

## **Daily Compliance Activity Report** Trade Date: 06/17/2009

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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	Account	RR #	Symbol	B/S	Shares	s Price	MRI	Research	Comm.	¢/Shr.
	COUGAR TRADING	044	AEO	В	5,000	13.87	20-Apr	5-Jun	250.00	5.0
	PRINCIPLE CAPITAL	040	ALTR	SS	100,000	16.41	n/a	n/a	3,000.00	3.0
	BUCK CAPITAL MGMT	001	ARO	В	10,000	34.06	n/a	5-Jun	400.00	4.0
	PILOT ROCK	028	ARO	SS	50,000	34.63	n/a	5-Jun	2,000.00	4.0
	BUCK CAPITAL MGMT	001	AVP	SS	10,000	25.49	2-Jun	2-Jun	400.00	4.0
õ	David Keidan		AXL	В	20000	2.9900	n/a	10-Jun	0.00	0.0
	NEWCASTLE FUNDS	255	AXL	В	20,000	3.31	n/a	10-Jun	800.00	4.0
	FORD FDN.	032	BAC	S	105,000	12.47	11-May	17-Jun	5,250.00	5.0
	ROSEDALE CAPITAL	046	BAC	В	10,000	12.51	11-May	17-Jun	500.00	5.0
	PRINCIPLE CAPITAL	040	BECN	В	36,500	13.99	n/a	n/a	1,095.00	3.0
	BALYASNY ASSET MGMT	044	BEN	S	15,000	72.05	5-Jun	17-Jun	750.00	5.0
	BENCHMARK	028	BIG	SS	5,000	20.90	28-May	9-Jun	250.00	5.0
	TROUBH PART	067	САН	В	25,000	30.67	n/a	n/a	1,250.00	5.0
	NORTHPOINT	030	CEDC	S	4,470	27.16	n/a	n/a	178.80	4.0
	DIAMONDBACK CAP MGMT	232	CE	В	20,000	21.79	n/a	n/a	1,000.00	5.0
	PATTEN & PATTEN	067	CGW	В	16,305	15.25	n/a	n/a	815.25	5.0

