.91	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	ISLE	B	32,000	12.43	n/a	26-Jan	1,440.00	4.5
GREEN ARROW CAPITAL	040	JAVA	B	100	9.22	n/a	n/a	2.00	2.0
THE JAY GOLDMAN	034	JCP	S	25,000	26.49	13-Apr	19-Jun	1,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	43.93	8-May	5-Jun	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	KSS	SS	20,000	43.72	8-May	5-Jun	800.00	4.0
THE JAY GOLDMAN	034	KSS	B	15,000	43.85	8-May	5-Jun	600.00	4.0
BANK OF NEW YORK	046	LOW	S	58,600	18.75	12-May	18-May	2,930.00	5.0
CADIAN CAPITAL	067	LULU	SS	25,000	13.83	n/a	n/a	750.00	3.0
BANK OF NEW YORK	046	MHS	B	33,190	47.18	n/a	n/a	1,659.50	5.0
MISSION GLOBAL LLC	041	MRO	S	20,000	31.20	n/a	n/a	800.00	4.0
NICOLAS APPLGATE	048	MSFT	S	200,000	24.12	n/a	3-Apr	8,000.00	4.0
SCOPUS FUND	041	M	B	50,000	11.05	n/a	5-Jun	2,500.00	5.0
SUN AMERICA ASSET MGMT	030	NNI	B	78,900	11.46	n/a	n/a	3,156.00	4.0
BUCK CAPITAL MGMT	001	OXM	SS	20,000	11.73	n/a	n/a	800.00	4.0
HIGHBRIDGE CAPITAL	038	PAYX	B	12,000	26.62	n/a	n/a	480.00	4.0
HARVEST MGMT	039	PLCE	B	20,000	27.29	19-Mar	5-Jun	1,000.00	5.0
KENNEDY CAPITAL	046	PSUN	B	53,154	3.00	6-Feb	6-Feb	1,063.08	2.0
BUCK CAPITAL MGMT	001	PVH	S	40,000	28.50	20-Apr	21-May	1,600.00	4.0
STADIA CAPITAL	035	QCOM	S	24,400	45.20	n/a	n/a	976.00	4.0
GREEN ARROW CAPITAL	040	RL	B	5,000	51.46	n/a	28-May	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE BOSTON COMPANY	039	RL	B	15,330	52.20	n/a	28-May	613.20	4.0
JMP ASSET MGMT	210	SKS	B	700	3.97	n/a	n/a	21.00	3.0
DC CAPITAL	044	SOA	S	50,000	5.83	n/a	n/a	1,500.00	3.0
SUN AMERICA ASSET MGMT	030	SOA	S	10,000	5.58	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	TJX	S	100,000	30.89	4-May	5-Jun	4,000.00	4.0
MISSION GLOBAL LLC	041	TLM	B	20,000	14.59	n/a	n/a	800.00	4.0
ARCHON CAPITAL	035	TRMB	B	49,000	20.14	n/a	n/a	1,470.00	3.0
CHARTER OAK	033	UFS	SS	50,000	16.75	n/a	n/a	2,500.00	5.0
M&I FUNDS	256	URBN	S	75,000	21.50	n/a	30-Jan	3,000.00	4.0
DIAMONDBACK CAP MGMT	232	UTX	SS	30,000	54.21	n/a	n/a	1,500.00	5.0
BANK OF NEW YORK	046	WMB	S	23,950	15.93	n/a	n/a	1,197.50	5.0
PRINCIPLE CAPITAL	040	WYNN	B	25,700	36.61	n/a	n/a	771.00	3.0
MISSION GLOBAL LLC	041	XEC	S	6,800	30.57	n/a	n/a	272.00	4.0
KACELA CAPITAL	034	YUM	B	15,000	34.80	n/a	11-Jun	600.00	4.0
TOTAL (Trade Date) :								87,839.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/18	JP MORGAN VENTURES (JPMVJPM)	046	PSUN	S	50,000	30.08	6-Feb	6-Feb	1500.00 3.0
AO,	06/18	JP MORGAN VENTURES (JPMVJPM)	046	PSUN	S	50,000	3.08	6-Feb	6-Feb	1500.00 3.0
AO,CXL	06/18	&SEN (&SENEGS)	028	TIN	B	31,100	12.12	5-Jun	5-Jun	1244.00 4.0
AO,CRT	06/18	SENATOR INVESTMENT GROUP (SENAGS)	036	TIN	B	31,100	12.12	5-Jun	5-Jun	1244.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	87,839.47
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	87,839.47
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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