



Daily Compliance Activity Report

Trade Date: 07/01/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AELTUS/ING INVESTMENT MGT	215	ALGT	B	36,100	39.10	n/a	n/a	1,263.50	3.5
MELLON/BANK OF NEW YORK	046	AMGN	B	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	B	25,000	18.12	10-Jun	10-Jun	1,000.00	4.0
PZENA INV ADV	044	APA	B	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	B	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	A	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	B	10,000	21.09	28-May	24-Jun	400.00	4.0
JP MORGAN VENTURES	046	BJ	SS	20,000	32.31	n/a	27-Jul	1,000.00	5.0
RBC CAPITAL MARKETS	040	BJ	B	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	044	BWA	SS	12,600	34.87	10-Jun	10-Jun	0.00	0.0
NEWCASTLE FUNDS	255	BWA	S	32,500	34.79	10-Jun	10-Jun	1,300.00	4.0
PZENA INV ADV	044	CA	B	7,600	17.50	n/a	n/a	266.03	3.5
PROSPECTOR PARTNERS LLC	036	CBT	B	10,000	12.98	n/a	22-Jun	400.00	4.0
CONIFER/ISF	025	CCL	B	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	B	22,600	45.99	n/a	27-Jul	904.00	4.0
PROSPECTOR PARTNERS LLC	036	CWEI	B	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	B	8,000	11.48	n/a	n/a	400.00	5.0
MELLON/BANK OF NEW YORK	046	FCX	B	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	B	7,510	47.22	n/a	n/a	375.50	5.0
MILLENIUM PARTNERS	028	GT	B	50,000	11.53	n/a	n/a	2,500.00	5.0
RBC CAPITAL MARKETS	040	GYMB	B	10,000	35.42	21-May	5-Jun	400.00	4.0
BALYASNY ASSET MGMT	044	HIBB	SS	14,120	18.27	n/a	n/a	706.00	5.0
APEX CAPITAL MGMT.	033	HOG	C	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
MELLON/BANK OF NEW YORK	099	HPQ	B	67,945	39.39	n/a	n/a	3,397.25	5.0
LISTED ERR	099	HPQ	B	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	C	11,800	30.60	n/a	n/a	472.00	4.0
JENNISON	032	INTC	B	96,300	16.99	n/a	n/a	3,563.10	3.7
NEWLAND CAPITAL MGT	067	IP	S	10,000	15.62	23-Jun	23-Jun	400.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	26.58	n/a	30-Jan	400.00	4.0
DIAMONDBACK CAP MGMT	232	JEF	SS	10,000	21.26	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	JWN	B	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	B	5,690	49.50	n/a	n/a	284.50	5.0
MELLON/BANK OF NEW YORK	046	K	B	7,470	47.62	n/a	n/a	373.50	5.0
T. ROWE PRICE	033	LOW	B	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	B	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	B	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	B	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	B	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	B	14,030	56.50	n/a	n/a	701.50	5.0

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	B	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	C	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	B	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	SYU	B	5,000	22.30	n/a	24-Apr	200.00	4.0
APEX CAPITAL MGMT.	033	TMO	B	43,900	40.39	n/a	n/a	1,756.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	035	TM	SS	10,000	75.60	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	033	TNB	SS	19,400	29.34	n/a	n/a	776.00	4.0
PNC/MERCANTILE	028	T	S	18,206	25.11	n/a	4-Jan	728.24	4.0
MELLON/BANK OF NEW YORK	046	UPS	S	15,620	51.01	n/a	n/a	781.00	5.0
SUN AMERICA ASSET MGMT	030	VFC	B	3,300	56.00	n/a	n/a	132.00	4.0
AVESTA CAP	229	WAG	S	50,000	29.25	n/a	n/a	2,000.00	4.0
MELLON/BANK OF NEW YORK	046	WMT	B	7,650	48.50	11-May	19-Jun	382.50	5.0
COUGAR TRADING	044	WRC	S	5,000	33.97	13-May	13-May	250.00	5.0
THIRD COAST CAPITAL	035	WRC	B	10,000	33.61	13-May	13-May	500.00	5.0
APEX CAPITAL MGMT.	033	XRAY	SS	15,100	30.60	n/a	n/a	604.00	4.0
TOTAL (Trade Date):								128,143.41	

Cancel/Corrects and As-Of Trades

Type	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
AO,CRT	06/30	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	S	25,000	3.49	n/a	10-Jun	750.00 3.0
AO,CXL	06/29	PATTEN & PATTEN (PATTPERSHI)	067	CL	S	300	72.03	8-Jun	8-Jun	15.00 5.0
AO,CRT	06/29	PATTEN & PATTEN (PATTAMSOUT)	067	CL	S	300	72.03	8-Jun	8-Jun	15.00 5.0
AO,CRT	06/30	ARMATURE CAPITAL (ARMACSFBI)	041	CMI	B	30,000	35.04	6-May	6-May	1200.00 4.0
AO,CXL	06/30	MILLENIUM PARTNERS (MILPCREDSU)	028	CMI	B	30,000	35.04	6-May	6-May	1500.00 5.0
AO,CXL	06/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	GPS	B	8,800	16.58	n/a	30-Jan	528.00 6.0
AO,CRT	06/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	GPS	B	8,800	16.58	n/a	30-Jan	440.00 5.0
AO,CXL	06/30	SANDLER O'NEILL ASSET (SANOJPMBS)	031	IVZ	B	7,100	17.66	5-Jun	30-Jun	355.00 5.0
AO,CRT	06/30	SANDLER O'NEILL ASSET (SANO)	031	IVZ	B	7,100	17.66	5-Jun	30-Jun	355.00 5.0
TOTAL (AO, CXL, CRT) :										-888.00

TOTAL (Trade Date) :	128,143.41
TOTAL (AO, CXL, CRT) :	-888.00

TOTAL (RUN DATE) / NFS :	127,255.41
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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