

Daily Compliance Activity Report Trade Date: 07/01/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
	AELTUS/ING IVESTMENT MGT	215	ALGT	В	36,100	39.10	n/a	n/a	1,263.50	3.5	
	MELLON/BANK OF NEW YORK	046	AMGN	В	17,140	53.07	n/a	26-Jan	857.00	5.0	
	CIRCLE T/SES PART	035	AN	S	20,000	17.89	10-Jun	10-Jun	800.00	4.0	
	HOLLIS CAPITAL	033	AN	SS	15,000	17.95	10-Jun	10-Jun	750.00	5.0	
	STRAUSS ASSET MGMT	040	AN	В	25,000	18.12	10-Jun	10-Jun	1,000.00	4.0	
	PZENA INV ADV	044	APA	В	10,700	73.10	3-Feb	1-Jul	374.52	3.5	
	APEX CAPITAL MGMT.	033	ARO	SS	11,200	35.54	n/a	5-Jun	448.00	4.0	
	APEX CAPITAL MGMT.	033	AVP	SS	27,700	26.60	2-Jun	2-Jun	1,108.00	4.0	
	CIRCLE T/SES PART	035	AXL	S	50,000	3.50	n/a	10-Jun	1,500.00	3.0	
	DSG CAPITAL	225	AXL	В	700	3.47	n/a	10-Jun	21.00	3.0	
	NEWCASTLE FUNDS	255	AXL	S	30,000	3.55	n/a	10-Jun	1,200.00	4.0	
	APEX CAPITAL MGMT.	033	А	S	46,600	20.85	n/a	n/a	1,864.00	4.0	
	APEX CAPITAL MGMT.	033	BAC	S	83,500	13.43	11-May	30-Jun	3,340.00	4.0	
	BUCK CAPITAL MGMT	001	BIG	В	10,000	21.09	28-May	24-Jun	400.00	4.0	
	JP MORGAN VENTURES	046	ВЈ	SS	20,000	32.31	n/a	27-Jul	1,000.00	5.0	
	RBC CAPITAL MARKETS	040	ВЈ	В	10,000	32.45	n/a	27-Jul	400.00	4.0	
	MELLON/BANK OF NEW YORK	046	BRCM	S	52,800	25.27	n/a	n/a	2,640.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
METROPOLITAN CAPITAL NEWCASTLE FUNDS	044 255	BWA BWA	SS S	12,600 32,500	34.87 34.79	10-Jun 10-Jun	10-Jun 10-Jun	0.00 1,300.00	0.0
PZENA INV ADV	044	CA	В	7,600	17.50	n/a	n/a	266.03	3.5
PROSPECTOR PARTNERS LLC	036	CBT	В	10,000	12.98	n/a	22-Jun	400.00	4.0
CONIFER/ISF	025	CCL	В	5,000	26.18	n/a	26-Jan	250.00	5.0
COOKBIELER	028	COCO	S	75,000	16.76	n/a	n/a	3,000.00	4.0
APEX CAPITAL MGMT.	033	COST	В	22,600	45.99	n/a	27-Jul	904.00	4.0
PROSPECTOR PARTNERS LLC	036	CWEI	В	10,000	18.52	n/a	n/a	400.00	4.0
CIRCLE T/SES PART	035	DAI	SS	10,000	37.28	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	DIN	S	10,000	32.73	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	DLR	S	55,625	36.00	n/a	n/a	2,781.25	5.0
DALTON GREINER	012	DLTR	S	9,650	42.56	8-May	9-Jun	482.50	5.0
THIRD COAST CAPITAL	035	EXLS	В	8,000	11.48	n/a	n/a	400.00	5.0
MELLON/BANK OF NEW YORK	046	FCX	В	9,165	50.69	n/a	n/a	458.25	5.0
THOMAS WEISEL ASSET MGMT	035	FEIC	S	3,639	23.58	n/a	n/a	109.17	3.0
CIRCLE T/SES PART	035	F	S	85,000	6.23	n/a	30-Jun	3,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
DIAMONDBACK CAP MGMT	232	F	S	350,000	6.24	n/a	30-Jun	11,500.00	3.5	
OZ MGMT	040	F	SS	200,000	5.94	n/a	30-Jun	6,000.00	3.0	
