

Daily Compliance Activity Report Trade Date: 06/11/2009

${\bf POTENTIAL\ ANALYST\ TRADE\ VIOLATIONS:0}$

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
NEUBERGER BERMAN	036	ADVS	S	31,900	31.00	n/a	n/a	1,435.50	4.5
BUCK CAPITAL MGMT	001	AEO	S	20,000	14.59	20-Apr	5-Jun	800.00	4.0
M&I FUNDS	256	AMG	В	4 , 531	57.50	5-Jun	11-Jun	181.24	4.0
BUCK CAPITAL MGMT	001	AN	В	50,000	18.10	10-Jun	10-Jun	2,000.00	4.0
CHARTER OAK	033	APC	S	100,000	49.69	3-Feb	1-Jun	5,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	В	10,000	35.23	n/a	5-Jun	400.00	4.0
ACK ASSET	028	ATAC	В	55,000	14.96	n/a	n/a	1,650.00	3.0
NEWCASTLE FUNDS	255	AXL	В	35,000	4.41	n/a	10-Jun	1,400.00	4.0
TRELLUS PARTNERS LP	028	AXL	В	102,500	4.34	n/a	10-Jun	3,075.00	3.0
BUCK CAPITAL MGMT	001	BWA	В	50,000	35.59	10-Jun	10-Jun	2,000.00	4.0
SCOPUS FUND	041	BWA	S	38,000	35.08	10-Jun	10-Jun	1,900.00	5.0
DIAMONDBACK CAP MGMT	232	CAT	С	15,000	38.04	n/a	10-Jun	750.00	5.0
PRINCIPLE CAPITAL	040	CCL	SS	71,600	23.92	n/a	26-Jan	2,148.00	3.0
GLOBAL 56 LLC	060	СНК	В	4,000	24.48	n/a	n/a	160.00	4.0
STRONG/MARK GRONET	030	CIM	В	26 , 870	3.27	n/a	n/a	806.10	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
JMP ASSET MGMT	210	CNH	SS	4,618	17.31	n/a	n/a	230.90	5.0
NEWCASTLE FUNDS	255	CSX	В	25 , 000	35.10	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	DLLR	В	45 , 500	14.24	n/a	n/a	2,047.50	4.5
AELTUS/ING IVESTMENT MGT	215	DOV	В	57 , 200	36.45	n/a	n/a	2,002.00	3.5
COOPER CREEK PART	028	DSW	SS	10,000	10.59	28-May	28-May	400.00	4.0
MATRIX ASSET ADV.	036	DVN	S	2,000	66.21	6-May	1-Jun	80.00	4.0
BREEDEN CAP MGMT	080	EBAY	S	100,000	18.06	n/a	n/a	5,000.00	5.0
ROARING BLUE LION MGMT	012	FDO	В	11,700	29.80	5-Mar	9-Jun	468.00	4.0
CUMBERLAND	038	FDX	В	75,000	56.90	n/a	n/a	3,000.00	4.0
NEUBERGER BERMAN	036	GCA	В	75,000	6.98	n/a	n/a	2,250.00	3.0
BUCK CAPITAL MGMT	001	GES	В	30,000	26.10	n/a	n/a	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	25,000	35.00	21-May	5-Jun	1,000.00	4.0
BUCK CAPITAL MGMT	001	HGG	В	20,000	14.36	n/a	n/a	800.00	4.0
CASTLEROCK	040	НК	В	87,441	26.34	n/a	n/a	3,497.64	4.0
CSFB GLOBAL PROPRIETARY	041	IP	В	15,000	15.82	n/a	1-May	750.00	5.0
	JMP ASSET MGMT NEWCASTLE FUNDS NEUBERGER BERMAN AELTUS/ING IVESTMENT MGT COOPER CREEK PART MATRIX ASSET ADV. BREEDEN CAP MGMT ROARING BLUE LION MGMT CUMBERLAND NEUBERGER BERMAN BUCK CAPITAL MGMT SIGMA CAPITAL ASSOCIATES BUCK CAPITAL MGMT CASTLEROCK	JMP ASSET MGMT 210 NEWCASTLE FUNDS 255 NEUBERGER BERMAN 036 AELTUS/ING IVESTMENT MGT 215 COOPER CREEK PART 028 MATRIX ASSET ADV. 036 BREEDEN CAP MGMT 080 ROARING BLUE LION MGMT 012 CUMBERLAND 038 NEUBERGER BERMAN 036 BUCK CAPITAL MGMT 001 SIGMA CAPITAL ASSOCIATES 041 BUCK CAPITAL MGMT 001 CASTLEROCK 040	JMP ASSET MGMT 210 CNH NEWCASTLE FUNDS 255 CSX NEUBERGER BERMAN 036 DLLR AELTUS/ING IVESTMENT MGT 215 DOV COOPER CREEK PART 028 DSW MATRIX ASSET ADV. 036 DVN BREEDEN CAP MGMT 080 EBAY ROARING BLUE LION MGMT 012 FDO CUMBERLAND 038 FDX NEUBERGER BERMAN 036 GCA BUCK CAPITAL MGMT 001 GES SIGMA CAPITAL