



Daily Compliance Activity Report

Trade Date: 06/05/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE/MS OLDS	041	ADBE	B	12,608	29.46	n/a	n/a	504.32	4.0
HOLDEN CAPITAL MGMT	035	ALV	B	10,000	29.65	12-Mar	22-Apr	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	5,000	27.18	3-Jun	5-Jun	200.00	4.0
GALT INVESTMENT	041	ANF	S	20,733	28.05	3-Jun	5-Jun	1,036.65	5.0
WASHINGTON ASSET	048	APC	S	5,000	48.96	3-Feb	1-Jun	250.00	5.0
RAINIER INV MGMT	035	AYE	S	33,750	25.90	n/a	n/a	1,687.50	5.0
LISTED ERR	099	AYE	B	400	25.87	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	BDN	S	35,400	7.27	n/a	n/a	1,062.00	3.0
STERLING JOHNSTON	035	BONT	B	25,000	4.70	6-Feb	6-Feb	1,000.00	4.0
HOLDEN CAPITAL MGMT	035	BWA	B	10,000	35.50	1-May	1-May	500.00	5.0
STERLING JOHNSTON	035	CAKE	B	10,000	17.67	29-May	29-May	400.00	4.0
GRANAHAN INV	039	CMGB	S	14,150	74.73	n/a	n/a	566.00	4.0
MADISON ST PARTNERS LLC	046	COV	B	15,000	36.00	n/a	n/a	750.00	5.0
HIGHBRIDGE/MS OLDS	041	CSCO	B	12,094	19.85	n/a	22-Mar	483.76	4.0
DAVIDSON KEMPNER ADVISOR	040	C	B	500,000	3.57	n/a	26-May	15,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	DRE	S	26,300	9.98	n/a	n/a	789.00	3.0
BUCK CAPITAL MGMT	001	GES	B	20,000	28.63	n/a	n/a	800.00	4.0
STANDARD PACIFIC CAPITAL	040	GIL	SS	75,000	15.67	n/a	14-May	3,750.00	5.0
BRENCOURT	028	GMGMQ	B	125,000	0.97	n/a	n/a	2,500.00	2.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	50,000	16.53	n/a	30-Jan	2,000.00	4.0
NEUBERGER BERMAN	036	HIW	S	28,500	23.75	n/a	n/a	1,282.50	4.5
SCOPUS FUND	041	JCI	B	10,000	22.15	2-Jun	2-Jun	500.00	5.0
SCOPUS FUND	041	JNY	B	25,000	10.40	n/a	30-Apr	1,250.00	5.0
THOMAS WEISEL ASSET MGMT	035	KNXA	B	11,485	13.76	n/a	n/a	344.55	3.0
BMO NESBITT BURNS	041	KSS	SS	3,600	46.33	8-May	5-Jun	180.00	5.0
BUCK CAPITAL MGMT	001	LL	B	20,000	15.38	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	LPX	S	98,894	4.38	3-Mar	6-May	4,944.70	5.0
BMO NESBITT BURNS	041	MMM	B	25,000	61.15	4-Jun	4-Jun	1,250.00	5.0
SCOPUS FUND	041	MMM	B	75,000	61.18	4-Jun	4-Jun	3,750.00	5.0
M&I FUNDS	256	MYL	S	49,503	13.61	n/a	5-Jun	1,980.12	4.0
BARCLEYS CAP (OLD LEHM)	041	M	SS	50,000	12.87	n/a	5-Jun	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AELTUS/ING INVESTMENT MGT	215	NOK	B	20,000	15.37	n/a	n/a	700.00	3.5
SCOPUS FUND	041	NP	S	10,000	9.21	12-May	12-May	500.00	5.0
SANDLER O'NEILL ASSET	031	NTRS	S	5,249	57.32	22-Apr	19-May	262.45	5.0
MKT MAKER	099	NTRS	B	49	56.51	22-Apr	19-May	0.00	0.0
MKT MAKER	099	NTRS	S	49	57.75	22-Apr	19-May	0.00	0.0
COOPER CREEK PART	028	PAG	SS	10,000	14.77	n/a	6-May	400.00	4.0
EIDELMAN, FINGER & CO	045	PALM	SS	10,000	13.24	n/a	n/a	500.00	5.0
GALT INVESTMENT	041	PLCE	S	15,000	31.09	19-Mar	5-Jun	750.00	5.0
NEUBERGER BERMAN	036	PLD	S	28,800	9.31	n/a	n/a	864.00	3.0
CAPITAL GROWTH MGMT.	241	PNC	S	150,000	42.14	n/a	n/a	7,500.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	40,000	14.72	n/a	n/a	1,600.00	4.0
FIRST NEW YORK NICK	029	Q	S	40,000	4.17	n/a	n/a	2,000.00	5.0
ROTHSCHILD ASSET	040	RAH	S	18,270	60.69	n/a	n/a	822.15	4.5
BUCK CAPITAL MGMT	001	SKX	S	25,000	9.84	n/a	13-Mar	750.00	3.0
LEVIN CAPITAL STRATEGIES	012	SLM	B	50,000	6.57	23-Apr	3-Jun	2,000.00	4.0
FRONTPOINT/COPIA-ANDREW	031	SSW	SS	114,700	6.84	n/a	n/a	3,441.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	099	SSW	SS	300	6.88	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	TEN	S	50,000	7.31	n/a	n/a	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	TIN	C	25,000	13.81	5-Jun	5-Jun	1,250.00	5.0
LATEFF MGMT	035	TIN	S	5,000	14.20	5-Jun	5-Jun	400.00	8.0
HIGHBRIDGE/MS OLDS	041	TS	SS	53,000	30.89	n/a	n/a	2,120.00	4.0
CUMBERLAND	038	UPS	SS	20,000	51.55	n/a	n/a	800.00	4.0
