



Daily Compliance Activity Report

Trade Date: 06/09/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	AMD	B	200,000	4.77	n/a	n/a	10,000.00	5.0
SCOPUS FUND	041	AN	B	60,000	17.81	24-Apr	24-Apr	3,000.00	5.0
NEUBERGER BERMAN	036	ARD	S	47,700	35.24	n/a	n/a	2,146.50	4.5
MILLENIUM PARTNERS	028	BBBY	SS	36,520	29.43	n/a	n/a	1,460.80	4.0
STELLIAM INV ADV	034	BEAV	B	22,000	16.48	n/a	n/a	1,100.00	5.0
THIRD AVE MGMT	030	BRS	S	25,000	33.24	n/a	n/a	1,000.00	4.0
HOOVER INV. MGMT	033	BR	S	172,900	17.34	n/a	30-Jan	6,916.00	4.0
GRANAHAN INV	039	CMGB	S	2,500	73.90	n/a	n/a	100.00	4.0
PROSPECTOR PARTNERS LLC	036	CWEI	B	10,000	23.88	n/a	n/a	400.00	4.0
ARCC	035	DFT	B	35,000	9.05	n/a	n/a	1,050.00	3.0
AELTUS/ING INVESTMENT MGT	215	DOV	B	1,000	35.33	n/a	n/a	35.01	3.5
THIRD COAST CAPITAL	035	FL	SS	30,000	11.17	27-Apr	22-May	1,500.00	5.0
NEUBERGER BERMAN	036	GCA	B	115,200	7.03	n/a	n/a	3,456.00	3.0
BUCK CAPITAL MGMT	001	HBI	S	50,000	17.52	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING HOWARD	038	HOG	SS	20,000	16.29	n/a	n/a	800.00	4.0
THIRD AVE MGMT	030	HRLY	S	10,634	10.96	n/a	n/a	425.36	4.0
THIRD AVE MGMT	030	IIIN	S	327	8.84	n/a	n/a	13.08	4.0
MADISON ST PARTNERS LLC	046	INTC	B	30,000	16.49	n/a	n/a	1,500.00	5.0
BMO NESBITT BURNS	041	IP	B	50,000	14.49	n/a	1-May	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	14.52	n/a	1-May	1,000.00	5.0
SCOPUS FUND	041	IP	B	15,000	14.49	n/a	1-May	750.00	5.0
CHART WELL ADV	028	KSS	B	63,725	46.83	8-May	5-Jun	2,549.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	3,900	12.80	n/a	30-Jan	195.00	5.0
SAXON WOODS ADVISORS	038	MCD	S	148,600	59.28	n/a	8-Jun	5,944.00	4.0
EPOCH INV MGMT	030	MET	B	135,850	32.89	n/a	n/a	5,434.00	4.0
AELTUS/ING IVESTMENT MGT	215	MON	B	20,000	85.28	n/a	27-May	700.00	3.5
CATAPULT	040	MS	B	25,000	31.40	11-May	2-Jun	1,250.00	5.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	20.26	n/a	n/a	1,200.00	4.0
HARVEST MGMT	039	MW	S	15,000	19.30	n/a	n/a	750.00	5.0
COOPER CREEK PART	028	PAG	SS	10,000	16.27	n/a	6-May	400.00	4.0
MATRIX ASSET ADV.	036	PG	B	6,000	52.60	5-Jun	5-Jun	240.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	PKG	B	17,300	16.43	8-Apr	21-Apr	865.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	20,000	14.67	n/a	n/a	800.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	S	2,400	14.19	22-Apr	24-Apr	120.00	5.0
PROSPECTOR PARTNERS LLC	036	REP	B	10,000	22.81	n/a	n/a	400.00	4.0
PILOT ADV	038	ROK	B	15,000	33.30	n/a	n/a	600.00	4.0
CATAPULT	040	SCHW	B	25,000	18.20	n/a	n/a	1,250.00	5.0
COOPER CREEK PART	028	TEN	S	10,000	9.16	n/a	n/a	300.00	3.0
DISCIPLINED GROWTH INV.	030	TJX	S	3,400	30.98	4-May	5-Jun	170.00	5.0
BARCLEYS CAP (OLD LEHM)	041	URBN	B	25,000	21.81	n/a	30-Jan	1,000.00	4.0
TOTAL (Trade Date) :								65,319.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/08	PRIMECAP MGMT (PRIMHEW)	048	BK	S	1,000	28.29	11-May	19-May	50.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMIRV)	048	BK	S	4,800	28.29	11-May	19-May	240.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMHUS)	048	BK	S	3,000	28.29	11-May	19-May	150.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCAT)	048	BK	S	20,500	28.29	11-May	19-May	1025.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMPEW)	048	BK	S	1,000	28.29	11-May	19-May	50.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCTZ)	048	BK	S	1,200	28.29	11-May	19-May	60.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMPRE)	048	BK	S	900	28.29	11-May	19-May	45.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMFOR)	048	BK	S	56,900	28.29	11-May	19-May	2845.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMGM)	048	BK	S	6,700	28.29	11-May	19-May	335.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMSMI)	048	BK	S	900	28.29	11-May	19-May	45.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCON)	048	BK	S	4,300	28.29	11-May	19-May	215.