



## Daily Compliance Activity Report

Trade Date: 04/21/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AA	S	50,000	8.18	n/a	n/a	2,000.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>AA</b>	<b>B</b>	<b>50,000</b>	<b>8.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>AA</b>	<b>SS</b>	<b>50,000</b>	<b>8.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ALV	SS	5,000	21.26	12-Mar	20-Apr	250.00	5.0
JAT CAPITAL MANAGEMENT	041	ATVI	SS	111,000	10.15	n/a	n/a	4,440.00	4.0
RBC CAPITAL MARKETS	034	BJ	B	10,000	31.02	n/a	27-Jul	400.00	4.0
COUGAR TRADING	044	BWA	SS	5,000	23.55	12-Mar	20-Apr	250.00	5.0
NEWCASTLE FUNDS	033	BWA	B	25,000	24.30	12-Mar	20-Apr	1,000.00	4.0
MILLENIUM PARTNERS	028	BYD	S	120,000	5.57	28-Jan	28-Feb	4,800.00	4.0
SANDLER CAPITAL	038	CAT	SS	80,000	29.21	n/a	13-Apr	4,800.00	6.0
JP MORGAN VENTURES	046	CHIC	S	75,000	12.30	n/a	n/a	3,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>50,000</b>	<b>20.88</b>	<b>9-Jan</b>	<b>3-Apr</b>	<b>2,000.00</b>	<b>4.0</b>
ENTRUST CAPITAL	040	COH	B	34,000	20.72	9-Jan	3-Apr	1,700.00	5.0
S.A.C. CAP/ORENSTEIN	044	DD	SS	50,000	27.23	n/a	21-Apr	2,000.00	4.0
AVESTA CAP	229	DIS	SS	50,000	19.41	n/a	n/a	2,000.00	4.0
CARDINAL CAPITAL	044	DM	B	1,600	10.35	n/a	n/a	80.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAP/ORENSTEIN	044	DOW	B	132,037	11.60	n/a	2-Apr	5,281.48	4.0
CATAPULT	040	EXPD	S	29,100	31.63	n/a	n/a	1,455.00	5.0
BALYASNY ASSET MGMT	044	FDO	SS	20,000	33.26	5-Mar	8-Apr	1,000.00	5.0
NEWCASTLE FUNDS	033	FDX	B	25,000	51.80	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	FII	S	25,000	21.72	30-Mar	21-Apr	1,250.00	5.0
MERRILL ASSET	032	FLO	S	18,300	24.28	n/a	n/a	823.50	4.5
NOMURA CAPITAL	045	F	S	75,000	3.74	n/a	20-Apr	1,500.00	2.0
SIGMA CAPITAL ASSOCIATES	041	GES	S	25,000	23.40	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	GNTX	SS	5,000	11.10	30-Jan	20-Apr	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GPS	S	65,000	14.65	n/a	30-Jan	3,250.00	5.0
WAGONHOUND/NIC	048	GYMB	S	4,510	30.51	9-Apr	13-Apr	180.40	4.0
BMO NESBITT BURNS	041	IP	B	100,000	8.46	n/a	20-Apr	5,000.00	5.0
STELLIAM INV ADV	040	JAVA	S	50,000	9.20	n/a	n/a	1,500.00	3.0
THE JAY GOLDMAN	034	JCP	B	20,000	25.81	13-Apr	13-Apr	800.00	4.0
