



## Daily Compliance Activity Report

Trade Date: 04/14/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	20,000	13.60	8-Apr	13-Apr	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ANF	S	39,350	22.61	n/a	6-Feb	1,377.25	3.5
WOOSTER CAPITAL	035	AN	SS	50,000	15.77	30-Jan	30-Jan	2,500.00	5.0
MACKLOWE ASSET MGMT	041	ARO	B	15,000	30.17	n/a	13-Apr	750.00	5.0
PENNANT CAP MGMT	029	ARO	B	270,000	29.99	n/a	13-Apr	8,100.00	3.0
PZENA INV ADV	044	AVP	B	56,275	20.88	25-Feb	30-Mar	1,969.64	3.5
MTB INV ADV	034	AWP	B	11,500	3.42	n/a	n/a	345.00	3.0
TRUST CO/COWEN/CALF.	040	AXP	B	69,140	19.02	n/a	14-Apr	2,765.60	4.0
SYSTEMATIC FINANCIAL MGT	035	BBY	B	66,400	39.63	n/a	27-Jul	2,324.02	3.5
BALYASNY ASSET MGMT	044	BJ	C	20,000	31.11	n/a	27-Jul	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	CCK	B	25,000	22.03	n/a	n/a	1,250.00	5.0
ROSEDALE CAPITAL	046	CIT	S	25,000	4.30	22-Jan	8-Apr	1,250.00	5.0
MTB INV ADV	034	EFA	B	860	40.60	n/a	n/a	25.80	3.0
BUCK CAPITAL MGMT	001	FO	SS	20,000	33.52	n/a	n/a	800.00	4.0
PHILADELPHIA FINANCIAL	033	GBL	C	10,659	39.43	n/a	7-Apr	426.36	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	GBL	SS	1	39.50	n/a	7-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	20,000	22.15	n/a	n/a	800.00	4.0
WEISS PECK	040	GIL	S	167,530	10.79	11-Dec	14-Apr	8,376.50	5.0
OMEGA ADVISORS	041	HTS	S	60,000	24.22	n/a	n/a	1,800.00	3.0
MTB INV ADV	034	IGR	B	10,600	3.78	n/a	n/a	318.00	3.0
SOUTH POINT CAP	067	IYH	SS	29,400	49.45	n/a	n/a	1,470.00	5.0
BALYASNY ASSET MGMT	044	JCG	C	30,000	15.91	n/a	30-Jan	1,500.00	5.0
RBC CAPITAL MARKETS	034	JCP	S	20,000	25.62	13-Apr	13-Apr	800.00	4.0
TRUST CO/COWEN/CALF.	040	JLL	B	9,900	28.92	n/a	n/a	495.00	5.0
GRANITE CAPITAL	045	JPM	S	10,000	32.53	16-Jan	13-Apr	500.00	5.0
THE JAY GOLDMAN	034	JWN	B	20,000	21.25	20-Feb	13-Apr	800.00	4.0
RBC CAPITAL MARKETS	034	KSS	SS	10,000	43.54	30-Mar	13-Apr	400.00	4.0
1798 CAPITAL MGMT	040	MCD	C	15,000	54.91	n/a	13-Apr	750.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	10,000	34.18	n/a	n/a	500.00	5.0
CHILTON CAPITAL MGMT.	036	MRVL	S	100,000	10.34	n/a	n/a	3,000.00	3.0
WOOSTER CAPITAL	035	M	SS	100,000	12.10	n/a	13-Apr	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OMEGA ADVISORS	041	NLY	S	130,600	13.98	n/a	n/a	3,918.00	3.0
CR INTRINIC INVESTMENT	044	NTY	B	1,200	17.60	n/a	n/a	60.00	5.0
PERMIAN/BAYPIONT	028	PAG	B	50,000	10.93	n/a	18-Feb	2,000.00	4.0
TRELLUS PARTNERS LP	028	PCAR	SS	15,000	31.04	25-Mar	25-Mar	750.00	5.0
CSFB GLOBAL PROPRIETARY SCOPUS FUND	041	PKG	SS	10,000	13.21	8-Apr	8-Apr	500.00	5.0
	041	PKG	SS	45,000	13.32	8-Apr	8-Apr	2,250.00	5.0
WAGONHOUND/NIC	048	PLCE	C	16,323	24.26	19-Mar	13-Apr	652.92	4.0
MILLRACE FUND LP	028	PRX	B	10,000	11.28	14-Apr	14-Apr	300.00	3.0
MERRILL ASSET	032	PSS	B	1,489	10.50	n/a	n/a	67.01	4.5
ASCEND PARTNERS	033	PVH	B	20,000	25.34	27-Mar	27-Mar	1,000.00	5.0
IRONBOUND CAPITAL	012	PX	SS	82,700	68.41	30-Mar	30-Mar	4,135.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>20,000</b>	<b>50.16</b>	<b>n/a</b>	<b>5-Feb</b>	<b>800.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	ROST	B	20,000	39.14	n/a	n/a	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	SS	25,000	20.15	n/a	27-Jul	1,250.00	5.0
SOUTH POINT CAP	067	SPY	B	17,000	84.72	n/a	n/a	850.00	5.0
OMEGA ADVISORS	041	TBT	S	20,000	44.40	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	TIF	S	50,000	23.53	n/a	30-Jan	2,500.00	5.0
BMO NESBITT BURNS	041	TIN	SS	30,000	6.20	5-Dec	8-Apr	1,500.00	5.0
COUGAR TRADING	044	TJX	B	5,000	27.19	n/a	13-Apr	250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	TOT	S	7,600	47.94	n/a	n/a	304.00	4.0
PRINCIPLE CAPITAL	040	WSO	S	100,600	38.50	n/a	n/a	3,018.00	3.0
