

Daily Compliance Activity Report Trade Date: 04/13/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	omm.¢/Shr.		
SIGMA CAPITAL ASSOCIATES	041	AEO	В	50,000	14.04	8-Apr	13-Apr	2,500.00	5.0		
PRINCIPLE CAPITAL	040	AET	В	41,500	27.14	n/a	n/a	1,245.00	3.0		
BALYASNY ASSET MGMT	044	ANF	С	25,000	24.27	n/a	6-Feb	1,250.00	5.0		
GLENHILL CAPITAL	212	APC	В	50,000	42.23	3-Feb	3-Apr	2,500.00	5.0		
TRELLUS PARTNERS LP	028	APC	В	33,900	43.12	3-Feb	3-Apr	1,695.00	5.0		
TROUBH PART	067	BAC	В	25,000	11.00	2-Mar	13-Apr	1,250.00	5.0		
LOCUS WOOD CAPITAL MGMT	044	ВВВУ	В	15,000	31.56	n/a	n/a	600.00	4.0		
BUCK CAPITAL MGMT	001	СОН	В	20,000	18.48	9-Jan	3-Apr	800.00	4.0		
AVESTA CAP	229	CVS	S	100,000	29.70	n/a	n/a	4,000.00	4.0		
LOCUS WOOD CAPITAL MGMT	044	CVS	В	10,000	30.11	n/a	n/a	400.00	4.0		
WAGONHOUND/NIC	048	FAS	В	50,000	9.91	n/a	n/a	1,500.00	3.0		
COLUMBUS CIRCLE	036	FCX	В	2,100	45.42	n/a	n/a	84.00	4.0		
CUMBERLAND	038	FLEX	S	50,000	3.44	n/a	n/a	1,500.00	3.0		
BUCK CAPITAL MGMT	001	GES	В	60,000	23.03	n/a	n/a	2,400.00	4.0		
SUFFOLK CAPITAL MGMT	040	GS	В	74,100	128.47	n/a	13-Apr	2,964.00	4.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
MERRILL ASSET	032	HBI	S	40,000	12.89	n/a	n/a	1,800.00	4.5
MOORE CAPITAL	036	INTC	В	75,000	15.78	n/a	n/a	3,000.00	4.0
SOUTH POINT CAP	067	IYH	S	15,300	49.58	n/a	n/a	765.00	5.0
THE JAY GOLDMAN	034	JCP	S	40,000	26.04	13-Apr	13-Apr	1,600.00	4.0
THE JAY GOLDMAN	034	JWN	В	20,000	21.41	20-Feb	13-Apr	800.00	4.0
ROYAL CAPITAL	039	KSS	В	32,500	44.23	30-Mar	13-Apr	1,625.00	5.0
JP MORGAN VENTURES	046	LEAP	В	7,100	32.76	n/a	n/a	355.00	5.0
PZENA INV ADV	044	LLL	В	6,225	70.06	n/a	n/a	217.88	3.5
COLUMBIA PARTNERS	028	LMT	S	25,565	73.41	n/a	n/a	1,022.60	4.0
CIRCLE T PART	035	MCD	SS	25,000	56.14	n/a	13-Apr	1,250.00	5.0
SANDLER O'NEILL ASSET	031	MS	S	25,000	26.92	18-Dec	13-Apr	1,250.00	5.0
THE JAY GOLDMAN	034	М	В	50,000	11.72	n/a	13-Apr	2,000.00	4.0
DARUMA ASSET MGMT INC	034	NP	S	42,000	3.90	13-Mar	13-Mar	2,100.00	5.0
CR INTRINIC INVESTMENT	044	NTY	В	6,500	18.49	n/a	n/a	260.00	4.0
KACELA CAPITAL	034	PEP	S	20,000	51.50	n/a	n/a	800.00	4.0
	MERRILL ASSET MOORE CAPITAL SOUTH POINT CAP THE JAY GOLDMAN THE JAY GOLDMAN ROYAL CAPITAL JP MORGAN VENTURES PZENA INV ADV COLUMBIA PARTNERS CIRCLE T PART SANDLER O'NEILL ASSET THE JAY GOLDMAN DARUMA ASSET MGMT INC CR INTRINIC INVESTMENT	MERRILL ASSET 032 MOORE CAPITAL 036 SOUTH POINT CAP 067 THE JAY GOLDMAN 034 THE JAY GOLDMAN 034 ROYAL CAPITAL 039 JP MORGAN VENTURES 046 PZENA INV ADV 044 COLUMBIA PARTNERS 028 CIRCLE T PART 035 SANDLER O'NEILL ASSET 031 THE JAY GOLDMAN 034 DARUMA ASSET MGMT INC 034 CR INTRINIC INVESTMENT 044	MERRILL ASSET 032 HBI MOORE CAPITAL 036 INTC SOUTH POINT CAP 067 IYH THE JAY GOLDMAN 034 JCP THE JAY GOLDMAN 034 JWN ROYAL CAPITAL 039 KSS JP MORGAN VENTURES 046 LEAP PZENA INV ADV 044 LLL COLUMBIA PARTNERS 028 LMT CIRCLE T PART 035 MCD SANDLER