



## Daily Compliance Activity Report

Trade Date: 04/20/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	S	10,000	29.08	n/a	n/a	400.00	4.0
CASTLE ARK	031	AAPL	B	800	120.43	n/a	n/a	48.00	6.0
COUGAR TRADING	044	AB	S	5,000	19.00	20-Feb	20-Apr	250.00	5.0
CASTLE ARK	031	ADBE	B	1,500	23.59	n/a	n/a	90.00	6.0
ROSEDALE CAPITAL	046	AKAM	S	20,000	19.40	n/a	n/a	1,000.00	5.0
BENNETT LAWRENCE	045	AMSC	B	35,400	21.43	n/a	n/a	1,416.00	4.0
CASTLE ARK	031	AMZN	B	800	77.82	n/a	n/a	48.00	6.0
CASTLE ARK	031	ANSS	B	2,100	25.87	n/a	n/a	126.00	6.0
CASTLE ARK	031	APC	B	1,900	41.66	3-Feb	3-Apr	114.00	6.0
ROYCE TRADING	216	ARM	B	10,000	1.29	n/a	n/a	300.00	3.0
THE JAY GOLDMAN	034	ARO	B	50,000	29.49	n/a	13-Apr	2,000.00	4.0
NWQ INVESTMENT MGMT CO	048	A	S	6,300	16.19	n/a	n/a	252.00	4.0
CASTLE ARK	031	BAX	B	1,800	51.01	n/a	22-Apr	108.00	6.0
CASTLE ARK	031	BEC	B	900	52.26	n/a	n/a	54.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	BIG	B	4,800	26.01	4-Mar	6-Apr	0.00	0.0
LISTED ERR	099	BIG	S	4,800	26.27	4-Mar	6-Apr	0.00	0.0
GRANITE CAPITAL	045	BJS	S	25,000	12.10	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	034	BKC	B	25,000	17.34	16-Apr	16-Apr	1,000.00	4.0
CASTLE ARK	031	BUCY	B	1,300	17.69	n/a	24-Feb	78.00	6.0
ROYCE TRADING	216	CAB	S	10,000	10.94	n/a	n/a	500.00	5.0
ROYCE TRADING	216	CCC	S	10,000	17.81	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	COH	S	25,000	18.51	9-Jan	3-Apr	1,250.00	5.0
CASTLE ARK	031	DE	B	2,000	37.10	26-Jan	19-Feb	120.00	6.0
SANDLER O'NEILL ASSET	031	DFS	S	250,000	8.13	n/a	15-Apr	7,500.00	3.0
CASTLE ARK	031	DKS	B	2,600	17.55	24-Mar	24-Mar	156.00	6.0
CARDINAL CAPITAL	044	DM	B	26,100	9.85	n/a	n/a	1,305.00	5.0
CASTLE ARK	031	EMR	B	2,200	31.83	n/a	n/a	132.00	6.0
CASTLE ARK	031	EXPD	B	1,000	32.13	n/a	n/a	60.00	6.0
ROYCE TRADING	216	FCF	S	10,000	9.84	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	FO	SS	40,000	32.65	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	FWLT	B	1,600	19.88	n/a	n/a	96.00	6.0
1798 CAPITAL MGMT	040	GES	S	10,000	22.81	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>30,000</b>	<b>22.59</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
CASTLE ARK	031	GILD	B	400	43.76	n/a	n/a	24.00	6.0
STRAUSS ASSET MGMT	040	GMCR	S	5,000	52.15	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GPS	S	25,000	14.73	n/a	30-Jan	1,250.00	5.0
CASTLE ARK	031	GS	B	800	118.45	n/a	14-Apr	48.00	6.0
BASIX	033	HAR	SS	10,000	16.26	12-Mar	20-Apr	300.00	3.0
DSG CAPITAL	225	HAR	B	12,500	16.49	12-Mar	20-Apr	625.00	5.0
