



Daily Compliance Activity Report

Trade Date: 04/29/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	S	100,000	33.81	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	ABG	B	50,000	8.98	n/a	20-Apr	2,000.00	4.0
JP MORGAN VENTURES	046	AEO	B	20,000	15.19	20-Apr	20-Apr	1,000.00	5.0
REINHART & MAHONEY	031	AFG	B	8,160	17.32	n/a	n/a	408.00	5.0
NATIONAL BK OF CAN	031	AMG	SS	14,000	52.87	n/a	29-Apr	560.00	4.0
IMPALA ASSET MMT	012	AMR	B	100,000	4.97	n/a	n/a	1,000.00	1.0
ADAGE CAPITAL MGMT	030	ANF	B	200,000	26.86	16-Apr	16-Apr	8,000.00	4.0
IMPALA ASSET MMT	012	AOS	S	38,760	30.92	17-Apr	17-Apr	1,162.80	3.0
WILLOW CREEK	033	AZZ	B	10,000	31.13	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	BIG	B	40,000	26.73	4-Mar	24-Apr	1,600.00	4.0
REINHART & MAHONEY	031	BRKB	B	202,958.98		n/a	n/a	1.00	5.0
PEQUOT CAPITAL MGMT	070	BWA	SS	8,900	27.49	12-Mar	20-Apr	356.00	4.0
BUCK CAPITAL MGMT	001	CAB	B	94,425	12.61	n/a	n/a	3,777.00	4.0
WEINTRAUB CAPITAL MGT.	040	CVS	S	50,000	31.00	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	DFS	B	98,000	8.51	n/a	29-Apr	2,940.00	3.0
EVERCORE WEALTH MGMT	012	DVN	S	1,600	52.99	5-Feb	3-Apr	80.00	5.0
SCOPUS FUND	041	EL	B	25,000	28.84	1-Apr	1-Apr	1,250.00	5.0
IMPALA ASSET MMT	012	EME	B	116,000	21.76	n/a	n/a	3,480.00	3.0
IMPALA ASSET MMT	012	FCX	B	82,915	39.68	n/a	n/a	2,487.45	3.0
IMPALA ASSET MMT	012	FDX	B	15,000	54.37	n/a	n/a	450.00	3.0
WEINTRAUB CAPITAL MGT.	040	FII	B	200,000	22.95	24-Apr	27-Apr	8,000.00	4.0
CASEY CAPITAL	067	GFI	S	16,000	11.10	n/a	n/a	800.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	50,000	15.31	n/a	30-Jan	2,500.00	5.0
WAGONHOUND/NIC	048	GYMB	S	1,433	34.39	27-Apr	27-Apr	57.32	4.0
BASIX	033	HAR	B	17,000	19.55	12-Mar	20-Apr	510.00	3.0
PEQUOT CAPITAL MGMT	070	HAR	SS	12,700	19.66	12-Mar	20-Apr	508.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	100,000	14.85	n/a	n/a	4,000.00	4.0
KLEINHEINZ CAP PART	031	HRB	S	25,000	15.14	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	HSC	B	3,408	27.94	29-Jan	24-Apr	136.32	4.0
BMO NESBITT BURNS	041	IP	SS	30,000	10.97	n/a	20-Apr	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	JCI	B	32,681	18.69	22-Apr	22-Apr	1,307.24	4.0
JP MORGAN VENTURES	046	JCP	S	20,000	28.68	13-Apr	23-Apr	1,000.00	5.0
BUCK CAPITAL MGMT	001	JWN	SS	20,000	22.21	20-Feb	13-Apr	800.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	4.14	n/a	5-Mar	1,000.00	2.0
BMO NESBITT BURNS	041	LM	B	26,300	19.05	29-Jan	23-Apr	1,315.00	5.0
JETSTREAM GLOBAL FUND LP	065	LPX	B	92,600	4.22	3-Mar	20-Apr	3,704.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	11.20	8-Jan	30-Jan	2,000.00	4.0
NEWCASTLE FUNDS	033	LTM	B	25,000	17.30	n/a	n/a	1,000.00	4.0
COLONIAL FUND LLC	036	MAR	S	10,000	22.15	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	MAR	B	173,200	22.04	n/a	n/a	5,196.00	3.0
NOMURA CAPITAL	045	MDTH	S	18,047	9.96	n/a	n/a	721.88	4.0
BMO NESBITT BURNS	041	MWV	SS	25,000	15.55	28-Jan	20-Apr	1,250.00	5.0
SCOPUS FUND	041	MWV	S	37,774	15.53	28-Jan	20-Apr	1,888.70	5.0
SUN AMERICA ASSET MGMT	030	MWW	S	25,000	12.52	n/a	n/a	1,000.00	4.0
GRISANTI BROWN & PARTNER	048	NAV	B	50,000	36.37	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	NKE	B	20,000	53.49	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	NSC	B	39,300	35.23	n/a	n/a	1,179.00	3.0
REINHART & MAHONEY	031	NTRS	B	6,410	54.22	22-Apr	28-Apr	320.50	5.0
IMPALA ASSET MMT	012	OSG	B	25,000	26.87	n/a	n/a	750.00	3.0
WEINTRAUB CAPITAL MGT.	040	PACW	B	100,000	14.78	n/a	n/a	4,000.00	4.0
BALYASNY ASSET MGMT	044	PAG	B	25,000	13.20	n/a	23-Apr	1,000.00	4.0
COOPER CREEK PART	028	PAG	B	8,200	13.18	n/a	23-Apr	328.00	4.0
REINHART & MAHONEY	031	PEP	B	12,510	50.54	n/a	n/a	625.50	5.0
BUCK CAPITAL MGMT	001	PSS	B	20,000	13.57	n/a	n/a	800.00	4.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.30	n/a	n/a	1,720.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	53.01	n/a	16-Apr	800.00	4.0
CIRCLE T PART	035	SBUX	SS	25,000	13.66	20-Apr	27-Apr	1,250.00	5.0
NICOLAS APPLGATE	048	SHOO	S	6,250	29.58	n/a	n/a	250.00	4.0
NEWCASTLE FUNDS	033	SHW	B	10,000	57.02	17-Apr	17-Apr	400.00	4.0
COUGAR TRADING	044	SMG	S	7,500	33.39	5-Feb	29-Apr	375.00	5.0
WAGONHOUND/NIC	048	SNDA	S	552	47.55	n/a	n/a	22.08	4.0
IMPALA ASSET MMT	012	TAM	B	50,000	6.87	n/a	n/a	500.00	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	TEVA	B	1,200	44.98	18-Feb	28-Apr	60.00	5.0
NATIONAL BK OF CAN	031	TROW	B	20,000	38.70	n/a	29-Apr	800.00	4.0
SANDLER O'NEILL ASSET	031	TROW	B	40,000	38.16	n/a	29-Apr	2,000.00	5.0
COUGAR TRADING	044	UA	SS	15,000	23.51	29-Apr	29-Apr	750.00	5.0
JP MORGAN VENTURES	046	URBN	SS	20,000	18.31	n/a	30-Jan	1,000.00	5.0
MAIRS AND POWER INV	030	VAL	S	20,000	24.58	n/a	n/a	1,000.00	5.0
BMO NESBITT BURNS	041	WDR	SS	22,500	22.14	n/a	29-Apr	1,125.00	5.0
EVERCORE WEALTH MGMT	012	WMB	S	6,000	13.56	n/a	n/a	300.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	40,000	27.77	20-Apr	20-Apr	1,600.00	4.0
WEINTRAUB CAPITAL MGT.	040	WRC	B	100,000	27.83	20-Apr	20-Apr	4,000.00	4.0
IMPALA ASSET MMT	012	WYN	B	345,000	11.22	n/a	n/a	10,350.00	3.0
FARALLON CAP MGMT	040	XLY	B	136,921	23.04	n/a	n/a	5,476.84	4.0
REINHART & MAHONEY	031	XOM	B	14,880	67.44	n/a	n/a	744.00	5.0
IMPALA ASSET MMT	012	X	B	50,000	26.63	n/a	n/a	1,500.00	3.0
NEWCASTLE FUNDS	033	ZUMZ	B	20,000	12.09	n/a	n/a	800.00	4.0

