



Daily Compliance Activity Report

Trade Date: 09/01/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	50,000	13.77	25-Jun	27-Aug	2,000.00	4.0
TYEE/TYGH	035	AMG	B	64,067	62.97	3-Aug	31-Aug	2,562.68	4.0
1798 CAPITAL MGMT	040	ANF	B	15,000	31.83	3-Jun	27-Aug	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	50,000	31.97	3-Jun	27-Aug	2,000.00	4.0
JP MORGAN VENTURES	046	ARO	SS	35,000	39.09	n/a	27-Aug	1,750.00	5.0
COUGAR TRADING	044	AXL	S	10,000	5.67	19-Aug	1-Sep	400.00	4.0
DIAMONDBACK CAP MGMT	232	AXL	S	50,000	5.65	19-Aug	1-Sep	2,500.00	5.0
DSG CAPITAL	225	AXL	B	15,000	5.77	19-Aug	1-Sep	450.00	3.0
L.R.BURTSCHY & CO	045	AXL	B	50,000	5.88	19-Aug	1-Sep	3,000.00	6.0
LAGRANGE CAP ADV	048	AXL	B	20,000	5.65	19-Aug	1-Sep	1,000.00	5.0
SCOPUS FUND	041	AXL	S	82,044	5.75	19-Aug	1-Sep	4,102.20	5.0
UBS OCONNOR	031	BAC	B	100,000	16.87	11-May	1-Sep	3,000.00	3.0
RAMIUS CAP	040	BIG	SS	9,500	25.03	25-Aug	25-Aug	380.00	4.0
THE JAY GOLDMAN	034	BJ	S	15,000	32.73	n/a	27-Jul	600.00	4.0
EPOCH INV MGMT	030	BK	B	45,400	28.61	11-May	12-Aug	1,362.00	3.0
BAIRD INVESTMENT	047	CAM	S	3,189	35.01	n/a	n/a	159.45	5.0
RAMIUS CAP	040	CHTT	SS	11,100	61.90	23-Jun	27-Jul	444.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	COH	S	30,000	29.46	n/a	29-Jul	1,200.00	4.0
THE JAY GOLDMAN	034	COST	B	10,000	50.34	n/a	27-Jul	400.00	4.0
CLOVIS CAPITAL	012	CTXS	SS	50,000	34.94	n/a	n/a	2,500.00	5.0
CONIFER/ISF	025	C	S	25,000	4.66	n/a	17-Aug	1,250.00	5.0
1798 CAPITAL MGMT	040	ERTS	SS	10,000	17.89	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	FL	B	50,000	10.74	27-Aug	27-Aug	2,000.00	4.0
TRUSTCO/SUNTRUST	040	FL	B	28,500	10.75	27-Aug	27-Aug	1,111.52	3.9
BTIG/KDI ADV	039	FOR	B	50,000	14.41	6-Aug	6-Aug	2,000.00	4.0
IRONBOUND CAPITAL	012	FOR	S	13,200	14.46	6-Aug	6-Aug	660.00	5.0
BRENCOURT	028	F	B	50,000	7.63	27-Aug	31-Aug	2,500.00	5.0
CAVU CAP ADV	028	F	B	50,000	7.42	27-Aug	31-Aug	2,500.00	5.0
CENTURION PARTNERS	041	F	B	50,000	7.69	27-Aug	31-Aug	2,000.00	4.0
SCOPUS FUND	041	F	S	50,000	7.26	27-Aug	31-Aug	2,500.00	5.0
LONG OAR GLOBAL INV	040	GTI	SS	24,500	13.73	n/a	n/a	1,225.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	30,000	20.84	n/a	n/a	1,200.00	4.0
SASCO	038	HD	B	18,300	26.83	10-Aug	19-Aug	732.00	4.0
ARMATURE CAPITAL	041	IP	S	10,000	22.02	14-Aug	14-Aug	400.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	B	30,500	20.19	6-Aug	1-Sep	1,525.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAPITAL MGMT	040	JCP	B	25,000	29.87	13-Apr	27-Aug	1,250.00	5.0
SASCO	038	JCP	B	16,600	29.67	13-Apr	27-Aug	664.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	50,000	29.80	13-Apr	27-Aug	2,000.00	4.0
TRUST CO/COWEN/CALF.	040	KLAC	S	206,112	31.54	n/a	n/a	10,305.60	5.0
CLOVIS CAPITAL	012	KSS	SS	50,000	51.23	14-Aug	27-Aug	2,500.00	5.0
JP MORGAN VENTURES	046	KSS	B	10,000	52.19	14-Aug	27-Aug	500.00	5.0
