



Daily Compliance Activity Report

Trade Date: 04/23/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AAN	B	20,000	27.89	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	ABG	B	100,000	7.83	n/a	20-Apr	3,000.00	3.0
CENTURION GLOBAL MGMT LL	041	ADI	S	30,000	20.75	n/a	n/a	900.00	3.0
BALYASNY ASSET MGMT	044	AEO	S	30,000	14.87	20-Apr	20-Apr	1,500.00	5.0
BALYASNY ASSET MGMT	044	AN	SS	25,000	16.91	30-Jan	20-Apr	1,250.00	5.0
MILLENIUM PARTNERS	028	AN	B	40,000	16.96	30-Jan	20-Apr	1,600.00	4.0
BUCK CAPITAL MGMT	001	BBY	S	40,080	40.18	n/a	27-Jul	1,603.20	4.0
NORTHPOINT	030	BCR	S	1,600	70.26	n/a	22-Apr	64.00	4.0
THE JAY GOLDMAN	034	BJ	B	50,000	31.65	n/a	27-Jul	2,000.00	4.0
EPOCH INV MGMT	030	BK	S	80,000	26.04	22-Apr	22-Apr	3,200.00	4.0
THE JAY GOLDMAN	034	BRCM	B	10,000	22.97	n/a	n/a	400.00	4.0
TRELLUS PARTNERS LP	028	BWA	SS	5,000	26.32	12-Mar	20-Apr	250.00	5.0
NEWCASTLE FUNDS	033	CAKE	C	95,600	15.14	n/a	21-Apr	3,824.00	4.0
THE JAY GOLDMAN	034	CEG	S	15,000	22.90	n/a	n/a	600.00	4.0
COLUMBIA PARTNERS	028	CHS	C	45,824	7.51	5-Dec	30-Jan	1,374.72	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	CIT	B	200,000	2.97	23-Apr	23-Apr	6,000.00	3.0
BUCK CAPITAL MGMT	001	COH	S	100,000	22.10	9-Jan	22-Apr	4,000.00	4.0
THE JAY GOLDMAN	034	COH	B	30,000	22.11	9-Jan	22-Apr	1,200.00	4.0
TROUBH PART	067	COH	B	20,000	21.85	9-Jan	22-Apr	1,000.00	5.0
THE JAY GOLDMAN	034	COST	SS	16,000	46.79	n/a	27-Jul	640.00	4.0
CATAPULT	040	CW	SS	7,839	31.38	n/a	n/a	391.95	5.0
SONTERRA CAP	041	CX	B	30,000	7.94	n/a	n/a	900.00	3.0
NORTHPOINT	030	DDR	S	1,870	3.16	n/a	n/a	56.10	3.0
MAZAMA CAPITAL MGMT.	035	DECK	S	30,730	62.85	n/a	n/a	1,229.20	4.0
Ö Steven Maguire		DHI	S	4000	12.0900	n/a	n/a	0.00	0.0
GENERAL MOTORS INV CO	040	DRE	S	38,600	8.74	n/a	n/a	1,544.00	4.0
THIRD COAST CAPITAL	035	DSW	SS	20,000	9.82	24-Mar	17-Apr	1,000.00	5.0
BALYASNY ASSET MGMT	044	ETH	C	25,000	11.14	n/a	n/a	1,250.00	5.0
UBS OCONNOR	031	EV	C	79,500	25.01	7-Apr	20-Apr	2,385.00	3.0
FARALLON CAP MGMT	040	FDX	B	95,000	54.09	n/a	n/a	3,800.00	4.0
FRONTPOINT/COPIA-ANDREW	031	FST	S	63,400	15.84	n/a	n/a	2,219.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	20,000	24.12	n/a	n/a	800.00	4.0
MACKLOWE ASSET MGMT	041	GES	B	10,000	23.72	n/a	n/a	400.00	4.0
BASIX	033	GNTX	SS	42,000	12.21	30-Jan	23-Apr	1,260.00	3.0
TRELLUS PARTNERS LP	028	GNTX	SS	8,900	12.41	30-Jan	23-Apr	445.00	5.0
BALYASNY ASSET MGMT	044	GPC	SS	20,000	33.71	n/a	n/a	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	50,000	14.67	n/a	30-Jan	2,500.00	5.0
WAGONHOUND/NIC	048	HSC	B	14,700	26.02	29-Jan	16-Apr	588.00	4.0
CATAPULT	040	HXL	S	16,859	8.46	n/a	n/a	842.95	5.0
THOMAS WEISEL ASSET MGMT	035	IPI	S	3,170	19.11	n/a	n/a	95.10	3.0
