



## Daily Compliance Activity Report

Trade Date: 08/19/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	ADI	B	65,000	26.93	n/a	n/a	1,950.00	3.0
OZ MGMT	040	AIG	C	200,000	25.34	n/a	n/a	6,000.00	3.0
OZ MGMT	040	ALV	C	28,000	32.73	10-Jun	22-Jul	840.00	3.0
SCOPUS FUND	041	ARM	B	10,000	8.19	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>30,000</b>	<b>35.46</b>	<b>n/a</b>	<b>7-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	AXL	B	30,000	5.89	19-Aug	19-Aug	1,200.00	4.0
COUGAR TRADING	044	AXL	S	30,000	6.65	19-Aug	19-Aug	1,200.00	4.0
LAGRANGE CAP ADV	048	AXL	S	35,000	6.96	19-Aug	19-Aug	1,750.00	5.0
OZ MGMT	040	AXL	S	110,000	6.69	19-Aug	19-Aug	3,300.00	3.0
DIAMONDBACK CAP MGMT	232	BAC	S	200,000	16.79	11-May	17-Aug	10,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>10,000</b>	<b>35.53</b>	<b>n/a</b>	<b>27-Jul</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>B</b>	<b>20,000</b>	<b>31.74</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	BLK	SS	10,000	195.09	4-Aug	19-Aug	500.00	5.0
OZ MGMT	040	BRCM	B	125,064	26.87	n/a	n/a	3,751.92	3.0
CASTLE ARK	031	BTU	S	700	33.90	n/a	n/a	42.00	6.0
CIRCLE T/SES PART	035	BWA	B	3,200	29.60	3-Aug	5-Aug	128.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	BWA	S	10,000	30.27	3-Aug	5-Aug	500.00	5.0
HIGHBRIDGE CAPITAL	038	CACI	SS	7,000	46.01	n/a	n/a	280.00	4.0
EVERCORE WEALTH MGMT	012	CFL	S	800	29.80	n/a	n/a	40.00	5.0
OZ MGMT	040	CI	B	161,897	28.63	n/a	n/a	4,856.91	3.0
OZ MGMT	040	CME	SS	25,011	266.26	n/a	24-Jul	750.33	3.0
OZ MGMT	040	COF	SS	75,193	34.19	10-Aug	19-Aug	2,255.79	3.0
CASTLE ARK	031	COL	S	600	42.60	n/a	n/a	36.00	6.0
OZ MGMT	040	COV	S	62,532	39.76	n/a	n/a	1,875.96	3.0
NOMURA CAPITAL	045	C	S	100,000	4.14	n/a	17-Aug	2,000.00	2.0
METROPOLITAN CAPITAL	044	DDR	B	10,800	7.45	n/a	n/a	540.00	5.0
CAXTON PART	040	DD	S	50,000	31.44	n/a	21-Jul	1,750.01	3.5
CASTLE ARK	031	DGX	S	2,100	53.68	n/a	n/a	126.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DHR</b>	<b>SS</b>	<b>30,000</b>	<b>59.58</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	DRE	B	21,000	10.46	n/a	n/a	1,050.00	5.0
SENVEST PART	045	DSW	B	7,100	12.60	28-Jul	3-Aug	355.00	5.0
SAC TRADIN/BINDER	044	FIS	B	50,000	24.90	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FL	B	200,000	11.16	27-Apr	17-Aug	8,000.00	4.0
BMO NESBITT BURNS	041	F	B	50,000	7.63	3-Aug	10-Aug	2,500.00	5.0
GCORE MANAGEMENT	252	F	B	20,000	7.64	3-Aug	10-Aug	600.00	3.0
