



## Daily Compliance Activity Report

Trade Date: 06/02/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AAN</b>	<b>S</b>	<b>20,000</b>	<b>33.14</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
ROTHSCHILD ASSET	040	AAN	S	83,150	33.35	n/a	n/a	3,741.75	4.5
COUGAR TRADING	044	ANF	B	5,000	32.69	16-Apr	1-Jun	250.00	5.0
HARVEST MGMT	039	ANF	B	10,000	32.43	16-Apr	1-Jun	500.00	5.0
JMP ASSET MGMT	210	ARO	SS	4,400	36.03	n/a	1-Jun	220.00	5.0
MAIRS AND POWER INV	030	BAX	B	12,300	48.50	n/a	22-Apr	615.00	5.0
UBS OCONNOR	031	BEN	S	15,000	72.87	11-May	2-Jun	450.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>S</b>	<b>20,000</b>	<b>23.89</b>	<b>28-May</b>	<b>2-Jun</b>	<b>800.00</b>	<b>4.0</b>
ROTHSCHILD ASSET	040	BJ	B	6,930	35.57	n/a	27-Jul	311.85	4.5
JETSTREAM GLOBAL FUND LP	065	BKS	B	17,700	26.71	n/a	n/a	708.00	4.0
CUMBERLAND	038	BRCD	S	50,000	7.43	n/a	n/a	1,500.00	3.0
BNP PARIBAS SEC	040	BWA	SS	25,000	35.12	1-May	1-May	1,250.00	5.0
TROUBH PART	067	CAT	B	10,000	37.53	n/a	22-Apr	500.00	5.0
PRINCIPLE CAPITAL	040	CCL	B	67,700	26.70	n/a	26-Jan	2,031.00	3.0
COLUMBIA PARTNERS	028	CLR	B	46,559	32.33	n/a	n/a	1,862.36	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	CL	B	50,000	69.91	16-Mar	14-May	2,000.00	4.0
ROTHSCHILD ASSET	040	CMP	S	7,790	54.70	n/a	n/a	350.55	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>40,000</b>	<b>27.82</b>	<b>9-Jan</b>	<b>22-Apr</b>	<b>1,600.00</b>	<b>4.0</b>
KACELA CAPITAL	034	CVS	B	18,000	31.59	n/a	n/a	720.00	4.0
BNP PARIBAS SEC	040	DE	S	15,000	46.87	26-Jan	20-May	750.00	5.0
SCHOTTENFELD ASSOC	041	FDO	S	10,000	32.79	5-Mar	2-Jun	300.00	3.0
LATEFF MGMT	035	FDX	S	1,000	57.40	n/a	n/a	270.00	27.0
UBS OCONNOR	031	FII	B	75,000	26.43	24-Apr	2-Jun	2,250.00	3.0
COUGAR TRADING	044	F	S	25,000	6.03	n/a	1-Jun	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>20,000</b>	<b>28.28</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
SANDLER CAPITAL	038	GNK	B	75,000	27.42	n/a	n/a	4,500.00	6.0
JETSTREAM GLOBAL FUND LP	065	GOOG	S	7,000	428.22	n/a	n/a	280.00	4.0
TYEE/TYGH	035	IVZ	B	174,368	16.97	11-May	2-Jun	6,974.72	4.0
CASTLE ARK	031	JCI	B	170,820	21.30	2-Jun	2-Jun	10,249.20	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>S</b>	<b>20,000</b>	<b>9.74</b>	<b>n/a</b>	<b>30-Apr</b>	<b>600.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	JOYG	S	25,000	35.60	2-Jun	2-Jun	750.00	3.0
AVESTA CAP	229	LOW	B	100,000	20.70	12-May	18-May	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LVS</b>	<b>S</b>	<b>65,000</b>	<b>10.49</b>	<b>n/a</b>	<b>n/a</b>	<b>2,600.00</b>	<b>4.0</b>
SCOPUS FUND	041	NP	S	10,000	9.48	12-May	12-May	500.00	5.0
KAYNE ANDERSON ADV	048	NTG	S	22,500	35.89	n/a	n/a	900.00	4.0
JMP ASSET MGMT	210	PEET	SS	2,400	28.52	n/a	n/a	120.00	5.0
BNP PARIBAS SEC	040	PH	B	10,000	47.34	n/a	17-Apr	500.00	5.0
COUGAR TRADING	044	PLCE	B	5,000	36.13	19-Mar	1-Jun	250.00	5.0
BARCLEYS CAP (OLD LEHM)	041	RDC	B	45,000	22.33	n/a	n/a	1,800.00	4.0
