



Daily Compliance Activity Report

Trade Date: 05/06/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
FIRST NEW YORK LEDDY	035	AMD	B	20,000	4.25	n/a	n/a	1,200.00 6.0
WAGONHOUND/NIC	048	ARG	S	4,597	42.89	23-Mar	6-May	183.88 4.0
PZENA INV ADV	044	ARM	S	2,700	2.45	n/a	n/a	27.00 1.0
DELTEC ASSET MGMT.	040	AVP	B	10,000	23.49	25-Feb	6-May	500.00 5.0
TROUBH PART	067	AXP	SS	25,000	27.55	n/a	6-May	1,250.00 5.0
MAIRS AND POWER INV	030	BAX	B	16,000	48.60	n/a	22-Apr	800.00 5.0
JP MORGAN VENTURES	046	BBBY	B	20,000	29.40	n/a	n/a	1,000.00 5.0
RDK CAPITAL MGMT	034	BBY	B	12,500	39.60	n/a	27-Jul	500.00 4.0
MERRILL ASSET	032	BKC	B	5,100	18.42	16-Apr	29-Apr	229.50 4.5
CAVU CAP ADV	028	BTU	B	7,500	33.89	n/a	n/a	375.00 5.0
MILLENIUM PARTNERS	028	BWA	SS	20,000	30.07	1-May	1-May	1,000.00 5.0
M&I FUNDS	256	CL	S	50,268	61.03	16-Mar	1-May	2,010.72 4.0
WAGONHOUND/NIC	048	CMI	B	904	34.14	6-May	6-May	36.16 4.0
DIAMONDBACK CAP MGMT	232	CNS	C	25,000	13.95	n/a	n/a	1,250.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	COF	B	200,000	22.76	n/a	6-May	10,000.00	5.0
BUCK CAPITAL MGMT	001	COH	S	100,000	25.59	9-Jan	22-Apr	4,000.00	4.0
JP MORGAN VENTURES	046	COST	SS	5,000	46.91	n/a	27-Jul	250.00	5.0
RAINIER INV MGMT	035	CXO	B	105,710	28.62	n/a	n/a	4,228.40	4.0
BRANDWINE	028	DDS	B	142,600	8.15	n/a	n/a	5,704.00	4.0
Õ Steven Maguire		DE	S	9100	47.0500	26-Jan	19-Feb	0.00	0.0
KEEFE BRUYETTE WOODS A	045	DFS	S	49,600	9.84	n/a	6-May	2,480.00	5.0
NEUBERGER BERMAN	036	DPS	S	84,700	20.46	n/a	n/a	3,811.50	4.5
Õ Steven Maguire		DRYS	S	7500	10.7000	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	DSW	SS	10,000	11.92	24-Mar	5-May	400.00	4.0
CASEY CAPITAL	067	DVN	B	5,000	60.93	6-May	6-May	250.00	5.0
Õ Steven Maguire		EGLE	S	12500	9.1800	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	EMR	B	8,613	36.19	n/a	n/a	430.65	5.0
PHILADELPHIA FINANCIAL	033	EVR	S	12,800	19.00	n/a	n/a	640.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	49,394	31.68	5-Mar	5-May	1,975.76	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	FMC	B	8,000	46.64	n/a	n/a	400.00	5.0
NEUBERGER BERMAN	036	HCN	S	18,500	33.82	n/a	n/a	832.50	4.5
Õ Steven Maguire		HD	S	5000	26.0400	n/a	5-May	0.00	0.0
WHALE ROCK CAP	030	HOG	B	4,000	21.16	n/a	n/a	160.00	4.0
MILLENIUM PARTNERS	028	IP	SS	25,000	13.98	n/a	1-May	1,250.00	5.0
SCOPUS FUND	041	IP	SS	50,000	13.99	n/a	1-May	2,500.00	5.0
JP MORGAN VENTURES	046	JCP	SS	10,000	31.98	13-Apr	4-May	500.00	5.0
RDK CAPITAL MGMT	034	JCP	SS	10,000	31.51	13-Apr	4-May	400.00	4.0
MERRILL ASSET	032	JNY	B	59,300	9.14	n/a	30-Apr	2,668.50	4.5
WAGONHOUND/NIC	048	JOYG	B	875	30.50	26-Jan	5-Mar	35.00	4.0