SUN AMERICA ASSET MGMT	030	GE	S	5,500	11.67	n/a	n/a	220.00	4.0	
MELLON/BANK OF NEW YORK	046	GILD	В	7,510	47.22	n/a	n/a	375.50	5.0	
MILLENIUM PARTNERS	028	GT	В	50,000	11.53	n/a	n/a	2,500.00	5.0	
RBC CAPITAL MARKETS	040	GYMB	В	10,000	35.42	21-May	5-Jun	400.00	4.0	
DAIVACNIV ACCET MOME	044	HIDD	CC	14 100	10 07	- /-	- /-	706.00	F 0	
BALYASNY ASSET MGMT	044	HIBB	SS	14,120	18.27	n/a	n/a	706.00	5.0	
APEX CAPITAL MGMT.	033	HOG	С	92,800	16.45	n/a	n/a	3,712.00	4.0	
BUCK CAPITAL MGMT	001	HOG	SS	30,000	16.46	n/a	n/a	1,200.00	4.0	
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MELLON/BANK OF NEW YORK	099	HPQ	В	67,945	39.39	n/a	n/a	3,397.25	5.0	
LISTED ERR	099	HPQ	В	90	38.88	n/a	n/a	0.00	0.0	
LISTED ERR	099	HPQ	S	90	38.70	n/a	n/a	0.00	0.0	
APEX CAPITAL MGMT.	033	HP	С	11,800	30.60	n/a	n/a	472.00	4.0	
JENNISON	032	INTC	В	96 , 300	16.99	n/a	n/a	3,563.10	3.7	
NEUTAND CARTEST MOT	0.67	T.D.		10.000	15 60	0.2	0.0 -	400.00	4 0	
NEWLAND CAPITAL MGT	067	IP	S	10,000	15.62	23-Jun	23-Jun	400.00	4.0	
BUCK CAPITAL MGMT	001	JCG	В	10,000	26.58	n/a	30-Jan	400.00	4.0	
BOCK CAPTIAL MONT	001	000		10,000	20.30	11, a	Jo ban	400.00	1.0	
DIAMONDBACK CAP MGMT	232	JEF	SS	10,000	21.26	n/a	n/a	500.00	5.0	
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RBC CAPITAL MARKETS	040	JWN	В	10,000	20.05	20-Feb	5-Jun	400.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
MELLON/BANK OF NEW YORK	046	KO	В	5,690	49.50	n/a	n/a	284.50	5.0
MELLON/BANK OF NEW YORK	046	K	В	7,470	47.62	n/a	n/a	373.50	5.0
T. ROWE PRICE	033	LOW	В	60,800	19.55	12-May	18-May	2,432.00	4.0
STADIA CAPITAL	035	LTD	SS	39,500	12.29	n/a	30-Jan	1,580.00	4.0
APEX CAPITAL MGMT.	033	MNTA	В	9,300	11.95	n/a	n/a	372.00	4.0
HOLDEN CAPITAL MGMT	035	MPEL	SS	100,000	4.59	n/a	23-Jun	5,000.00	5.0
APEX CAPITAL MGMT.	033	MSFT	S	114,200	24.14	n/a	3-Apr	4,568.00	4.0
WHITE PINE CAPITAL	030	MWO	В	1,000	18.08	n/a	n/a	50.00	5.0
APEX CAPITAL MGMT.	033	MWW	S	91,200	12.08	n/a	n/a	3,648.00	4.0
DIAMONDBACK CAP MGMT	232	NEM	В	40,000	42.54	n/a	n/a	2,000.00	5.0
STADIA CAPITAL	035	NOK	SS	30,000	14.90	n/a	n/a	1,200.00	4.0
APEX CAPITAL MGMT.	033	OEH	S	55,600	8.32	n/a	n/a	1,668.00	3.0
SUN AMERICA ASSET MGMT	030	PAYX	В	5,400	25.27	n/a	n/a	216.00	4.0
SIGMA CAPITAL ASSOCIATES	041	PBY	SS	25,000	10.66	n/a	n/a	1,000.00	4.0
MELLON/BANK OF NEW YORK	046	PEP	В	14,030	56.50	n/a	n/a	701.50	5.0
