



Daily Compliance Activity Report

Trade Date: 08/20/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	66,700	14.15	25-Jun	7-Aug	2,668.00	4.0
SIGMA CAPITAL ASSOCIATES	041	AEO	SS	100,000	14.11	25-Jun	7-Aug	4,000.00	4.0
RBC CAPITAL MARKETS	040	AES	SS	25,000	13.93	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	26,700	35.27	n/a	7-Aug	1,068.00	4.0
RBC CAPITAL MARKETS	040	ARO	B	10,000	35.25	n/a	7-Aug	400.00	4.0
COUGAR TRADING	044	AXL	B	20,000	6.61	19-Aug	19-Aug	800.00	4.0
HUNTER GLOBAL INVESTOR	067	BA	B	90,700	44.15	n/a	20-Aug	4,535.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	50,000	36.61	n/a	27-Jul	2,000.00	4.0
RBC CAPITAL MARKETS	040	BJ	B	10,000	31.74	n/a	27-Jul	400.00	4.0
GREEN ARROW DOUG	040	CCE	SS	15,000	19.91	n/a	n/a	750.00	5.0
RBC CAPITAL MARKETS	040	CHK	B	50,000	23.46	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	CPN	B	125,000	12.10	n/a	n/a	5,000.00	4.0
NOMURA CAPITAL	045	C	S	300,000	4.48	n/a	17-Aug	6,000.00	2.0
OZ MGMT	040	C	SS	1,000,000	4.23	n/a	17-Aug	30,000.00	3.0
LISTED ERR	099	C	B	1,000,000	4.23	n/a	17-Aug	0.00	0.0
LISTED ERR	099	C	S	1,000,000	4.23	n/a	17-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	SS	30,000	22.71	17-Aug	17-Aug	1,200.00	4.0

