



Daily Compliance Activity Report

Trade Date: 04/17/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AA	B	50,000	9.29	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	70,000	15.14	8-Apr	13-Apr	2,800.00	4.0
CATAPULT	040	AKS	S	50,000	11.91	n/a	n/a	2,500.00	5.0
PAW PARTNERS	041	AMT	B	5,000	32.84	n/a	n/a	250.00	5.0
KLEINHEINZ CAP PART	031	ANF	SS	50,000	23.03	16-Apr	16-Apr	2,500.00	5.0
NEWCASTLE FUNDS	033	ANN	SS	18,200	6.80	n/a	30-Jan	728.00	4.0
CATAPULT	040	ANR	S	30,000	16.98	n/a	n/a	1,500.00	5.0
SUN AMERICA ASSET MGMT	030	ATVI	B	60,000	10.65	n/a	n/a	2,400.00	4.0
TROUBH PART	067	AXP	B	50,000	21.64	n/a	15-Apr	2,500.00	5.0
TROUBH PART	067	AXP	SS	25,000	21.99	n/a	15-Apr	1,250.00	5.0
CIRCLE T PART	035	BKC	B	35,000	18.33	16-Apr	16-Apr	1,750.00	5.0
NATIONAL BK OF CAN	031	BK	S	25,000	30.90	21-Jan	13-Apr	1,000.00	4.0
EIDELMAN, FINGER & CO	045	BWS	S	4,000	5.98	n/a	n/a	200.00	5.0
ROYCE TRADING	216	CAB	S	10,000	11.38	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	CAT	SS	30,000	31.69	n/a	13-Apr	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	CCC	S	5,000	19.06	n/a	n/a	250.00	5.0
PAW PARTNERS	041	CHH	B	10,000	28.45	n/a	n/a	500.00	5.0
KEEFE BRUYETTE WOODS A	045	CMA	S	8,100	21.28	n/a	n/a	405.00	5.0
ROYCE TRADING	216	CNK	S	5,000	10.68	n/a	n/a	250.00	5.0
ROYCE TRADING	216	CPO	S	5,400	22.98	n/a	n/a	270.00	5.0
CARDINAL CAPITAL	044	DM	B	34,000	9.98	n/a	n/a	1,700.00	5.0
PAW PARTNERS	041	DOX	S	5,000	19.43	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	DSW	S	30,000	11.05	24-Mar	17-Apr	1,500.00	5.0
CATAPULT	040	ENDP	B	37,000	18.27	5-Jan	17-Apr	1,850.00	5.0
NEWCASTLE FUNDS	033	ETH	B	5,000	12.68	n/a	n/a	200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	FDP	S	40,000	18.12	n/a	n/a	1,400.00	3.5
BUCK CAPITAL MGMT	001	FO	SS	50,000	34.31	n/a	n/a	2,000.00	4.0
CATAPULT	040	GE	B	25,000	12.50	n/a	n/a	1,250.00	5.0
NATIONAL BK OF CAN	031	GS	B	12,000	121.49	n/a	14-Apr	480.00	4.0
NATIONAL BK OF CAN	031	GS	SS	12,000	120.38	n/a	14-Apr	480.00	4.0
CRAMER ROSENTHAL/SCOTT	012	HAR	S	55,400	17.67	12-Mar	12-Mar	2,216.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	IP	SS	50,000	8.85	n/a	8-Apr	2,500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	IVZ	B	53,875	15.73	7-Apr	17-Apr	1,885.63	3.5
SOUTH POINT CAP	067	IYH	SS	700	49.86	n/a	n/a	35.00	5.0
DSG CAPITAL	225	KG	B	45,000	8.56	n/a	17-Apr	1,350.00	3.0
MORRISON/TLB/BAYPOINT	040	MOVE	S	5,000	2.17	n/a	n/a	200.00	4.0
NATIONAL BK OF CAN	031	MS	B	75,000	25.23	18-Dec	13-Apr	3,000.00	4.0
NATIONAL BK OF CAN	031	MS	SS	75,000	24.91	18-Dec	13-Apr	3,000.00	4.0
ELM RIDGE ADVISORS	044	MU	S	234,777	5.05	n/a	n/a	7,043.31	3.0
BUCK CAPITAL MGMT	001	M	S	100,000	12.95	n/a	13-Apr	4,000.00	4.0
PAW PARTNERS	041	M	S	10,000	12.92	n/a	13-Apr	500.00	5.0
REINHART & MAHONEY	031	NRIM	S	2,462	9.88	n/a	n/a	123.10	5.0
REICH AND TANG	067	NX	S	16,800	10.07	n/a	n/a	840.00	5.0
ENTRUST CAPITAL	040	RHI	B	59,900	21.34	n/a	n/a	2,995.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	51.10	n/a	16-Apr	400.00	4.0
SOUTH POINT CAP	067	SPY	B	400	86.60	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	SSI	SS	20,000	11.77	n/a	13-Apr	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSG CAPITAL	225	TIN	S	49,000	7.32	5-Dec	8-Apr	1,470.00	3.0
PZENA INV ADV	044	TJX	S	37,625	27.90	n/a	13-Apr	1,317.01	3.5
SCOPUS FUND	041	TYC	S	10,000	22.18	n/a	3-Feb	500.00	5.0
HOOVER INV. MGMT	033	URBN	B	55,900	17.49	n/a	30-Jan	2,236.00	4.0
KEEFE BRUYETTE WOODS A	045	USB	B	94,900	18.50	n/a	n/a	4,745.00	5.0
MAIRS AND POWER INV	030	VAL	S	20,000	22.25	n/a	n/a	1,000.00	5.0
CATAPULT	040	VAR	B	10,000	34.71	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	WMT	S	45,000	50.63	n/a	9-Apr	2,250.00	5.0
ASCEND PARTNERS	033	WRC	B	50,000	29.41	27-Mar	27-Mar	2,500.00	5.0
RBC CAPITAL MARKETS	034	WRC	SS	10,000	28.30	27-Mar	27-Mar	400.00	4.0
CANTILLON CAPITAL	040	WSH	B	88,800	23.78	n/a	n/a	4,440.00	5.0
TOTAL (Trade Date) :								88,129.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/16	FARALLON CAP MGMT (FARABULK F)	040	GE	B	200,000	11.97	n/a	n/a	6000.00 3.0
AO,CXL	04/16	FARALLON CAP MGMT (FARABULK F)	040	GE	B	200,000	11.97	n/a	n/a	8000.00 4.0
AO,CXL	04/16	BUCK CAPITAL MGMT (BUCKJPMBS)	001	HBI	B	106,800	12.62	n/a	n/a	4272.00 4.0
AO,CRT	04/16	BUCK CAPITAL MGMT (BUCKJPMBS)	001	HBI	B	106,900	12.62	n/a	n/a	4276.00 4.0
AO,CXL	04/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HBI	B	11,800	12.62	n/a	n/a	472.00 4.0
AO,CRT	04/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HBI	B	11,700	12.62	n/a	n/a	468.00 4.0
TOTAL (AO, CXL, CRT) :										-2,000.00

TOTAL (Trade Date) :	88,129.05
TOTAL (AO, CXL, CRT) :	-2,000.00

TOTAL (RUN DATE) / NFS :	86,129.05
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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