RDK CAPITAL MGMT	034	YUM	B	25,000	29.86	n/a	3-Apr	1,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>80,898.10</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTPPF08)	215	FLS	S	300	63.06	n/a	n/a	9.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTBALPEL)	215	FLS	S	6,100	63.06	n/a	n/a	183.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTBALFEL)	215	FLS	S	1,300	63.06	n/a	n/a	39.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTSEP465)	215	FLS	S	300	63.06	n/a	n/a	9.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTLUXNA)	215	FLS	S	3,100	63.06	n/a	n/a	93.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTSEP588)	215	FLS	S	1,000	63.06	n/a	n/a	30.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTSEP596)	215	FLS	S	30	63.06	n/a	n/a	0.90 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTIMSCI)	215	FLS	S	500	63.06	n/a	n/a	15.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTSEPCO3)	215	FLS	S	2,500	63.06	n/a	n/a	75.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTAIMSOU)	215	FLS	S	3,800	63.06	n/a	n/a	114.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTGIGAE)	215	FLS	S	2,900	63.06	n/a	n/a	87.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTPTCAD)	215	FLS	S	600	63.06	n/a	n/a	18.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTBRICK7)	215	FLS	S	200	63.06	n/a	n/a	6.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTPLCF)	215	FLS	S	7,700	63.06	n/a	n/a	231.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTPLCP)	215	FLS	S	17,700	63.06	n/a	n/a	531.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTBERMUQ)	215	FLS	S	16	63.06	n/a	n/a	0.48 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTAIMHOW)	215	FLS	S	100	63.06	n/a	n/a	3.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTAIMEL)	215	FLS	S	600	63.06	n/a	n/a	18.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTLUXECL)	215	FLS	S	500	63.06	n/a	n/a	15.00 3.0
AO,	04/13	REINHART & MAHONEY (REINHENLJT)	031	LDSH	S	950	8.45	n/a	n/a	47.50 5.0
AO,	04/13	REINHART & MAHONEY (REINCS64SC)	031	LDSH	S	2,100	8.45	n/a	n/a	105.00 5.0
AO,	04/13	REINHART & MAHONEY (REINSETLSM)	031	LDSH	S	470	8.45	n/a	n/a	23.50 5.0
AO,	04/13	REINHART & MAHONEY (REINNGLSM)	031	LDSH	S	1,650	8.45	n/a	n/a	82.50 5.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTPLCF)	215	SCHW	B	29,400	17.02	n/a	n/a	882.00 3.0
AO,	04/13	AELTUS/ING IVESTMENT MGT (AELTPLCP)	215	SCHW	B	67,700	17.02	n/a	n/a	2031.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBERMUQ)	215	SCHW	B	60	17.02	n/a	n/a	1.80 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMHOW)	215	SCHW	B	400	17.02	n/a	n/a	12.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMEL)	215	SCHW	B	2,300	17.02	n/a	n/a	69.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTLUXECL)	215	SCHW	B	1,900	17.02	n/a	n/a	57.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPPF08)	215	SCHW	B	1,200	17.02	n/a	n/a	36.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBALPEL)	215	SCHW	B	23,400	17.02	n/a	n/a	702.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBALFEL)	215	SCHW	B	4,900	17.02	n/a	n/a	147.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP465)	215	SCHW	B	1,300	17.02	n/a	n/a	39.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTLUXNA)	215	SCHW	B	11,700	17.02	n/a	n/a	351.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP588)	215	SCHW	B	3,800	17.02	n/a	n/a	114.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP596)	215	SCHW	B	130	17.02	n/a	n/a	3.90 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTIMSCI)	215	SCHW	B	3,700	17.02	n/a	n/a	111.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTNNA_US)	215	SCHW	B	19,500	17.02	n/a	n/a	585.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEPCO3)	215	SCHW	B	9,500	17.02	n/a	n/a	285.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMSOU)	215	SCHW	B	14,400	17.02	n/a	n/a	432.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTGIGAE)	215	SCHW	B	11,000	17.02	n/a	n/a	330.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPTCAD)	215	SCHW	B	2,300	17.02	n/a	n/a	69.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBRICK7)	215	SCHW	B	600	17.02	n/a	n/a	18.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPPF08)	215	USB	B	1,100	18.00	n/a	n/a	33.