CSFB GLOBAL PROPRIETARY	041	IP	SS	24,500	9.49	n/a	20-Apr	1,225.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	26.04	13-Apr	23-Apr	2,000.00	4.0
JP MORGAN VENTURES	046	JCP	S	40,000	26.33	13-Apr	23-Apr	2,000.00	5.0
BALYASNY ASSET MGMT	044	JWN	B	20,000	21.02	20-Feb	13-Apr	1,000.00	5.0
THE JAY GOLDMAN	034	JWN	S	25,000	21.05	20-Feb	13-Apr	1,000.00	4.0
BMO NESBITT BURNS	041	KNX	SS	25,000	17.32	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	034	LIFE	B	10,000	30.37	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	10.69	8-Jan	30-Jan	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCID PARTNERS	067	LTD	B	6,000	10.47	8-Jan	30-Jan	240.00	4.0
MAZAMA CAPITAL MGMT.	035	MDC	B	15,585	33.53	n/a	n/a	623.40	4.0
BALYASNY ASSET MGMT	044	MGM	B	30,000	5.73	n/a	2-Apr	1,200.00	4.0
KACELA CAPITAL	034	MMM	B	10,000	53.38	n/a	17-Mar	400.00	4.0
BMO NESBITT BURNS	041	MWV	B	25,000	14.45	28-Jan	20-Apr	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	125,000	14.50	28-Jan	20-Apr	6,250.00	5.0
SCHOTTENFELD ASSOC	041	MWV	B	30,000	14.40	28-Jan	20-Apr	1,200.00	4.0
SCOPUS FUND	041	MWV	B	31,100	14.37	28-Jan	20-Apr	1,555.00	5.0
WASHINGTON ASSET	048	MWV	B	10,000	14.06	28-Jan	20-Apr	500.00	5.0
THIRD COAST CAPITAL	035	M	SS	18,000	12.15	n/a	13-Apr	900.00	5.0
BUCK CAPITAL MGMT	001	NKE	S	20,000	54.77	n/a	n/a	800.00	4.0
CR INTRINIC INVESTMENT	044	NTY	S	20,000	18.48	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	PAG	B	130,000	12.45	n/a	23-Apr	5,200.00	4.0
COOPER CREEK PART	028	PAG	B	10,000	12.44	n/a	23-Apr	400.00	4.0
MILLRACE FUND LP	028	PAG	B	10,800	12.32	n/a	23-Apr	432.00	4.0
NICOLAS APPLGATE	048	PERY	B	5,800	5.92	n/a	n/a	174.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	23,250	14.86	8-Apr	21-Apr	1,162.50	5.0
NEUBERGER BERMAN	036	PLD	S	7,100	7.31	n/a	n/a	213.00	3.0
CATAPULT	040	POT	B	21,000	81.00	n/a	n/a	1,050.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	PRX	B	1,900	10.70	14-Apr	21-Apr	76.00	4.0
JP MORGAN VENTURES	046	PVH	S	75,000	28.76	20-Apr	20-Apr	3,750.00	5.0
FIRST NEW YORK NICK	029	Q	S	30,000	3.55	n/a	n/a	1,500.00	5.0
TROUBH PART	067	RL	B	20,000	51.90	n/a	16-Apr	1,000.00	5.0
NATIONAL BK OF CAN	031	SF	B	8,000	47.78	n/a	n/a	320.00	4.0
THIRD COAST CAPITAL	035	SKS	S	35,000	4.05	n/a	n/a	1,750.00	5.0
KACELA CAPITAL	034	SWK	B	21,000	33.32	n/a	n/a	840.00	4.0
CUMBERLAND	038	S	SS	50,000	3.95	n/a	n/a	1,500.00	3.0
AVESTA CAP	229	TGT	SS	50,000	38.25	25-Feb	22-Apr	2,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	SS	22,000	9.86	5-Dec	22-Apr	1,100.00	5.0
MILLENIU PARTNERS	028	TIN	S	50,000	9.85	5-Dec	22-Apr	2,500.00	5.0
MAZAMA CAPITAL MGMT.	035	TRLG	S	11,115	16.55	n/a	n/a	444.60	4.0