ASSOCIATES 041 GYMB BUCK CAPITAL MGMT 001 HGG CASTLEROCK 040 HK	NEWCASTLE FUNDS 255 CSX B NEUBERGER BERMAN 036 DLLR B AELTUS/ING IVESTMENT MGT 215 DOV B COOPER CREEK PART 028 DSW SS MATRIX ASSET ADV. 036 DVN S BREEDEN CAP MGMT 080 EBAY S ROARING BLUE LION MGMT 012 FDO B CUMBERLAND 038 FDX B NEUBERGER BERMAN 036 GCA B BUCK CAPITAL MGMT 001 GES B SIGMA CAPITAL ASSOCIATES 041 GYMB SS BUCK CAPITAL MGMT 001 HGG B CASTLEROCK 040 HK B	JMP ASSET MGMT 210 CNH SS 4,618 NEWCASTLE FUNDS 255 CSX B 25,000 NEUBERGER BERMAN 036 DLLR B 45,500 AELTUS/ING IVESTMENT MGT 215 DOV B 57,200 COOPER CREEK PART 028 DSW SS 10,000 MATRIX ASSET ADV. 036 DVN S 2,000 BREEDEN CAP MGMT 080 EBAY S 100,000 ROARING BLUE LION MGMT 012 FDO B 11,700 CUMBERLAND 038 FDX B 75,000 NEUBERGER BERMAN 036 GCA B 75,000 BUCK CAPITAL MGMT 001 GES B 30,000 SIGMA CAPITAL ASSOCIATES 041 GYMB SS 25,000 BUCK CAPITAL MGMT 001 HGG B 20,000 CASTLEROCK 040 HK B 87,441	JMP ASSET MGMT 210 CNH SS 4,618 17.31 NEWCASTLE FUNDS 255 CSX B 25,000 35.10 NEUBERGER BERMAN 036 DLLR B 45,500 14.24 AELTUS/ING IVESTMENT MGT 215 DOV B 57,200 36.45 COOPER CREEK PART 028 DSW SS 10,000 10.59 MATRIX ASSET ADV. 036 DVN S 2,000 66.21 BREEDEN CAP MGMT 080 EBAY S 100,000 18.06 ROARING BLUE LION MGMT 012 FDO B 11,700 29.80 CUMBERLAND 038 FDX B 75,000 56.90 NEUBERGER BERMAN 036 GCA B 75,000 6.98 BUCK CAPITAL MGMT 001 GES B 30,000 26.10 SIGMA CAPITAL MGMT 001 HGG B 20,000 14.36 CASTLEROCK 040 HK B 87,441 26.34	JMP ASSET MGMT 210 CNH SS 4,618 17.31 n/a NEWCASTLE FUNDS 255 CSX B 25,000 35.10 n/a NEUBERGER BERMAN 036 DLLR B 45,500 14.24 n/a AELTUS/ING IVESTMENT MGT 215 DOV B 57,200 36.45 n/a COOPER CREEK PART 028 DSW SS 10,000 10.59 28-May MATRIX ASSET ADV. 036 DVN S 2,000 66.21 6-May BREEDEN CAP MGMT 080 EBAY S 100,000 18.06 n/a ROARING BLUE LION MGMT 012 FDO B 11,700 29.80 5-Mar CUMBERLAND 038 FDX B 75,000 56.90 n/a NEUBERGER BERMAN 036 GCA B 75,000 6.98 n/a BUCK CAPITAL MGMT 001 GES B 30,000 26.10 n/a BUCK	JMP ASSET MGMT 210 CNH SS 4,618 17.31 n/a n/a NEWCASTLE FUNDS 255 CSX B 25,000 35.10 n/a n/a NEUBERGER BERMAN 036 DLLR B 45,500 14.24 n/a n/a ABLTUS/ING IVESTMENT MGT 215 DOV B 57,200 36.45 n/a n/a COOPER CREEK PART 028 DSW SS 10,000 10.59 28-May 28-May MATRIX ASSET ADV. 036 DVN S 2,000 66.21 6-May 1-Jun BREEDEN CAP MGMT 080 EBAY S 100,000 18.06 n/a n/a ROARING BLUE LION MGMT 012 FDO B 11,700 29.80 5-Mar 9-Jun CUMBERLAND 038 FDX B 75,000 56.90 n/a n/a BUCK CAPITAL MGMT 001 GES B 30,000 26.10 n/a n/a	JMP ASSET MGMT 210 CNH SS 4,618 17.31 n/a n/a 230.90 NEWCASTLE FUNDS 255 CSX B 25,000 35.10 n/a n/a 1,000.00 NEUBERGER BERMAN 036 DLLR B 45,500 14.24 n/a n/a 2,047.50 AELTUS/ING IVESTMENT MST 215 DOV B 57,200 36.45 n/a n/a 2,002.00 COOPER CREEK PART 028 DSW SS 10,000 10.59 28-May 28-May 400.00 MATRIX ASSET ADV. 036 DVN S 2,000 66.21 6-May 1-Jun 80.00 BREEDEN CAP MGMT 080 EBAY S 100,000 18.06 n/a n/a 5,000.00 ROARING BLUE LION MGMT 012 FDO B 11,700 29.80 5-Mar 9-Jun 468.00 CUMBERLAND 038 FDX B 75,000 66.98 n/a n/a

