



Daily Compliance Activity Report

Trade Date: 04/13/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	AEO	B	50,000	14.04	8-Apr	13-Apr	2,500.00	5.0
PRINCIPLE CAPITAL	040	AET	B	41,500	27.14	n/a	n/a	1,245.00	3.0
BALYASNY ASSET MGMT	044	ANF	C	25,000	24.27	n/a	6-Feb	1,250.00	5.0
GLENHILL CAPITAL	212	APC	B	50,000	42.23	3-Feb	3-Apr	2,500.00	5.0
TRELLUS PARTNERS LP	028	APC	B	33,900	43.12	3-Feb	3-Apr	1,695.00	5.0
TROUBH PART	067	BAC	B	25,000	11.00	2-Mar	13-Apr	1,250.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BBBY	B	15,000	31.56	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	COH	B	20,000	18.48	9-Jan	3-Apr	800.00	4.0
AVESTA CAP	229	CVS	S	100,000	29.70	n/a	n/a	4,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	CVS	B	10,000	30.11	n/a	n/a	400.00	4.0
WAGONHOUND/NIC	048	FAS	B	50,000	9.91	n/a	n/a	1,500.00	3.0
COLUMBUS CIRCLE	036	FCX	B	2,100	45.42	n/a	n/a	84.00	4.0
CUMBERLAND	038	FLEX	S	50,000	3.44	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	GES	B	60,000	23.03	n/a	n/a	2,400.00	4.0
SUFFOLK CAPITAL MGMT	040	GS	B	74,100	128.47	n/a	13-Apr	2,964.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	HBI	S	40,000	12.89	n/a	n/a	1,800.00	4.5
MOORE CAPITAL	036	INTC	B	75,000	15.78	n/a	n/a	3,000.00	4.0
SOUTH POINT CAP	067	IYH	S	15,300	49.58	n/a	n/a	765.00	5.0
THE JAY GOLDMAN	034	JCP	S	40,000	26.04	13-Apr	13-Apr	1,600.00	4.0
THE JAY GOLDMAN	034	JWN	B	20,000	21.41	20-Feb	13-Apr	800.00	4.0
ROYAL CAPITAL	039	KSS	B	32,500	44.23	30-Mar	13-Apr	1,625.00	5.0
JP MORGAN VENTURES	046	LEAP	B	7,100	32.76	n/a	n/a	355.00	5.0
PZENA INV ADV	044	LLL	B	6,225	70.06	n/a	n/a	217.88	3.5
COLUMBIA PARTNERS	028	LMT	S	25,565	73.41	n/a	n/a	1,022.60	4.0
CIRCLE T PART	035	MCD	SS	25,000	56.14	n/a	13-Apr	1,250.00	5.0
SANDLER O'NEILL ASSET	031	MS	S	25,000	26.92	18-Dec	13-Apr	1,250.00	5.0
THE JAY GOLDMAN	034	M	B	50,000	11.72	n/a	13-Apr	2,000.00	4.0
DARUMA ASSET MGMT INC	034	NP	S	42,000	3.90	13-Mar	13-Mar	2,100.00	5.0
CR INTRINIC INVESTMENT	044	NTY	B	6,500	18.49	n/a	n/a	260.00	4.0
KACELA CAPITAL	034	PEP	S	20,000	51.50	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	PG	B	40,000	48.24	12-Mar	20-Mar	1,600.00	4.0
TRELLUS PARTNERS LP	028	PH	SS	5,000	37.52	n/a	5-Mar	250.00	5.0
MERRILL ASSET	032	PSS	B	38,511	10.48	n/a	n/a	1,733.00	4.5
BUCK CAPITAL MGMT	001	RL	SS	10,000	51.49	n/a	5-Feb	400.00	4.0
JP MORGAN VENTURES	046	RL	B	15,000	50.55	n/a	5-Feb	750.00	5.0
BUCK CAPITAL MGMT	001	SLM	S	25,000	6.33	27-Feb	8-Apr	750.00	3.0
SERENGETI MGMT	030	SPN	B	50,000	14.55	n/a	n/a	2,500.00	5.0
SOUTH POINT CAP	067	SPY	B	8,900	85.49	n/a	n/a	445.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TIF	S	50,000	23.62	n/a	30-Jan	2,500.00	5.0
MOORE CAPITAL	036	TIN	B	50,200	6.17	5-Dec	8-Apr	2,008.00	4.0
TROUBH PART	067	WFC	B	25,000	19.65	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):								57,719.48	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/09	DSG CAPITAL (DSGCJEFF)	225	AKS	S	3,500	9.44	n/a	n/a	175.00 5.0
AO,CXL	04/09	DSG CAPITAL (DSGCBANK O)	225	AKS	S	3,500	9.44	n/a	n/a	175.00 5.0
AO,CRT	04/08	AVESTA CAP (AVESDEUTS)	229	CHK	B	100,000	19.39	n/a	n/a	4000.00 4.0
AO,CXL	04/08	AVESTA CAP (AVESGSUSE)	229	CHK	B	100,000	19.39	n/a	n/a	4000.00 4.0
