



Daily Compliance Activity Report

Trade Date: 04/28/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ALL	SS	15,000	22.36	n/a	n/a	750.00	5.0
BALYASNY ASSET MGMT	044	AMG	S	10,000	45.80	n/a	21-Apr	500.00	5.0
CARDINAL CAPITAL	044	AMG	B	29,200	45.70	n/a	21-Apr	1,460.00	5.0
BUCK CAPITAL MGMT	001	ARO	SS	20,000	33.33	n/a	13-Apr	800.00	4.0
NEUBERGER BERMAN	036	AVB	S	8,300	57.10	n/a	n/a	373.50	4.5
BUCK CAPITAL MGMT	001	AVY	B	15,000	27.78	28-Apr	28-Apr	600.00	4.0
BASIX	033	AXE	S	9,500	35.56	30-Mar	30-Mar	285.00	3.0
BALYASNY ASSET MGMT	044	AXS	SS	20,000	26.02	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	BEAV	B	5,000	9.04	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	26.86	4-Mar	24-Apr	800.00	4.0
RBC CAPITAL MARKETS	034	BJ	B	10,000	32.20	n/a	27-Jul	400.00	4.0
RBC CAPITAL MARKETS	034	BKC	SS	25,000	17.51	16-Apr	28-Apr	1,000.00	4.0
NEWCASTLE FUNDS	033	BMS	B	50,000	23.64	n/a	n/a	2,000.00	4.0
SUN AMERICA ASSET MGMT	030	BMS	S	48,800	23.64	n/a	n/a	1,952.00	4.0
BUCK CAPITAL MGMT	001	BWA	B	50,000	26.75	12-Mar	20-Apr	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BXP	B	10,000	45.03	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	CAB	B	95,000	12.28	n/a	n/a	3,800.00	4.0
CATAPULT	040	CBT	S	15,000	14.11	n/a	11-Mar	750.00	5.0
BNP PARIBAS SEC	040	CMI	B	7,500	30.91	14-Nov	4-Feb	300.00	4.0
NEWCASTLE FUNDS	033	CVS	B	30,000	30.34	n/a	n/a	1,200.00	4.0
BALYASNY ASSET MGMT	044	DE	B	15,000	38.97	26-Jan	19-Feb	750.00	5.0
BALYASNY ASSET MGMT	044	DE	S	10,000	38.49	26-Jan	19-Feb	500.00	5.0
NEUBERGER BERMAN	036	DRE	S	20,200	9.15	n/a	n/a	606.00	3.0
BUCK CAPITAL MGMT	001	ECL	B	20,000	38.23	28-Apr	28-Apr	800.00	4.0
NEWCASTLE FUNDS	033	ETH	S	10,700	12.83	n/a	n/a	428.00	4.0
PHILADELPHIA FINANCIAL	033	EVR	S	25,000	17.00	n/a	n/a	1,000.00	4.0
PHILADELPHIA FINANCIAL	033	EV	SS	44,384	25.62	7-Apr	28-Apr	1,775.36	4.0
NOMURA CAPITAL	045	FDML	S	50,000	11.37	n/a	n/a	2,500.00	5.0
PHILADELPHIA FINANCIAL	033	FII	S	20,000	22.77	24-Apr	27-Apr	800.00	4.0
FINANCIAL STOCK LP	028	GE	B	100,000	12.01	n/a	n/a	4,000.00	4.0
KLEINHEINZ CAP PART	031	HRB	S	50,000	14.76	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	129,000	13.70	7-Apr	23-Apr	5,160.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	50,000	8.03	n/a	11-Feb	1,500.00	3.0
NEUBERGER BERMAN	036	KIM	S	29,500	10.81	n/a	n/a	1,327.50	4.5
BUCK CAPITAL MGMT	001	KSS	S	150,000	44.84	30-Mar	13-Apr	6,000.00	4.0
BALYASNY ASSET MGMT	044	LAZ	SS	15,000	29.83	n/a	28-Apr	750.00	5.0
LISTED ERR	099	LAZ	B	1,600	29.75	n/a	28-Apr	0.00	0.0
LISTED ERR	099	LAZ	SS	1,600	29.84	n/a	28-Apr	0.00	0.0
BNP PARIBAS SEC	040	LOW	B	50,000	20.89	31-Mar	31-Mar	2,000.00	4.0
BALYASNY ASSET MGMT	044	LRY	B	10,000	22.22	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	100,000	11.04	8-Jan	30-Jan	4,000.00	4.0
PROSPECTOR PARTNERS LLC	036	MRO	B	10,000	29.22	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	MXGL	B	10,000	16.12	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	M	S	150,000	12.77	n/a	13-Apr	6,000.00	4.0
HARVEST MGMT	039	PEET	S	3,800	23.76	n/a	n/a	190.00	5.0
BMO NESBITT BURNS	041	PKG	B	25,000	15.92	8-Apr	21-Apr	1,250.00	5.0