O'NEILL ASSET 031 MS THE JAY GOLDMAN 034 M DARUMA ASSET MGMT INC 034 NP CR INTRINIC INVESTMENT 044 NTY	MERRILL ASSET MOORE CAPITAL SOUTH POINT CAP THE JAY GOLDMAN THE JAY GOLDMAN ROYAL CAPITAL JP MORGAN VENTURES COLUMBIA PARTNERS CIRCLE T PART SANDLER O'NEILL ASSET DARUMA ASSET MGMT INC O34 MBI S INTC B S HBI B S LMT S LHE AB LEAP B LEAP B COLUMBIA PARTNERS O28 LMT S CIRCLE T PART O35 MCD SS SANDLER O'NEILL ASSET O31 MS S THE JAY GOLDMAN O34 M B CR INTRINIC INVESTMENT O44 NTY B	MERRILL ASSET 032 HBI S 40,000 MOORE CAPITAL 036 INTC B 75,000 SOUTH POINT CAP 067 IYH S 15,300 THE JAY GOLDMAN 034 JCP S 40,000 THE JAY GOLDMAN 034 JWN B 20,000 ROYAL CAPITAL 039 KSS B 32,500 JP MORGAN VENTURES 046 LEAP B 7,100 PZENA INV ADV 044 LLL B 6,225 COLUMBIA PARTNERS 028 LMT S 25,565 CIRCLE T PART 035 MCD SS 25,000 SANDLER O'NEILL ASSET 031 MS S 25,000 THE JAY GOLDMAN 034 M B 50,000 DARUMA ASSET MGMT INC 034 NP S 42,000 CR INTRINIC INVESTMENT 044 NTY B 6,500	MERRILL ASSET 032 HBI S 40,000 12.89 MOORE CAPITAL 036 INTC B 75,000 15.78 SOUTH POINT CAP 067 IYH S 15,300 49.58 THE JAY GOLDMAN 034 JCP S 40,000 26.04 THE JAY GOLDMAN 034 JWN B 20,000 21.41 ROYAL CAPITAL 039 KSS B 32,500 44.23 JP MORGAN VENTURES 046 LEAP B 7,100 32.76 PZENA INV ADV 044 LLL B 6,225 70.06 COLUMBIA PARTNERS 028 LMT S 25,565 73.41 CIRCLE T PART 035 MCD SS 25,000 56.14 SANDLER O'NEILL ASSET 031 MS S 25,000 26.92 THE JAY GOLDMAN 034 M B 50,000 11.72 DARUMA ASSET MGMT INC 034 NP S 42,000 3.90 CR INTRINIC INVESTMENT 044 NTY B 6,500 18.49	MERRILL ASSET 032 HBI S 40,000 12.89 n/a MOORE CAPITAL 036 INTC B 75,000 15.78 n/a SOUTH POINT CAP 067 IYH S 15,300 49.58 n/a THE JAY GOLDMAN 034 JCP S 40,000 26.04 13-Apr THE JAY GOLDMAN 034 JWN B 20,000 21.41 20-Feb ROYAL CAPITAL 039 KSS B 32,500 44.23 30-Mar JP MORGAN VENTURES 046 LEAP B 7,100 32.76 n/a PZENA INV ADV 044 LLL B 6,225 70.06 n/a COLUMBIA PARTNERS 028 LMT S 25,565 73.41 n/a CIRCLE T PART 035 MCD SS 25,000 56.14 n/a SANDLER O'NEILL ASSET 031 MS S 25,000 26.92 18-Dec THE JAY GOLDMAN 034 M B 50,000 11.72 n/a DARUMA ASSET MGMT INC 034 NP S 42,000 3.90 13-Mar CR INTRINIC INVESTMENT 044 NTY B 6,500 18.49 n/a	MERRILL ASSET 032 HBI S 40,000 12.89 n/a n/a MOORE CAPITAL 036 INTC B 75,000 15.78 n/a n/a SOUTH POINT CAP 067 IYH S 15,300 49.58 n/a n/a THE JAY GOLDMAN 034 JCP S 40,000 26.04 13-Apr 13-Apr THE JAY GOLDMAN 034 JWN B 20,000 21.41 20-Feb 13-Apr ROYAL CAPITAL 039 KSS B 32,500 44.23 30-Mar 13-Apr JP MORGAN VENTURES 046 LEAP B 7,100 32.76 n/a n/a PZENA INV ADV 044 LLL B 6,225 70.06 n/a n/a COLUMBIA PARTNERS 028 LMT S 25,565 73.41 n/a n/a CIRCLE T PART 035 MCD SS 25,000 56.14 n/a 13-Apr SANDLER C'NEILL ASSET 031 MS S 25,000 56.14 n/a 13-Apr THE JAY GOLDMAN 034 M B 50,000 11.72 n/a 13-Apr DARUMA ASSET MGMT INC 034 NP S 42,000 3.90 13-Mar 13-Mar CR INTRINIC INVESTMENT 044 NTY B 6,500 18.49 n/a n/a	MERRILL ASSET 032

