



## Daily Compliance Activity Report

Trade Date: 09/29/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AMG	B	30,000	64.07	3-Aug	23-Sep	1,500.00	5.0
EXIS CAPITAL	044	ARO	B	5,000	43.92	n/a	4-Sep	250.00	5.0
HARVEST MGMT	039	BBBY	S	20,000	37.67	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	BKE	B	5,000	33.49	n/a	n/a	250.00	5.0
SCOPUS FUND	041	BCY	B	25,000	35.63	n/a	27-Jul	1,250.00	5.0
EPOCH INV MGMT	030	CAM	S	700	37.90	n/a	n/a	21.00	3.0
EPOCH INV MGMT	030	COL	S	800	50.66	n/a	n/a	24.00	3.0
JP MORGAN VENTURES	046	COP	S	50,000	45.37	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	CPO	S	950	28.34	n/a	n/a	28.50	3.0
SANDLER O'NEILL ASSET	031	DFS	SS	100,000	16.22	17-Sep	29-Sep	5,000.00	5.0
RDK CAPITAL MGMT	034	DIS	B	40,000	28.38	n/a	n/a	1,600.00	4.0
VENTANA CAPITAL	060	DVN	B	2,000	67.60	5-Aug	29-Sep	100.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>B</b>	<b>77,005</b>	<b>36.88</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>3,080.20</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	EMN	S	7,410	55.20	n/a	n/a	370.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	FL	B	32,000	11.96	21-Sep	25-Sep	960.00	3.0
LAGRANGE CAP ADV	048	F	B	10,000	7.40	27-Aug	29-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>5,000</b>	<b>37.48</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
GREEN ARROW DOUG	040	GET	S	20,000	21.05	n/a	n/a	1,000.00	5.0
MILLENIUM PARTNERS	028	GE	B	75,000	16.84	n/a	n/a	3,000.00	4.0
SCOPUS FUND	041	GIL	S	54,436	19.31	21-Sep	21-Sep	2,721.80	5.0
EPOCH INV MGMT	030	GPC	S	1,300	37.53	n/a	n/a	39.00	3.0
EXIS CAPITAL	044	GPS	S	15,880	21.47	n/a	30-Jan	794.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOG</b>	<b>B</b>	<b>30,000</b>	<b>23.14</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
BMO NESBITT BURNS	041	IP	B	1,000	22.20	16-Sep	16-Sep	50.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	45,000	22.71	16-Sep	16-Sep	2,250.00	5.0
OZ MGMT	040	IP	C	135,000	22.72	16-Sep	16-Sep	4,050.00	3.0
EXIS CAPITAL	044	JWN	B	5,000	30.18	n/a	23-Sep	250.00	5.0
HARVEST MGMT	039	JWN	B	25,000	30.84	n/a	23-Sep	1,250.00	5.0
SCOPUS FUND	041	JWN	B	10,000	30.63	n/a	23-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>S</b>	<b>20,000</b>	<b>10.24</b>	<b>n/a</b>	<b>28-Sep</b>	<b>800.00</b>	<b>4.0</b>
S.A.C.HABER/BOBBY	044	KEY	SS	150,000	6.64	n/a	n/a	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST INV MGMT CO	029	KMB	B	3,400	57.70	27-Jul	27-Jul	170.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>55.73</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	KSS	B	15,000	56.26	21-Sep	21-Sep	750.00	5.0
GREEN ARROW DOUG	040	LIZ	S	35,000	5.30	n/a	13-Aug	1,750.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.42	n/a	4-Jan	600.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAR</b>	<b>B</b>	<b>156,139</b>	<b>27.36</b>	<b>n/a</b>	<b>n/a</b>	<b>6,245.56</b>	<b>4.0</b>
MAIRS AND POWER INV	030	MMM	S	10,000	74.76	7-Aug	22-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>50,000</b>	<b>18.26</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	M	S	5,000	18.15	21-Sep	21-Sep	250.00	5.0
SCOPUS FUND	041	M	B	30,000	18.23	21-Sep	21-Sep	1,500.00	5.0
EPOCH INV MGMT	030	NYX	S	750	28.88	n/a	n/a	22.50	3.0
EPOCH INV MGMT	030	PER	S	2,850	29.72	n/a	n/a	85.50	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	75,000	20.77	21-Jul	21-Jul	3,750.00	5.0
THE BOSTON COMPANY	039	PLCE	B	135,286	30.21	n/a	4-Sep	5,411.44	4.0
EPOCH INV MGMT	030	PM	S	500	48.68	n/a	n/a	15.00	3.0
TRELLUS PARTNERS LP	028	PRGO	S	25,000	33.46	18-Aug	28-Sep	1,250.00	5.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.74	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	RHI	SS	100,000	25.60	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	RL	B	5,000	77.56	21-Sep	21-Sep	200.00	4.0
