

Daily Compliance Activity Report Trade Date: 04/01/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
CAPITAL GROWTH MGMT.	241	ABT	S	100,000	46.72	n/a	22-Apr	5,000.00	5.0
CUMBERLAND	038	ADS	В	2,000	35.44	n/a	n/a	80.00	4.0
ADAGE CAPITAL MGMT	030	AEO	В	100,000	12.41	n/a	12-Mar	4,000.00	4.0
ADAGE CAPITAL MGMT	030	ВЈ	В	200,000	31.83	n/a	27-Jul	8,000.00	4.0
NORTHPOINT	030	ВJ	S	8,400	31.82	n/a	27-Jul	336.00	4.0
VINIK ASSET MGMT.	030	ВЈ	S	65,000	31.67	n/a	27-Jul	1,950.00	3.0
ASCEND PARTNERS	033	BWA	SS	50,000	20.38	12-Mar	19-Mar	2,500.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	10,000	20.68	12-Mar	19-Mar	500.00	5.0
STRAUSS ASSET MGMT	040	CRNT	S	15,000	4.47	n/a	n/a	600.00	4.0
MORGENS WATERFALL	040	CRR	SS	16,800	29.00	5-Feb	17-Mar	504.00	3.0
DAVIDSON KEMPNER ADVISOR	040	CX	С	100,000	6.38	n/a	n/a	5,000.00	5.0
SANDLER O'NEILL ASSET	031	DFS	В	50,400	6.28	n/a	1-Apr	1,512.00	3.0
ADAGE CAPITAL MGMT	030	DKS	В	16,906	14.27	24-Mar	24-Mar	676.24	4.0
ARAGON GLOBAL	041	DLTR	S	33,600	43.79	10-Feb	6-Mar	1,680.00	5.0
AVESTA CAP	229	DLTR	В	25,000	43.89	10-Feb	6-Mar	1,000.00	4.0
SENVEST PART	045	DSW	SS	20,000	9.96	24-Mar	25-Mar	1,000.00	5.0

