



Daily Compliance Activity Report

Trade Date: 05/12/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER CAPITAL	038	AMT	S	70,000	28.56	n/a	n/a	4,200.00	6.0
GRANITE CAPITAL	045	ANF	B	20,800	25.32	16-Apr	8-May	1,040.00	5.0
CASTLE ARK	031	APC	B	184,020	45.42	3-Feb	7-May	11,041.20	6.0
SAB CAPITAL	034	AXS	S	166,530	24.36	n/a	n/a	8,326.50	5.0
BUCK CAPITAL MGMT	001	AZO	SS	10,000	154.71	n/a	n/a	400.00	4.0
WAGONHOUND/NIC	048	BIDU	S	74	242.20	n/a	n/a	2.96	4.0
BUCK CAPITAL MGMT	001	BKS	SS	30,000	22.92	n/a	n/a	1,200.00	4.0
MTB INV ADV	034	BWA	S	22,050	28.94	1-May	1-May	1,102.50	5.0
MATRIX ASSET ADV.	036	CCL	S	1,500	26.90	n/a	26-Jan	60.00	4.0
COUGAR TRADING	044	CHUX	SS	10,000	8.54	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	CIT	S	110,500	3.11	23-Apr	6-May	3,315.00	3.0
BUCK CAPITAL MGMT	001	COH	S	50,000	23.96	9-Jan	22-Apr	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	DE	C	50,000	43.43	26-Jan	19-Feb	2,500.00	5.0
MILLENIUM PARTNERS	028	DISH	B	15,000	17.00	n/a	4-Jan	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	DSW	SS	5,000	12.81	24-Mar	5-May	200.00	4.0
CIRCLE T/SES PART	035	EAT	B	10,000	15.94	n/a	24-Apr	500.00	5.0
COUGAR TRADING	044	EL	SS	5,000	33.18	5-May	5-May	250.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	30,000	31.08	5-Mar	5-May	1,200.00	4.0
HOLLIS CAPITAL	033	FFIV	SS	7,000	27.06	n/a	n/a	350.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	60,000	23.17	n/a	10-Jan	2,400.00	4.0
STADIA CAPITAL	035	GFIG	B	23,200	5.26	n/a	n/a	928.00	4.0
THIRD COAST CAPITAL	035	GTIV	S	5,000	18.99	n/a	n/a	250.00	5.0
THIRD POINT MGMT	044	HIG	S	250,000	14.38	n/a	n/a	10,000.00	4.0
CUMBERLAND	038	ISIS	S	6,100	16.01	n/a	n/a	244.00	4.0
MATRIX ASSET ADV.	036	JCI	S	3,000	19.00	22-Apr	22-Apr	90.00	3.0
DIAMONDBACK CAP MGMT	232	JPM	S	25,000	35.99	16-Jan	11-May	1,250.00	5.0
FORD FDN.	032	KBE	S	50,000	19.30	n/a	n/a	2,500.00	5.0
M&I FUNDS	256	KO	S	46,900	43.82	n/a	n/a	1,876.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	100,000	43.97	8-May	8-May	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RDK CAPITAL MGMT	034	LOW	B	25,000	19.02	12-May	12-May	1,000.00	4.0
HUNTER GLOBAL INVESTOR	067	MTB	B	10,000	48.87	n/a	n/a	500.00	5.0
MTB INV ADV	034	NILE	S	12,800	44.46	n/a	n/a	640.00	5.0
BUCK CAPITAL MGMT	001	NKE	S	20,000	51.95	n/a	n/a	800.00	4.0
JMP ASSET MGMT	210	NTRI	B	2,000	14.85	n/a	n/a	80.00	4.0
FRIESS MGMT	033	NVDA	S	818,000	8.94	n/a	n/a	24,540.00	3.0
KLEINHEINZ CAP PART	031	OXY	B	40,000	62.82	n/a	n/a	2,000.00	5.0
CAPITAL GROWTH MGMT.	241	PBR	B	100,000	40.19	n/a	n/a	5,000.00	5.0
RAMIUS CAP	040	PCH	S	22,000	27.06	n/a	29-Apr	880.00	4.0
WAGONHOUND/NIC	048	PCLN	S	296	108.29	n/a	n/a	11.84	4.0
ROTHSCHILD ASSET	040	POM	S	72,280	12.48	n/a	n/a	3,252.60	4.5
DENVER INST. ADV	046	PVH	S	60,300	27.10	20-Apr	20-Apr	2,412.00	4.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	5,700	28.52	20-Apr	20-Apr	228.00	4.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.58	n/a	n/a	1,720.00	4.0
PRINCIPLE CAPITAL	040	RHI	B	53,500	23.23	n/a	n/a	1,605.00	3.0
PRINCIPLE CAPITAL	040	RHI	SS	47,600	23.07	n/a	n/a	1,428.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	30,000	48.96	n/a	16-Apr	1,200.00	4.0
BALYASNY ASSET MGMT	044	SLM	S	25,000	5.67	23-Apr	11-May	1,000.00	4.0
