



Daily Compliance Activity Report

Trade Date: 08/07/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	200	166.33	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	ADBE	B	300	33.14	n/a	n/a	12.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	125,000	15.49	25-Jun	7-Aug	5,000.00	4.0
HOLLIS CAPITAL	033	AN	B	5,000	19.98	3-Aug	5-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	36.30	n/a	7-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	13,300	37.50	n/a	7-Aug	532.00	4.0
SNYDER CAPITAL	038	ARP	B	58,800	9.83	n/a	n/a	2,352.00	4.0
BUCK CAPITAL MGMT	001	AVP	B	50,000	32.30	3-Aug	3-Aug	2,000.00	4.0
CIRCLE T/SES PART	035	AXL	B	50,000	3.34	n/a	6-Aug	2,000.00	4.0
MILLRACE FUND LP	028	AXL	B	140,000	3.26	n/a	6-Aug	4,200.00	3.0
TROUBH PART	067	AXL	S	25,000	3.30	n/a	6-Aug	1,250.00	5.0
WOOSTER CAPITAL	035	AXL	B	100,000	3.33	n/a	6-Aug	5,000.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	150,000	38.53	n/a	27-Jul	6,000.00	4.0
BUCK CAPITAL MGMT	001	BIG	B	2,900	24.46	28-May	6-Aug	116.00	4.0
RAINIER INV MGMT	035	BLUD	S	222,750	17.22	n/a	n/a	8,910.00	4.0
MELLON/BANK OF NEW YORK	046	BRCD	B	392,045	8.19	n/a	n/a	19,602.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CHRW	B	100	54.72	n/a	n/a	4.00	4.0
TROUBH PART	067	CMCSA	B	60,000	15.11	n/a	4-Jan	3,000.00	5.0
COLUMBUS CIRCLE	036	COF	B	2,500	33.06	15-May	5-Aug	100.00	4.0
BUCK CAPITAL MGMT	001	COH	S	30,000	30.09	n/a	29-Jul	1,200.00	4.0
WINSLOW CAPITAL	030	CSCO	B	1,000	22.49	n/a	22-Mar	40.00	4.0
SLS CAPITAL LLC	224	CSX	B	51,300	44.30	n/a	n/a	2,052.00	4.0
WINSLOW CAPITAL	030	CTSH	B	900	34.19	n/a	n/a	36.00	4.0
NOMURA CAPITAL	045	C	S	200,000	4.15	n/a	20-Jul	4,000.00	2.0
SANDLER O'NEILL ASSET	031	C	B	250,000	4.04	n/a	20-Jul	7,500.00	3.0
BUCK CAPITAL MGMT	001	DAI	B	63,400	47.72	n/a	n/a	2,536.00	4.0
EATON VANCE MGMT	039	DIS	B	296,992	26.72	n/a	n/a	8,909.76	3.0
BUCK CAPITAL MGMT	001	EAT	B	32,824	15.32	n/a	24-Apr	1,312.96	4.0
BUCK CAPITAL MGMT	001	EL	SS	10,000	37.27	5-May	5-May	400.00	4.0
WINSLOW CAPITAL	030	EQIX	B	200	82.00	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	EXPD	B	200	32.56	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	FAST	B	300	38.36	n/a	n/a	12.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	FL	B	200,000	11.59	27-Apr	3-Aug	8,000.00	4.0
DSG CAPITAL	225	F	B	7,500	8.15	3-Aug	5-Aug	262.50	3.5
BUCK CAPITAL MGMT	001	GES	S	30,000	29.54	n/a	n/a	1,200.00	4.0
WINSLOW CAPITAL	030	GILD	B	400	46.12	n/a	n/a	16.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	30,000	18.12	25-Jun	25-Jun	1,200.00	4.0
GREEN ARROW CAPITAL	040	GLDD	B	10,000	6.40	n/a	n/a	500.00	5.0
WINSLOW CAPITAL	030	GOOG	B	100	457.93	n/a	n/a	4.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	70,000	21.55	n/a	n/a	2,800.00	4.0
BUCK CAPITAL MGMT	001	HD	B	100,000	27.02	12-May	20-May	4,000.00	4.0
BUCK CAPITAL MGMT	001	HOT	SS	50,000	29.45	n/a	n/a	2,000.00	4.0
WINSLOW CAPITAL	030	ILMN	B	300	36.50	n/a	n/a	12.00	4.0
DSG CAPITAL	225	IVZ	B	2,500	20.05	6-Aug	7-Aug	100.00	4.0
CUMBERLAND	038	IWM	SS	25,000	56.97	n/a	n/a	750.00	3.0
SIGMA CAPITAL ASSOCIATES	041	JCP	S	25,000	33.54	13-Apr	7-Aug	1,000.00	4.0
WINSLOW CAPITAL	030	JNPR	B	400	25.64	n/a	22-Mar	16.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE BOSTON COMPANY	039	KCP	B	100	9.00	n/a	28-Sep	4.00	4.0