COBALT	041	KWK	SS	50,000	10.46	n/a	n/a	2,000.00	4.0
SONTERRA CAP	041	LPX	B	30,000	6.98	n/a	5-Aug	900.00	3.0
JMP ASSET MGMT	210	LULU	S	11,350	20.50	n/a	n/a	567.50	5.0
SASCO	038	MAS	B	34,500	13.78	n/a	n/a	1,380.00	4.0
RAMIUS CAP	040	MIDD	SS	19,725	46.42	n/a	14-Aug	789.00	4.0
PROSPECTOR PARTNERS LLC	036	MMR	S	10,000	8.44	n/a	n/a	400.00	4.0
CATAPULT	040	MON	B	20,000	81.58	n/a	17-Aug	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	MXGL	B	10,000	20.18	n/a	n/a	400.00	4.0
CHART WELL ADV	028	NTRS	S	52,950	58.25	22-Apr	23-Jul	2,118.00	4.0
SYSTEMATIC FINANCIAL MGT	035	NWL	B	16,050	13.70	n/a	n/a	561.75	3.5
CLOVIS CAPITAL	012	PAYX	SS	50,000	27.70	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KEEFE BRUYETTE WOODS A	045	PBCT	B	5,200	15.82	n/a	28-Jul	260.00	5.0
RAMIUS CAP	040	PCL	S	30,200	29.12	n/a	28-Jul	1,208.00	4.0
DIAMONDBACK CAP MGMT	232	PEP	B	25,000	56.30	n/a	n/a	1,250.00	5.0
RAMIUS CAP	040	PFCB	B	28,050	31.72	22-Jul	22-Jul	1,122.00	4.0
LATEFF MGMT	035	PG	B	500	53.05	3-Aug	24-Aug	160.00	32.0
LATEFF MGMT	035	PTV	S	2,500	24.60	n/a	n/a	325.00	13.0
EPOCH INV MGMT	030	RE	B	11,300	84.56	n/a	n/a	339.00	3.0
LATEFF MGMT	035	SBUX	S	3,250	19.18	n/a	21-Jul	390.00	12.0
BAIRD INVESTMENT	047	SII	S	6,050	27.24	n/a	n/a	302.50	5.0
BUCK CAPITAL MGMT	001	SII	B	25,000	27.65	n/a	n/a	1,000.00	4.0
ARMATURE CAPITAL	041	SOA	S	10,100	12.25	n/a	n/a	404.00	4.0
JMP ASSET MGMT	210	SYNA	B	7,000	26.14	n/a	n/a	350.00	5.0
1798 CAPITAL MGMT	040	TGT	B	35,000	46.56	19-Aug	19-Aug	1,750.00	5.0
AVESTA CAP	229	TWX	S	100,000	27.24	n/a	n/a	4,000.00	4.0
AVESTA CAP	229	UTX	S	50,000	59.92	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	WMT	B	10,000	51.03	11-May	13-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	WRC	B	4,000	37.00	28-Jul	12-Aug	120.00	3.0
1798 CAPITAL MGMT	040	WTW	SS	5,000	26.40	n/a	n/a	250.00	5.0
HIGHFIELDS CAP MGMT	039	XOM	B	100,000	68.47	n/a	n/a	5,000.00	5.0
1798 CAPITAL MGMT	040	YUM	SS	20,000	33.70	n/a	15-Jul	1,000.00	5.0
TOTAL (Trade Date):								104,230.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/31	CASTLEROCK (CASTUBS)	040	AIG	SS	36,999	46.89	n/a	n/a	0.00	0.0
AO,CRT	08/31	CASTLEROCK (CASTUBS)	040	AIG	SS	36,999	46.89	n/a	n/a	1479.96	4.0
CRT	09/01	DSG CAPITAL (DSGCJEFF)	225	AXL	B	15,000	5.77	19-Aug	1-Sep	450.00	3.0
CRT	09/01	LAGRANGE CAP ADV (LAGRJJEFF)	048	AXL	B	20,000	5.65	19-Aug	1-Sep	1000.00	5.0
CRT	09/01	SCOPUS FUND (SCOPUBS)	041	AXL	S	65,635	5.75	19-Aug	1-Sep	3281.75	5.0
AO,CXL	08/31	JP MORGAN VENTURES (JPMVJPM)	046	IWM	SS	17,500	57.07	n/a	n/a	875.00	5.0
AO,CRT	08/31	JP MORGAN VENTURES (JPMVJPM)	046	IWM	SS	17,500	57.07	n/a	n/a	525.00	3.0
TOTAL (AO, CXL, CRT) :										5,861.71	
TOTAL (Trade Date) :										104,230.20	
TOTAL (AO, CXL, CRT) :										5,861.71	
TOTAL (RUN DATE) / NFS:										110,091.91	

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