



Daily Compliance Activity Report

Trade Date: 08/12/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EVERCORE WEALTH MGMT	012	AAPL	B	250	165.98	n/a	n/a	12.50	5.0
DELTEC ASSET MGMT.	040	AEO	B	30,000	15.26	25-Jun	7-Aug	1,500.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	31.83	3-Jun	7-Aug	800.00	4.0
WELLS/STRONG LEDDY	035	ANN	S	1,600	12.28	n/a	30-Jan	64.00	4.0
WEISS PECK	040	ANW	S	24,050	19.25	n/a	n/a	1,202.50	5.0
CIRCLE T/SES PART	035	AXL	S	50,000	3.30	n/a	12-Aug	2,000.00	4.0
MILLRACE FUND LP	028	AXL	B	20,000	3.35	n/a	12-Aug	400.00	2.0
MORTAR ROCK	033	AXL	B	10,000	3.49	n/a	12-Aug	400.00	4.0
EVERCORE WEALTH MGMT	012	BCO	S	500	26.72	n/a	n/a	25.00	5.0
BRIGADE CAPITAL MGMT	029	BONT	B	7,099	4.15	n/a	6-Feb	212.97	3.0
WELLS/STRONG LEDDY	035	CBK	S	2,000	7.94	n/a	30-Jan	60.00	3.0
EVERCORE WEALTH MGMT	012	CFL	S	500	29.27	n/a	n/a	25.00	5.0
WELLS/STRONG LEDDY	035	CHRS	S	8,400	5.13	n/a	22-Mar	252.00	3.0
BUCK CAPITAL MGMT	001	CMG	B	5,000	91.46	23-Jul	23-Jul	200.00	4.0
EVERCORE WEALTH MGMT	012	CSCO	B	1,900	21.49	n/a	22-Mar	95.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	C	S	550,000	3.98	n/a	20-Jul	11,000.00	2.0
CUMBERLAND	038	DE	SS	15,000	45.66	n/a	17-Jun	600.00	4.0
GREEN ARROW CAPITAL	040	DIN	SS	12,500	22.34	n/a	n/a	625.00	5.0
GREEN ARROW CAPITAL	040	DIN	S	10,000	22.52	n/a	n/a	500.00	5.0
CASTLEROCK	040	FL	SS	120,295	11.33	27-Apr	3-Aug	4,811.80	4.0
MTB INV ADV	034	FWLT	S	11,100	29.90	n/a	n/a	555.00	5.0
BNP PARIBAS SEC	040	F	B	25,000	7.93	3-Aug	10-Aug	1,000.00	4.0
BRIGADE CAPITAL MGMT	029	GPK	B	200,000	2.32	n/a	n/a	4,000.00	2.0
HOLDEN CAPITAL MGMT	035	GRMN	SS	50,000	31.48	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	HOG	B	100,000	22.79	n/a	n/a	4,000.00	4.0
GREEN ARROW CAPITAL	040	HPT	S	30,000	17.09	n/a	n/a	1,500.00	5.0
EVERCORE WEALTH MGMT	012	HSTX	S	496	6.55	n/a	n/a	24.80	5.0
SCOPUS FUND	041	IP	S	20,000	20.24	30-Jul	30-Jul	1,000.00	5.0
M&I FUNDS	047	IVZ	B	30,200	20.40	6-Aug	12-Aug	1,208.00	4.0
EIDELMAN, FINGER & CO	045	JSM	S	2,491	14.97	n/a	n/a	124.55	5.0
BARROW HANLEY MEWHINNEY	031	KFT	S	218,933	28.61	n/a	n/a	8,757.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW CAPITAL	040	LIZ	S	50,000	4.05	n/a	22-Jun	2,500.00	5.0
JP MORGAN VENTURES	046	LIZ	B	13,500	3.70	n/a	22-Jun	405.00	3.0
PRIMECAP MGMT	048	LLY	B	3,000	33.41	n/a	n/a	150.00	5.0
