



## Daily Compliance Activity Report

Trade Date: 05/26/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ADRU	S	2,000	17.71	n/a	n/a	100.00	5.0
PATTEN & PATTEN	067	APC	B	1,800	43.89	3-Feb	7-May	90.00	5.0
TROUBH PART	067	BAC	B	50,000	10.98	11-May	26-May	2,500.00	5.0
BALYASNY ASSET MGMT	044	BEN	S	15,000	63.94	11-May	19-May	750.00	5.0
RBC CAPITAL MARKETS	034	BKC	S	20,000	17.13	16-Apr	29-Apr	800.00	4.0
PATTEN & PATTEN	067	CAG	S	1,850	18.61	n/a	n/a	92.50	5.0
BMO NESBITT BURNS	041	CAT	SS	25,000	35.19	n/a	22-Apr	1,250.00	5.0
MTB INV ADV	034	CHS	B	83,100	8.77	n/a	30-Jan	3,324.00	4.0
WEISS PECK	040	CHS	C	6,200	8.81	n/a	30-Jan	248.00	4.0
RDK CAPITAL MGMT	034	CLX	S	10,000	51.84	19-May	19-May	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CMG</b>	<b>B</b>	<b>22,800</b>	<b>78.94</b>	<b>14-May</b>	<b>14-May</b>	<b>912.00</b>	<b>4.0</b>
KEEFE BRUYETTE WOODS A	045	COF	B	12,000	22.79	15-May	26-May	600.00	5.0
PATTEN & PATTEN	067	DOW	B	3,437	16.99	n/a	6-May	171.85	5.0
JP MORGAN VENTURES	046	DSW	S	20,000	12.76	24-Mar	26-May	1,000.00	5.0
MISSION GLOBAL LLC	041	EP	B	48,700	8.74	n/a	n/a	1,461.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
&MIS	041	EP	B	1,300	8.74	n/a	n/a	39.00	3.0
SCOPUS FUND	041	ETN	B	5,000	45.90	21-Apr	19-May	250.00	5.0
PHILADELPHIA FINANCIAL	033	EVR	S	15,000	16.55	n/a	n/a	600.00	4.0
PATTEN & PATTEN	067	EWC	B	5,100	22.16	n/a	n/a	255.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FDO</b>	<b>B</b>	<b>10,000</b>	<b>31.25</b>	<b>5-Mar</b>	<b>18-May</b>	<b>400.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	034	FDO	S	15,000	30.99	5-Mar	18-May	600.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	10,000	31.07	5-Mar	18-May	500.00	5.0
PHILADELPHIA FINANCIAL	033	FII	S	50,000	22.56	24-Apr	19-May	2,000.00	4.0
MERRILL ASSET	032	GIS	S	14,400	52.54	n/a	n/a	648.00	4.5
RDK CAPITAL MGMT	034	GME	S	10,000	23.20	n/a	n/a	400.00	4.0
WEISS PECK	040	HOG	C	10,300	17.09	n/a	n/a	515.00	5.0
EPOCH INV MGMT	030	IFF	S	30,236	31.02	21-Jan	30-Apr	1,209.44	4.0
SCOPUS FUND	041	IP	B	25,000	14.89	n/a	1-May	1,250.00	5.0
MISSION GLOBAL LLC	041	IR	B	24,350	21.53	n/a	n/a	1,217.50	5.0
&MIS	041	IR	B	650	21.53	n/a	n/a	32.50	5.0
TYEE/TYGH	035	IVZ	B	50,000	14.88	11-May	22-May	2,000.00	4.0
AVESTA CAP	229	JCP	S	25,000	26.66	13-Apr	18-May	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	KSS	B	50,000	42.64	8-May	15-May	2,000.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	8,850	27.60	n/a	19-May	442.50	5.0
NEUBERGER BERMAN	036	LHO	S	17,000	13.50	n/a	n/a	765.00	4.5
RBC CAPITAL MARKETS	034	MCD	B	10,000	57.69	n/a	8-May	400.00	4.0
RDK CAPITAL MGMT	034	MCD	SS	3,890	58.60	n/a	8-May	155.60	4.0
RDK CAPITAL MGMT	034	MCD	S	6,110	58.61	n/a	8-May	244.40	4.0