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
SUFFOLK CAPITAL MGMT	040	PG	В	40,000	48.24	12-Mar	20-Mar	1,600.00	4.0
TRELLUS PARTNERS LP	028	РН	SS	5,000	37.52	n/a	5-Mar	250.00	5.0
MERRILL ASSET	032	PSS	В	38,511	10.48	n/a	n/a	1,733.00	4.5
BUCK CAPITAL MGMT JP MORGAN VENTURES	001 046	RL RL	SS	10,000 15,000	51.49 50.55	n/a n/a	5-Feb 5-Feb	400.00 750.00	4.0 5.0
BUCK CAPITAL MGMT	001	SLM	S	25,000	6.33	27-Feb	8-Apr	750.00	3.0
SERENGETI MGMT	030	SPN	В	50,000	14.55	n/a	n/a	2,500.00	5.0
SOUTH POINT CAP	067	SPY	В	8,900	85.49	n/a	n/a	445.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TIF	S	50,000	23.62	n/a	30-Jan	2,500.00	5.0
MOORE CAPITAL	036	TIN	В	50,200	6.17	5-Dec	8-Apr	2,008.00	4.0
TROUBH PART	067	WFC	В	25,000	19.65	n/a	n/a	1,250.00	5.0

TOTAL (Trade Date): 57,719.48

Cancel/Corrects and As-Of Trades

Туре	Date	Account		Symbol	B/S	Shares	Shares Price MRI Research		Research	Comm.¢/Shr.		
AO, CRT	04/09	DSG CAPITAL (DSGCJEFF)	225	AKS	S	3 , 500	9.44	n/a	n/a	175.00	5.0	
AO,CXL	04/09	DSG CAPITAL (DSGCBANK O)	225	AKS	S	3,500	9.44	n/a	n/a	175.00	5.0	
AO,CRT	04/08	AVESTA CAP (AVESDEUTS)	229	СНК	В	100,000	19.39	n/a	n/a	4000.00	4.0	
AO,CXL	04/08	AVESTA CAP (AVESGSUSE)	229	CHK	В	100,000	19.39	n/a	n/a	4000.00	4.0	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPPF	08) 215	HD	В	400	25.84	n/a	25-Feb	14.00	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBAL	PEL) 215	HD	В	8,700	25.84	n/a	25-Feb	304.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBAL	FEL) 215	HD	В	1,800	25.84	n/a	25-Feb	63.00	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP	465) 215	HD	В	700	25.84	n/a	25-Feb	24.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTLUX	NA) 215	HD	В	4,400	25.84	n/a	25-Feb	154.00	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP	588) 215	HD	В	2,100	25.84	n/a	25-Feb	73.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP	596) 215	HD	В	100	25.84	n/a	25-Feb	3.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTIMS	CI) 215	HD	В	1,200	25.84	n/a	25-Feb	42.00	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP	CO3) 215	HD	В	5,300	25.84	n/a	25-Feb	185.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIM	SOU) 215	HD	В	8,000	25.84	n/a	25-Feb	280.00	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTGIG	AE) 215	HD	В	4,100	25.84	n/a	25-Feb	143.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPTC	AD) 215	HD	В	800	25.84	n/a	25-Feb	28.00	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBRI	CK7) 215	HD	В	200	25.84	n/a	25-Feb	7.00	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPLC	F) 215	HD	В	10,900	25.84	n/a	25-Feb	381.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPLC	P) 215	HD	В	25,100	25.84	n/a	25-Feb	878.