



Daily Compliance Activity Report

Trade Date: 07/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AA	SS	100,000	9.95	n/a	n/a	4,000.00	4.0
CAXTON PART	040	ABT	B	26,475	45.06	n/a	22-Apr	926.65	3.5
CAMBIAR CAP	046	ADM	S	290,160	27.93	1-Jun	1-Jun	11,606.40	4.0
BUCK CAPITAL MGMT	001	AEO	B	125,000	13.75	25-Jun	10-Jul	5,000.00	4.0
LATEFF MGMT	035	ALK	S	300	21.14	n/a	n/a	90.00	30.0
PZENA INV ADV	044	ALL	S	2,175	24.43	n/a	n/a	76.13	3.5
PZENA INV ADV	044	APA	S	625	73.30	3-Feb	1-Jul	21.88	3.5
PZENA INV ADV	044	AVP	S	2,100	26.35	2-Jun	2-Jun	73.50	3.5
LAGRANGE CAP ADV	048	AXL	B	10,000	1.50	n/a	9-Jul	500.00	5.0
DIAMONDBACK CAP MGMT	232	AXP	SS	10,000	27.44	n/a	15-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	20,000	35.40	n/a	27-Jul	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	20,000	31.64	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	BK	B	20,650	29.60	11-May	10-Jul	826.00	4.0
PHILADELPHIA FINANCIAL	033	BLK	S	5,128	179.34	12-Jun	15-Jul	205.12	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	BLK	S	2,023	174.79	12-Jun	15-Jul	80.92	4.0
DSG CAPITAL	225	CAKE	B	16,000	17.24	29-May	15-Jul	800.00	5.0
STRONG/MARK GRONET	030	DAL	B	78,500	6.02	n/a	n/a	2,355.00	3.0
1798 CAPITAL MGMT	040	EBAY	B	25,000	17.89	n/a	n/a	1,250.00	5.0
LATEFF MGMT	035	ENR	S	200	54.51	8-Jul	8-Jul	100.00	50.0
HIGHBRIDGE CAPITAL	038	HUM	B	33,000	28.20	n/a	n/a	1,320.00	4.0
CASTLE ARK	031	INTC	B	141,300	17.85	n/a	n/a	8,478.00	6.0
BMO NESBITT BURNS	041	IR	S	50,000	21.29	n/a	1-Jul	2,500.00	5.0
MILLENIUM PARTNERS	028	IWM	SS	10,000	51.27	n/a	n/a	400.00	4.0
Õ Steven Maguire		JBHT	B	1000	27.4000	n/a	n/a	0.00	0.0
Õ Steven Maguire		JBHT	B	2500	27.4000	n/a	n/a	0.00	0.0
HOOVER INV. MGMT	033	JCG	B	25,800	27.08	n/a	30-Jan	1,032.00	4.0
LATEFF MGMT	035	JNJ	S	200	58.80	n/a	22-Apr	100.00	50.0
WAGONHOUND/NIC	048	JNS	B	27,166	10.47	5-May	15-Jul	1,086.64	4.0
THIRD COAST CAPITAL	035	KMX	B	20,000	14.87	n/a	10-Jan	1,000.00	5.0
COBALT	041	KR	B	50,000	21.78	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	LVS	B	10,000	8.00	n/a	14-Jul	400.00	4.0
HOLDEN CAPITAL MGMT	035	LVS	B	25,000	8.12	n/a	14-Jul	1,250.00	5.0
THIRD COAST CAPITAL	035	LVS	B	50,000	8.03	n/a	14-Jul	2,500.00	5.0
WAGONHOUND/NIC	048	LVS	B	50,000	7.83	n/a	14-Jul	1,500.00	3.0
ARCHON PARTNERS	032	MAR	B	30,213	21.54	n/a	n/a	906.39	3.0
HOTCHKIS & WILEY	035	MET	S	49,700	30.05	n/a	n/a	2,485.00	5.0
MILLENIUM PARTNERS	028	MHK	B	10,000	36.72	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	MOH	SS	35,000	22.70	n/a	n/a	1,400.00	4.0
LATEFF MGMT	035	MRO	S	300	30.13	n/a	n/a	96.00	32.0
JENNISON	032	MSFT	B	232,000	23.84	n/a	3-Apr	8,584.00	3.7
COUGAR TRADING	044	M	SS	10,000	11.81	n/a	10-Jul	500.00	5.0
CATAPULT	040	NAV	B	26,067	40.93	n/a	n/a	1,303.35	5.0
LATEFF MGMT	035	OLN	S	1,000	12.17	n/a	20-Jun	120.00	12.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	5,000	16.84	8-Apr	23-Jun	250.00	5.0
LATEFF MGMT	035	PKG	S	500	17.01	8-Apr	23-Jun	100.00	20.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	29.45	20-Apr	21-May	800.00	4.0
ROTHSCHILD ASSET	040	RAH	S	26,130	61.43	n/a	n/a	1,175.92	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATLIN PATTERSON	046	SFG	B	30,000	30.79	n/a	n/a	900.00	3.0
GRANITE CAPITAL	045	SHPGY	S	19,400	40.92	20-Feb	14-Jul	970.00	5.0
MILLENIUM PARTNERS	028	SHW	B	20,000	54.75	17-Apr	9-Jul	800.00	4.0
HUNTER GLOBAL INVESTOR	067	SYX	SS	30,100	22.06	n/a	24-Apr	1,505.00	5.0
LATEFF MGMT	035	TEVA	S	150	49.84	18-Feb	14-Jul	75.00	50.0
MTB INV ADV	034	THS	S	3,950	28.57	n/a	n/a	197.50	5.0
BMO NESBITT BURNS	041	TIN	SS	25,000	13.77	9-Jul	9-Jul	1,250.00	5.0
BMO NESBITT BURNS	041	TIN	S	25,800	13.52	9-Jul	9-Jul	1,290.00	5.0
THOMAS WEISEL ASSET MGMT	035	TWP	B	4,200	12.79	n/a	n/a	126.00	3.0
ELM RIDGE ADVISORS	044	UFS	B	74,537	14.50	n/a	n/a	2,981.48	4.0
LATEFF MGMT	035	UN	S	250	25.32	n/a	n/a	80.00	32.0
HOLLIS CAPITAL	033	URBN	B	10,000	21.89	n/a	30-Jan	500.00	5.0
PATTEN & PATTEN	067	VXX	B	3,800	67.15	n/a	n/a	190.00	5.0
HOTCHKIS & WILEY	035	WFC	S	115,000	25.06	n/a	n/a	5,750.00	5.0
COUGAR TRADING	044	WRC	S	10,000	33.11	13-May	13-May	500.00	5.0

