



Daily Compliance Activity Report

Trade Date: 05/28/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HEALTHCOR MGMT	038	AGN	B	100,000	43.39	24-Mar	27-May	5,000.00	5.0
WEISS PECK	040	ANF	SS	8,900	28.02	16-Apr	18-May	445.00	5.0
COLUMBIA PARTNERS	028	BDN	B	84,596	6.92	n/a	n/a	2,537.88	3.0
CIRCLE T/SES PART	035	BKC	SS	25,000	16.31	16-Apr	29-Apr	1,250.00	5.0
PLATTE RIVER CAPITAL	240	CHS	S	23,000	9.33	n/a	30-Jan	920.00	4.0
ROTHSCHILD ASSET	040	CMP	S	7,000	52.16	n/a	n/a	315.00	4.5
STELLIAM INV ADV	034	CTX	B	25,000	8.25	n/a	n/a	750.00	3.0
DALTON GREINER	012	DLTR	S	12,300	44.65	8-May	27-May	615.00	5.0
THIRD COAST CAPITAL	035	DSW	B	10,000	11.66	28-May	28-May	500.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	20,000	30.37	5-Mar	18-May	800.00	4.0
LISTED ERR	099	FRX	B	11,600	22.92	22-Apr	26-May	0.00	0.0
LISTED ERR	099	FRX	S	11,600	22.93	22-Apr	26-May	0.00	0.0
BMO NESBITT BURNS	041	F	B	50,000	5.43	n/a	12-May	2,500.00	5.0
SCOPUS FUND	041	F	B	50,000	5.44	n/a	12-May	2,500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	30,000	24.47	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	048	JBLU	B	16,200	4.36	n/a	n/a	486.00	3.0
BENCHMARK	028	JCG	SS	10,000	20.44	n/a	30-Jan	400.00	4.0
BASIX	033	JWN	SS	18,000	19.72	20-Feb	15-May	540.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	20.04	20-Feb	15-May	800.00	4.0
BNP PARIBAS SEC	040	KR	S	25,000	22.01	n/a	n/a	1,000.00	4.0
THE JAY GOLDMAN	034	KSS	B	15,000	42.87	8-May	15-May	600.00	4.0
CASTLE ARK	031	MET	B	120,150	30.91	n/a	n/a	7,209.00	6.0
BARCLEYS CAP (OLD LEHM)	041	M	SS	25,000	11.16	n/a	14-May	1,000.00	4.0
THE JAY GOLDMAN	034	M	S	50,000	11.42	n/a	14-May	2,000.00	4.0
CR INTRINIC INVESTMENT	044	PFE	S	39,000	14.63	n/a	31-Mar	1,950.00	5.0
MILLRACE FUND LP	028	PRX	S	27,000	13.17	6-May	26-May	810.00	3.0
BASIX	033	RL	SS	8,000	52.75	n/a	28-May	240.00	3.0
BUCK CAPITAL MGMT	001	RL	B	30,000	52.75	n/a	28-May	1,200.00	4.0
COUGAR TRADING	044	TJX	B	5,000	28.69	4-May	20-May	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TJX	S	50,000	28.94	4-May	20-May	2,000.00	4.0
COUGAR TRADING	044	UA	B	5,000	24.44	29-Apr	29-Apr	250.00	5.0
RAIL-SPLITTER	031	UA	B	19,100	23.72	29-Apr	29-Apr	955.00	5.0
AVESTA CAP	229	WMT	SS	100,000	49.42	11-May	14-May	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	WRC	S	5,000	30.54	13-May	13-May	250.00	5.0
TOTAL (Trade Date):								45,272.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/27	PEQUOT CAPITAL MGMT (PEQUMSPB)	070	BWA	B	26,900	31.68	1-May	1-May	1076.00 4.0
AO,CRT	05/27	GLENHILL CAPITAL (GLEHBSJPM)	212	DDUP	B	200,000	24.91	n/a	n/a	10000.00 5.0
AO,	05/27	GLENHILL CAPITAL (GLEHUBS)	212	DDUP	B	100,000	24.91	n/a	n/a	5000.00 5.0
AO,CXL	05/27	GLENHILL CAPITAL (GLEHGOLDMA)	212	DDUP	B	300,000	24.91	n/a	n/a	15000.00 5.0
AO,	05/27	MORGAN BANK /JPM (JPMB225660)	070	EMC	B	1,645	12.29	n/a	n/a	49.35 3.0
AO,CXL	05/27	MORGAN BANK /JPM (JPMB252552)	070	EMC	B	1,645	12.29	n/a	n/a	49.35 3.0
AO,	05/27	HEALTHCOR MGMT (HLTHMSPB)	038	FRX	B	75,000	23.06	22-Apr	26-May	3750.00 5.0
AO,CXL	05/27	HEALTHCOR MGMT (HLTHBOA)	038	FRX	B	75,000	23.06	22-Apr	26-May	3750.00 5.0
AO,	05/27	PEQUOT CAPITAL MGMT (PEQUMSPB)	070	HAR	B	44,400	18.90	12-Mar	1-May	1776.00 4.0
AO,	05/27	GLENHILL CAPITAL (GLEHBSJPM)	212	NTAP	B	70,400	19.45	n/a	n/a	3520.00 5.0
AO,	05/27	GLENHILL CAPITAL (GLEHUBS)	212	NTAP	B	69,246	19.45	n/a	n/a	3462.30 5.0
AO,CXL	05/27	GLENHILL CAPITAL (GLEHGOLDMA)	212	NTAP	B	210,000	19.45	n/a	n/a	10500.00 5.0
AO,CRT	05/27	GLENHILL CAPITAL (GLEHGOLDMA)	212	NTAP	B	70,354	19.45	n/a	n/a	3517.70 5.0
AO,CXL	05/27	CR INTRINIC INVESTMENT (CRINGSPB)	044	PRX	B	50,000	13.14	6-May	26-May	2500.00 5.0
AO,CRT	05/27	CR INTRINIC INVESTMENT (CRINGSPB)	044	PRX	B	50,000	13.14	6-May	26-May	2000.00 4.0
TOTAL (AO, CXL, CRT) :										2,352.00

TOTAL (Trade Date):	45,272.88
TOTAL (AO, CXL, CRT):	2,352.00

TOTAL (RUN DATE) / NFS:

47,624.88

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