BUCK CAPITAL MGMT	001	LL	S	20,000	20.35	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	MAR	SS	50,000	25.18	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	MHK	B	31,708	51.42	n/a	n/a	1,268.32	4.0
MELLON/BANK OF NEW YORK	046	MRVL	S	24,350	13.65	n/a	n/a	1,217.50	5.0
WINSLOW CAPITAL	030	MRVL	B	600	13.53	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	MSFT	B	500	23.66	n/a	3-Apr	20.00	4.0
BUCK CAPITAL MGMT	001	M	B	50,000	15.15	n/a	7-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	NTY	B	20,000	36.42	n/a	n/a	800.00	4.0
MELLON/BANK OF NEW YORK	046	ORCL	S	70,770	21.46	n/a	n/a	3,538.50	5.0
NEUBERGER BERMAN	036	ORCL	S	662,015	21.45	n/a	n/a	29,790.68	4.5
WINSLOW CAPITAL	030	ORCL	B	900	21.45	n/a	n/a	36.00	4.0
WINSLOW CAPITAL	030	ORLY	B	100	38.98	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	PCLN	B	100	131.10	n/a	n/a	4.00	4.0
LISTED ERR	099	PEP	B	200	57.81	n/a	n/a	0.00	0.0
LISTED ERR	099	PEP	S	400	57.78	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	QCOM	S	32,660	46.33	n/a	n/a	1,633.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	QCOM	B	700	46.10	n/a	n/a	28.00	4.0
WINSLOW CAPITAL	030	RIMM	B	100	77.98	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	SCHW	B	1,100	19.60	n/a	n/a	44.00	4.0
KLEINHEINZ CAP PART	031	SD	B	75,000	9.87	n/a	n/a	3,750.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	14.80	n/a	13-Mar	800.00	4.0
WINSLOW CAPITAL	030	TEVA	B	400	51.93	29-Jul	4-Aug	16.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	50,000	42.24	6-Aug	6-Aug	2,000.00	4.0
AVESTA CAP	229	TJX	S	25,000	35.44	28-Jul	7-Aug	1,000.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	35.06	28-Jul	7-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	TLB	SS	30,000	6.44	n/a	30-Jan	900.00	3.0
ROSEDALE CAPITAL	046	UNH	S	10,000	26.41	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	WTR	B	54,000	17.63	n/a	n/a	2,160.00	4.0
BUCK CAPITAL MGMT	001	WWW	B	60,000	24.13	n/a	13-Mar	2,400.00	4.0
TOTAL (Trade Date):								169,753.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/06	L.R.BURTSCHY & CO (LRBCMERR)	045	AXL	B	100,000	3.89	n/a	6-Aug	5000.00 5.0
AO,CRT	08/06	L.R.BURTSCHY & CO (LRBCMERR)	045	AXL	B	100,000	3.89	n/a	6-Aug	6000.00 6.0
AO,	08/06	DALTON GREINER (DALT378)	012	FII	B	1,100	26.37	3-Aug	7-Aug	55.00 5.0
AO,CXL	08/06	DALTON GREINER (DALT376)	012	FII	B	1,100	26.37	3-Aug	7-Aug	55.00 5.0
AO,	08/06	M&I FUNDS (MIFD122)	047	GPS	B	11,583	17.85	n/a	30-Jan	463.32 4.0
AO,CXL	08/05	L.R.BURTSCHY & CO (LRBCMERR)	045	MCD	B	20,000	55.04	n/a	5-Aug	1000.00 5.0
AO,CRT	08/05	L.R.BURTSCHY & CO (LRBCMERR)	045	MCD	B	20,000	55.04	n/a	5-Aug	1200.00 6.0
AO,	08/06	LISTED ERR (LISTED ERR)	099	PEP	B	200	57.90	n/a	n/a	0.00 0.0
AO,CXL	08/06	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	PEP	B	24,200	57.90	n/a	n/a	968.00 4.0
AO,CRT	08/06	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	PEP	B	24,000	57.90	n/a	n/a	960.00 4.0
AO,	08/06	THIRD POINT MGMT (THIRCITI)	044	YHOO	B	188,800	14.76	n/a	n/a	5664.00 3.0
AO,	08/06	THIRD POINT MGMT (THIRGOLDMA)	044	YHOO	B	11,200	14.76	n/a	n/a	336.00 3.0
TOTAL (AO, CXL, CRT) :										7,655.32
TOTAL (Trade Date):										169,753.47
TOTAL (AO, CXL, CRT):										7,655.32
TOTAL (RUN DATE) / NFS:										177,408.79

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