	MELLON/BANK OF NEW YORK MELLON/BANK OF NEW YORK T. ROWE PRICE STADIA CAPITAL APEX CAPITAL MGMT. HOLDEN CAPITAL MGMT. WHITE PINE CAPITAL APEX CAPITAL MGMT. DIAMONDBACK CAP MGMT STADIA CAPITAL APEX CAPITAL MGMT. SUN AMERICA ASSET MGMT SIGMA CAPITAL ASSOCIATES	MELLON/BANK OF NEW YORK 046 MELLON/BANK OF NEW YORK 046 T. ROWE PRICE 033 STADIA CAPITAL 035 APEX CAPITAL MGMT. 033 HOLDEN CAPITAL MGMT 035 APEX CAPITAL MGMT. 033 WHITE PINE CAPITAL 030 APEX CAPITAL MGMT. 033 DIAMONDBACK CAP MGMT 232 STADIA CAPITAL 035 APEX CAPITAL MGMT. 035 STADIA CAPITAL 035 APEX CAPITAL MGMT. 035 STADIA CAPITAL 035 APEX CAPITAL MGMT. 033 SUN AMERICA ASSET MGMT 030 SIGMA CAPITAL ASSOCIATES 041	MELLON/BANK OF NEW YORK 046 KO MELLON/BANK OF NEW YORK 046 K T. ROWE PRICE 033 LOW STADIA CAPITAL 035 LTD APEX CAPITAL MGMT. 033 MNTA HOLDEN CAPITAL MGMT 035 MPEL APEX CAPITAL MGMT. 033 MSFT WHITE PINE CAPITAL 030 MWO APEX CAPITAL MGMT. 033 MWW DIAMONDBACK CAP MGMT 232 NEM STADIA CAPITAL 035 NOK APEX CAPITAL MGMT. 033 OEH SUN AMERICA ASSET MGMT 030 PAYX SIGMA CAPITAL ASSOCIATES 041 PBY	MELLON/BANK OF NEW YORK 046 KO B MELLON/BANK OF NEW YORK 046 K B T. ROWE PRICE 033 LOW B STADIA CAPITAL 035 LTD SS APEX CAPITAL MGMT. 033 MNTA B HOLDEN CAPITAL MGMT 035 MPEL SS APEX CAPITAL MGMT. 033 MSFT S WHITE PINE CAPITAL 030 MWO B APEX CAPITAL MGMT. 033 MWW S DIAMONDBACK CAP MGMT 232 NEM B STADIA CAPITAL 035 NOK SS APEX CAPITAL MGMT. 033 OEH S SUN AMERICA ASSET MGMT 030 PAYX B SIGMA CAPITAL ASSOCIATES 041 PBY SS	MELLON/BANK OF NEW YORK 046 KO B 5,690 MELLON/BANK OF NEW YORK 046 K B 7,470 T. ROWE PRICE 033 LOW B 60,800 STADIA CAPITAL 035 LTD SS 39,500 APEX CAPITAL MGMT. 033 MNTA B 9,300 HOLDEN CAPITAL MGMT 035 MPEL SS 100,000 APEX CAPITAL MGMT. 033 MSFT S 114,200 WHITE PINE CAPITAL 030 MWO B 1,000 APEX CAPITAL MGMT. 033 MWW S 91,200 DIAMONDBACK CAP MGMT 232 NEM B 40,000 STADIA CAPITAL 035 NOK SS 30,000 APEX CAPITAL MGMT. 033 OEH S 55,600 SUN AMERICA ASSET MGMT 030 PAYX B 5,400 SIGMA CAPITAL ASSOCIATES 041 PBY SS 25,000	MELLON/BANK OF NEW YORK 046 KO B 5,690 49.50 MELLON/BANK OF NEW YORK 046 K B 7,470 47.62 T. ROWE PRICE 033 LOW B 60,800 19.55 STADIA CAPITAL 035 LTD SS 39,500 12.29 APEX CAPITAL MGMT. 033 MNTA B 9,300 11.95 HOLDEN CAPITAL MGMT 035 MPEL SS 100,000 4.59 APEX CAPITAL MGMT. 033 MSFT S 114,200 24.14 WHITE PINE CAPITAL 030 MWO B 1,000 18.08 APEX CAPITAL MGMT. 033 MWW S 91,200 12.08 DIAMONDBACK CAP MGMT 232 NEM B 40,000 42.54 STADIA CAPITAL 035 NOK SS 30,000 14.90 APEX CAPITAL MGMT. 033 OEH S 55,600 8.32 SUN AMERICA ASSET MGMT 030 PAYX B 5,400 25.27 SIGMA CAPITAL ASSOCIATES 041 PBY SS 25,000 10.66	MELLON/BANK OF NEW YORK 046 KO B 5,690 49.50 n/a MELLON/BANK