BALYASNY ASSET MGMT	044	ROK	C	2,600	29.85	n/a	n/a	130.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	RTI	B	20,000	13.27	n/a	n/a	1,000.00	5.0
PZENA INV ADV	044	SLE	B	400	8.15	n/a	n/a	14.02	3.5
SONTERRA CAP	041	SPR	B	15,000	11.99	n/a	n/a	600.00	4.0
BALYASNY ASSET MGMT	044	STI	SS	20,000	14.03	n/a	n/a	1,000.00	5.0
ROARING BLUE LION MGMT	012	SWN	S	8,800	36.91	27-Feb	28-Apr	352.00	4.0
GRANITE CAPITAL	045	TCO	B	20,000	22.72	n/a	n/a	1,000.00	5.0
CASTLE ARK	031	TJX	S	164,620	27.79	n/a	13-Apr	9,877.20	6.0
PZENA INV ADV	044	TJX	S	121,175	27.99	n/a	13-Apr	4,241.37	3.5
BALYASNY ASSET MGMT	044	TNB	S	10,000	26.58	n/a	n/a	500.00	5.0
ENTRUST CAPITAL	040	YUM	B	68,800	33.97	n/a	22-Apr	3,440.00	5.0
TOTAL (Trade Date):								87,961.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/27	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GCO	B	10,000	21.35	n/a	10-Jan	400.00 4.0
AO,CXL	04/27	BUCK CAPITAL MGMT (BUCKGIL)	001	GCO	B	10,000	21.35	n/a	10-Jan	400.00 4.0
AO,	04/27	LISTED ERR (LISTED ERR)	099	VZ	B	6,500	30.84	n/a	4-Jan	0.00 0.0
AO,	04/27	LISTED ERR (LISTED ERR)	099	VZ	S	6,500	30.83	n/a	4-Jan	0.00 0.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1313)	031	VZ	S	4,800	30.48	n/a	4-Jan	192.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1880)	031	VZ	S	10,500	30.48	n/a	4-Jan	420.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1867)	031	VZ	S	15,100	30.48	n/a	4-Jan	604.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1853)	031	VZ	S	4,400	30.48	n/a	4-Jan	176.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1801)	031	VZ	S	34,900	30.48	n/a	4-Jan	1396.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1831)	031	VZ	S	10,000	30.48	n/a	4-Jan	400.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1860)	031	VZ	S	15,200	30.48	n/a	4-Jan	608.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1881)	031	VZ	S	190,000	30.48	n/a	4-Jan	7600.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1885)	031	VZ	S	900	30.48	n/a	4-Jan	36.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1895)	031	VZ	S	500	30.48	n/a	4-Jan	20.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR9801)	031	VZ	S	2,000	30.48	n/a	4-Jan	80.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR9826)	031	VZ	S	100	30.48	n/a	4-Jan	4.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR9883)	031	VZ	S	5,600	30.48	n/a	4-Jan	224.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR9889)	031	VZ	S	1,400	30.48	n/a	4-Jan	56.00 4.0
AO,	04/27	BARROW HANLEY MEWHINNEY (BARR1859)	031	VZ	S	832,200	30.48	n/a	4-Jan	33288.00 4.0
AO,CXL	04/27	CATAPULT (CATADEUTCH)	040	XLP	SS	92,000	21.63	n/a	n/a	3680.00 4.0
AO,CRT	04/27	CATAPULT (CATADEUTCH)	040	XLP	SS	92,000	21.63	n/a	n/a	2760.00 3.0
TOTAL (AO, CXL, CRT) :										44,184.00

TOTAL (Trade Date):	87,961.95
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TOTAL (AO, CXL, CRT):	44,184.00
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TOTAL (RUN DATE) / NFS:	132,145.95
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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