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPPF08)	215	HD	B	400	25.84	n/a	25-Feb	14.00 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBALPEL)	215	HD	B	8,700	25.84	n/a	25-Feb	304.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBALFEL)	215	HD	B	1,800	25.84	n/a	25-Feb	63.00 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP465)	215	HD	B	700	25.84	n/a	25-Feb	24.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTLUXNA)	215	HD	B	4,400	25.84	n/a	25-Feb	154.00 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP588)	215	HD	B	2,100	25.84	n/a	25-Feb	73.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEP596)	215	HD	B	100	25.84	n/a	25-Feb	3.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTIMSCI)	215	HD	B	1,200	25.84	n/a	25-Feb	42.00 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTSEPCO3)	215	HD	B	5,300	25.84	n/a	25-Feb	185.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIMSOU)	215	HD	B	8,000	25.84	n/a	25-Feb	280.00 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTGIGAE)	215	HD	B	4,100	25.84	n/a	25-Feb	143.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPTCAD)	215	HD	B	800	25.84	n/a	25-Feb	28.00 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBRICK7)	215	HD	B	200	25.84	n/a	25-Feb	7.00 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPLCF)	215	HD	B	10,900	25.84	n/a	25-Feb	381.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPLCP)	215	HD	B	25,100	25.84	n/a	25-Feb	878.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTBERMUQ)	215	HD	B	50	25.84	n/a	25-Feb	1.75 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIMHOW)	215	HD	B	250	25.84	n/a	25-Feb	8.75 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTAIMEL)	215	HD	B	1,300	25.84	n/a	25-Feb	45.50 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTLUXECL)	215	HD	B	1,000	25.84	n/a	25-Feb	35.00 3.5
AO,	04/09	AELTUS/ING IVESTMENT MGT (AELTPPF08)	215	UTX	B	200	47.23	n/a	n/a	7.00 3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTBALPEL)	215	UTX	B	5,200	47.23	n/a	n/a	182.00 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTBALFEL)	215	UTX	B	1,100	47.23	n/a	n/a	38.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTSEP465)	215	UTX	B	400	47.23	n/a	n/a	14.00 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTLUXNA)	215	UTX	B	2,000	47.23	n/a	n/a	70.00 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTSEP588)	215	UTX	B	1,300	47.23	n/a	n/a	45.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTSEP596)	215	UTX	B	40	47.23	n/a	n/a	1.40 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTIMSCI)	215	UTX	B	1,100	47.23	n/a	n/a	38.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTNNA_US)	215	UTX	B	19,300	47.23	n/a	n/a	675.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTSEPCO3)	215	UTX	B	3,200	47.23	n/a	n/a	112.00 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTAIMSOU)	215	UTX	B	4,800	47.23	n/a	n/a	168.00 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTGIGAE)	215	UTX	B	2,500	47.23	n/a	n/a	87.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTPTCAD)	215	UTX	B	500	47.23	n/a	n/a	17.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTBRICK7)	215	UTX	B	100	47.23	n/a	n/a	3.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTPLCF)	215	UTX	B	6,500	47.23	n/a	n/a	227.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTPLCP)	215	UTX	B	14,900	47.23	n/a	n/a	521.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTBERMUQ)	215	UTX	B	10	47.23	n/a	n/a	0.35 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTAIMHOW)	215	UTX	B	150	47.23	n/a	n/a	5.25 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTAIMEL)	215	UTX	B	700	47.23	n/a	n/a	24.50 3.5
AO,	04/09	AELTUS/ING INVESTMENT MGT (AELTLUXECL)	215	UTX	B	600	47.23	n/a	n/a	21.00 3.5
AO,CXL	04/09	PRINCIPLE CAPITAL (PRINUBSPB)	040	WHR	B	49,300	34.92	n/a	n/a	1972.00 4.0
AO,CRT	04/09	PRINCIPLE CAPITAL (PRINUBSPB)	040	WHR	B	49,300	34.92	n/a	n/a	1479.00 3.0

TOTAL (AO, CXL, CRT) :

4,442.00

TOTAL (Trade Date) :

57,719.48

TOTAL (AO, CXL, CRT):

4,442.00

TOTAL (RUN DATE) / NFS:

62,161.48

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