OF NEW YORK 046 K B 7,470 47.62 n/a T. ROWE PRICE 033 LOW B 60,800 19.55 12-May STADIA CAPITAL 035 LTD SS 39,500 12.29 n/a APEX CAPITAL MGMT. 033 MNTA B 9,300 11.95 n/a HOLDEN CAPITAL MGMT 035 MPEL SS 100,000 4.59 n/a APEX CAPITAL MGMT. 033 MSFT S 114,200 24.14 n/a WHITE PINE CAPITAL 030 MWO B 1,000 18.08 n/a APEX CAPITAL MGMT. 033 MWW S 91,200 12.08 n/a DIAMONDBACK CAP MGMT 232 NEM B 40,000 42.54 n/a STADIA CAPITAL MGMT. 033 OEH S 55,600 8.32 n/a SUN AMERICA ASSET MGMT 030 PAYX B 5,400 25.27 n/a SIGMA CAPITAL ASSOCIATES 041 PBY SS 25,000 10.66 n/a	MELLON/BANK OF NEW YORK 046 KO B 5,690 49.50 n/a n/a MELLON/BANK OF NEW YORK 046 K B 7,470 47.62 n/a n/a n/a T. ROWE PRICE 033 LOW B 60,800 19.55 12-May 18-May STADIA CAPITAL 035 LTD SS 39,500 12.29 n/a 30-Jan APEX CAPITAL MGMT. 035 MPEL SS 100,000 4.59 n/a 23-Jun APEX CAPITAL MGMT. 033 MSFT S 114,200 24.14 n/a 3-Apr WHITE PINE CAPITAL 035 MWO B 1,000 18.08 n/a n/a APEX CAPITAL MGMT. 033 MWW S 91,200 12.08 n/a n/a DIAMONDBACK CAP MGMT 232 NEM B 40,000 42.54 n/a n/a STADIA CAPITAL 035 NOK SS 30,000 14.90 n/a n/a STADIA CAPITAL MGMT. 033 OEH S 55,600 8.32 n/a n/a SUN AMERICA ASSET MGMT 030 PAYX B 5,400 25.27 n/a n/a SIGMA CAPITAL ASSOCIATES 041 PBY SS 25,000 10.66 n/a n/a	MELLON/BANK OF NEW YORK 046 KO B 5,690 49.50 n/a n/a 284.50 MELLON/BANK OF NEW YORK 046 K B 7,470 47.62 n/a n/a 373.50 T. ROWE PRICE 033 LOW B 60,800 19.55 12-May 18-May 2,432.00 STADIA CAPITAL 035 LID SS 39,500 12.29 n/a 30-Jan 1,580.00 APEX CAPITAL MCMT. 033 MNTA B 9,300 11.95 n/a n/a 372.00 HOLDEN CAPITAL MCMT 035 MPEL SS 100,000 4.59 n/a 23-Jun 5,000.00 APEX CAPITAL MCMT. 033 MSFT S 114,200 24.14 n/a 3-Apr 4,568.00 WHITE PINE CAPITAL MCMT. 033 MWW S 91,200 12.08 n/a n/a 50.00 APEX CAPITAL MCMT. 033 MWW S 91,200 12.08 n/a n/a 3,648.00 DIAMONDBACK CAP MCMT 232 NEM B 40,000 42.54 n/a n/a 2,000.00 STADIA CAPITAL MCMT. 033 OEH S 55,600 8.32 n/a n/a 1,668.00 SUN AMERICA ASSET MCMT 030 PAYX B 5,400 25.27 n/a n/a 1,668.00 SUN AMERICA ASSET MCMT 030 1.000.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
PNC/MERCANTILE	028	PFE	S	21,540	14.88	n/a	31-Mar	861.60	4.0
MELLON/BANK OF NEW YORK	046	PG	В	15,120	52.39	5-Jun	5-Jun	756.00	5.0
MELLON/BANK OF NEW YORK	046	QCOM	S	27,110	45.51	n/a	n/a	1,355.50	5.0
APEX CAPITAL MGMT.	033	ROST	SS	32,600	38.23	n/a	n/a	1,304.00	4.0
KLEINHEINZ CAP PART	031	RPRX	S	50,000	4.44	n/a	n/a	2,500.00	5.0
RAINIER INV MGMT	035	RSG	S	54,670	24.61	n/a	n/a	2,733.50	5.0
