



Daily Compliance Activity Report

Trade Date: 09/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	S	40,000	26.11	n/a	n/a	1,600.00	4.0
HIGHBRIDGE CAP	041	AAP	B	28,000	39.39	n/a	n/a	1,400.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	90,000	16.24	25-Jun	4-Sep	3,600.00	4.0
ARCHON CAPITAL	035	AMB	B	15,000	23.49	n/a	n/a	450.00	3.0
CARLSON CAPITAL	203	BAC	B	50,300	16.87	11-May	15-Sep	2,012.00	4.0
KARSCH CAPITAL	034	BAC	S	300,000	16.89	11-May	15-Sep	9,000.00	3.0
SCOPUS FUND	041	BKI	S	21,374	11.06	n/a	n/a	1,068.70	5.0
MATRIX ASSET ADV.	036	BK	B	3,000	29.00	11-May	15-Sep	120.00	4.0
TRELLUS PARTNERS LP	028	BWA	B	30,000	33.17	3-Aug	24-Aug	1,500.00	5.0
ISLE RIDGE PARTNERS	041	BYD	SS	10,000	10.21	n/a	7-Aug	400.00	4.0
EPOCH INV MGMT	030	CAM	B	1,000	37.93	n/a	n/a	30.00	3.0
11:11 CAPITAL CORP	046	CEPH	B	39,500	58.29	21-May	15-Sep	1,975.00	5.0
ISLE RIDGE PARTNERS	041	CHRS	B	25,000	4.86	n/a	22-Mar	1,000.00	4.0
EPOCH INV MGMT	030	CLB	B	3,900	100.95	n/a	15-Sep	117.00	3.0
EPOCH INV MGMT	030	COL	B	850	48.53	n/a	n/a	25.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	CORE	S	25,043	29.08	n/a	n/a	1,252.15	5.0
MATRIX ASSET ADV.	036	CSCO	S	4,000	23.00	n/a	22-Mar	160.00	4.0
EXIS CAPITAL	044	CTXS	B	20,000	36.71	n/a	n/a	1,000.00	5.0
AAD CAPITAL	048	DIS	B	50,000	28.21	n/a	n/a	2,000.00	4.0
BRAHMAN CAPITAL	028	DKS	SS	100,000	22.57	17-Aug	21-Aug	5,000.00	5.0
BMO NESBITT BURNS	041	FOR	B	10,000	15.09	6-Aug	6-Aug	500.00	5.0
DIAMONDBACK CAP MGMT	232	FWLT	S	20,000	32.13	n/a	n/a	1,000.00	5.0
TRELLUS PARTNERS LP	028	F	B	25,000	7.34	27-Aug	2-Sep	750.00	3.0
&LAG	048	F	B	20,000	7.30	27-Aug	2-Sep	1,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	77,500	22.57	n/a	10-Jan	3,100.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	50,000	19.97	14-Aug	14-Aug	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	GPS	B	25,000	21.49	n/a	30-Jan	1,250.00	5.0
ISLE RIDGE PARTNERS	041	GT	B	15,000	17.51	n/a	n/a	600.00	4.0
11:11 CAPITAL CORP	046	HOLX	S	50,000	17.57	n/a	n/a	2,500.00	5.0
DSG CAPITAL	225	JCI	B	20,000	27.08	15-Sep	15-Sep	1,000.00	5.0
BUCK CAPITAL MGMT	001	KMX	B	62,147	18.78	n/a	10-Jan	2,485.88	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	KSS	S	10,000	54.49	14-Aug	4-Sep	300.00	3.0
HARVEST MGMT	039	KSS	S	17,000	54.78	14-Aug	4-Sep	850.00	5.0
SOROS	036	LOW	B	100,000	21.16	2-Sep	2-Sep	4,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	25,000	7.43	n/a	5-Aug	1,250.00	5.0
AAD CAPITAL	048	MAC	S	20,000	31.46	n/a	n/a	800.00	4.0
OZ MGMT	040	MOS	C	62,513	53.35	n/a	n/a	1,875.39	3.0
CIRCLE T/SES PART	035	MPXL	S	25,000	7.50	n/a	26-Aug	1,000.00	4.0
ISLE RIDGE PARTNERS	041	MTN	B	10,000	33.75	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	M	S	25,000	17.33	n/a	4-Sep	1,250.00	5.0
EPOCH INV MGMT	030	NYX	B	2,350	28.77	n/a	n/a	70.50	3.0
BMO NESBITT BURNS	041	PCL	S	2,000	30.80	n/a	28-Jul	100.00	5.0
EPOCH INV MGMT	030	PM	B	800	46.95	n/a	n/a	24.00	3.0
EPOCH INV MGMT	030	PRU	B	1,050	50.48	n/a	n/a	31.50	3.0