DSG CAPITAL	225	HAR	SS	12,500	17.21	12-Mar	20-Apr	625.00	5.0
CASTLE ARK	031	HPQ	B	3,100	34.97	n/a	n/a	186.00	6.0
EATON VANCE MGMT	039	HPQ	B	75,000	35.41	n/a	n/a	2,250.00	3.0
CASTLE ARK	031	ICE	B	900	87.63	n/a	n/a	54.00	6.0
CASTLE ARK	031	INTC	B	4,800	15.06	n/a	n/a	288.00	6.0
SCOPUS FUND	041	IP	SS	25,000	8.15	n/a	20-Apr	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	IVZ	S	100,000	14.99	7-Apr	20-Apr	4,000.00	4.0
FARALLON CAP MGMT	040	JAVA	B	300,000	9.09	n/a	n/a	6,000.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	JBHT	B	2,600	26.27	n/a	n/a	156.00	6.0
CASTLE ARK	031	JCI	B	2,200	16.08	13-Mar	27-Mar	132.00	6.0
1798 CAPITAL MGMT	040	JCP	S	10,000	25.20	13-Apr	13-Apr	500.00	5.0
NWQ INVESTMENT MGMT CO	048	KMB	S	3,200	50.53	27-Jan	20-Mar	128.00	4.0
CASTLE ARK	031	KSS	B	2,200	42.75	30-Mar	13-Apr	132.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LL</b>	<b>S</b>	<b>40,000</b>	<b>13.39</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
CATAPULT	040	LMT	SS	15,000	75.93	n/a	n/a	750.00	5.0
NWQ INVESTMENT MGMT CO	048	LMT	S	2,750	75.09	n/a	n/a	110.00	4.0
THE JAY GOLDMAN	034	LTD	S	75,000	9.93	8-Jan	30-Jan	3,000.00	4.0
CASTLE ARK	031	MCHP	B	2,300	22.38	n/a	n/a	138.00	6.0
ROYCE TRADING	216	MDC	S	5,000	32.05	n/a	n/a	250.00	5.0
CASTLE ARK	031	MON	B	700	78.69	n/a	2-Apr	42.00	6.0
CASTLE ARK	031	MSFT	B	4,400	18.71	n/a	3-Apr	264.00	6.0
CASTLE ARK	031	MTD	B	600	56.90	n/a	n/a	36.00	6.0
ROYCE TRADING	216	MTZ	S	5,000	12.63	n/a	n/a	250.00	5.0
CASTLE ARK	031	NE	B	1,100	25.74	n/a	n/a	66.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	NKE	B	1,100	52.35	n/a	n/a	66.00	6.0
ROYCE TRADING	216	NPO	B	5,000	17.90	n/a	n/a	250.00	5.0
CASTLE ARK	031	NUVA	B	1,700	30.00	n/a	n/a	102.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>30,000</b>	<b>4.05</b>	<b>n/a</b>	<b>30-Jan</b>	<b>600.00</b>	<b>2.0</b>
BALYASNY ASSET MGMT	044	ORLY	S	20,000	38.33	n/a	n/a	1,000.00	5.0
CHARTER OAK	033	PAG	B	20,000	11.20	n/a	20-Apr	1,000.00	5.0
MILLRACE FUND LP	028	PAG	B	5,000	11.08	n/a	20-Apr	200.00	4.0
CASTLE ARK	031	PCAR	B	1,800	31.02	25-Mar	25-Mar	108.00	6.0
CANTILLON CAPITAL	040	PG	S	384,800	51.36	12-Mar	20-Mar	19,240.00	5.0
MILLENIUM PARTNERS	028	PKG	S	20,000	13.34	8-Apr	20-Apr	1,000.00	5.0
SCOPUS FUND	041	PKG	SS	10,000	13.14	8-Apr	20-Apr	500.00	5.0
CASTLE ARK	031	PSYS	B	1,100	14.00	n/a	n/a	66.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>35,000</b>	<b>26.52</b>	<b>20-Apr</b>	<b>20-Apr</b>	<b>1,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	PVH	B	5,000	27.42	20-Apr	20-Apr	250.00	5.0