APEX CAPITAL MGMT.	033	SBUX	С	141,400	14.14	20-Apr	30-Apr	5,656.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	9.92	n/a	13-Mar	600.00	3.0
OPPENHEIMER MGMT.	231	SLM	S	165,000	10.04	23-Apr	1-Jul	6,600.00	4.0
APEX CAPITAL MGMT.	033	SNE	SS	23,600	26.15	n/a	n/a	944.00	4.0
CONIFER/ISF	025	SRS	S	5,000	19.16	n/a	n/a	250.00	5.0
MELLON/BANK OF NEW YORK	046	SWN	В	18,650	38.67	27-Feb	1-Jul	932.50	5.0
APEX CAPITAL MGMT.	033	SYK	SS	9,600	39.68	n/a	n/a	384.00	4.0
SUN AMERICA ASSET MGMT	030	SYY	В	5,000	22.30	n/a	24-Apr	200.00	4.0
APEX CAPITAL MGMT.	033	TMO	В	43,900	40.39	n/a	n/a	1,756.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Sh	r.
CIRCLE T/SES PART	035	TM	SS	10,000	75.60	n/a	n/a	400.00 4.0	0
APEX CAPITAL MGMT.	033	TNB	SS	19,400	29.34	n/a	n/a	776.00 4.0	0
PNC/MERCANTILE	028	Т	S	18,206	25.11	n/a	4-Jan	728.24 4.0	0
MELLON/BANK OF NEW YORK	046	UPS	S	15,620	51.01	n/a	n/a	781.00 5.0	0
SUN AMERICA ASSET MGMT	030	VFC	В	3,300	56.00	n/a	n/a	132.00 4.0	0
AVESTA CAP	229	WAG	S	50,000	29.25	n/a	n/a	2,000.00 4.0	0
MELLON/BANK OF NEW YORK	046	WMT	В	7,650	48.50	11-May	19-Jun	382.50 5.0	0
COUGAR TRADING	044	WRC	S	5,000	33.97	13-May	13-May	250.00 5.0	0
THIRD COAST CAPITAL	035	WRC	В	10,000	33.61	13-May	13-May	500.00 5.0	0
APEX CAPITAL MGMT.	033	XRAY	SS	15,100	30.60	n/a	n/a	604.00 4.0	0

TOTAL (Trade Date): 128,143.41

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
AO, CXL	06/30	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	S	25,000	3.49	n/a	10-Jun	1250.00	5.0
O,CRT	06/30	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	S	25,000	3.49	n/a	10-Jun	750.00	3.0
O,CXL	06/29	PATTEN & PATTEN (PATTPERSHI)	067	CL	S	300	72.03	8-Jun	8-Jun	15.00	5.0
O,CRT	06/29	PATTEN & PATTEN (PATTAMSOUT)	067	CL	S	300	72.03	8-Jun	8-Jun	15.00	5.0
O,CRT	06/30	ARMATURE CAPITAL (ARMACSFB)	041	CMI	В	30,000	35.04	6-May	6-May	1200.00	4.0
O,CXL	06/30	MILLENIUM PARTNERS (MILPCREDSU)	028	CMI	В	30,000	35.04	6-May	6-May	1500.00	5.0
O,CXL	06/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	GPS	В	8,800	16.58	n/a	30-Jan	528.00	6.0
O,CRT	06/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	GPS	В	8,800	16.58	n/a	30-Jan	440.00	5.0
O,CXL	06/30	SANDLER O'NEILL ASSET (SANOJPMBS)	031	IVZ	В	7,100	17.66	5-Jun	30-Jun	355.00	5.0
O, CRT	06/30	SANDLER O'NEILL ASSET (SANO)	031	IVZ	В	7,100	17.66	5-Jun	30-Jun	355.00	5.0

TOTAL	(AO,	CXL,	CRT)): –-	388.0)0

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	128,143.41 -888.00
TOTAL (RUN DATE) / NFS:	127,255.41

Legend:

O: 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