



## Daily Compliance Activity Report

Trade Date: 07/27/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	ABM	B	14,000	20.45	n/a	n/a	700.00	5.0
HUNTER GLOBAL INVESTOR	067	ACL	B	5,000	128.94	16-Jul	27-Jul	250.00	5.0
PRIMECAP MGMT	048	AMGN	B	30,169	60.61	n/a	26-Jan	1,508.45	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>10,000</b>	<b>28.33</b>	<b>3-Jun</b>	<b>10-Jul</b>	<b>400.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	ANN	C	30,000	10.41	n/a	30-Jan	1,500.00	5.0
REINHART & MAHONEY	031	APOL	B	5,140	66.41	n/a	n/a	257.00	5.0
COUGAR TRADING	044	ARO	B	5,000	36.64	n/a	10-Jul	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>SS</b>	<b>30,000</b>	<b>35.97</b>	<b>n/a</b>	<b>27-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	BHP	SS	10,000	61.44	n/a	n/a	400.00	4.0
SANDLER O'NEILL ASSET	031	BK	B	25,000	26.97	11-May	23-Jul	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>80,000</b>	<b>26.70</b>	<b>n/a</b>	<b>n/a</b>	<b>3,200.00</b>	<b>4.0</b>
KINGDON ASSET MGMT	041	DECK	B	25,000	69.08	n/a	n/a	1,000.00	4.0
NEWCASTLE FUNDS	255	DE	B	20,000	42.58	n/a	17-Jun	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DHI</b>	<b>S</b>	<b>58,000</b>	<b>11.41</b>	<b>n/a</b>	<b>n/a</b>	<b>2,320.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	DSW	B	10,000	12.77	15-Jun	24-Jun	500.00	5.0
EPOCH INV MGMT	030	FII	B	6,500	25.10	24-Apr	27-Jul	260.00	4.0
IRIDIAN ASSET MGMT.	036	FII	SS	28,650	25.04	24-Apr	27-Jul	1,432.50	5.0
UBS OCONNOR	031	FII	B	120,000	24.97	24-Apr	27-Jul	3,600.00	3.0
MILLENIUM PARTNERS	028	FNF	S	40,000	13.52	n/a	n/a	1,600.00	4.0
NEUBERGER BERMAN	036	FNF	B	57,300	13.77	n/a	n/a	2,578.50	4.5
PHILADELPHIA FINANCIAL	033	FNF	S	45,000	13.73	n/a	n/a	1,800.00	4.0
BALYASNY ASSET MGMT	044	F	SS	25,000	7.06	n/a	24-Jul	1,000.00	4.0
TRELLUS PARTNERS LP	028	F	S	100,000	6.88	n/a	24-Jul	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>72,400</b>	<b>20.46</b>	<b>n/a</b>	<b>10-Jan</b>	<b>2,896.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>30,000</b>	<b>28.88</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	HAR	S	10,000	23.75	10-Jun	16-Jun	500.00	5.0
RK CAPTIAL MGMT	045	HEI	SS	9,500	38.77	n/a	n/a	475.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	250,000	18.58	21-Jul	21-Jul	12,500.00	5.0
REINHART & MAHONEY	031	IVZ	B	110	19.68	27-Jul	27-Jul	5.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>10,000</b>	<b>28.46</b>	<b>n/a</b>	<b>30-Jan</b>	<b>400.00</b>	<b>4.0</b>
HOOVER INV. MGMT	033	JCG	S	16,600	28.15	n/a	30-Jan	664.00	4.0
RBC CAPITAL MARKETS	040	JCG	B	10,000	28.29	n/a	30-Jan	400.00	4.0
REINHART & MAHONEY	031	JNJ	S	235	60.87	n/a	22-Apr	11.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	JPM	B	260	38.12	n/a	20-Jul	13.00	5.0
REINHART & MAHONEY	031	JPM	S	850	38.13	n/a	20-Jul	42.50	5.0
THE BOSTON COMPANY	039	KCP	B	27,000	7.00	n/a	28-Sep	1,080.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LEN</b>	<b>S</b>	<b>67,000</b>	<b>11.85</b>	<b>n/a</b>	<b>n/a</b>	<b>2,680.00</b>	<b>4.0</b>
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.68	n/a	4-Jan	500.00	5.0
TROUBH PART	067	MGM	S	50,000	7.70	n/a	8-Jul	2,500.00	5.0
STRONG/MARK GRONET	030	MMR	B	49,550	6.28	n/a	n/a	1,486.50	3.0
CIRCLE T/SES PART	035	MP	B	25,000	5.44	n/a	14-Jul	1,000.00	4.0
NEUBERGER BERMAN	036	MRK	B	25,000	30.66	n/a	n/a	1,125.00	4.5
KACELA CAPITAL	034	M	S	35,000	13.23	n/a	10-Jul	1,400.00	4.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>NVDA</b>	<b>S</b>	<b>200,000</b>	<b>12.82</b>	<b>n/a</b>	<b>n/a</b>	<b>8,000.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	NWL	B	25,000	12.32	n/a	n/a	1,250.00	5.0
REINHART & MAHONEY	031	PEP	S	60	56.15	n/a	n/a	1.80	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PNK</b>	<b>B</b>	<b>30,000</b>	<b>11.05</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ROST	SS	10,000	43.87	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>30,000</b>	<b>13.73</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	SLM	S	93,308	9.08	23-Apr	22-Jul	2,799.24	3.0
RK CAPTIAL MGMT	045	SMBL	SS	44,400	6.28	n/a	n/a	1,776.00	4.0
SUN AMERICA ASSET MGMT	030	SYMC	B	10,000	16.99	n/a	3-Apr	400.00	4.0
BALYASNY ASSET MGMT	044	TIF	SS	25,000	28.86	n/a	30-Jan	1,250.00	5.0
MERRILL ASSET/BLACKROCK	214	URBN	B	27,972	21.73	n/a	30-Jan	1,258.74	4.5
SUFFOLK CAPITAL MGMT	040	VZ	B	116,500	30.76	n/a	4-Jan	4,660.00	4.0
BALYASNY ASSET MGMT	044	WDR	C	32,700	26.63	5-Jun	21-Jul	1,635.00	5.0
HIGHBRIDGE CAPITAL	038	WLP	B	14,000	52.39	n/a	n/a	560.00	4.0
JMP ASSET MGMT	210	ZAGG	S	3,000	6.30	n/a	n/a	120.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>88,196.48</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/21	SCOPUS FUND (SCOPBANC O)	041	PKG	S	9,360	20.09	21-Jul	21-Jul	468.00 5.0
AO,CRT	07/21	SCOPUS FUND (SCOPBANC O)	041	PKG	S	8,580	20.09	21-Jul	21-Jul	429.00 5.0
AO,CXL	07/21	SCOPUS FUND (SCOPUBS)	041	PKG	S	29,640	20.09	21-Jul	21-Jul	1482.00 5.0
AO,CRT	07/21	SCOPUS FUND (SCOPUBS)	041	PKG	S	30,420	20.09	21-Jul	21-Jul	1521.00 5.0
AO,CXL	07/24	JMP ASSET MGMT (JMPAGS)	210	ZAGG	S	6,000	7.31	n/a	n/a	300.00 5.0
AO,CRT	07/24	JMP ASSET MGMT (JMPAGS)	210	ZAGG	S	6,000	7.31	n/a	n/a	240.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-60.00</b>
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TOTAL (Trade Date) :	88,196.48
TOTAL (AO, CXL, CRT) :	-60.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>88,136.48</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