CASTLE ARK	031	QCOM	B	2,200	39.46	n/a	n/a	132.00	6.0
ROYCE TRADING	216	ROC	B	5,000	9.82	n/a	n/a	250.00	5.0
COUGAR TRADING	044	SBUX	SS	15,000	11.63	20-Apr	20-Apr	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	SBUX	SS	306,400	11.42	20-Apr	20-Apr	12,256.00	4.0
CASTLE ARK	031	SCHW	B	4,000	17.39	n/a	n/a	240.00	6.0
PORTER-ORLIN-FELDMAN	044	SLG	B	50,000	17.03	n/a	n/a	1,500.00	3.0
CASTLE ARK	031	SPLS	B	4,100	20.13	n/a	27-Jul	246.00	6.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	SS	25,000	20.13	n/a	27-Jul	1,250.00	5.0
CASTLE ARK	031	STJ	B	1,300	35.66	n/a	n/a	78.00	6.0
CASTLE ARK	031	STRA	B	300	187.42	n/a	n/a	18.00	6.0
MILLENIUM PARTNERS	028	TIN	S	30,000	6.85	5-Dec	20-Apr	1,500.00	5.0
CASTLE ARK	031	TJX	B	3,000	27.11	n/a	13-Apr	180.00	6.0
DIAMONDBACK CAP MGMT	232	TJX	B	75,000	27.61	n/a	13-Apr	3,750.00	5.0
ROYCE TRADING	216	TKR	B	5,000	14.76	n/a	n/a	250.00	5.0
NWQ INVESTMENT MGMT CO	048	T	S	4,100	25.42	n/a	4-Jan	164.00	4.0
CASTLE ARK	031	UA	B	700	18.52	n/a	16-Apr	42.00	6.0
PORTER-ORLIN-FELDMAN	044	UBS	B	50,000	11.34	n/a	n/a	1,500.00	3.0
GRANITE CAPITAL	045	USB	S	36,100	16.57	n/a	n/a	1,805.00	5.0
NWQ INVESTMENT MGMT CO	048	VZ	S	3,300	31.07	n/a	4-Jan	132.00	4.0
1798 CAPITAL MGMT	040	WAG	B	10,000	29.99	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	WMT	B	50,000	50.38	n/a	9-Apr	2,000.00	4.0
CASTLE ARK	031	WMT	B	1,100	49.40	n/a	9-Apr	66.00	6.0
CUMBERLAND	038	WMT	S	25,000	50.16	n/a	9-Apr	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>27.70</b>	<b>20-Apr</b>	<b>20-Apr</b>	<b>800.00</b>	<b>4.0</b>
AVESTA CAP	229	X	S	50,000	27.29	n/a	n/a	2,000.00	4.0
PERSHING SQUARE	029	YUM	S	554,315	31.45	n/a	20-Apr	22,172.60	4.0
<b>TOTAL (Trade Date):</b>								<b>128,970.60</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/20	ROSEDALE CAPITAL (ROSEGS)	046	AKAM	S	20,000	19.40	n/a	n/a	1000.00 5.0
AO,CXL	04/15	SENATOR INVESTMENT GROUP (SENAGS)	036	RAH	B	15,000	54.02	n/a	n/a	750.00 5.0
AO,CRT	04/15	SENATOR INVESTMENT GROUP (SENAGS)	036	RAH	B	15,000	54.02	n/a	n/a	600.00 4.0

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**TOTAL (AO, CXL, CRT) :****850.00**

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**TOTAL (Trade Date) :****128,970.60****TOTAL (AO, CXL, CRT) :****850.00**

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**TOTAL (RUN DATE) / NFS:****129,820.60**

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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