SCHOTTENFELD ASSOC	041	F	B	100,000	7.64	3-Aug	10-Aug	3,000.00	3.0
FORWARD MGMT	033	GE	S	9,000	13.53	n/a	n/a	450.00	5.0
FORWARD MGMT	033	GILD	S	2,650	45.20	n/a	n/a	132.50	5.0
ROSEDALE CAPITAL	046	GLW	B	10,000	15.69	27-Jul	27-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	GPS	B	20,000	18.62	n/a	30-Jan	800.00	4.0
THIRD COAST CAPITAL	035	GPS	B	10,000	18.57	n/a	30-Jan	500.00	5.0
OZ MGMT	040	HPQ	C	62,470	43.55	n/a	n/a	1,874.10	3.0
EVERCORE WEALTH MGMT	012	HRS	S	400	34.49	13-Aug	13-Aug	20.00	5.0
FORWARD MGMT	033	IBM	S	2,300	118.57	n/a	n/a	115.00	5.0
BASIX	033	IR	B	12,000	29.04	13-Aug	13-Aug	360.00	3.0
GREEN ARROW DOUG	040	IWM	SS	25,000	56.12	n/a	n/a	1,250.00	5.0
FORWARD MGMT	033	JNJ	S	4,200	60.37	n/a	22-Apr	210.00	5.0
FORWARD MGMT	033	JPM	S	4,500	41.41	7-Aug	17-Aug	225.00	5.0
METROPOLITAN CAPITAL	044	KIM	B	13,000	10.58	n/a	n/a	650.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORWARD MGMT	033	KO	S	8,440	49.36	n/a	n/a	422.00	5.0
HARVEST MGMT	039	LTD	B	20,000	14.12	n/a	30-Jan	1,000.00	5.0
JMP ASSET MGMT	210	LULU	S	500	19.00	n/a	n/a	25.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.19	n/a	4-Jan	600.00	6.0
CIRCLE T/SES PART	035	LVS	S	35,000	12.87	14-Aug	14-Aug	1,400.00	4.0
HIGHBRIDGE CAPITAL	038	MANT	SS	5,000	53.83	n/a	n/a	200.00	4.0
CENTURION PARTNERS	041	MA	S	5,000	196.18	30-Jul	12-Aug	200.00	4.0
CAXTON PART	040	MCD	B	9,396	55.73	n/a	10-Aug	328.87	3.5
FORWARD MGMT	033	MCD	S	400	55.65	n/a	10-Aug	20.00	5.0
FORWARD MGMT	033	MET	S	7,150	36.32	n/a	n/a	357.50	5.0
FORWARD MGMT	033	MKC	S	7,280	31.78	n/a	n/a	364.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>10,000</b>	<b>14.65</b>	<b>n/a</b>	<b>13-Aug</b>	<b>400.00</b>	<b>4.0</b>
FORWARD MGMT	033	M	S	18,790	14.62	n/a	13-Aug	939.50	5.0
CASTLE ARK	031	NBL	S	1,100	59.72	n/a	n/a	66.00	6.0
CASTLE ARK	031	NEM	S	1,000	39.17	n/a	n/a	60.00	6.0
CASTLE ARK	031	NE	B	7,800	33.80	n/a	n/a	468.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	NKE	S	3,400	55.68	n/a	n/a	204.00	6.0
CASTLE ARK	031	NSC	S	1,000	45.45	n/a	n/a	60.00	6.0
CASTLE ARK	031	NTAP	S	700	22.91	n/a	n/a	42.00	6.0
CASTLE ARK	031	NTRS	S	900	60.00	22-Apr	23-Jul	54.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NTY</b>	<b>B</b>	<b>20,000</b>	<b>36.20</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
CASTLE ARK	031	NUE	S	1,000	45.38	n/a	n/a	60.00	6.0
CASTLE ARK	031	NUVA	B	9,800	40.49	n/a	n/a	588.00	6.0
