



## Daily Compliance Activity Report

Trade Date: 06/17/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>10,000</b>	<b>34.06</b>	<b>n/a</b>	<b>5-Jun</b>	<b>400.00</b>	<b>4.0</b>
PILOT ROCK	028	ARO	SS	50,000	34.63	n/a	5-Jun	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AVP</b>	<b>SS</b>	<b>10,000</b>	<b>25.49</b>	<b>2-Jun</b>	<b>2-Jun</b>	<b>400.00</b>	<b>4.0</b>
<b>David Keidan</b>		<b>AXL</b>	<b>B</b>	<b>20000</b>	<b>2.9900</b>	<b>n/a</b>	<b>10-Jun</b>	<b>0.00</b>	<b>0.0</b>
NEWCASTLE FUNDS	255	AXL	B	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	B	10,000	12.51	11-May	17-Jun	500.00	5.0
PRINCIPLE CAPITAL	040	BECN	B	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	CAH	B	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	B	20,000	21.79	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	CGW	B	16,305	15.25	n/a	n/a	815.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>Õ David Keidan</b>		<b>CIT</b>	<b>B</b>	<b>20000</b>	<b>2.6900</b>	<b>23-Apr</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
US BANCORP	030	CL	B	89,623	69.67	8-Jun	8-Jun	4,481.15	5.0
NEWCASTLE FUNDS	255	CNW	B	10,000	31.00	n/a	n/a	400.00	4.0
<b>Õ David Keidan</b>		<b>COF</b>	<b>B</b>	<b>10000</b>	<b>21.9300</b>	<b>15-May</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	COH	B	250,000	25.86	n/a	22-Apr	10,000.00	4.0
SUN AMERICA ASSET MGMT	030	COP	B	20,000	42.34	n/a	n/a	800.00	4.0
ARCHON CAPITAL	035	CVA	B	87,700	15.99	n/a	n/a	2,631.00	3.0
IVORY CAPITAL	034	CVS	B	220,920	31.10	n/a	n/a	11,046.00	5.0
<b>Õ David Keidan</b>		<b>C</b>	<b>B</b>	<b>20000</b>	<b>3.0950</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	DFT	B	80,200	9.17	n/a	n/a	2,406.00	3.0
GREEN ARROW CAPITAL	040	DKS	B	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	B	1,000	12.31	n/a	n/a	50.00	5.0
EPOCH INV MGMT	030	FII	B	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	B	5,000	46.27	n/a	n/a	200.00	4.0
<b>Õ David Keidan</b>		<b>GIL</b>	<b>B</b>	<b>5000</b>	<b>15.8000</b>	<b>n/a</b>	<b>15-Jun</b>	<b>0.00</b>	<b>0.0</b>
PILOT ADV	038	GIL	B	37,000	15.72	n/a	15-Jun	1,480.00	4.0
SUN AMERICA ASSET MGMT	030	GME	B	17,800	23.17	n/a	n/a	712.00	4.0
HUNTER GLOBAL INVESTOR	067	HAL	S	25,200	22.03	n/a	n/a	1,260.00	5.0
FIRST NY SEC/CHRIS	041	IP	B	25,000	13.50	n/a	1-May	1,250.00	5.0
MILLENIUM PARTNERS	028	IP	B	20,000	13.93	n/a	1-May	1,000.00	5.0
NEWLAND CAPITAL MGT	067	IP	B	25,000	13.94	n/a	1-May	1,000.00	4.0
OZ MGMT	040	IP	B	61,538	13.62	n/a	1-May	1,846.14	3.0
SCOPUS FUND	041	IP	B	49,600	13.81	n/a	1-May	2,480.00	5.0
TRELLUS PARTNERS LP	028	IP	B	50,000	13.79	n/a	1-May	2,500.00	5.0
NEUBERGER BERMAN	036	ISLE	B	53,600	11.71	n/a	26-Jan	2,412.00	4.5
KACELA CAPITAL	034	JCP	B	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	7,550	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
<b>MKT MAKER</b>	<b>099</b>	<b>NCX</b>	<b>S</b>	<b>8</b>	<b>5.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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	B	13,000	27.01	n/a	n/a	520.00	4.0
AELTUS/ING INVESTMENT 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	25,500	50.19	5-Jun	5-Jun	1,275.00	5.0
PATTEN & PATTEN	067	PHO	B	14,105	14.53	n/a	n/a	705.25	5.0
SCOPUS FUND	041	PKG	B	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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>51.69</b>	<b>n/a</b>	<b>28-May</b>	<b>400.00</b>	<b>4.0</b>
REINHART & MAHONEY	031	RSG	S	27,955	22.63	n/a	n/a	1,397.75	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>SBUX</b>	<b>SS</b>	<b>100,000</b>	<b>13.90</b>	<b>20-Apr</b>	<b>30-Apr</b>	<b>4,000.00</b>	<b>4.0</b>
SANDELL ADV	040	SFD	B	31,217	10.41	n/a	n/a	1,248.68	4.0
JMP ASSET MGMT	210	SKS	B	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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>David Keidan</b>		<b>TEX</b>	<b>B</b>	<b>1000</b>	<b>12.8500</b>	<b>13-Feb</b>	<b>12-Jun</b>	<b>0.00</b>	<b>0.0</b>
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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>UA</b>	<b>SS</b>	<b>10,000</b>	<b>21.81</b>	<b>29-Apr</b>	<b>29-Apr</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	UA	B	5,000	21.95	29-Apr	29-Apr	250.00	5.0
BARCLEYS CAP (OLD LEHM)	041	URBN	B	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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>33.09</b>	<b>13-May</b>	<b>13-May</b>	<b>800.00</b>	<b>4.0</b>
CASEY CAPITAL	067	WRC	B	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	B	50,000	50.08	n/a	n/a	2,000.00	4.0
NEWCASTLE FUNDS	255	X	B	35,000	36.29	n/a	n/a	1,400.00	4.0
JMP ASSET MGMT	210	ZZRT	B	23,200	2.05	n/a	n/a	464.00	2.0

---

**TOTAL (Trade Date):**

**132,030.79**

---

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/16	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	CHD	B	105	51.27	27-Apr	14-May	5.25 5.0
AO,	06/16	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	CHD	B	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	B	1,800	11.21	n/a	26-Jan	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	132,030.79
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	132,030.79
-------------------------	------------

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