CATAPULT	040	PXP	SS	25,000	28.65	n/a	n/a	1,250.00	5.0
FIRST NY SEC/CHRIS	041	RRR	S	30,000	7.99	n/a	11-Aug	1,500.00	5.0
BMO NESBITT BURNS	041	RYN	S	2,000	42.54	n/a	3-Aug	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	SKX	B	41,391	18.49	n/a	13-Mar	1,448.69	3.5
PLATTE RIVER CAPITAL	240	SLB	B	4,000	59.87	n/a	n/a	160.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	30,000	47.43	3-Sep	3-Sep	1,200.00	4.0
LATEFF MGMT	035	TIN	S	7,750	18.65	14-Aug	14-Aug	865.00	13.0
SCOPUS FUND	041	TJX	B	10,000	37.08	28-Jul	4-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	8.30	n/a	30-Jan	600.00	3.0
AAD CAPITAL	048	UFS	SS	30,000	37.95	n/a	n/a	1,200.00	4.0
HOLLIS CAPITAL	033	UFS	B	4,000	36.95	n/a	n/a	200.00	5.0
EPOCH INV MGMT	030	V	B	2,350	72.57	n/a	14-Sep	70.50	3.0
TRELLUS PARTNERS LP	028	WBC	B	10,000	19.28	5-Aug	5-Aug	500.00	5.0
EPOCH INV MGMT	030	WFT	B	1,500	21.51	n/a	n/a	45.00	3.0
WILLOW CREEK	033	WGO	SS	5,000	12.50	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	WM	B	2,950	30.49	n/a	n/a	88.50	3.0
NEWLAND CAPITAL MGT	067	WOR	S	5,000	15.00	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	WRC	B	25,000	42.46	15-Sep	15-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	35,900	43.02	15-Sep	15-Sep	1,436.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	WU	B	4,600	18.79	n/a	n/a	138.00	3.0
BMO NESBITT BURNS	041	WY	SS	50,000	39.85	n/a	3-Aug	2,500.00	5.0
SCHOTTENFELD ASSOC	041	WY	B	40,000	39.09	n/a	3-Aug	1,200.00	3.0
SCOPUS FUND	041	WY	S	39,500	39.56	n/a	3-Aug	1,975.00	5.0
EPOCH INV MGMT	030	XOM	B	2,100	69.75	n/a	n/a	63.00	3.0
TOTAL (Trade Date) :								80,537.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/14	CATAPULT (CATADEUTCH)	040	EMC	B	46,500	16.81	n/a	n/a	0.00	0.0
AO,CRT	09/14	CATAPULT (CATADEUTCH)	040	EMC	B	46,500	16.81	n/a	n/a	2325.00	5.0
AO,CXL	09/14	COLONIAL FUND LLC (COLOMAINSL)	036	F	B	25,000	7.35	27-Aug	2-Sep	1250.00	5.0
AO,CRT	09/14	COLONIAL FUND LLC (COLOMAINSL)	036	F	B	25,000	7.35	27-Aug	2-Sep	750.00	3.0
AO,CXL	09/14	CSFB GLOBAL PROPRIETARY (CSFBGLOBAL)	041	LPX	SS	80,000	7.26	n/a	5-Aug	4000.00	5.0
AO,CRT	09/14	CSFB GLOBAL PROPRIETARY (CSFBGLOBAL)	041	LPX	SS	80,000	7.26	n/a	5-Aug	4000.00	5.0
AO,CXL	09/14	BUCK CAPITAL MGMT (BUCKGILAGX)	001	RL	S	20,000	68.69	6-Aug	6-Aug	800.00	4.0
AO,CRT	09/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	S	20,000	68.69	6-Aug	6-Aug	800.00	4.0
AO,CXL	09/14	COUGAR TRADING (COUGCITI)	044	SLM	S	10,000	8.82	12-Aug	14-Sep	500.00	5.0
AO,CRT	09/14	COUGAR TRADING (COUGCITI)	044	SLM	S	10,000	8.82	12-Aug	14-Sep	400.00	4.0
CRT	09/15	SCOPUS FUND (SCOPBANC O)	041	WY	S	7,900	39.56	n/a	3-Aug	395.00	5.0
CRT	09/15	SCOPUS FUND (SCOPUBS)	041	WY	S	31,600	39.56	n/a	3-Aug	1580.00	5.0
TOTAL (AO, CXL, CRT) :										3,700.00	
TOTAL (Trade Date) :										80,537.31	
TOTAL (AO, CXL, CRT) :										3,700.00	
TOTAL (RUN DATE) / NFS :										84,237.31	

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