DIAMONDBACK CAP MGMT	232	JPM	B	15,000	36.40	16-Jan	24-Apr	750.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	50,000	23.73	20-Feb	4-May	2,000.00	4.0
Õ Steven Maguire		KEG	S	1000	5.3900	n/a	3-Apr	0.00	0.0
WAGONHOUND/NIC	048	KMT	B	1,500	21.56	n/a	27-Apr	60.00	4.0
PEREGRINE	030	LM	S	138,390	19.24	5-May	5-May	5,535.60	4.0
Õ Steven Maguire		LOW	S	5000	20.8500	31-Mar	5-May	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	20,000	13.14	8-Jan	30-Jan	800.00	4.0
CUMBERLAND	038	MCHP	SS	25,000	22.86	n/a	n/a	1,000.00	4.0
MAIRS AND POWER INV	030	MDT	B	10,000	31.90	n/a	22-Apr	500.00	5.0
Õ Steven Maguire		MS	S	4000	28.5100	18-Dec	24-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	NKE	S	60,000	54.58	n/a	n/a	2,400.00	4.0
DC CAPITAL	044	NWL	S	29,850	10.91	n/a	n/a	895.50	3.0
BUCK CAPITAL MGMT	001	OMX	S	410,987	7.82	n/a	15-Apr	12,329.61	3.0
SCOPUS FUND	041	PAG	B	40,000	13.27	n/a	6-May	2,000.00	5.0
JP MORGAN VENTURES	046	PG	B	10,000	50.51	12-Mar	4-May	500.00	5.0
KENNEDY CAPITAL	046	PSUN	B	190,325	4.17	6-Feb	6-Feb	3,806.50	2.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.39	n/a	n/a	1,720.00	4.0
WOOSTER CAPITAL	035	RL	B	40,000	52.96	n/a	16-Apr	2,000.00	5.0
SCOPUS FUND	041	RYN	S	9,700	38.18	n/a	1-May	485.00	5.0
CIRCLE T PART	035	SBUX	SS	50,000	13.97	20-Apr	30-Apr	2,500.00	5.0
JP MORGAN VENTURES	046	SHLD	B	13,000	61.40	n/a	n/a	650.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	SJM	S	8,200	40.37	n/a	n/a	369.00	4.5
BENCHMARK	028	SLE	B	12,500	8.85	n/a	n/a	625.00	5.0
DELTEC ASSET MGMT.	040	SLM	B	66,000	5.74	23-Apr	6-May	3,300.00	5.0
NOMURA CAPITAL	045	SUP	B	8,400	14.48	27-Feb	27-Feb	420.00	5.0
BAIRD INVESTMENT	256	SWN	S	15,725	41.71	27-Feb	28-Apr	786.25	5.0
CR INTRINIC INVESTMENT	044	SYK	B	20,000	40.39	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	TGT	S	5,000	40.00	25-Feb	5-May	250.00	5.0
PILOT ROCK	028	TGT	SS	50,000	41.21	25-Feb	5-May	2,000.00	4.0
RDK CAPITAL MGMT	034	TGT	B	10,000	40.93	25-Feb	5-May	400.00	4.0
ELM RIDGE ADVISORS	044	TIN	S	197,600	12.55	n/a	22-Apr	7,904.00	4.0
COBALT	041	TJX	B	100,000	28.46	4-May	4-May	5,000.00	5.0
WHALE ROCK CAP	030	TLEO	S	5,000	13.83	n/a	n/a	200.00	4.0
WHALE ROCK CAP	030	TXT	B	6,838	11.60	n/a	n/a	273.52	4.0
COUGAR TRADING	044	UA	SS	10,000	22.63	29-Apr	29-Apr	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	VFC	S	143,800	59.36	n/a	n/a	5,033.00	3.5
JP MORGAN VENTURES	046	WEN	B	40,000	4.96	n/a	24-Apr	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	WRC	B	14,400	29.12	20-Apr	20-Apr	576.00	4.0
CAVU CAP ADV	028	WTS	SS	8,252	21.59	n/a	n/a	412.60	5.0
LISTED ERR	099	WTS	B	4,400	21.56	n/a	n/a	0.00	0.0