KLEINHEINZ CAP PART	031	JWN	SS	100,000	20.69	20-Feb	13-Apr	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	KIM	S	112,900	10.10	n/a	n/a	5,080.50	4.5
BUCK CAPITAL MGMT	001	LOW	B	30,000	20.02	31-Mar	31-Mar	1,200.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	10.44	8-Jan	30-Jan	2,000.00	4.0
AVESTA CAP	229	MAC	B	100,000	14.10	n/a	n/a	4,000.00	4.0
TRELLUS PARTNERS LP	028	MGA	SS	10,000	33.95	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	MJN	S	40,000	26.48	n/a	n/a	2,000.00	5.0
DALTON GREINER	012	MLI	S	9,800	22.87	n/a	16-Apr	490.00	5.0
STADIA CAPITAL	035	MSFT	S	46,200	18.90	n/a	3-Apr	1,848.00	4.0
BUCK CAPITAL MGMT	001	M	S	240,000	11.87	n/a	13-Apr	9,600.00	4.0
RDK CAPITAL MGMT	034	M	SS	25,000	11.62	n/a	13-Apr	1,000.00	4.0
THE JAY GOLDMAN	034	M	SS	40,000	12.31	n/a	13-Apr	1,600.00	4.0
CHARTER OAK	033	PAG	B	40,000	10.95	n/a	20-Apr	2,000.00	5.0
BASIX	033	PKG	B	32,100	14.92	8-Apr	21-Apr	963.00	3.0
MILLENIUM PARTNERS	028	PKG	S	15,000	14.52	8-Apr	21-Apr	750.00	5.0
CATAPULT	040	PNR	B	32,000	22.97	n/a	n/a	1,600.00	5.0
JP MORGAN VENTURES	046	PSUN	B	25,000	2.92	6-Feb	6-Feb	750.00	3.0
BAIRD INVESTMENT	031	PVH	B	8,875	27.56	20-Apr	20-Apr	443.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	RL	B	10,000	49.14	n/a	16-Apr	500.00	5.0
RBC CAPITAL MARKETS	034	ROST	S	15,000	39.09	n/a	n/a	600.00	4.0
JP MORGAN VENTURES	046	SKX	B	30,000	8.17	n/a	13-Mar	900.00	3.0
OMEGA ADVISORS	041	SLM	S	512,100	4.80	27-Feb	16-Apr	15,363.00	3.0
TRELLUS PARTNERS LP	028	SUP	SS	25,000	14.15	27-Feb	27-Feb	1,250.00	5.0
BAIRD INVESTMENT	031	SWN	B	14,450	32.43	27-Feb	21-Apr	722.50	5.0
MERRILL ASSET	032	THS	S	31,600	27.04	n/a	n/a	1,422.00	4.5
MILLENIUM PARTNERS	028	TIN	B	25,000	6.82	5-Dec	20-Apr	1,250.00	5.0
WAGONHOUND/NIC	048	TNA	S	100,000	20.49	n/a	n/a	3,000.00	3.0
NEWCASTLE FUNDS	033	TNB	B	50,000	28.69	n/a	n/a	2,000.00	4.0
JAT CAPITAL MANAGEMENT	041	TTWO	B	137,000	9.04	n/a	n/a	4,110.00	3.0
NOMURA CAPITAL	045	TWC	S	1,272	28.05	n/a	4-Jan	50.88	4.0
WASHINGTON ASSET	048	T	S	8,000	25.36	n/a	4-Jan	400.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>20,000</b>	<b>27.68</b>	<b>20-Apr</b>	<b>20-Apr</b>	<b>800.00</b>	<b>4.0</b>
TROUBH PART	067	YHOO	S	25,000	14.54	n/a	n/a	1,250.00	5.0