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	SOLARIS INV MGMT	029	IR	В	100,000	22.93	n/a	n/a	5,000.00	5.0
	DIAMONDBACK CAP MGMT	232	IVZ	S	25,000	18.52	5-Jun	9-Jun	1,250.00	5.0
	TYEE/TYGH	035	IVZ	В	28,200	18.19	5-Jun	9-Jun	1,128.00	4.0
	BUCK CAPITAL MGMT	001	JCG	В	20,000	25.82	n/a	30-Jan	800.00	4.0
	MATRIX ASSET ADV.	036	JCI	S	4,000	21.75	2-Jun	2-Jun	160.00	4.0
	EVERCORE WEALTH MGMT	012	JJC	В	2,000	34.13	n/a	n/a	100.00	5.0
	EGS ASSOCIATES LP	091	JWN	SS	8,500	20.46	20-Feb	5–Jun	510.00	6.0
	ROTHSCHILD ASSET	040	MKC	S	20,719	31.12	n/a	n/a	932.38	4.5
	WAGONHOUND/NIC	048	MPEL	S	50,000	5.54	n/a	n/a	1,500.00	3.0
õ	Steven Maguire		MS	S	5000 2	29.4900	11-May	2-Jun	0.00	0.0
	ROTHSCHILD ASSET	040	MYE	В	16,310	9.77	n/a	n/a	733.95	4.5
	ADAGE CAPITAL MGMT	030	M	SS	257 , 270	12.16	n/a	5-Jun	10,290.80	4.0
	RAINIER INV MGMT	035	NTRS	В	55 , 820	55.80	22-Apr	19-May	2,791.00	5.0
	M&I FUNDS	256	PBY	S	28,729	9.93	n/a	n/a	861.87	3.0
	BUCK CAPITAL MGMT	001	PSS	В	40,000	14.10	n/a	n/a	1,600.00	4.0
	FIRST NY SEC/CHRIS	041	RF	S	70,000	4.26	n/a	n/a	3,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Sh	ır.
ARCHON CAPITAL	035	TCO	В	29,500	26.80	n/a	n/a	885.00 3.	. 0
MILLENIUM PARTNERS	028	TIN	В	50,000	12.99	5-Jun	5-Jun	2,000.00 4.	. 0
COUGAR TRADING	044	TJX	В	5,000	30.54	4-May	5-Jun	250.00 5.	. 0
OSS CAPITAL/KEVIN DANN	067	TK	В	250,000	22.68	n/a	n/a	7,500.00 3.	. 0
MATRIX ASSET ADV.	036	TYC	S	3,000	27.60	1-May	1-May	120.00 4.	. 0
AVESTA CAP	229	WMT	SS	100,000	49.57	11-May	9-Jun	4,000.00 4.	. 0
PRINCIPLE CAPITAL	040	WYNN	SS	22,700	37.04	n/a	n/a	681.00 3.	. 0
M&I FUNDS	256	YНОО	S	61,500	16.28	n/a	n/a	2,460.00 4.	. 0