TOTAL (Trade Date):

128,022.63

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/28	BNP PARIBAS SEC (BNPPMAIN)	040	CMI	B	7,500	30.91	n/a	4-Feb	300.00 4.0
AO,CRT	04/28	BNP PARIBAS SEC (BNPPMAIN)	040	CMI	B	7,500	30.91	n/a	4-Feb	375.00 5.0
AO,CXL	04/28	BNP PARIBAS SEC (BNPPMAIN)	040	LOW	B	50,000	20.89	31-Mar	31-Mar	2000.00 4.0
AO,CRT	04/28	BNP PARIBAS SEC (BNPPMAIN)	040	LOW	B	50,000	20.89	31-Mar	31-Mar	2500.00 5.0
AO,	04/28	WILLOW CREEK (WILLMAIN)	033	NKE	B	15,000	55.99	n/a	n/a	750.00 5.0
AO,	04/28	WILLOW CREEK (WILLMAIN)	033	SMG	B	8,500	34.49	5-Feb	29-Apr	425.00 5.0
AO,	04/28	VISIUM/BALY HOWARD (VISHMS)	038	TJX	S	25,000	27.85	n/a	13-Apr	1250.00 5.0
TOTAL (AO, CXL, CRT) :										3,000.00

TOTAL (Trade Date) :	128,022.63
TOTAL (AO, CXL, CRT) :	3,000.00

TOTAL (RUN DATE) / NFS :	131,022.63
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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