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**TOTAL (Trade Date):**

**128,454.01**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/20	ROTHSCHILD ASSET (ROTH100270)	040	BAX	B	550	51.00	n/a	22-Apr	24.75 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100270)	040	DNB	B	350	80.57	n/a	n/a	15.75 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100270)	040	M	B	2,290	12.02	n/a	13-Apr	103.05 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH231)	040	MON	S	98	77.98	n/a	2-Apr	4.41 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH2371)	040	MON	S	38	77.98	n/a	2-Apr	1.71 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH211)	040	MON	S	34	77.98	n/a	2-Apr	1.53 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH212)	040	MON	S	21	77.98	n/a	2-Apr	0.95 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH563)	040	MON	S	270	77.98	n/a	2-Apr	12.15 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH510)	040	MON	S	600	77.98	n/a	2-Apr	27.00 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH232)	040	MON	S	91	77.98	n/a	2-Apr	4.10 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100190)	040	MON	S	1,320	77.98	n/a	2-Apr	59.40 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH478)	040	MON	S	830	77.98	n/a	2-Apr	37.35 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH4741)	040	MON	S	120	77.98	n/a	2-Apr	5.40 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH474)	040	MON	S	660	77.98	n/a	2-Apr	29.70 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH465)	040	MON	S	1,180	77.98	n/a	2-Apr	53.10 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH3002)	040	MON	S	17,380	77.98	n/a	2-Apr	782.10 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH352)	040	MON	S	1,740	77.98	n/a	2-Apr	78.30 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100290)	040	MON	S	2,290	77.98	n/a	2-Apr	103.05 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH202)	040	MON	S	175	77.98	n/a	2-Apr	7.88 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH233)	040	MON	S	54	77.98	n/a	2-Apr	2.43 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH2351)	040	MON	S	18	77.98	n/a	2-Apr	0.81 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH900)	040	PBG	S	390	30.38	n/a	n/a	17.55 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH301)	040	PBG	S	3,410	30.38	n/a	n/a	153.45 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100270)	040	UPS	B	830	53.25	n/a	n/a	37.35 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/20	ROTHSCHILD ASSET (ROTH100270)	040	WDC	B	400	21.22	n/a	n/a	18.00 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100280)	040	WDC	B	770	21.22	n/a	n/a	34.65 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100230)	040	WDC	B	39	21.22	n/a	n/a	1.76 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100250)	040	WDC	B	520	21.22	n/a	n/a	23.40 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100260)	040	WDC	B	510	21.22	n/a	n/a	22.95 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100200)	040	WDC	B	760	21.22	n/a	n/a	34.20 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100170)	040	WDC	B	390	21.22	n/a	n/a	17.55 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100150)	040	WDC	B	260	21.22	n/a	n/a	11.70 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100120)	040	WDC	B	71	21.22	n/a	n/a	3.20 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100100)	040	WDC	B	41	21.22	n/a	n/a	1.85 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH316)	040	WDC	B	1,500	21.22	n/a	n/a	67.50 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100160)	040	WDC	B	310	21.22	n/a	n/a	13.95 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100110)	040	WDC	B	210	21.22	n/a	n/a	9.45 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH357)	040	WDC	B	980	21.22	n/a	n/a	44.10 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100180)	040	WDC	B	13,450	21.22	n/a	n/a	605.25 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH000328)	040	WDC	B	370	21.22	n/a	n/a	16.65 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH3841)	040	WDC	B	380	21.22	n/a	n/a	17.10 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH384)	040	WDC	B	850	21.22	n/a	n/a	38.25 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH3793)	040	WDC	B	390	21.22	n/a	n/a	17.55 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH3762)	040	WDC	B	1,280	21.22	n/a	n/a	57.60 4.5
AO,CXL	04/16	CANTILLON CAPITAL (CANTSTATES)	040	WSH	B	13,800	23.26	n/a	n/a	690.00 5.0
AO,CRT	04/16	CANTILLON CAPITAL (CANTSTATES)	040	WSH	B	13,800	23.26	n/a	n/a	552.00 4.0
AO,CXL	04/16	CANTILLON CAPITAL (CANTVALLP)	040	WSH	B	16,100	23.26	n/a	n/a	805.00 5.0
AO,CRT	04/16	CANTILLON CAPITAL (CANTVALLP)	040	WSH	B	16,100	23.26	n/a	n/a	644.00 4.0
AO,CXL	04/16	CANTILLON CAPITAL (CANTESB)	040	WSH	B	17,400	23.26	n/a	n/a	870.00 5.0
AO,CRT	04/16	CANTILLON CAPITAL (CANTESB)	040	WSH	B	17,400	23.26	n/a	n/a	696.00 4.0
AO,CXL	04/16	CANTILLON CAPITAL (CANTVALUE)	040	WSH	B	53,700	23.26	n/a	n/a	2685.00 5.0
AO,CRT	04/16	CANTILLON CAPITAL (CANTVALUE)	040	WSH	B	53,700	23.26	n/a	n/a	2148.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/20	ROTHSCHILD ASSET (ROTH100290)	040	XOM	S	840	65.36	n/a	n/a	37.80 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH100190)	040	XOM	S	500	65.36	n/a	n/a	22.50 4.5
AO,	04/20	ROTHSCHILD ASSET (ROTH352)	040	XOM	S	610	65.36	n/a	n/a	27.45 4.5

**TOTAL (AO, CXL, CRT) :** **1,697.68**

TOTAL (Trade Date): 128,454.01  
TOTAL (AO, CXL, CRT): 1,697.68

**TOTAL (RUN DATE) / NFS:** **130,151.69**



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