



Daily Compliance Activity Report

Trade Date: 05/14/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	035	ADBE	S	9,200	25.54	n/a	n/a	368.00	4.0
LAGRANGE CAP ADV	048	AIQ	B	56,000	7.04	n/a	n/a	2,800.00	5.0
COOPER CREEK PART	028	ALV	SS	5,000	23.35	12-Mar	22-Apr	200.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	100,000	32.26	n/a	8-May	4,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	CCE	S	82,300	16.98	n/a	n/a	2,880.50	3.5
LOCUS WOOD CAPITAL MGMT	044	CRM	B	15,000	39.86	n/a	n/a	600.00	4.0
LOCUS WOOD CAPITAL MGMT	044	CSCO	B	25,000	18.19	n/a	22-Mar	1,000.00	4.0
PHILADELPHIA FINANCIAL	033	EV	SS	39,406	27.01	7-Apr	13-May	1,576.24	4.0
TRELLUS PARTNERS LP	028	FDO	SS	16,300	31.19	5-Mar	5-May	815.00	5.0
BUCK CAPITAL MGMT	001	FO	B	70,000	37.18	n/a	n/a	2,800.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	22.64	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	GES	B	30,000	22.63	n/a	n/a	1,200.00	4.0
SAB CAPITAL	034	GIL	B	500,000	13.28	11-Dec	14-May	20,000.00	4.0
SAC TRADING HOWARD	038	GIL	B	7,000	14.02	11-Dec	14-May	280.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	50,000	14.26	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRANITE CAPITAL	045	HELE	B	15,300	19.47	n/a	n/a	765.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	10,000	11.67	n/a	1-May	500.00	5.0
SCOPUS FUND	041	IP	B	10,000	12.14	n/a	1-May	500.00	5.0
SCOPUS FUND	041	IR	S	25,000	20.47	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	034	JWN	SS	25,000	20.34	20-Feb	8-May	1,000.00	4.0
GENERAL MOTORS INV CO	040	KIM	B	50,000	10.34	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	034	LOW	S	20,000	19.34	12-May	12-May	800.00	4.0
CADIAN CAPITAL	067	LULU	SS	50,000	12.16	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	MCD	S	5,000	53.47	n/a	8-May	250.00	5.0
ROSEDALE CAPITAL	046	MYL	B	20,000	12.86	n/a	14-May	1,000.00	5.0
S.A.C. HEALTHCARE BOBBY	044	MYL	B	25,000	13.08	n/a	14-May	1,000.00	4.0
THE JAY GOLDMAN	034	M	B	50,000	11.34	n/a	14-May	2,000.00	4.0
WASHINGTON ASSET	048	NSC	S	10,000	34.60	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	NWY	S	25,000	4.41	n/a	30-Jan	1,000.00	4.0
M&I FUNDS	256	OCR	S	6,750	27.41	30-Apr	30-Apr	270.00	4.0
LOCUS WOOD CAPITAL MGMT	044	ORCL	B	13,000	18.55	n/a	n/a	520.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PAG	B	20,000	11.43	n/a	6-May	800.00	4.0
COOPER CREEK PART	028	PAG	SS	10,000	10.81	n/a	6-May	400.00	4.0
SCOPUS FUND	041	PKG	B	5,300	15.37	8-Apr	21-Apr	265.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	9,600	32.39	19-Mar	8-May	384.00	4.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	86,500	4.04	n/a	n/a	3,460.00	4.0
LISTED ERR	099	SMG	S	32	34.30	5-Feb	29-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	B	70,000	27.40	4-May	8-May	2,800.00	4.0
AVESTA CAP	229	WMT	SS	50,000	49.04	11-May	14-May	2,000.00	4.0
SLS CAPITAL LLC	224	WMT	B	21,900	49.53	11-May	14-May	876.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	11,700	27.41	13-May	13-May	468.00	4.0
COUGAR TRADING	044	WRC	S	10,000	28.10	13-May	13-May	500.00	5.0
LISTED ERR	099	XRT	S	29,526	25.49	n/a	n/a	0.00	0.0
CUMBERLAND	038	YRCW	SS	67,661	3.28	n/a	n/a	2,706.44	4.0
TOTAL (Trade Date) :								71,334.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/13	JMP ASSET MGMT (JMPAGS)	210	DAR	S	12,000	6.40	n/a	n/a	600.00 5.0
AO,CRT	05/13	JMP ASSET MGMT (JMPAGS)	210	DAR	S	12,000	6.40	n/a	n/a	480.00 4.0
CRT	05/14	SAB CAPITAL (SABCGOLDMA)	034	GIL	B	120,000	13.28	11-Dec	14-May	4800.00 4.0
AO,	05/13	MANNING & NAPIER (MANNMU6000)	034	LM	B	167,000	17.96	5-May	11-May	5010.00 3.0
AO,	05/13	MANNING & NAPIER (MANNOMNIBU)	034	LM	B	46,400	17.96	5-May	11-May	1392.00 3.0
AO,	05/13	MANNING & NAPIER (MANNMU2030)	034	LM	B	14,870	17.96	5-May	11-May	446.10 3.0
AO,	05/13	MANNING & NAPIER (MANNMU2020)	034	LM	B	7,200	17.96	5-May	11-May	216.00 3.0
AO,	05/13	MANNING & NAPIER (MANNMU2000)	034	LM	B	14,640	17.96	5-May	11-May	439.20 3.0
AO,	05/13	MANNING & NAPIER (MANNMU1900)	034	LM	B	3,090	17.96	5-May	11-May	92.70 3.0
AO,	05/12	BRAHMAN CAPITAL (BRAHGOLDMA)	028	MTG	B	107,600	4.62	n/a	n/a	4304.00 4.0
AO,	05/12	BRAHMAN CAPITAL (BRAHBSPB)	028	MTG	B	42,400	4.62	n/a	n/a	1696.00 4.0
AO,CXL	05/13	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	QCOR	S	86,500	3.87	n/a	n/a	4325.00 5.0
AO,CRT	05/13	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	QCOR	S	86,500	3.87	n/a	n/a	3460.00 4.0
AO,CXL	05/13	MARINER/TRICADIA (MARITRICAD)	041	XRT	SS	50,000	25.54	n/a	n/a	2500.00 5.0
AO,CRT	05/13	MARINER/TRICADIA (MARITRICAD)	041	XRT	SS	50,000	25.54	n/a	n/a	1500.00 3.0
TOTAL (AO, CXL, CRT) :										16,411.00

TOTAL (Trade Date):	71,334.18
TOTAL (AO, CXL, CRT):	16,411.00

TOTAL (RUN DATE) / NFS:

87,745.18

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