GRUBER MACBAINE	033	TROW	SS	20,000	37.60	n/a	22-Apr	800.00	4.0
BARROW HANLEY MEWHINNEY	031	T	S	82,800	25.40	n/a	4-Jan	3,312.00	4.0
NEUBERGER BERMAN	036	VTR	S	16,300	27.05	n/a	n/a	733.50	4.5
BARROW HANLEY MEWHINNEY	031	VZ	S	25,400	30.75	n/a	4-Jan	1,016.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	WMT	S	50,000	48.59	n/a	9-Apr	2,000.00	4.0
THE JAY GOLDMAN	034	WMT	SS	7,500	48.86	n/a	9-Apr	300.00	4.0
BARROW HANLEY MEWHINNEY	031	WYE	S	54,800	42.25	n/a	31-Mar	2,192.00	4.0
GENERAL MOTORS INV CO	040	YHOO	S	13,800	14.50	n/a	n/a	552.00	4.0
TOTAL (Trade Date):								119,823.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/22	STELLIAM INV ADV (STLLGSBULK)	040	DAL	S	50,000	7.91	n/a	n/a	1500.00 3.0
AO,CXL	04/22	STELLIAM INV ADV (STLLMSEXEC)	040	DAL	S	50,000	7.91	n/a	n/a	2500.00 5.0
AO,	04/22	NOMURA CAPITAL (NOMUL3)	045	F	S	1,989	4.32	n/a	23-Apr	39.78 2.0
AO,	04/22	NOMURA CAPITAL (NOMUL3)	045	F	S	1,870	4.25	n/a	23-Apr	37.40 2.0
AO,	04/22	NOMURA CAPITAL (NOMUEB6J)	045	F	S	10,718	4.32	n/a	23-Apr	214.36 2.0
AO,	04/22	NOMURA CAPITAL (NOMUEB6J)	045	F	S	10,080	4.25	n/a	23-Apr	201.60 2.0
AO,	04/22	NOMURA CAPITAL (NOMULASERS)	045	F	S	8,057	4.32	n/a	23-Apr	161.14 2.0
AO,	04/22	NOMURA CAPITAL (NOMULASERS)	045	F	S	7,574	4.25	n/a	23-Apr	151.48 2.0
AO,	04/22	NOMURA CAPITAL (NOMUAYCB)	045	F	S	54,429	4.32	n/a	23-Apr	1088.58 2.0
AO,	04/22	NOMURA CAPITAL (NOMUAYCB)	045	F	S	51,172	4.25	n/a	23-Apr	1023.44 2.0
AO,	04/22	NOMURA CAPITAL (NOMUSPH)	045	F	S	1,886	4.32	n/a	23-Apr	37.72 2.0
AO,	04/22	NOMURA CAPITAL (NOMUSPH)	045	F	S	1,773	4.25	n/a	23-Apr	35.46 2.0
AO,	04/22	NOMURA CAPITAL (NOMUMCERS)	045	F	S	2,991	4.32	n/a	23-Apr	59.82 2.0
AO,	04/22	NOMURA CAPITAL (NOMUMCERS)	045	F	S	2,811	4.25	n/a	23-Apr	56.22 2.0
AO,	04/22	NOMURA CAPITAL (NOMU7MS7)	045	F	S	19,929	4.32	n/a	23-Apr	398.58 2.0
AO,	04/22	NOMURA CAPITAL (NOMU7MS7)	045	F	S	18,736	4.25	n/a	23-Apr	374.72 2.0
AO,	04/22	NOMURA CAPITAL (NOMUNCRAM)	045	F	S	1	4.32	n/a	23-Apr	0.02 2.0
AO,	04/22	LUCID PARTNERS (LUCIJEFFER)	067	LTD	B	1,900	10.49	8-Jan	30-Jan	76.00 4.0
AO,	04/22	GENERAL MOTORS INV CO (GMICGR4A)	040	MAC	B	10,910	15.24	n/a	n/a	436.40 4.0
AO,	04/22	GENERAL MOTORS INV CO (GMIC7M2RE1)	040	MAC	B	109,090	15.24	n/a	n/a	4363.60 4.0
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTIMSCI)	215	MRK	S	5,200	23.07	n/a	n/a	182.00 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTNNA_US)	215	MRK	S	40,700	23.07	n/a	n/a	1424.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTSEPCO3)	215	MRK	S	6,800	23.07	n/a	n/a	238.00 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTAIMSOU)	215	MRK	S	10,300	23.07	n/a	n/a	360.50 3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTGIGAE)	215	MRK	S	7,900	23.07	n/a	n/a	276.