CASTLE ARK	031	NVDA	S	5,900	13.08	n/a	n/a	354.00	6.0
FORWARD MGMT	033	NVDA	S	42,020	13.18	n/a	n/a	2,101.00	5.0
CASTLE ARK	031	NVLS	S	800	16.96	n/a	n/a	48.00	6.0
CASTLE ARK	031	NYX	S	500	27.16	n/a	n/a	30.00	6.0
CASTLE ARK	031	OMC	S	100	34.71	n/a	n/a	6.00	6.0
CASTLE ARK	031	ORCL	S	9,500	21.39	n/a	n/a	570.00	6.0
CASTLE ARK	031	ORLY	S	1,800	37.78	n/a	n/a	108.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>B</b>	<b>10,000</b>	<b>13.73</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
CASTLE ARK	031	OXY	S	1,900	70.72	n/a	n/a	114.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	PAYX	S	1,100	27.52	n/a	n/a	66.00	6.0
CASTLE ARK	031	PBG	S	800	35.51	n/a	n/a	48.00	6.0
CASTLE ARK	031	PBI	S	400	21.41	n/a	n/a	24.00	6.0
CASTLE ARK	031	PCAR	B	15,100	34.98	25-Mar	29-Jul	906.00	6.0
SAVITR CAPITAL	040	PCAR	SS	20,000	35.34	25-Mar	29-Jul	1,000.00	5.0
CASTLE ARK	031	PCP	S	100	82.98	n/a	n/a	6.00	6.0
CASTLE ARK	031	PEP	S	4,800	56.20	n/a	n/a	288.00	6.0
KARSCH CAPITAL	034	PFE	B	266,000	16.40	n/a	31-Mar	7,980.00	3.0
CASTLE ARK	031	PGR	S	1,300	16.14	n/a	n/a	78.00	6.0
CASTLE ARK	031	PG	S	10,900	52.72	3-Aug	19-Aug	654.00	6.0
CASTLE ARK	031	PHM	S	2,900	12.17	n/a	n/a	174.00	6.0
OZ MGMT	040	PMCS	B	125,065	8.58	n/a	n/a	3,751.95	3.0
TRELLUS PARTNERS LP	028	PRGO	B	20,000	28.09	18-Aug	18-Aug	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>80,000</b>	<b>14.04</b>	<b>n/a</b>	<b>n/a</b>	<b>3,200.00</b>	<b>4.0</b>
CASTLE ARK	031	PTV	S	400	25.56	n/a	n/a	24.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>20,000</b>	<b>34.90</b>	<b>28-Jul</b>	<b>28-Jul</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	PWR	S	200	21.88	n/a	n/a	12.00	6.0
CASTLE ARK	031	PXD	S	400	28.59	n/a	5-Aug	24.00	6.0
CASTLE ARK	031	PX	S	700	76.00	5-Jun	29-Jul	42.00	6.0
CASTLE ARK	031	QCOM	B	12,700	45.16	n/a	n/a	762.00	6.0
CASTLE ARK	031	QLGC	S	900	13.93	n/a	n/a	54.00	6.0
CASTLE ARK	031	RHI	S	1,400	25.26	n/a	n/a	84.00	6.0
CASTLE ARK	031	RHT	S	1,100	20.90	n/a	n/a	66.00	6.0
CASTLE ARK	031	RL	S	300	66.50	6-Aug	6-Aug	18.00	6.0
CASTLE ARK	031	ROK	S	200	38.77	n/a	n/a	12.00	6.0
CASTLE ARK	031	RRC	B	8,200	49.06	n/a	3-Aug	492.00	6.0
CASTLE ARK	031	RSG	S	100	25.13	n/a	n/a	6.00	6.0
CASTLE ARK	031	RSH	S	2,200	14.50	n/a	n/a	132.00	6.0
CASTLE ARK	031	SBUX	S	2,600	18.91	n/a	21-Jul	156.00	6.0
CASTLE ARK	031	SCHW	B	21,400	17.65	n/a	n/a	1,284.00	6.0
CASTLE ARK	031	SEE	S	500	17.77	n/a	n/a	30.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	SHW	S	1,400	60.13	17-Apr	7-Aug	84.00	6.0