RR #	Symbol	B/S	Shares	Price	MRT	Research	Comm	:/Shr	
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044	ELY	SS	25,000	7.32	n/a	n/a	1,000.00	4.0	
040	FIS	В	184,219	17.23	n/a	n/a	7,368.76	4.0	
001	GES	В	10,000	20.68	n/a	n/a	400.00	4.0	
031	GHL	SS	20,000	77.19	n/a	n/a	800.00	4.0	
030	GIL	S	60,900	7.96	11-Dec	12-Feb	3,045.00	5.0	
035	GPS	В	12,000	13.29	n/a	30-Jan	600.00	5.0	
028	GT	S	30,000	6.39	n/a	n/a	1,200.00	4.0	
030	IBI	В	275	8.41	n/a	n/a	13.75	5.0	
030	IFF	В	125	30.92	21-Jan	4-Mar	6.25	5.0	
028	IR	В	40,000	13.88	n/a	n/a	2,000.00	5.0	
030	JCP	В	75	20.46	30-Mar	30-Mar	3.75	5.0	
030	KNSY	В	125	20.58	n/a	n/a	6.25	5.0	
045	LAZ	SS	15,000	28.68	n/a	1-Apr	600.00	4.0	
048	LAZ	S	25 , 799	29.21	n/a	1-Apr	1,031.96	4.0	
030	LOW	S	250,000	18.04	31-Mar	31-Mar	10,000.00	4.0	
040	MET	В	183 , 579	23.00	n/a	n/a	7,343.16	4.0	
	040 001 031 030 035 028 030 030 030 045 048 030	044 ELY 040 FIS 001 GES 031 GHL 030 GIL 035 GPS 028 GT 030 IBI 030 IFF 028 IR 030 JCP 030 KNSY 045 LAZ 048 LAZ	044 ELY SS 040 FIS B 001 GES B 031 GHL SS 030 GIL S 035 GPS B 030 IBI B 030 IFF B 030 JCP B 030 KNSY B 045 LAZ SS 045 LAZ S 048 LAZ S 030 LOW S	044 ELY SS 25,000 040 FIS B 184,219 001 GES B 10,000 031 GHL SS 20,000 030 GIL S 60,900 035 GPS B 12,000 030 IBI B 275 030 IFF B 125 028 IR B 40,000 030 JCP B 75 030 KNSY B 125 045 LAZ SS 15,000 048 LAZ S 250,000 030 LOW S 250,000	044 ELY SS 25,000 7.32 040 FIS B 184,219 17.23 001 GES B 10,000 20.68 031 GHL SS 20,000 77.19 030 GIL S 60,900 7.96 035 GPS B 12,000 13.29 028 GT S 30,000 6.39 030 IBI B 275 8.41 030 IFF B 125 30.92 028 IR B 40,000 13.88 030 JCP B 75 20.46 030 KNSY B 125 20.58 045 LAZ SS 15,000 28.68 048 LAZ S 25,799 29.21 030 LOW S 250,000 18.04	044 ELY SS 25,000 7.32 n/a 040 FIS B 184,219 17.23 n/a 001 GES B 10,000 20.68 n/a 031 GHL SS 20,000 77.19 n/a 030 GIL S 60,900 7.96 11-Dec 035 GPS B 12,000 13.29 n/a 028 GT S 30,000 6.39 n/a 030 IBI B 275 8.41 n/a 030 IFF B 125 30.92 21-Jan 028 IR B 40,000 13.88 n/a 030 JCP B 75 20.46 30-Mar 030 KNSY B 125 20.58 n/a 045 LAZ SS 15,000 28.68 n/a 048 LAZ S 25,799 29.21	044 ELY SS 25,000 7.32 n/a n/a 040 FIS B 184,219 17.23 n/a n/a 001 GES B 10,000 20.68 n/a n/a 031 GHL SS 20,000 77.19 n/a n/a 030 GIL S 60,900 7.96 11-Dec 12-Feb 035 GPS B 12,000 13.29 n/a 30-Jan 028 GT S 30,000 6.39 n/a n/a 030 IBI B 275 8.41 n/a n/a 030 IFF B 125 30.92 21-Jan 4-Mar 028 IR B 40,000 13.88 n/a n/a 030 JCP B 75 20.46 30-Mar 30-Mar 030 KNSY B 125 20.58 n/a n/a 1-Apr <td>044 ELY SS 25,000 7.32 n/a n/a 1,000.00 040 FIS B 184,219 17.23 n/a n/a 7,368.76 001 GES B 10,000 20.68 n/a n/a 400.00 031 GHL SS 20,000 77.19 n/a n/a 800.00 030 GIL S 60,900 7.96 11-Dec 12-Feb 3,045.00 035 GPS B 12,000 13.29 n/a 30-Jan 600.00 028 GT S 30,000 6.39 n/a n/a 1,200.00 030 IBI B 275 8.41 n/a n/a 4-Mar 6.25 028 IR B 40,000 13.88 n/a n/a 2,000.00 030 JCP B 75 20.46 30-Mar 30-Mar 3.75 031 LAZ SS <</td> <td>044 ELY SS 25,000 7.32 n/a n/a 1,000.00 4.0 040 FIS B 184,219 17.23 n/a n/a 7,368.76 4.0 001 GES B 10,000 20.68 n/a n/a 400.00 4.0 031 GHL SS 20,000 77.19 n/a n/a 800.00 4.0 030 GIL S 60,900 7.96 11-Dec 12-Feb 3,045.00 5.0 035 GPS B 12,000 13.29 n/a 30-Jan 600.00 5.0 028 GT S 30,000 6.39 n/a n/a 1,200.00 4.0 030 IBI B 275 8.41 n/a n/a 4-Mar 6.25 5.0 028 IR B 125 30.92 21-Jan 4-Mar 6.25 5.0 030 JCP B 75<!--</td--></td>	044 ELY SS 25,000 7.32 n/a n/a 1,000.00 040 FIS B 184,219 17.23 n/a n/a 7,368.76 001 GES B 10,000 20.68 n/a n/a 400.00 031 GHL SS 20,000 77.19 n/a n/a 800.00 030 GIL S 60,900 7.96 11-Dec 12-Feb 3,045.00 035 GPS B 12,000 13.29 n/a 30-Jan 600.00 028 GT S 30,000 6.39 n/a n/a 1,200.00 030 IBI B 275 8.41 n/a n/a 4-Mar 6.25 028 IR B 40,000 13.88 n/a n/a 2,000.00 030 JCP B 75 20.46 30-Mar 30-Mar 3.75 031 LAZ SS <	044 ELY SS 25,000 7.32 n/a n/a 1,000.00 4.0 040 FIS B 184,219 17.23 n/a n/a 7,368.76 4.0 001 GES B 10,000 20.68 n/a n/a 400.00 4.0 031 GHL SS 20,000 77.19 n/a n/a 800.00 4.0 030 GIL S 60,900 7.96 11-Dec 12-Feb 3,045.00 5.0 035 GPS B 12,000 13.29 n/a 30-Jan 600.00 5.0 028 GT S 30,000 6.39 n/a n/a 1,200.00 4.0 030 IBI B 275 8.41 n/a n/a 4-Mar 6.25 5.0 028 IR B 125 30.92 21-Jan 4-Mar 6.25 5.0 030 JCP B 75 </td