TOTAL (Trade Date): 96,485.88

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	n Comm.	¢/Shr.
AO,CXL	06/10	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	ALV	S	22 , 860	31.52		10-Jun	1143.00	5.0
AO,CXL	06/10	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	ALV	SS	7,140	31.60	10-Jun	10-Jun	357.00	5.0
AO,CRT	06/10	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ALV	S	22,860	31.52	10-Jun	10-Jun	914.40	4.0
AO,CRT	06/10	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ALV	SS	7,140	31.60	10-Jun	10-Jun	285.60	4.0
AO,CRT	06/10	DSG CAPITAL (DSGCJEFF)	225	AXL	В	5,300	3.85	n/a	10-Jun	159.00	3.0
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	AXL	В	5,300	3.85	n/a	10-Jun	265.00	5.0
AO,CRT	06/10	DSG CAPITAL (DSGCJEFF)	225	AXL	S	5,300	4.20	n/a	10-Jun	159.00	3.0
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	AXL	S	5,300	4.20	n/a	10-Jun	265.00	5.0
AO,CXL	06/10	TRELLUS PARTNERS LP (TRELMAIN)	028	AXL	В	69,000	3.99	n/a	10-Jun	690.00	1.0
AO,	06/10	TRELLUS PARTNERS LP (TRELMAIN)	028	AXL	В	69,000	3.99	n/a	10-Jun	2070.00	3.0
AO,CXL	06/10	DC CAPITAL (DCCAGOLDMA)	044	CBS	В	200,000	8.33	n/a	n/a	10000.00	5.0
AO,CRT	06/10	DC CAPITAL (DCCAGOLDMA)	044	CBS	В	200,000	8.33	n/a	n/a	6000.00	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB152870)	070	EAT	В	11,600	17.34	n/a	24-Apr	348.00	3.0
AO,CXL	06/10	FIRST NEW YORK LEDDY (FNYS)	035	ETFC	В	20,000	1.60	n/a	n/a	800.00	4.0
AO,	06/10	FIRST NEW YORK LEDDY (FNYS)	035	ETFC	В	20,000	1.60	n/a	n/a	1200.00	6.0
AO,CRT	06/10	STANDARD PACIFIC CAPITAL (SPACJPMORG)	040	GIL	SS	70,000	16.69	n/a	14-May	3500.00	5.0
AO,CXL	06/10	STANDARD PACIFIC CAPITAL (SPACMLAK)	040	GIL	SS	70,000	16.69	n/a	14-May	3500.00	5.0
AO,CRT	06/10	DSG CAPITAL (DSGCJEFF)	225	GLW	В	10,000	16.20	28-May	28-May	500.00	5.0
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	GLW	В	10,000	16.20	28-May	28-May	500.00	5.0
AO, CRT	06/10	DSG CAPITAL (DSGCJEFF)	225	HAR	В	2,500	21.03	10-Jun	10-Jun	125.00	5.0

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRT	Research	Comm	¢/Shr.
AO, CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	HAR	В	2,500	21.03		10-Jun	125.00	5.0
AO,	06/10	DSG CAPITAL (DSGCJEFF)	225	HAR	S	2,500	21.82	10-Jun		125.00	5.0
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	HAR	S	2,500			10-Jun	125.00	5.0
AO,CXL	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	IWM	В	2,000	51.86	n/a	n/a	100.00	5.0
AO,	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	IWM	В	2,000	51.86	n/a	, -	60.00	3.0
AO,CXL	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	IYR	В	4,000	33.82	n/a	n/a	200.00	5.0
AO,	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	IYR	В	4,000	33.82	n/a	n/a	120.00	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB256600)	070	KO	В	469	48.89	n/a	n/a	14.07	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB159532)	070	KO	В	10,643	48.89	n/a	n/a	319.29	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB252552)	070	KO	В	2,129	48.89	n/a	, -	63.87	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB260070)	070	KO	В	15,293	48.89	n/a	n/a	458.79	3.0
AO,CXL	06/10	SCHOTTENFELD ASSOC (&SCHOASSO)	041	TLB	S	50,000	4.90	n/a	30-Jan	2500.00	5.0
AO,CRT	06/10	SCHOTTENFELD ASSOC (SCHOASSOC)	041	TLB	S	50,000	4.90	n/a	30-Jan	2500.00	5.0
AO,CXL	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	TLT	В	3,000	88.38	n/a	n/a	150.00	5.0
AO,	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	TLT	В	3,000	88.38	n/a	n/a	90.00	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB126872)	070	WMT	В	1,570	50.31	11-May	9-Jun	47.10	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB130212)	070	TMW	В	260	50.31	11-May	9-Jun	7.80	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB167020)	070	TMW	В	510	50.31	11-May	9-Jun	15.30	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB168880)	070	TMW	В	330	50.31	11-May	9-Jun	9.90	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB169412)	070	WMT	В	110	50.31	11-May	9-Jun	3.30	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB160949)	070	WMT	В	4,900	50.31	11-May	9-Jun	147.00	3.0
AO,	06/10	MORGAN BANK /JPM (JPMB142460)	070	WMT	В	20,500	50.31	11-May	9-Jun	615.00	3.0

TOTAL (AO, CXL, CRT): -862.58

TOTAL (RUN DATE) / NFS:	95,623.30
TOTAL (AO, CXL, CRT):	-862.58
TOTAL (Trade Date):	96,485.88

Legend:

O: 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