	Account	RR #	Symbol	B/S	Shares Price	MRI	Research	Comm.	Shr.
õ	David Keidan		CIT	В	20000 2.6900	23-Apr	17-Jun	0.00	0.0
	US BANCORP	030	CL	В	89,623 69.67	8-Jun	8-Jun	4,481.15	5.0
	NEWCASTLE FUNDS	255	CNW	В	10,000 31.00	n/a	n/a	400.00	4.0
õ	David Keidan		COF	В	10000 21.9300	15-May	17-Jun	0.00	0.0
	ADAGE CAPITAL MGMT	030	СОН	В	250,000 25.86	n/a	22-Apr	10,000.00	4.0
	SUN AMERICA ASSET MGMT	030	COP	В	20,000 42.34	n/a	n/a	800.00	4.0
	ARCHON CAPITAL	035	CVA	В	87,700 15.99	n/a	n/a	2,631.00	3.0
	IVORY CAPITAL	034	CVS	В	220,920 31.10	n/a	n/a	11,046.00	5.0
õ	David Keidan		С	В	20000 3.0950	n/a	17–Jun	0.00	0.0
	NEUBERGER BERMAN	036	DFT	В	80,200 9.17	n/a	n/a	2,406.00	3.0
	GREEN ARROW CAPITAL	040	DKS	В	35,000 16.22	27-Apr	20-May	1,750.00	5.0
	PATTEN & PATTEN	067	EWG	S	1,500 18.43	n/a	n/a	75.00	5.0
	PATTEN & PATTEN	067	EWJ	S	2,400 9.42	n/a	n/a	120.00	5.0
	PATTEN & PATTEN	067	FHN	В	1,000 12.31	n/a	n/a	50.00	5.0
	EPOCH INV MGMT	030	FII	В	72,000 25.81	24-Apr	17-Jun	2,880.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
HIGHBRIDGE CAPITAL	038	FISV	В	5,000	46.27	n/a	n/a	200.00	4.0
David Keidan		GIL	В	5000 1	.5.8000	n/a	15-Jun	0.00	0.0
PILOT ADV	038	GIL	В	37,000	15.72	n/a	15-Jun	1,480.00	4.0
SUN AMERICA ASSET MGMT	030	GME	В	17,800	23.17	n/a	n/a	712.00	4.0
HUNTER GLOBAL INVESTOR	067	HAL	S	25 <b>,</b> 200	22.03	n/a	n/a	1,260.00	5.0
FIRST NY SEC/CHRIS	041	IP	В	25 <b>,</b> 000	13.50	n/a	1-May	1,250.00	5.0
MILLENIUM PARTNERS	028	IP	В	20,000	13.93	n/a	1-May	1,000.00	5.0
NEWLAND CAPITAL MGT	067	IP	В	25,000	13.94	n/a	1-May	1,000.00	4.0
OZ MGMT	040	IP	В	61,538	13.62	n/a	1-May	1,846.14	3.0
SCOPUS FUND	041	IP	В	49,600	13.81	n/a	1-May	2,480.00	5.0
TRELLUS PARTNERS LP	028	IP	В	50,000	13.79	n/a	1-May	2,500.00	5.0
NEUBERGER BERMAN	036	ISLE	В	53,600	11.71	n/a	26-Jan	2,412.00	4.5
KACELA CAPITAL	034	JCP	В	28,000	26.77	13-Apr	5-Jun	1,120.00	4.0
PATTEN & PATTEN	067	JWN	S	13,515	19.09	20-Feb	5-Jun	675.75	5.0
SUFFOLK CAPITAL MGMT	040	KFT	S	350,000	25.05	n/a	n/a	14,000.00	4.0
DSM CAPITAL PARTNERS	032	MCD	S	7 <b>,</b> 550	57.92	n/a	11-Jun	377.50	5.0
SASCO	038	NCX	S	66,000	5.92	n/a	n/a	2,640.00	4.0
MKT MAKER	099	NCX	S	8	5.92	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	NTRS	S	15,000	51.66	22-Apr	17-Jun	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
CIRCLE T/SES PART	035	PAG	S	30,000	15.54	n/a	6-May	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	PAYX	В	13,000	27.01	n/a	n/a	520.00	4.0
AELTUS/ING IVESTMENT MGT	215	PCAR	S	40,080	31.17	25-Mar	4-May	1,402.80	3.5
RAMIUS CAP	040	PCH	S	15,400	24.74	n/a	19-May	616.00	4.0
DSM CAPITAL PARTNERS	032	PG	S	25 <b>,</b> 500	50.19	5-Jun	5-Jun	1,275.00	5.0
PATTEN & PATTEN	067	РНО	В	14,105	14.53	n/a	n/a	705.25	5.0
SCOPUS FUND	041	PKG	В	2,100	14.38	8-Apr	21-Apr	105.00	5.0
NEUBERGER BERMAN	036	PLD	S	59,100	8.23	n/a	n/a	1,773.00	3.0
BUCK CAPITAL MGMT	001	RL	В	10,000	51.69	n/a	28-May	400.00	4.0
REINHART & MAHONEY	031	RSG	S	27 <b>,</b> 955	22.63	n/a	n/a	1,397.75	5.0
APEX CAPITAL MGMT.	091	SBUX	SS	100,000	13.90	20-Apr	30-Apr	4,000.00	4.0
SANDELL ADV	040	SFD	В	31,217	10.41	n/a	n/a	1,248.68	4.0
JMP ASSET MGMT	210	SKS	В	20,000	3.96	n/a	n/a	800.00	4.0