LISTED ERR	099	WTS	SS	4,400	21.59	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	X	S	71,850	31.40	n/a	n/a	3,233.25	4.5
TOTAL (Trade Date) :								126,693.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/04	CUMBERLAND (CUMBMS04)	038	ADS	B	12,000	41.31	n/a	n/a	360.00 3.0
AO,CRT	05/04	CUMBERLAND (CUMBMS04)	038	ADS	B	12,000	41.31	n/a	n/a	480.00 4.0
AO,CXL	05/05	BUCK CAPITAL MGMT (BUCKJPMBS)	001	BIG	B	21,700	27.80	4-Mar	5-May	868.00 4.0
AO,CRT	05/05	BUCK CAPITAL MGMT (BUCKJPMBS)	001	BIG	B	27,100	27.80	4-Mar	5-May	1084.00 4.0
AO,CXL	05/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BIG	B	8,300	27.80	4-Mar	5-May	332.00 4.0
AO,CRT	05/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BIG	B	2,900	27.80	4-Mar	5-May	116.00 4.0
AO,CRT	05/05	AVESTA CAP (AVESDEUTS)	229	CVS	B	50,000	33.09	n/a	n/a	2000.00 4.0
AO,CXL	05/05	AVESTA CAP (AVESGSUSE)	229	CVS	B	50,000	33.09	n/a	n/a	2000.00 4.0
AO,	05/05	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	EVR	S	23,000	19.29	n/a	n/a	1150.00 5.0
AO,CXL	05/05	PIONEER OAKRIDGE (PIOO148)	031	GOOG	S	225	399.53	n/a	n/a	0.00 0.0
AO,	05/05	PIONEER OAKRIDGE (PIOO148)	031	GOOG	S	225	399.53	n/a	n/a	6.75 3.0
AO,CXL	05/01	CUMBERLAND (CUMBMS04)	038	LINTA	B	25,000	5.70	n/a	n/a	750.00 3.0
AO,CRT	05/01	CUMBERLAND (CUMBMS04)	038	LINTA	B	25,000	5.70	n/a	n/a	1000.00 4.0
AO,CXL	05/05	FIRST NY SEC/CHRIS (FNYCHRIS)	041	LPX	B	10,000	4.94	3-Mar	6-May	600.00 6.0
AO,CRT	05/05	FIRST NY SEC/CHRIS (FNYCHRIS)	041	LPX	B	10,000	4.94	3-Mar	6-May	500.00 5.0
AO,CXL	05/04	SCOPUS FUND (SCOPBANC O)	041	PAG	S	23,171	13.47	n/a	6-May	1158.55 5.0
AO,CRT	05/04	SCOPUS FUND (SCOPBANC O)	041	PAG	S	26,802	13.47	n/a	6-May	1340.10 5.0
AO,CXL	05/04	SCOPUS FUND (SCOPUBS)	041	PAG	S	82,154	13.47	n/a	6-May	4107.70 5.0
AO,CRT	05/04	SCOPUS FUND (SCOPUBS)	041	PAG	S	78,523	13.47	n/a	6-May	3926.15 5.0
AO,CXL	05/05	CAVU CAP ADV (CAVUMAN CS)	028	SPR	B	24,000	13.10	n/a	n/a	1200.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/05	CAVU CAP ADV (CAVUCREDIS)	028	SPR	B	24,000	13.10	n/a	n/a	1200.00 5.0
AO,CRT	05/05	AVESTA CAP (AVESDEUTS)	229	WMT	S	25,000	50.01	n/a	5-May	1000.00 4.0
AO,CXL	05/05	AVESTA CAP (AVESGSUSE)	229	WMT	S	25,000	50.01	n/a	5-May	1000.00 4.0
AO,CXL	05/05	DC CAPITAL (DCCAGOLDMA)	044	ZLC	B	50,000	4.04	n/a	n/a	2500.00 5.0
AO,CRT	05/05	DC CAPITAL (DCCAGOLDMA)	044	ZLC	B	50,000	4.04	n/a	n/a	1500.00 3.0

TOTAL (AO, CXL, CRT) :	426.75
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TOTAL (Trade Date) :	126,693.40
TOTAL (AO, CXL, CRT) :	426.75

TOTAL (RUN DATE) / NFS:	127,120.15
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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