AVESTA CAP	229	WMT	S	100,000	51.12	11-May	2-Jun	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	WMT	B	100,000	51.17	11-May	2-Jun	4,000.00	4.0
SCOPUS FUND	041	WRC	B	7,300	34.84	13-May	13-May	365.00	5.0
MADISON ST PARTNERS LLC	046	XLV	SS	25,000	25.69	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):								90,835.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/04	MISSION GLOBAL LLC (MISGMLCOG)	041	CAT	B	3,890	36.98	n/a	22-Apr	194.50 5.0
AO,CRT	06/04	MISSION GLOBAL LLC (MISGMLCOG)	041	CAT	B	2,900	36.98	n/a	22-Apr	116.00 4.0
AO,CXL	06/04	MISSION GLOBAL LLC (MISGMSPB)	041	CAT	B	5,850	36.98	n/a	22-Apr	292.50 5.0
AO,CRT	06/04	MISSION GLOBAL LLC (MISGMSPB)	041	CAT	B	6,810	36.98	n/a	22-Apr	272.40 4.0
AO,CXL	06/04	MISSION GLOBAL LLC (MISGGSPB)	041	CAT	B	260	36.98	n/a	22-Apr	13.00 5.0
AO,CRT	06/04	MISSION GLOBAL LLC (MISGGSPB)	041	CAT	B	290	36.98	n/a	22-Apr	11.60 4.0
AO,	06/04	MKT MAKER (MKT MAKER)	99	NTRS	B	49	57.15	22-Apr	19-May	0.00 0.0
AO,CRT	06/04	SANDLER O'NEILL ASSET (SANOJPMBS)	031	NTRS	S	19,751	57.15	22-Apr	19-May	987.55 5.0
AO,CXL	06/04	SANDLER O'NEILL ASSET (SANO)	031	NTRS	S	19,751	57.15	22-Apr	19-May	987.55 5.0
AO,CXL	06/04	MISSION GLOBAL LLC (MISGMLCOG)	041	ROK	B	4,668	32.28	n/a	n/a	233.40 5.0
AO,CRT	06/04	MISSION GLOBAL LLC (MISGMLCOG)	041	ROK	B	3,480	32.28	n/a	n/a	139.20 4.0
AO,CXL	06/04	MISSION GLOBAL LLC (MISGMSPB)	041	ROK	B	7,020	32.28	n/a	n/a	351.00 5.0
AO,CRT	06/04	MISSION GLOBAL LLC (MISGMSPB)	041	ROK	B	8,172	32.28	n/a	n/a	326.88 4.0
AO,CXL	06/04	MISSION GLOBAL LLC (MISGGSPB)	041	ROK	B	312	32.28	n/a	n/a	15.60 5.0
AO,CRT	06/04	MISSION GLOBAL LLC (MISGGSPB)	041	ROK	B	348	32.28	n/a	n/a	13.92 4.0
AO,	06/04	ROTHSCHILD ASSET (ROTH000479)	040	VAL	B	720	23.66	n/a	n/a	32.40 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH476)	040	VAL	B	300	23.66	n/a	n/a	13.50 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH359)	040	VAL	B	7,830	23.66	n/a	n/a	352.35 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH4712)	040	VAL	B	640	23.66	n/a	n/a	28.80 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH332)	040	VAL	B	200	23.66	n/a	n/a	9.00 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH4711)	040	VAL	B	1,720	23.66	n/a	n/a	77.40 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH467)	040	VAL	B	160	23.66	n/a	n/a	7.20 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH471)	040	VAL	B	2,990	23.66	n/a	n/a	134.55 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH464)	040	VAL	B	850	23.66	n/a	n/a	38.25 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/04	ROTHSCHILD ASSET (ROTH469)	040	VAL	B	6,560	23.66	n/a	n/a	295.20 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH466)	040	VAL	B	2,390	23.66	n/a	n/a	107.55 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH452)	040	VAL	B	350	23.66	n/a	n/a	15.75 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH340)	040	VAL	B	10,930	23.66	n/a	n/a	491.85 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH345)	040	VAL	B	260	23.66	n/a	n/a	11.70 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH3721)	040	VAL	B	250	23.66	n/a	n/a	11.25 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH3021)	040	VAL	B	1,940	23.66	n/a	n/a	87.30 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH369)	040	VAL	B	530	23.66	n/a	n/a	23.85 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH302)	040	VAL	B	1,220	23.66	n/a	n/a	54.90 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH368)	040	VAL	B	130	23.66	n/a	n/a	5.85 4.5
AO,	06/04	ROTHSCHILD ASSET (ROTH367)	040	VAL	B	450	23.66	n/a	n/a	20.25 4.5
TOTAL (AO, CXL, CRT) :										1,598.90
TOTAL (Trade Date) :										90,835.70
TOTAL (AO, CXL, CRT) :										1,598.90
TOTAL (RUN DATE) / NFS:										92,434.60

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