US BANCORP	030	SLB	S	104,726	56.04	n/a	n/a	5,236.30	5.0
DIAMONDBACK CAP MGMT	232	SMG	S	10,000	35.49	10-Jun	17-Jun	500.00	5.0
	CIRCLE T/SES PART  HIGHBRIDGE CAPITAL  AELTUS/ING IVESTMENT MGT  RAMIUS CAP  DSM CAPITAL PARTNERS  PATTEN & PATTEN  SCOPUS FUND  NEUBERGER BERMAN  BUCK CAPITAL MGMT  REINHART & MAHONEY  APEX CAPITAL MGMT.  SANDELL ADV  JMP ASSET MGMT  US BANCORP	CIRCLE T/SES PART 035  HIGHBRIDGE CAPITAL 038  AELTUS/ING IVESTMENT MGT 215  RAMIUS CAP 040  DSM CAPITAL PARTNERS 032  PATTEN & PATTEN 067  SCOPUS FUND 041  NEUBERGER BERMAN 036  BUCK CAPITAL MGMT 001  REINHART & MAHONEY 031  APEX CAPITAL MGMT. 091  SANDELL ADV 040  JMP ASSET MGMT 210  US BANCORP 030	CIRCLE T/SES PART 035 PAG  HIGHBRIDGE CAPITAL 038 PAYX  AELTUS/ING IVESTMENT MGT 215 PCAR  RAMIUS CAP 040 PCH  DSM CAPITAL PARTNERS 032 PG  PATTEN & PATTEN 067 PHO  SCOPUS FUND 041 PKG  NEUBERGER BERMAN 036 PLD  BUCK CAPITAL MGMT 001 RL  REINHART & MAHONEY 031 RSG  APEX CAPITAL MGMT. 091 SBUX  SANDELL ADV 040 SFD  JMP ASSET MGMT 210 SKS  US BANCORP 030 SLB	CIRCLE T/SES PART 035 PAG S HIGHBRIDGE CAPITAL 038 PAYX B AELTUS/ING IVESTMENT MGT 215 PCAR S RAMIUS CAP 040 PCH S DSM CAPITAL PARTNERS 032 PG S PATTEN & PATTEN 067 PHO B SCOPUS FUND 041 PKG B NEUBERGER BERMAN 036 PLD S BUCK CAPITAL MGMT 001 RL B REINHART & MAHONEY 031 RSG S APEX CAPITAL MGMT. 091 SBUX SS SANDELL ADV 040 SFD B US BANCORP 030 SLB S	CIRCLE T/SES PART 035 PAG S 30,000  HIGHBRIDGE CAPITAL 038 PAYX B 13,000  AELTUS/ING IVESTMENT MGT 215 PCAR S 40,080  RAMIUS CAP 040 PCH S 15,400  DSM CAPITAL PARTNERS 032 PG S 25,500  PATTEN & PATTEN 067 PHO B 14,105  SCOPUS FUND 041 PKG B 2,100  NEUBERGER BERMAN 036 PLD S 59,100  BUCK CAPITAL MGMT 001 RL B 10,000  REINHART & MAHONEY 031 RSG S 27,955  APEX CAPITAL MGMT. 091 SBUX SS 100,000  SANDELL ADV 040 SFD B 31,217  JMP ASSET MGMT 210 SKS B 20,000  US BANCORP 030 SLB S 104,726	CIRCLE T/SES PART 035 PAG S 30,000 15.54 HIGHBRIDGE CAPITAL 038 PAYX B 13,000 27.01 AELTUS/ING IVESTMENT MGT 215 PCAR S 40,080 31.17 RAMIUS CAP 040 PCH S 15,400 24.74  DSM CAPITAL PARTNERS 032 PG S 25,500 50.19  PATTEN & PATTEN 067 PHO B 14,105 14.53  SCOPUS FUND 041 PKG B 2,100 14.38  NEUBERGER BERMAN 036 PLD S 59,100 8.23  BUCK CAPITAL MGMT 001 RL B 10,000 51.69  REINHART & MAHONEY 031 RSG S 27,955 22.63  APEX CAPITAL MGMT. 091 SBUX SS 100,000 13.90  SANDELL ADV 040 SFD B 31,217 10.41  JMP ASSET MGMT 210 SKS B 20,000 3.96  US BANCORP 030 SLB S 104,726 56.04	CIRCLE T/SES PART 035 PAG S 30,000 15.54 n/a HIGHBRIDGE CAPITAL 038 PAYX B 13,000 27.01 n/a AELTUS/ING IVESTMENT MGT 215 PCAR S 40,080 31.17 25-MAR RAMIUS CAP 040 PCH S 15,400 24.74 n/a DSM CAPITAL PARTNERS 032 PG S 25,500 50.19 5-Jun PATTEN & PATTEN 067 PHO B 14,105 14.53 n/a SCOPUS FUND 041 PKG B 2,100 14.38 8-Apr NEUBERGER BERMAN 036 PLD S 59,100 8.23 n/a BUCK CAPITAL MGMT 001 RL B 10,000 51.69 n/a REINHART & MAHONEY 031 RSG S 27,955 22.63 n/a APEX CAPITAL MGMT. 091 SBUX SS 100,000 13.90 20-Apr SANDELL ADV 040 SFD B 31,217 10.41 n/a US BANCORP 030 SLB S 104,726 56.04 n/a	CIRCLE T/SES PART 035 PAG S 30,000 15.54	CIRCLE T/SES PART 035 PAG S 30,000 15.54