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WHITE PINE CAPITAL	030	MI	В	400	5.94	n/a	n/a	20.00	5.0
REINHART & MAHONEY	031	MMM	В	450	49.03	8-Dec	17-Mar	22.50	5.0
WHITE PINE CAPITAL	030	MMR	В	450	4.59	n/a	n/a	18.00	4.0
DARUMA ASSET MGMT INC	034	NP	S	50,000	3.49	13-Mar	13-Mar	2,500.00	5.0
WHITE PINE CAPITAL	030	OME	В	325	2.61	n/a	n/a	6.50	2.0
MILLRACE FUND LP	028	PAG	SS	5,000	9.31	n/a	18-Feb	150.00	3.0
RAMIUS CAP	040	PCH	S	51,550	22.63	n/a	26-Feb	2,062.00	4.0
RAMIUS CAP	040	PCL	В	55 , 075	29.28	n/a	5-Feb	2,203.00	4.0
NEWCASTLE FUNDS	033	PFCB	С	25 , 900	21.93	8-Jan	12-Feb	1,036.00	4.0
REINHART & MAHONEY	031	PFE	S	2,100	13.50	n/a	31-Mar	105.00	5.0
DADA	035	PFG	В	60,560	8.00	n/a	n/a	2,422.40	4.0
JP MORGAN VENTURES	046	PVH	В	20,000	22.55	27-Mar	27-Mar	1,000.00	5.0
SCOPUS FUND	041	PVH	S	48,000	22.53	27-Mar	27-Mar	2,400.00	5.0
NWQ INVESTMENT MGMT CO	048	RDEN	В	12,000	6.00	12-Feb	12-Feb	360.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	41.00	n/a	5-Feb	400.00	4.0
JP MORGAN VENTURES	046	RL	SS	20,000	42.56	n/a	5-Feb	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
SIGMA CAPITAL ASSOCIATES	041	ROST	S	25,000	36.04	n/a	n/a	1,250.00	5.0
SENVEST PART	045	RVI	S	33,600	1.79	n/a	n/a	1,008.00	3.0
KENNEDY CAPITAL	046	SFD	В	2,850	9.52	n/a	n/a	85.50	3.0
CASTLEROCK	040	SHW	В	40,896	51.46	31-Mar	31-Mar	1,635.84	4.0
THIRD COAST CAPITAL	035	SKS	В	35,000	2.00	n/a	n/a	700.00	2.0
PRINCIPLE CAPITAL	040	TIF	В	41,400	21.67	n/a	30-Jan	1,242.00	3.0
SUN AMERICA ASSET MGMT	030	TRV	В	25,000	41.14	n/a	n/a	1,000.00	4.0
TPG-AXON	040	VZ	SS	50,000	30.84	n/a	4-Jan	2,500.00	5.0
CATAPULT	040	WFC	SS	33,000	14.77	n/a	n/a	1,650.00	5.0
HOLLIS CAPITAL	033	WFC	В	5,000	14.84	n/a	n/a	250.00	5.0
ADAGE CAPITAL MGMT	030	WSM	В	200,000	10.44	n/a	n/a	8,000.00	4.0
MOORE CAPITAL	036	WYE	В	50,000	42.67	n/a	31-Mar	2,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	XLF	С	50,000	8.69	n/a	n/a	2,500.00	5.0
NEWCASTLE FUNDS	033	YUM	S	105,000	28.08	n/a	5-Feb	4,200.00	4.0