EVERCORE WEALTH MGMT	012	SHW	S	100	60.45	17-Apr	7-Aug	5.00	5.0
CASTLE ARK	031	SIAL	S	800	50.35	2-Jun	23-Jul	48.00	6.0
CASTLE ARK	031	SII	S	1,000	26.43	n/a	n/a	60.00	6.0
CASTLE ARK	031	SLB	B	700	52.19	n/a	n/a	42.00	6.0
CASTLE ARK	031	SLM	S	800	8.25	12-Aug	12-Aug	48.00	6.0
CASTLE ARK	031	SNDK	S	3,200	16.55	n/a	n/a	192.00	6.0
OZ MGMT	040	SNDK	B	125,064	16.71	n/a	n/a	3,751.92	3.0
CASTLE ARK	031	SPLS	B	23,400	21.32	n/a	27-Jul	1,404.00	6.0
CASTLE ARK	031	SRCL	S	200	49.24	n/a	n/a	12.00	6.0
CASTLE ARK	031	STJ	B	8,600	37.46	n/a	n/a	516.00	6.0
CASTLE ARK	031	STRA	B	900	211.94	n/a	n/a	54.00	6.0
CASTLE ARK	031	STR	S	800	33.09	n/a	3-Aug	48.00	6.0
CASTLE ARK	031	STT	S	1,000	51.17	n/a	18-Aug	60.00	6.0
CASTLE ARK	031	SUN	S	1,100	25.13	n/a	n/a	66.00	6.0
CASTLE ARK	031	SWN	S	3,900	38.65	n/a	3-Aug	234.00	6.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	SYK	S	1,000	39.89	n/a	n/a	60.00	6.0
CASTLE ARK	031	SYMC	S	8,200	15.06	n/a	3-Apr	492.00	6.0
CASTLE ARK	031	SYU	S	2,100	24.26	n/a	24-Apr	126.00	6.0
CASTLE ARK	031	TDC	S	200	25.90	n/a	n/a	12.00	6.0
SCOPUS FUND	041	TEN	SS	16,600	16.48	n/a	n/a	830.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>20,000</b>	<b>45.28</b>	<b>19-Aug</b>	<b>19-Aug</b>	<b>800.00</b>	<b>4.0</b>
CASTLE ARK	031	TGT	S	900	45.00	19-Aug	19-Aug	54.00	6.0
CASTLE ARK	031	TIE	S	900	7.71	n/a	n/a	54.00	6.0
CASTLE ARK	031	TJX	B	14,400	34.58	28-Jul	19-Aug	864.00	6.0
EVERCORE WEALTH MGMT	012	TJX	S	250	34.86	28-Jul	19-Aug	12.50	5.0
KACELA CAPITAL	034	TJX	B	20,000	34.39	28-Jul	19-Aug	800.00	4.0
CASTLE ARK	031	TLAB	S	4,500	6.36	n/a	22-Mar	270.00	6.0
CASTLE ARK	031	TMK	S	300	40.00	n/a	n/a	18.00	6.0
CASTLE ARK	031	TMO	S	200	44.69	n/a	n/a	12.00	6.0
CASTLE ARK	031	TROW	S	600	44.10	n/a	19-Aug	36.00	6.0
CASTLE ARK	031	UNH	S	2,300	27.73	n/a	n/a	138.00	6.0
CASTLE ARK	031	UPS	S	300	52.50	n/a	n/a	18.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	UTX	S	200	55.99	n/a	n/a	12.00	6.0
CASTLE ARK	031	VAR	S	1,700	37.29	n/a	n/a	102.00	6.0
CASTLE ARK	031	VIAB	S	1,300	23.61	n/a	n/a	78.00	6.0
OZ MGMT	040	VIAB	SS	123,886	23.52	n/a	n/a	3,716.58	3.0
CASTLE ARK	031	VTR	S	100	36.73	n/a	n/a	6.00	6.0
CASTLE ARK	031	WAG	S	1,100	30.73	n/a	n/a	66.00	6.0
CASTLE ARK	031	WDC	S	1,300	31.23	n/a	n/a	78.00	6.0
M&I FUNDS	047	WDR	B	35,241	26.75	29-Jul	19-Aug	1,409.64	4.0
CASTLE ARK	031	WLP	S	1,400	52.45	n/a	n/a	84.00	6.0