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBER	MUQ) 215	HD	В	50	25.84	n/a	25-Feb	1.75	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIM	HOW) 215	HD	В	250	25.84	n/a	25-Feb	8.75	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIM	EL) 215	HD	В	1,300	25.84	n/a	25-Feb	45.50	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTLUX	ECL) 215	HD	В	1,000	25.84	n/a	25-Feb	35.00	3.5	
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPPF	08) 215	UTX	В	200	47.23	n/a	n/a	7.00	3.5	

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBALPEL)	215	UTX	В	5,200	47.23	n/a	n/a	182.00	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBALFEL)	215	UTX	В	1,100	47.23	n/a	n/a	38.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP465)	215	UTX	В	400	47.23	n/a	n/a	14.00	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTLUXNA)	215	UTX	В	2,000	47.23	n/a	n/a	70.00	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP588)	215	UTX	В	1,300	47.23	n/a	n/a	45.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP596)	215	UTX	В	40	47.23	n/a	n/a	1.40	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTIMSCI)	215	UTX	В	1,100	47.23	n/a	n/a	38.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTNNA_US)	215	UTX	В	19,300	47.23	n/a	n/a	675.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEPCO3)	215	UTX	В	3,200	47.23	n/a	n/a	112.00	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIMSOU)	215	UTX	В	4,800	47.23	n/a	n/a	168.00	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTGIGAE)	215	UTX	В	2,500	47.23	n/a	n/a	87.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPTCAD)	215	UTX	В	500	47.23	n/a	n/a	17.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBRICK7)	215	UTX	В	100	47.23	n/a	n/a	3.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPLCF)	215	UTX	В	6,500	47.23	n/a	n/a	227.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPLCP)	215	UTX	В	14,900	47.23	n/a	n/a	521.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBERMUQ)	215	UTX	В	10	47.23	n/a	n/a	0.35	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIMHOW)	215	UTX	В	150	47.23	n/a	n/a	5.25	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIMEL)	215	UTX	В	700	47.23	n/a	n/a	24.50	3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTLUXECL)	215	UTX	В	600	47.23	n/a	n/a	21.00	3.5
AO,CXL	04/09	PRINCIPLE CAPITAL (PRINUBSPB)	040	WHR	В	49,300	34.92	n/a	n/a	1972.00	4.0
AO, CRT	04/09	PRINCIPLE CAPITAL (PRINUBSPB)	040	WHR	В	49,300	34.92	n/a	n/a	1479.00	3.0

TOTAL (AO, CXL, CRT): 4,442.00

TOTAL (Trade Date): 57,719.48

4,442.00 TOTAL (AO, CXL, CRT): 62,161.48

TOTAL (RUN DATE) / NFS:

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