ARMATURE CAPITAL	041	SOA	S	62,500	11.88	n/a	n/a	2,500.00	4.0
MERRILL ASSET/BLACKROCK	214	SOA	S	15,000	12.01	n/a	n/a	675.00	4.5
BUCK CAPITAL MGMT	001	TGT	B	70,000	47.76	3-Sep	22-Sep	2,800.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	90,000	9.57	n/a	30-Jan	2,700.00	3.0
MAIRS AND POWER INV	030	TRV	S	10,000	48.96	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	TUP	S	8,800	40.58	n/a	n/a	264.00	3.0
BUCK CAPITAL MGMT	001	TWB	B	50,000	8.54	n/a	30-Jan	1,500.00	3.0
EPOCH INV MGMT	030	VVC	S	1,900	23.09	n/a	n/a	57.00	3.0
EPOCH INV MGMT	030	V	S	1,400	69.43	n/a	29-Sep	42.00	3.0
EPOCH INV MGMT	030	WEC	S	1,250	45.28	n/a	n/a	37.50	3.0
EPOCH INV MGMT	030	WFR	S	1,750	16.59	n/a	n/a	52.50	3.0
EPOCH INV MGMT	030	WFT	S	950	20.66	n/a	n/a	28.50	3.0
EPOCH INV MGMT	030	WM	S	1,800	29.96	n/a	n/a	54.00	3.0
EPOCH INV MGMT	030	WRC	S	200	44.36	21-Sep	21-Sep	6.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WSM	B	50,000	19.98	n/a	n/a	2,000.00	4.0
EPOCH INV MGMT	030	WU	S	2,150	19.39	n/a	n/a	64.50	3.0
T. ROWE PRICE	033	WY	S	42,500	37.75	n/a	3-Aug	1,700.00	4.0
S.A.C. CAP/ORENSTEIN	044	XLI	B	100,000	26.72	n/a	n/a	4,000.00	4.0
EPOCH INV MGMT	030	XOM	S	1,100	69.20	n/a	n/a	33.00	3.0
<b>TOTAL (Trade Date):</b>								<b>90,853.00</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/28	CUMBERLAND (CUMBMS04)	038	RTH	SS	30,000	87.63	n/a	n/a	1200.00 4.0
AO,CRT	09/28	CUMBERLAND (CUMBMS04)	038	RTH	SS	30,000	87.63	n/a	n/a	900.00 3.0
AO,	09/24	METROPOLITAN CAPITAL (METRDEUTSC)	044	SKS	B	600	6.85	n/a	n/a	30.00 5.0
AO,CXL	09/24	METROPOLITAN CAPITAL (METRSPEAR)	044	SKS	B	1,100	6.85	n/a	n/a	55.00 5.0
AO,CRT	09/24	METROPOLITAN CAPITAL (METRSPEAR)	044	SKS	B	500	6.85	n/a	n/a	25.00 5.0
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERR1000)	214	XRX	S	64,300	7.31	n/a	n/a	2893.50 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERR1000)	214	XRX	S	64,300	7.31	n/a	n/a	2250.50 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERREAXAOM)	214	XRX	S	400	7.31	n/a	n/a	18.00 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERREAXAOM)	214	XRX	S	400	7.31	n/a	n/a	14.00 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERREAXAOM)	214	XRX	S	400	7.31	n/a	n/a	18.00 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERREAXAOM)	214	XRX	S	400	7.31	n/a	n/a	14.00 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERRE_AXAO)	214	XRX	S	3,700	7.31	n/a	n/a	166.50 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERRE_AXAO)	214	XRX	S	3,700	7.31	n/a	n/a	129.50 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERRE_USBV)	214	XRX	S	2,900	7.31	n/a	n/a	130.50 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERRE_USBV)	214	XRX	S	2,900	7.31	n/a	n/a	101.50 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERRE_VA)	214	XRX	S	2,500	7.31	n/a	n/a	112.50 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERRE_VA)	214	XRX	S	2,500	7.31	n/a	n/a	87.50 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERR100)	214	XRX	S	99,300	7.31	n/a	n/a	4468.50 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERR100)	214	XRX	S	99,300	7.31	n/a	n/a	3475.50 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERR5100)	214	XRX	S	59,200	7.31	n/a	n/a	2664.00 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERR5100)	214	XRX	S	59,200	7.31	n/a	n/a	2072.00 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK (MERR29)	214	XRX	S	17,300	7.31	n/a	n/a	778.50 4.5
AO,	09/28	MERRILL ASSET/BLACKROCK (MERR29)	214	XRX	S	17,300	7.31	n/a	n/a	605.50 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,800.00</b>

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TOTAL (Trade Date):	90,853.00
TOTAL (AO, CXL, CRT):	-2,800.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>88,053.00</b>
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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