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBALPEL)	215	USB	B	22,500	18.00	n/a	n/a	675.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBALFEL)	215	USB	B	4,700	18.00	n/a	n/a	141.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP465)	215	USB	B	1,000	18.00	n/a	n/a	30.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTLUXNA)	215	USB	B	11,300	18.00	n/a	n/a	339.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP588)	215	USB	B	2,900	18.00	n/a	n/a	87.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP596)	215	USB	B	100	18.00	n/a	n/a	3.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTIMSCI)	215	USB	B	3,500	18.00	n/a	n/a	105.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTNNA_US)	215	USB	B	18,700	18.00	n/a	n/a	561.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEPCO3)	215	USB	B	7,300	18.00	n/a	n/a	219.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMSOU)	215	USB	B	11,100	18.00	n/a	n/a	333.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTGIGAE)	215	USB	B	10,600	18.00	n/a	n/a	318.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPTCAD)	215	USB	B	2,300	18.00	n/a	n/a	69.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBRICK7)	215	USB	B	600	18.00	n/a	n/a	18.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPLCF)	215	USB	B	28,200	18.00	n/a	n/a	846.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPLCP)	215	USB	B	65,200	18.00	n/a	n/a	1956.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBERMUQ)	215	USB	B	50	18.00	n/a	n/a	1.50 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMHOW)	215	USB	B	300	18.00	n/a	n/a	9.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMEL)	215	USB	B	1,700	18.00	n/a	n/a	51.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTLUXECL)	215	USB	B	1,500	18.00	n/a	n/a	45.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPPF08)	215	VLO	S	900	20.65	n/a	n/a	27.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBALPEL)	215	VLO	S	18,900	20.65	n/a	n/a	567.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBALFEL)	215	VLO	S	3,900	20.65	n/a	n/a	117.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP465)	215	VLO	S	800	20.65	n/a	n/a	24.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTLUXNA)	215	VLO	S	9,500	20.65	n/a	n/a	285.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP588)	215	VLO	S	2,500	20.65	n/a	n/a	75.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEP596)	215	VLO	S	90	20.65	n/a	n/a	2.70 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTIMSCI)	215	VLO	S	4,400	20.65	n/a	n/a	132.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTNNA_US)	215	VLO	S	31,500	20.65	n/a	n/a	945.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTSEPCO3)	215	VLO	S	6,100	20.65	n/a	n/a	183.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMSOU)	215	VLO	S	9,300	20.65	n/a	n/a	279.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTGIGAE)	215	VLO	S	8,900	20.65	n/a	n/a	267.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPTCAD)	215	VLO	S	1,900	20.65	n/a	n/a	57.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBRICK7)	215	VLO	S	500	20.65	n/a	n/a	15.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPLCF)	215	VLO	S	23,700	20.65	n/a	n/a	711.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTPLCP)	215	VLO	S	54,700	20.65	n/a	n/a	1641.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTBERMUQ)	215	VLO	S	40	20.65	n/a	n/a	1.20 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMHOW)	215	VLO	S	300	20.65	n/a	n/a	9.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTAIMEL)	215	VLO	S	1,500	20.65	n/a	n/a	45.00 3.0
AO,	04/13	AELTUS/ING INVESTMENT MGT (AELTLUXECL)	215	VLO	S	1,200	20.65	n/a	n/a	36.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>19,269.98</b>
TOTAL (Trade Date) :									80,898.10
TOTAL (AO, CXL, CRT) :									19,269.98
<b>TOTAL (RUN DATE) / NFS :</b>									<b>100,168.08</b>



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