STADIA CAPITAL	035	MCD	S	9,700	58.69	n/a	8-May	388.00	4.0
MTB INV ADV	034	MON	B	2,100	86.25	n/a	2-Apr	84.00	4.0
BALYASNY ASSET MGMT	044	PLCE	C	25,000	36.15	19-Mar	21-May	1,250.00	5.0
CR INTRINIC INVESTMENT	044	PRX	B	17,144	12.54	6-May	26-May	685.76	4.0
MILLRACE FUND LP	028	PRX	S	3,400	13.08	6-May	26-May	136.00	4.0
NEUBERGER BERMAN	036	PSA	B	6,800	67.10	n/a	n/a	306.00	4.5
KENNEDY CAPITAL	046	PSUN	B	44,722	3.79	6-Feb	6-Feb	894.44	2.0
BALYASNY ASSET MGMT	044	PTRY	S	20,000	20.78	n/a	n/a	1,000.00	5.0
ROTHSCHILD ASSET	040	RAH	S	6,460	57.47	n/a	n/a	290.70	4.5
BUCK CAPITAL MGMT	001	RL	B	4,608	52.84	n/a	16-Apr	184.32	4.0
MISSION GLOBAL LLC	041	ROK	SS	16,558	31.35	n/a	n/a	827.90	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
&MIS	041	ROK	SS	442	31.35	n/a	n/a	22.10	5.0
NEUBERGER BERMAN	036	SHO	S	39,700	5.75	n/a	n/a	1,191.00	3.0
NEUBERGER BERMAN	036	SKT	B	14,700	31.52	n/a	n/a	661.50	4.5
BENCHMARK	028	SLM	B	5,000	6.34	23-Apr	20-May	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TAP	B	58,000	44.08	n/a	n/a	2,030.00	3.5
HARVEST MGMT	039	TIF	B	10,000	27.60	n/a	30-Jan	500.00	5.0
PATTEN & PATTEN	067	T	S	1,400	24.47	n/a	4-Jan	70.00	5.0
NEWCASTLE FUNDS	255	WFMI	SS	15,000	18.96	n/a	n/a	600.00	4.0
DIAMONDBACK CAP MGMT	232	WMT	S	25,000	50.40	11-May	14-May	1,250.00	5.0
CASEY CAPITAL	067	WRC	S	5,000	29.61	13-May	13-May	250.00	5.0
JMP ASSET MGMT	210	ZZ	B	20,000	2.10	n/a	n/a	400.00	2.0
<b>TOTAL (Trade Date) :</b>								<b>43,895.01</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/22	LISTED ERR (LISTED ERR)	099	AEO	S	200	13.63	20-Apr	8-May	0.00	0.0
AO,CXL	05/20	LISTED ERR (LISTED ERR)	099	BARE	B	7,500	9.55	n/a	n/a	0.00	0.0
AO,CRT	05/20	LISTED ERR (LISTED ERR)	099	BARE	B	7,500	9.55	n/a	n/a	0.00	0.0
AO,CRT	05/22	LISTED ERR (LISTED ERR)	099	CAT	S	1,213	34.69	n/a	22-Apr	0.00	0.0
AO,CXL	05/22	LISTED ERR (LISTED ERR)	099	CAT	SS	1,213	34.71	n/a	22-Apr	0.00	0.0
AO,	05/22	LISTED ERR (LISTED ERR)	099	CAT	SS	1,213	34.69	n/a	22-Apr	0.00	0.0
AO,CXL	05/21	REINHART & MAHONEY (REINMINNEA)	031	DRI	S	430	33.36	19-Mar	19-Mar	21.50	5.0
AO,	05/21	REINHART & MAHONEY (REINKANTJM)	031	DRI	S	430	33.36	19-Mar	19-Mar	21.50	5.0
CRT	05/26	&MIS (&MISGGSPB)	041	EP	B	1,300	8.74	n/a	n/a	39.00	3.0
CRT	05/26	MISSION GLOBAL LLC (MISGMLCOG)	041	EP	B	19,950	8.74	n/a	n/a	598.50	3.0
CRT	05/26	MISSION GLOBAL LLC (MISGMSPB)	041	EP	B	28,750	8.74	n/a	n/a	862.50	3.0
AO,CXL	05/21	COOPER CREEK PART (COOPGS)	028	TIN	SS	15,000	11.64	n/a	22-Apr	750.00	5.0
AO,CRT	05/21	COOPER CREEK PART (COOPGS)	028	TIN	SS	15,000	11.64	n/a	22-Apr	600.00	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,350.00</b>	

TOTAL (Trade Date):	43,895.01
TOTAL (AO, CXL, CRT):	1,350.00

TOTAL (RUN DATE) / NFS:

45,245.01

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