HARVEST MGMT	039	LULU	S	5,000	20.00	n/a	n/a	250.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.20	n/a	4-Jan	600.00	6.0
CIRCLE T/SES PART	035	LVS	S	20,000	12.26	6-Aug	6-Aug	800.00	4.0
MARINER/TRICADIA	041	LVS	S	100,000	12.45	6-Aug	6-Aug	5,000.00	5.0
EVERCORE WEALTH MGMT	012	MSFT	S	200	23.60	n/a	3-Apr	10.00	5.0
WEISS PECK	040	MSFT	B	17,200	23.79	n/a	3-Apr	860.00	5.0
SIGMA CAP BOBBY	044	PFE	B	25,000	15.80	n/a	31-Mar	1,000.00	4.0
BMO NESBITT BURNS	041	PKG	B	25,000	19.76	21-Jul	21-Jul	1,250.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	5,491	19.25	21-Jul	21-Jul	164.73	3.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	34.47	28-Jul	28-Jul	800.00	4.0
EVERCORE WEALTH MGMT	012	QCOM	B	900	46.52	n/a	n/a	45.00	5.0
EVERCORE WEALTH MGMT	012	SHW	S	300	61.72	17-Apr	7-Aug	15.00	5.0
ARAGON GLOBAL	041	SYN	B	14,101	24.93	n/a	24-Apr	705.05	5.0
EVERCORE WEALTH MGMT	012	TJX	S	300	35.69	28-Jul	7-Aug	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	TTWO	S	25,000	9.91	n/a	n/a	750.00	3.0
CASTLE ARK	031	UA	S	66,600	24.22	29-Jul	29-Jul	3,996.00	6.0
TYEE/TYGH	035	WDR	B	15,108	27.50	29-Jul	12-Aug	604.32	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	38.41	28-Jul	12-Aug	800.00	4.0
GOLD SACHS SPECIAL SIT	030	XRT	SS	200,000	31.85	n/a	n/a	10,000.00	5.0
TOTAL (Trade Date):								79,675.54	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/11	CARLSON CAPITAL (CARLDEUTSC)	203	FITB	SS	208,000	9.61	n/a	n/a	10400.00 5.0
AO,CRT	08/11	CARLSON CAPITAL (CARLDEUTSC)	203	FITB	SS	208,000	9.61	n/a	n/a	8320.00 4.0
AO,CXL	08/11	BRIGADE CAPITAL MGMT (BRICGS)	029	GPK	B	200,000	2.33	n/a	n/a	6000.00 3.0
AO,CRT	08/11	BRIGADE CAPITAL MGMT (BRICGS)	029	GPK	B	200,000	2.33	n/a	n/a	4000.00 2.0
CRT	08/12	SCOPUS FUND (SCOPBANC O)	041	IP	S	4,200	20.24	30-Jul	30-Jul	210.00 5.0
CRT	08/12	SCOPUS FUND (SCOPUBS)	041	IP	S	15,800	20.24	30-Jul	30-Jul	790.00 5.0
AO,CXL	08/11	FRONTPOINT/COPIA-ANDREW (FPASCOPIGS)	035	LZ	B	11,300	60.63	n/a	n/a	395.50 3.5
AO,	08/11	FRONTPOINT/COPIA-ANDREW (FPASCOPIGS)	031	LZ	B	11,300	60.63	n/a	n/a	395.50 3.5
AO,CXL	08/11	FRONTPOINT/COPIA-ANDREW (FPASCOPIGS)	035	OSK	B	29,000	25.78	n/a	n/a	1015.00 3.5
AO,	08/11	FRONTPOINT/COPIA-ANDREW (FPASCOPIGS)	031	OSK	B	29,000	25.78	n/a	n/a	1015.00 3.5

TOTAL (AO, CXL, CRT) :**-3,080.00**

TOTAL (Trade Date):

79,675.54

TOTAL (AO, CXL, CRT):

-3,080.00

TOTAL (RUN DATE) / NFS:**76,595.54**

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