



Daily Compliance Activity Report

Trade Date: 06/26/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	ACOR	B	50,000	27.87	n/a	n/a	1,500.00	3.0
JENNISON	032	AMAT	S	300,000	10.96	n/a	n/a	11,100.00	3.7
BUCK CAPITAL MGMT	001	ANF	SS	50,000	26.45	3-Jun	18-Jun	2,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	33.72	n/a	5-Jun	1,600.00	4.0
PRINCIPLE CAPITAL	040	AUXL	B	50,000	30.36	n/a	n/a	1,500.00	3.0
CENTURION PARTNERS	041	AXL	B	15,000	3.40	n/a	10-Jun	600.00	4.0
CHARTER OAK	033	AXL	B	250,000	3.32	n/a	10-Jun	7,500.00	3.0
CIRCLE T/SES PART	035	AXL	B	10,000	3.25	n/a	10-Jun	300.00	3.0
DSG CAPITAL	225	AXL	B	100,000	3.25	n/a	10-Jun	3,000.00	3.0
JP MORGAN VENTURES	046	BEBE	B	30,000	6.78	n/a	n/a	900.00	3.0
RAIL-SPLITTER	031	BIG	B	15,000	21.17	28-May	24-Jun	750.00	5.0
ROTHSCHILD ASSET	040	CBE	S	40,060	30.34	n/a	27-Apr	1,802.70	4.5
GARDNER LEWIS ASSET MGMT	028	CBS	SS	30,360	7.05	n/a	n/a	1,518.00	5.0
JP MORGAN VENTURES	046	CHS	SS	20,000	10.11	n/a	30-Jan	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	CNS	C	10,000	14.40	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	COH	B	30,000	27.00	n/a	22-Apr	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	DD	B	41,800	25.39	n/a	19-Jun	1,672.00	4.0
MELLON/BANK OF NEW YORK	046	DLR	S	63,880	34.06	n/a	n/a	3,194.00	5.0
SCOGGIN CAP	039	DTV	S	66,000	24.70	n/a	4-Jan	2,640.00	4.0
G WEISS /SASHA	070	EOG	SS	15,000	67.79	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	FL	SS	180,000	10.90	27-Apr	26-Jun	7,200.00	4.0
ROXBURY CAPITAL MGMT	035	FL	S	400,000	10.87	27-Apr	26-Jun	16,000.00	4.0
CIRCLE T/SES PART	035	F	B	25,000	5.79	n/a	3-Jun	750.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	40,000	19.23	n/a	10-Jan	1,600.00	4.0
GRANAHAN INV	039	GPI	B	7,600	24.95	n/a	29-Apr	304.00	4.0
ELM RIDGE ADVISORS	044	IP	B	39,400	13.85	23-Jun	23-Jun	1,576.00	4.0
FIRST NY SEC/CHRIS	041	IP	B	25,000	13.99	23-Jun	23-Jun	1,250.00	5.0
ACK ASSET	028	IWM	SS	17,500	51.42	n/a	n/a	525.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	34,500	25.94	n/a	30-Jan	1,380.00	4.0
SCOPUS FUND	041	JCG	B	5,000	25.97	n/a	30-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	133,650	28.17	13-Apr	19-Jun	5,346.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	50,000	19.71	20-Feb	5-Jun	2,000.00	4.0
AELTUS/ING INVESTMENT MGT	215	MIG	S	98,901	6.41	n/a	n/a	3,461.55	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	067	MOT	S	25,000	6.60	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	M	B	90,000	11.66	n/a	5-Jun	4,500.00	5.0
BUCK CAPITAL MGMT	001	NKE	SS	30,000	50.65	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	OXM	SS	30,000	11.29	n/a	n/a	1,200.00	4.0
ACK ASSET	028	PRIM	S	25,358	7.62	n/a	n/a	760.74	3.0
BUCK CAPITAL MGMT	001	PVH	B	100,000	28.76	20-Apr	21-May	4,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	QCOM	B	47,100	46.03	n/a	n/a	1,648.50	3.5
BUCK CAPITAL MGMT	001	RL	B	30,000	54.45	25-Jun	25-Jun	1,200.00	4.0
G WEISS /SASHA	070	RRC	B	10,000	42.04	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	SWY	S	197,705	20.50	n/a	n/a	9,885.25	5.0
JMP ASSET MGMT	210	TAST	S	10,297	6.34	n/a	n/a	411.88	4.0
JP MORGAN VENTURES	046	TGT	SS	15,000	39.65	25-Feb	22-Jun	750.00	5.0
AELTUS/ING INVESTMENT MGT	215	WSO	B	41,192	49.28	n/a	n/a	1,441.73	3.5
TOTAL (Trade Date) :								115,167.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/26	BUCK CAPITAL MGMT (BUCKJPMBS)	001	ARO	B	35,600	33.72	n/a	5-Jun	1424.00 4.0
CRT	06/26	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ARO	B	4,400	33.72	n/a	5-Jun	176.00 4.0
AO,CXL	06/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	SOHU	B	22,000	65.50	n/a	n/a	1100.00 5.0
AO,CRT	06/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	SOHU	B	22,000	65.50	n/a	n/a	880.00 4.0
AO,	06/25	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	WDR	SS	20,000	25.88	5-Jun	25-Jun	800.00 4.0

TOTAL (AO, CXL, CRT) :	2,180.00
-------------------------------	-----------------

TOTAL (Trade Date) :	115,167.35
TOTAL (AO, CXL, CRT) :	2,180.00

TOTAL (RUN DATE) / NFS :	117,347.35
---------------------------------	-------------------

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