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õ	David Keidan		TEX	В	1000 1	.2.8500	13-Feb	12-Jun	0.00	0.0
	CR INTRINIC INVESTMENT	044	TIF	SS	25,000	25.43	n/a	30-Jan	1,000.00	4.0
	COUGAR TRADING	044	TJX	S	5,000	30.85	4-May	5-Jun	250.00	5.0
	M&I FUNDS	256	TJX	S	12,073	30.84	4-May	5-Jun	482.92	4.0
	MILLENIUM PARTNERS	028	TYC	S	20,000	26.70	1-May	1-May	1,000.00	5.0
	BUCK CAPITAL MGMT	001	UA	SS	10,000	21.81	29-Apr	29-Apr	400.00	4.0
	COUGAR TRADING	044	UA	В	5,000	21.95	29-Apr	29-Apr	250.00	5.0
	BARCLEYS CAP(OLD LEHM)	041	URBN	В	25,000	21.03	n/a	30-Jan	1,000.00	4.0
	HUNTER GLOBAL INVESTOR	067	USB	SS	30,000	18.04	n/a	n/a	1,200.00	4.0
	IVORY CAPITAL	034	WAG	SS	165,300	31.01	n/a	n/a	8,265.00	5.0
	REINHART & MAHONEY	031	WFT	S	11,150	20.19	n/a	n/a	557.50	5.0
	BUCK CAPITAL MGMT	001	WRC	S	20,000	33.09	13-May	13-May	800.00	4.0
	CASEY CAPITAL	067	WRC	В	10,000	33.06	13-May	13-May	500.00	5.0
	CR INTRINIC INVESTMENT	044	WRC	SS	25,000	33.34	13-May	13-May	1,000.00	4.0
	CR INTRINIC INVESTMENT	044	XLE	В	50,000	50.08	n/a	n/a	2,000.00	4.0
	NEWCASTLE FUNDS	255	X	В	35,000	36.29	n/a	n/a	1,400.00	4.0
	JMP ASSET MGMT	210	ZZRT	В	23,200	2.05	n/a	n/a	464.00	2.0

TOTAL (Trade Date): 132,030.79

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢	/Shr.
AO,CXL	06/16	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	CHD	В	105	51.27	27-Apr 14-May	5.25	5.0
AO,	06/16	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	CHD	В	105	51.27	27-Apr 14-May	5.25	5.0
AO, CXL	06/16	MKT MAKER (MKT MAKER)	099	DKS	s	2,096	16.32	27-Apr 20-May	0.00	0.0
AO,	06/16	MKT MAKER (MKT MAKER)	099	ISLE	В	1,800	11.21	n/a 26-Jan	0.00	0.0
TOTAL	(AO,	CXL, CRT):							0.00	

TOTAL (RUN DATE) / NFS:	132,030.79
TOTAL (AO, CXL, CRT):	0.00
TOTAL (Trade Date):	132,030.79

## Legend:

O: 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