



Daily Compliance Activity Report

Trade Date: 07/13/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ARAGON GLOBAL	041	AAPL	B	5,000	141.62	n/a	n/a	200.00 4.0
CAMBIAR CAP	046	ADM	S	146,800	27.03	1-Jun	1-Jun	5,872.00 4.0
GRUBER MACBAINE	033	BBBY	B	20,000	30.17	n/a	n/a	800.00 4.0
DECADE CAPITAL PARTNERS	040	BWLD	S	10,500	33.76	n/a	n/a	420.00 4.0
DECADE CAPITAL PARTNERS	040	CAKE	B	21,200	16.71	29-May	10-Jul	848.00 4.0
KAYNE ANDERSON ADV	048	CRR	B	10,600	34.47	1-May	1-Jul	424.00 4.0
MERRILL ASSET/BLACKROCK	214	CVG	S	20,000	8.42	n/a	n/a	900.00 4.5
KACELA CAPITAL	034	FCX	B	15,000	47.34	n/a	n/a	600.00 4.0
BMO NESBITT BURNS	041	FOR	B	5,000	11.03	29-Jun	29-Jun	500.00 10.0
STRONG/MARK GRONET	030	GDX	B	20,000	34.31	n/a	n/a	800.00 4.0
KLEINHEINZ CAP PART	031	GIL	B	50,000	13.98	25-Jun	25-Jun	2,500.00 5.0
JP MORGAN VENTURES	046	HAR	S	13,500	21.16	10-Jun	16-Jun	675.00 5.0
BUCK CAPITAL MGMT	001	HOG	SS	40,000	16.03	n/a	n/a	1,600.00 4.0
MAIRS AND POWER INV	030	INTC	S	20,000	16.40	n/a	n/a	1,000.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DECADE CAPITAL PARTNERS	040	JACK	B	13,400	22.17	n/a	n/a	536.00	4.0
CATAPULT	040	MOS	B	50,000	40.28	n/a	n/a	2,500.00	5.0
BARCLEYS CAP (OLD LEHM)	041	M	SS	50,000	10.57	n/a	10-Jul	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	NTY	B	25,000	28.69	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	PII	SS	30,000	31.25	n/a	n/a	1,200.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	10,000	16.00	8-Apr	23-Jun	500.00	5.0
BUCK CAPITAL MGMT	001	SAI	SS	20,000	17.16	n/a	n/a	800.00	4.0
DIAMONDBACK CAP MGMT	232	SGR	S	25,000	24.40	n/a	n/a	1,250.00	5.0
NEWCASTLE FUNDS	255	SMG	S	60,000	36.23	10-Jun	9-Jul	2,400.00	4.0
BMO NESBITT BURNS	041	TIN	S	25,000	12.99	9-Jul	9-Jul	1,250.00	5.0
SCOPUS FUND	041	TIN	S	30,000	12.73	9-Jul	9-Jul	1,500.00	5.0
MERRILL ASSET/BLACKROCK	214	TKR	B	5,300	16.24	n/a	n/a	238.50	4.5
MERRILL ASSET/BLACKROCK	214	URBN	B	3,300	18.98	n/a	30-Jan	148.50	4.5
JP MORGAN VENTURES	046	USO	B	6,600	31.66	n/a	n/a	330.00	5.0
DIAMONDBACK CAP MGMT	232	WHR	B	15,000	45.14	n/a	n/a	750.00	5.0
AVESTA CAP	229	WMT	SS	50,000	47.75	11-May	6-Jul	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	WRC	B	20,000	31.53	13-May	13-May	1,000.00	5.0
JP MORGAN VENTURES	046	WSM	SS	10,000	11.16	n/a	n/a	500.00	5.0
DECADE CAPITAL PARTNERS	040	YUM	S	8,400	35.48	n/a	13-Jul	336.00	4.0
TOTAL (Trade Date) :								37,378.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	07/10	ROTHSCHILD ASSET (ROTH500150)	040	BIO	S	140	70.07	n/a	n/a	6.30	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH500140)	040	BIO	S	120	70.07	n/a	n/a	5.40	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH500130)	040	BIO	S	270	70.07	n/a	n/a	12.15	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH500110)	040	BIO	S	500	70.07	n/a	n/a	22.50	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH500100)	040	BIO	S	140	70.07	n/a	n/a	6.30	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH344)	040	BIO	S	120	70.07	n/a	n/a	5.40	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH000331)	040	BIO	S	260	70.07	n/a	n/a	11.70	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH347)	040	BIO	S	20	70.07	n/a	n/a	0.90	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH346)	040	BIO	S	110	70.07	n/a	n/a	4.95	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH309)	040	BIO	S	1,130	70.07	n/a	n/a	50.85	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH306)	040	BIO	S	180	70.07	n/a	n/a	8.10	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH396)	040	BIO	S	2,000	70.07	n/a	n/a	90.00	4.5
AO,	07/10	ROTHSCHILD ASSET (ROTH304)	040	BIO	S	820	70.07	n/a	n/a	36.90	4.5
AO,CXL	07/10	&SEN (&SENEGS)	028	CAR	S	83,000	5.75	n/a	n/a	3320.00	4.0
AO,CRT	07/10	SENATOR INVESTMENT GROUP (SENAGS)	036	CAR	S	83,000	5.75	n/a	n/a	3320.00	4.0
AO,CRT	07/08	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	DPS	S	44,800	22.25	n/a	n/a	1792.00	4.0
AO,CXL	07/08	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	DPS	S	44,800	22.25	n/a	n/a	2240.00	5.0
AO,CXL	07/08	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	TAP	B	23,400	42.61	n/a	n/a	1170.00	5.0
AO,CRT	07/08	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	TAP	B	23,400	42.61	n/a	n/a	936.00	4.0
TOTAL (AO, CXL, CRT) :										-420.55	

TOTAL (Trade Date):	37,378.00
TOTAL (AO, CXL, CRT):	-420.55

TOTAL (RUN DATE) / NFS:	36,957.45
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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