TOTAL (Trade Date):

89,313.88

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/15	MILLENIU PARTNERS (MILPUSE)	028	MHK	B	10,000	36.72	n/a	n/a	400.00 4.0
AO,CXL	07/14	STELLIAM INV ADV (STLLGSBULK)	034	NVLS	SS	20,000	19.05	n/a	n/a	1000.00 5.0
AO,	07/14	STELLIAM INV ADV (STLLGSBULK)	034	NVLS	SS	10,000	19.10	n/a	n/a	500.00 5.0
AO,CRT	07/14	STELLIAM INV ADV (STLLGSBULK)	034	NVLS	SS	10,000	19.00	n/a	n/a	500.00 5.0
CRT	07/15	MILLENIU PARTNERS (MILPUSE)	028	SHW	B	20,000	54.75	17-Apr	9-Jul	800.00 4.0
AO,	07/14	LISTED ERR (LISTED ERR)	099	YUM	B	40	36.27	n/a	15-Jul	0.00 0.0
AO,CXL	07/14	LISTED ERR (LISTED ERR)	099	YUM	S	40	36.45	n/a	15-Jul	0.00 0.0
AO,CRT	07/14	LISTED ERR (LISTED ERR)	099	YUM	S	40	36.27	n/a	15-Jul	0.00 0.0

TOTAL (AO, CXL, CRT) :	1,200.00
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TOTAL (Trade Date) :	89,313.88
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TOTAL (AO, CXL, CRT) :	1,200.00
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TOTAL (RUN DATE) / NFS :	90,513.88
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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