TOTAL (Trade Date): 113,483.86

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CRT	04/01	ADAGE CAPITAL MGMT (ADAGESHORT)	030	ВЈ	В	200,000	31.83	n/a	27-Jul	8000.00	4.0
AO,	03/31	BARON ASSET MGMT* (BAROING)	012	JCG	В	7,345	12.95	n/a	30-Jan	293.80	4.0
AO,CXL	03/31	BARON ASSET MGMT* (BAROINGASS)	012	JCG	В	7,345	12.95	n/a	30-Jan	293.80	4.0
AO,CXL	03/31	CRAMER ROSENTHAL/SCOTT (CRSB3240)	012	MUR	В	100	45.61	n/a	n/a	4.00	4.0
AO,	03/31	CRAMER ROSENTHAL/SCOTT (CRSB3404)	012	MUR	В	100	45.61	n/a	n/a	4.00	4.0
CRT	04/01	JP MORGAN VENTURES (JPMVJPM)	046	RL	SS	20,000	42.56	n/a	5-Feb	1000.00	5.0
AO,CXL	03/31	CHART WELL ADV (CHATZC009)	028	WRC	В	56 , 800	23.96	27-Mar	27-Mar	2272.00	4.0
AO,	03/31	CHART WELL ADV (CHATZC009)	028	WRC	В	165	23.96	27-Mar	27-Mar	6.60	4.0
AO,	03/31	CHART WELL ADV (CHATZC028)	028	WRC	В	185	23.96	27-Mar	27-Mar	7.40	4.0
AO,	03/31	CHART WELL ADV (CHAT327)	028	WRC	В	965	23.96	27-Mar	27-Mar	38.60	4.0
AO,	03/31	CHART WELL ADV (CHAT331)	028	WRC	В	120	23.96	27-Mar	27-Mar	4.80	4.0
AO,	03/31	CHART WELL ADV (CHAT385)	028	WRC	В	2,380	23.96	27-Mar	27-Mar	95.20	4.0
AO,	03/31	CHART WELL ADV (CHAT386)	028	WRC	В	230	23.96	27-Mar	27-Mar	9.20	4.0
AO,	03/31	CHART WELL ADV (CHAT376)	028	WRC	В	52,755	23.96	27-Mar	27-Mar	2110.20	4.0
AO,	03/31	AELTUS/ING IVESTMENT MGT (AELTIGIF)	215	WW	В	91,800	49.84	n/a	n/a	3213.00	3.5
AO,CXL	03/31	AELTUS/ING IVESTMENT MGT (AELTAIMEL)	215	WW	В	91,800	49.84	n/a	n/a	3213.00	3.5

TOTAL	(AO, CXL	, CRT):	9,000.00
TOTAL	(AU, CAL	i, CRI).	9,000.00

TOTAL (Trade Date):

113,483.86

TOTAL (AO, CXL, CRT):

9,000.00

TOTAL (RUN DATE) / NFS: 122,483.86

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