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTPTCAD)	215	MRK	S	1,700	23.07	n/a	n/a	59.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTBRICK7)	215	MRK	S	500	23.07	n/a	n/a	17.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTPLCF)	215	MRK	S	21,100	23.07	n/a	n/a	738.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTPLCP)	215	MRK	S	48,600	23.07	n/a	n/a	1701.00 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTPPF08)	215	MRK	S	800	23.07	n/a	n/a	28.00 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTBERMUQ)	215	MRK	S	50	23.07	n/a	n/a	1.75 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTBALPEL)	215	MRK	S	16,700	23.07	n/a	n/a	584.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTAIMHOW)	215	MRK	S	300	23.07	n/a	n/a	10.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTBALFEL)	215	MRK	S	3,500	23.07	n/a	n/a	122.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTAIMEL)	215	MRK	S	1,600	23.07	n/a	n/a	56.00 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTSEP465)	215	MRK	S	900	23.07	n/a	n/a	31.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTLUXECL)	215	MRK	S	1,400	23.07	n/a	n/a	49.00 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTLUXNA)	215	MRK	S	8,400	23.07	n/a	n/a	294.00 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTSEP588)	215	MRK	S	2,700	23.07	n/a	n/a	94.50 3.5
AO,	04/22	AELTUS/ING INVESTMENT MGT (AELTSEP596)	215	MRK	S	100	23.07	n/a	n/a	3.50 3.5
AO,CXL	04/20	CANTILLON CAPITAL (CANTMS)	040	PG	S	384,800	51.36	12-Mar	20-Mar	19240.00 5.0
AO,CRT	04/20	CANTILLON CAPITAL (CANTMS)	040	PG	S	384,800	51.36	12-Mar	20-Mar	15392.00 4.0
AO,CRT	04/22	STELLIAM INV ADV (STLLGSBULK)	040	SNDK	S	25,000	15.38	n/a	n/a	1250.00 5.0
AO,CXL	04/22	STELLIAM INV ADV (STLLMSEXEC)	040	SNDK	S	25,000	15.38	n/a	n/a	1250.00 5.0
AO,CXL	04/22	AVESTA CAP (AVESGSUSE)	229	XOM	SS	24,700	65.23	n/a	n/a	988.00 4.0
AO,	04/22	AVESTA CAP (AVESGSUSE)	229	XOM	SS	25,000	65.23	n/a	n/a	1000.00 4.0
AO,CXL	04/22	THIRD POINT MGMT (THIRCITI)	044	YHOO	B	240,300	15.02	n/a	n/a	9612.00 4.0
AO,	04/22	THIRD POINT MGMT (THIRCITI)	044	YHOO	B	240,300	15.02	n/a	n/a	7209.00 3.0
AO,CXL	04/22	THIRD POINT MGMT (THIRGOLDMA)	044	YHOO	B	9,700	15.02	n/a	n/a	388.00 4.0
AO,	04/22	THIRD POINT MGMT (THIRGOLDMA)	044	YHOO	B	9,700	15.02	n/a	n/a	291.00 3.0

TOTAL (AO, CXL, CRT) :

7,694.07

TOTAL (Trade Date):	119,823.22
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TOTAL (AO, CXL, CRT):	7,694.07
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TOTAL (RUN DATE) / NFS:	127,517.29
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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