CASTLE ARK	031	WMT	S	3,400	51.20	11-May	13-Aug	204.00	6.0
CASTLE ARK	031	WPI	S	600	34.82	n/a	17-Aug	36.00	6.0
SIGMA CAPITAL ASSOCIATES	041	WSM	S	14,200	14.03	n/a	n/a	568.00	4.0
CASTLE ARK	031	WU	S	3,200	17.73	n/a	n/a	192.00	6.0
OZ MGMT	040	WX	SS	50,000	10.77	n/a	n/a	1,500.00	3.0
CASTLE ARK	031	WYE	S	600	47.56	n/a	31-Mar	36.00	6.0
CASTLE ARK	031	WYNN	S	100	53.72	n/a	31-Jul	6.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	XLNX	S	4,100	21.27	n/a	n/a	246.00	6.0
CASTLE ARK	031	XTO	B	400	39.61	n/a	n/a	24.00	6.0
CASTLE ARK	031	YHOO	S	900	14.80	n/a	n/a	54.00	6.0
CASTLE ARK	031	YUM	S	900	34.75	n/a	15-Jul	54.00	6.0
JMP ASSET MGMT	210	ZAGG	S	600	5.45	n/a	n/a	24.00	4.0
<b>TOTAL (Trade Date):</b>								<b>128,845.98</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/18	BRIGADE CAPITAL MGMT (BRICGS)	029	AIQ	B	50,000	5.14	n/a	n/a	1500.00 3.0
AO,CRT	08/18	BRIGADE CAPITAL MGMT (BRICGS)	029	AIQ	B	50,000	5.14	n/a	n/a	1000.00 2.0
AO,CRT	08/11	MORRISON/TLB/BAYPOINT (MORRSCHWAB)	040	AVP	S	10,000	31.80	3-Aug	3-Aug	300.00 3.0
AO,CXL	08/11	MORRISON/TLB/BAYPOINT (MORROLDMAN)	040	AVP	S	10,000	31.80	3-Aug	3-Aug	300.00 3.0
AO,CXL	08/18	WOOSTER CAPITAL (WOOSGOLDMA)	035	BWA	B	60,000	30.11	3-Aug	5-Aug	1800.00 3.0
AO,CRT	08/18	WOOSTER CAPITAL (WOOSGOLDMA)	035	BWA	B	60,000	30.11	3-Aug	5-Aug	3000.00 5.0
AO,	08/18	BUCK CAPITAL MGMT (BUCKJPMBS)	001	GPS	B	17,800	18.55	n/a	30-Jan	712.00 4.0
AO,CXL	08/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GPS	B	20,000	18.55	n/a	30-Jan	800.00 4.0
AO,CRT	08/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GPS	B	2,200	18.55	n/a	30-Jan	88.00 4.0
AO,CXL	08/18	COOPER CREEK PART (COOPGS)	028	HPY	B	20,000	10.89	n/a	n/a	0.00 0.0
AO,CRT	08/18	COOPER CREEK PART (COOPGS)	028	HPY	B	20,000	10.89	n/a	n/a	800.00 4.0
AO,CRT	08/18	SCOPUS FUND (SCOPBANC O)	041	IP	S	11,744	19.44	14-Aug	14-Aug	587.20 5.0
AO,CXL	08/18	SCOPUS FUND (SCOPUBS)	041	IP	S	38,910	19.44	14-Aug	14-Aug	1945.50 5.0
AO,CRT	08/18	SCOPUS FUND (SCOPUBS)	041	IP	S	37,509	19.44	14-Aug	14-Aug	1875.45 5.0
AO,CXL	08/18	SCOPUS FUND (SCOPBANC O)	041	IP	S	10,343	19.44	14-Aug	14-Aug	517.15 5.0

**TOTAL (AO, CXL, CRT) :****1,500.00**

TOTAL (Trade Date) :

128,845.98

TOTAL (AO, CXL, CRT) :

1,500.00

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TOTAL (RUN DATE) / NFS:

130,345.98

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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