GRANITE CAPITAL	045	SLM	B	20,000	5.46	23-Apr	11-May	1,000.00	5.0
LAGRANGE CAP ADV	048	SLM	B	10,000	5.45	23-Apr	11-May	500.00	5.0
WAGONHOUND/NIC	048	SLM	B	79,303	6.03	23-Apr	11-May	2,379.09	3.0
PILOT ROCK	028	TGT	SS	50,000	42.01	25-Feb	8-May	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TGT	S	25,000	41.72	25-Feb	8-May	1,000.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	60,000	28.35	4-May	8-May	2,400.00	4.0
COUGAR TRADING	044	TJX	S	10,000	27.96	4-May	8-May	500.00	5.0
CASTLEROCK	040	TTC	SS	38,614	28.06	n/a	n/a	1,544.56	4.0
THOMAS WEISEL ASSET MGMT	035	VOCS	S	3,805	17.73	n/a	n/a	114.15	3.0
JMP ASSET MGMT	210	WEN	B	6,000	4.38	n/a	24-Apr	180.00	3.0
RDK CAPITAL MGMT	034	WMT	B	10,000	51.13	11-May	11-May	400.00	4.0
ASCEND PARTNERS	033	WRC	B	10,000	28.25	20-Apr	20-Apr	500.00	5.0
THIRD COAST CAPITAL	035	WRC	S	6,000	28.54	20-Apr	20-Apr	300.00	5.0
WEINTRAUB CAPITAL MGT.	040	WRC	S	4,850	31.00	20-Apr	20-Apr	194.00	4.0
TOTAL (Trade Date):								123,635.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/11	SAB CAPITAL (SABCMORGAN)	034	AXS	S	97,910	24.81	n/a	n/a	3916.40 4.0
AO,CXL	05/11	SAB CAPITAL (SABCGOLDMA)	034	AXS	S	100,000	24.81	n/a	n/a	5000.00 5.0
AO,CRT	05/11	SAB CAPITAL (SABCGOLDMA)	034	AXS	S	2,090	24.81	n/a	n/a	104.50 5.0
AO,CXL	05/11	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	BBT	B	40,300	24.34	n/a	n/a	2015.00 5.0
AO,CRT	05/11	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	BBT	B	40,300	24.34	n/a	n/a	1612.00 4.0
AO,	05/11	1798 CAPITAL MGMT (1798MS)	040	BBY	C	10,000	37.94	n/a	27-Jul	500.00 5.0
AO,CXL	05/11	1798 CAPITAL MGMT (1798GS)	040	BBY	C	10,000	37.94	n/a	27-Jul	500.00 5.0
AO,	05/08	FRIESS MGMT (FRISMASON)	033	CCC	B	800	14.13	n/a	n/a	32.00 4.0
AO,CXL	05/08	FRIESS MGMT (FRISMASON)	033	CCC	B	800	14.13	n/a	n/a	32.00 4.0
AO,CXL	05/11	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	DISH	S	50,000	17.92	n/a	4-Jan	2500.00 5.0
AO,CRT	05/11	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	DISH	S	50,000	17.92	n/a	4-Jan	2000.00 4.0
AO,CXL	05/11	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	PPG	B	50,600	43.65	n/a	17-Apr	2530.00 5.0
AO,CRT	05/11	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	PPG	B	50,600	43.65	n/a	17-Apr	2024.00 4.0
CRT	05/12	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	QCOR	S	43,000	4.58	n/a	n/a	1720.00 4.0
AO,CXL	05/11	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ROST	SS	100,000	35.45	n/a	n/a	5000.00 5.0
AO,CRT	05/11	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ROST	SS	100,000	35.45	n/a	n/a	4000.00 4.0
AO,CXL	05/06	BENCHMARK (BENCJPM)	028	SLE	B	12,500	8.85	n/a	n/a	625.00 5.0
AO,CRT	05/06	BENCHMARK (BENCJPM)	028	SLE	B	12,500	8.85	n/a	n/a	500.00 4.0
AO,CXL	05/11	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	TWX	S	11,000	24.84	n/a	n/a	550.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/11	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	TWX	S	11,000	24.84	n/a	n/a	440.00 4.0

TOTAL (AO, CXL, CRT) :									-1,903.10	
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TOTAL (Trade Date) :									123,635.40	
TOTAL (AO, CXL, CRT) :									-1,903.10	

TOTAL (RUN DATE) / NFS :									121,732.30	
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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