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMROA)	048	BK	S	2,800	28.29	11-May	19-May	140.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMBAS)	048	BK	S	1,000	28.29	11-May	19-May	50.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMKET)	048	BK	S	1,700	28.29	11-May	19-May	85.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMROK)	048	BK	S	5,000	28.29	11-May	19-May	250.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMBUR)	048	BK	S	6,400	28.29	11-May	19-May	320.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMNSC)	048	BK	S	3,500	28.29	11-May	19-May	175.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCHA)	048	BK	S	1,400	28.29	11-May	19-May	70.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMGMC)	048	BK	S	2,200	28.29	11-May	19-May	110.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCTX)	048	BK	S	4,000	28.29	11-May	19-May	200.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMNOR)	048	BK	S	15,500	28.29	11-May	19-May	775.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMMUR)	048	BK	S	1,900	28.29	11-May	19-May	95.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCHE)	048	BK	S	3,800	28.29	11-May	19-May	190.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMJNJ)	048	BK	S	3,900	28.29	11-May	19-May	195.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMPFT)	048	BK	S	200	28.29	11-May	19-May	10.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMPMT)	048	BK	S	100	28.29	11-May	19-May	5.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMMET)	048	BK	S	3,300	28.29	11-May	19-May	165.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/08	PRIMECAP MGMT (PRIMPBC)	048	BK	S	4,600	28.29	11-May	19-May	230.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMPAR)	048	BK	S	1,400	28.29	11-May	19-May	70.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCTV)	048	BK	S	1,900	28.29	11-May	19-May	95.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCRR)	048	BK	S	2,400	28.29	11-May	19-May	120.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMCRX)	048	BK	S	200	28.29	11-May	19-May	10.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMFVB)	048	BK	S	14,600	28.29	11-May	19-May	730.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMSMA4)	048	BK	S	2,100	28.29	11-May	19-May	105.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMVFUN)	048	BK	S	118,900	28.29	11-May	19-May	5945.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMSMA1)	048	BK	S	91,100	28.29	11-May	19-May	4555.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMJON)	048	BK	S	2,400	28.29	11-May	19-May	120.00 5.0
AO,	06/08	PRIMECAP MGMT (PRIMMCG)	048	BK	S	2,500	28.29	11-May	19-May	125.00 5.0
AO,	06/08	GRANAHAH INV (GRINVVIF)	039	CMGB	S	250	72.62	n/a	n/a	10.00 4.0
AO,	06/08	GRANAHAH INV (GRINEXPLOR)	039	CMGB	S	2,250	72.62	n/a	n/a	90.00 4.0
AO,CRT	06/05	STANDARD PACIFIC CAPITAL (SPACJPMORG)	040	GIL	SS	75,000	15.67	n/a	14-May	3750.00 5.0
AO,CXL	06/05	STANDARD PACIFIC CAPITAL (SPACMLAK)	040	GIL	SS	75,000	15.67	n/a	14-May	3750.00 5.0
AO,	06/08	LEVIN CAPITAL STRATEGIES (LEVSMS)	012	KSS	SS	40,000	45.50	8-May	5-Jun	1600.00 4.0
AO,	06/08	AELTUS/ING INVESTMENT MGT (AELTSEP819)	215	NSM	S	16,340	13.86	n/a	n/a	571.90 3.5
AO,	06/08	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	215	NSM	S	135,830	13.86	n/a	n/a	4754.05 3.5
AO,	06/08	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	215	NSM	S	63,580	13.86	n/a	n/a	2225.30 3.5
AO,CRT	06/05	FRONTPOINT/COPIA-ANDREW (FPASCOPIGS)	031	SSW	SS	114,700	6.84	n/a	n/a	3441.00 3.0
AO,CXL	06/05	FRONTPOINT/COPIA-ANDREW (FPASCOPIMS)	031	SSW	SS	114,700	6.84	n/a	n/a	3441.00 3.0
TOTAL (AO, CXL, CRT) :									29,251.25	

TOTAL (Trade Date):	65,319.75
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TOTAL (RUN DATE) / NFS:	94,571.00
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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