ROTHSCHILD ASSET	040	SY	S	11,240	33.41	n/a	n/a	505.80	4.5
BALYASNY ASSET MGMT	044	TEX	B	25,000	14.11	13-Feb	28-Apr	1,250.00	5.0
NORTHPOINT	030	TQNT	B	13,200	4.96	n/a	n/a	396.00	3.0
BARCLEYS CAP (OLD LEHM)	041	URBN	B	25,000	22.60	n/a	30-Jan	1,000.00	4.0
BALYASNY ASSET MGMT	044	WMT	SS	20,000	49.92	11-May	2-Jun	1,000.00	5.0
COUGAR TRADING	044	WRC	B	5,000	32.81	13-May	13-May	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	ZINC	B	110	7.89	n/a	n/a	3.30	3.0
<b>TOTAL (Trade Date):</b>								<b>64,009.53</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/01	ROTHSCHILD ASSET (ROTH306)	040	AAN	S	350	33.08	n/a	n/a	15.75 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH396)	040	AAN	S	2,240	33.08	n/a	n/a	100.80 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH304)	040	AAN	S	1,630	33.08	n/a	n/a	73.35 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH500150)	040	AAN	S	270	33.08	n/a	n/a	12.15 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH500140)	040	AAN	S	90	33.08	n/a	n/a	4.05 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH500130)	040	AAN	S	520	33.08	n/a	n/a	23.40 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH500110)	040	AAN	S	870	33.08	n/a	n/a	39.15 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH500100)	040	AAN	S	260	33.08	n/a	n/a	11.70 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH344)	040	AAN	S	220	33.08	n/a	n/a	9.90 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH000331)	040	AAN	S	640	33.08	n/a	n/a	28.80 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH347)	040	AAN	S	30	33.08	n/a	n/a	1.35 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH346)	040	AAN	S	210	33.08	n/a	n/a	9.45 4.5
AO,	06/01	ROTHSCHILD ASSET (ROTH309)	040	AAN	S	5,130	33.08	n/a	n/a	230.85 4.5
AO,CXL	06/01	SCHOTTENFELD ASSOC (SCHOASSOC)	041	FDO	B	18,914	31.23	5-Mar	2-Jun	945.70 5.0
AO,CRT	06/01	SCHOTTENFELD ASSOC (SCHOASSOC)	041	FDO	B	18,914	31.23	5-Mar	2-Jun	567.42 3.0
AO,CRT	06/01	BUCK CAPITAL MGMT (BUCKJPMBS)	001	LVS	S	44,700	10.65	n/a	n/a	1788.00 4.0
AO,CXL	06/01	BUCK CAPITAL MGMT (BUCKGILAGX)	001	LVS	S	500	10.65	n/a	n/a	20.00 4.0
AO,CXL	06/01	BUCK CAPITAL MGMT (BUCKGIL)	001	LVS	S	44,700	10.65	n/a	n/a	1788.00 4.0
AO,CRT	06/01	BUCK CAPITAL MGMT (BUCKGIL)	001	LVS	S	500	10.65	n/a	n/a	20.00 4.0
CRT	06/02	JMP ASSET MGMT (JMPAGS)	210	PEET	SS	2,400	28.52	n/a	n/a	120.00 5.0
AO,CXL	06/01	EMP ERROR (EMP ERROR)	099	STI	S	1,500	13.85	n/a	n/a	0.00 0.0
AO,CRT	06/01	LISTED ERR (LISTED ERR)	099	STI	S	1,500	13.85	n/a	n/a	0.00 0.0
AO,CXL	05/29	PORTER-ORLIN-FELDMAN (PORTORLIN)	044	TDW	SS	25,000	47.50	n/a	n/a	1250.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	05/29	PORTER-ORLIN-FELDMAN (PORTORLIN)	044	TDW	SS	25,000	47.50	n/a n/a	750.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>-197.58</b>
TOTAL (Trade Date) :									64,009.53
TOTAL (AO, CXL, CRT) :									-197.58
<b>TOTAL (RUN DATE) / NFS :</b>									<b>63,811.95</b>

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