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SENVEST PART	045	DSW	B	3,100	12.88	28-Jul	3-Aug	93.00	3.0
RBC CAPITAL MARKETS	040	EIX	B	25,000	32.35	n/a	29-Jun	1,000.00	4.0
DECADE CAPITAL PARTNERS	040	ELY	S	50,000	6.46	n/a	n/a	1,500.00	3.0
DECADE CAPITAL PARTNERS	040	ENR	S	9,000	66.93	29-Jul	29-Jul	360.00	4.0
RBC CAPITAL MARKETS	040	EOG	S	20,000	73.92	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	EQR	B	10,000	27.08	n/a	n/a	500.00	5.0
TOKIO MARINE ASSET MGMT	045	ESRX	S	5,500	68.63	n/a	n/a	220.00	4.0
RBC CAPITAL MARKETS	040	EXC	B	50,000	49.43	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	FL	SS	50,000	11.27	27-Apr	17-Aug	2,000.00	4.0
RBC CAPITAL MARKETS	040	FPL	S	45,000	57.15	n/a	n/a	1,800.00	4.0
BMO NESBITT BURNS	041	F	B	50,000	7.67	3-Aug	10-Aug	2,500.00	5.0
ROSEDALE CAPITAL	046	GLW	B	10,000	15.82	27-Jul	27-Jul	500.00	5.0
STELLIAM INV ADV	034	GME	B	20,000	23.10	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	040	GPS	B	25,000	18.90	n/a	30-Jan	1,000.00	4.0
STERLING JOHNSTON	035	GYMB	S	15,000	44.11	6-Aug	20-Aug	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	HGG	S	15,000	17.53	n/a	n/a	750.00	5.0
GREEN ARROW DOUG	040	HOT	SS	10,000	29.45	n/a	n/a	500.00	5.0
CASTLE ARK	031	ICE	B	129,765	93.54	n/a	n/a	7,785.90	6.0
STADIA CAPITAL	035	INTC	S	31,500	18.60	n/a	n/a	1,260.00	4.0
HUNTER GLOBAL INVESTOR	067	IYR	B	114,500	38.74	n/a	n/a	3,435.00	3.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.18	n/a	4-Jan	600.00	6.0
PIONEER MICHAEL NOLAN	067	LXK	S	1,300	17.20	n/a	n/a	39.00	3.0
STELLIAM INV ADV	034	MAR	SS	4,148	23.80	n/a	n/a	207.40	5.0
RBC CAPITAL MARKETS	040	MGM	B	80,000	8.63	n/a	4-Aug	3,200.00	4.0
RBC CAPITAL MARKETS	040	NDN	B	15,000	13.00	n/a	6-Aug	600.00	4.0
BUCK CAPITAL MGMT	001	NP	S	210	11.32	11-Aug	11-Aug	8.40	4.0
TOKIO MARINE ASSET MGMT	045	NTRS	S	19,600	60.77	22-Apr	23-Jul	784.00	4.0
RBC CAPITAL MARKETS	040	ORB	B	20,000	13.88	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	OXY	B	20,000	72.36	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	O	B	20,000	24.05	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAMIUS CAP	040	PFCB	B	30,500	30.20	22-Jul	22-Jul	1,220.00	4.0
GCORE MANAGEMENT	252	PFE	B	10,000	16.28	n/a	31-Mar	400.00	4.0
ENDEAVOUR CAPITAL	035	PFG	B	165,000	25.78	n/a	n/a	8,250.00	5.0
TOKIO MARINE ASSET MGMT	045	PG	S	6,900	52.87	3-Aug	19-Aug	276.00	4.0
MORTAR ROCK	033	PLCE	SS	5,000	30.73	n/a	20-Aug	200.00	4.0
POINT BLANK CAPITAL	028	PLCE	B	5,000	30.11	n/a	20-Aug	250.00	5.0
POINT BLANK CAPITAL	028	PLCE	SS	5,000	30.82	n/a	20-Aug	250.00	5.0
SCHOTTENFELD ASSOC	041	PLCE	B	20,000	30.06	n/a	20-Aug	600.00	3.0
THIRD COAST CAPITAL	035	PLCE	SS	10,000	30.40	n/a	20-Aug	500.00	5.0
ACK ASSET	028	PRGO	B	23,000	28.50	18-Aug	18-Aug	920.00	4.0
HUNTER GLOBAL INVESTOR	067	PSA	B	10,000	68.29	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	40,000	14.32	n/a	n/a	1,600.00	4.0
STADIA CAPITAL	035	QCOM	B	46,600	47.10	n/a	n/a	1,864.00	4.0
GREEN ARROW DOUG	040	RCL	SS	10,000	18.99	31-Jul	31-Jul	500.00	5.0
GREEN ARROW DOUG	040	RCL	S	20,000	18.83	31-Jul	31-Jul	1,000.00	5.0
RBC CAPITAL MARKETS	040	RRC	SS	20,000	49.76	n/a	3-Aug	800.00	4.0
GREEN ARROW DOUG	040	SHLD	SS	5,000	65.24	n/a	n/a	250.00	5.0
TROUBH PART	067	SLM	B	75,000	8.47	12-Aug	12-Aug	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	SO	S	20,000	31.33	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	SPR	B	41,320	13.49	n/a	n/a	1,652.80	4.0
TOKIO MARINE ASSET MGMT	045	TGT	S	8,100	45.20	19-Aug	19-Aug	324.00	4.0
BMO NESBITT BURNS	041	TIN	SS	70,200	16.27	14-Aug	14-Aug	3,510.00	5.0
POINT BLANK CAPITAL	028	TWI	S	10,000	9.41	n/a	n/a	500.00	5.0
OZ MGMT	040	UBS	S	262,600	16.19	n/a	n/a	7,878.00	3.0
PIONEER MICHAEL NOLAN	067	UEPS	S	12,170	17.46	n/a	n/a	365.10	3.0
ROTHSCHILD ASSET	040	WDC	S	20,880	32.70	n/a	n/a	939.60	4.5
M&I FUNDS	047	WDR	B	17,923	27.02	29-Jul	19-Aug	716.92	4.0
GREEN ARROW DOUG	040	WHR	S	15,000	59.76	n/a	n/a	750.00	5.0
GREEN ARROW DOUG	040	WMS	SS	10,000	41.37	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	WMT	B	10,000	51.52	11-May	13-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	38.61	28-Jul	12-Aug	800.00	4.0
TOKIO MARINE ASSET MGMT	045	WR	S	27,200	20.06	n/a	n/a	1,088.00	4.0
RBC CAPITAL MARKETS	040	XOM	B	30,000	68.29	n/a	n/a	1,200.00	4.0

TOTAL (Trade Date):

144,018.12

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BJ	B	20,000	31.74	n/a	27-Jul	0.00	0.0
AO,CRT	08/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BJ	B	20,000	31.74	n/a	27-Jul	800.00	4.0
AO,	08/19	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	B	15,000	29.85	3-Aug	5-Aug	750.00	5.0
AO,	08/19	OZ MGMT (OZFFCSFB)	040	C	C	18,929	4.16	n/a	17-Aug	189.29	1.0
AO,	08/19	OZ MGMT (OZFFMS)	040	C	C	399,791	4.16	n/a	17-Aug	3997.91	1.0
AO,	08/19	OZ MGMT (OZFFMS)	040	C	C	13,156	4.16	n/a	17-Aug	131.56	1.0
AO,	08/19	OZ MGMT (OZFFGS)	040	C	C	58,739	4.16	n/a	17-Aug	587.39	1.0
AO,	08/19	OZ MGMT (OZFFGS)	040	C	C	9,385	4.16	n/a	17-Aug	93.85	1.0
AO,CRT	08/19	METROPOLITAN CAPITAL (METRHARTZ)	044	DRE	B	1,800	10.46	n/a	n/a	90.00	5.0
AO,CXL	08/19	METROPOLITAN CAPITAL (METRSPEAR)	044	DRE	B	1,800	10.46	n/a	n/a	90.00	5.0
CRT	08/20	SENVEST PART (SENVGS)	045	DSW	B	3,100	12.88	28-Jul	3-Aug	93.00	3.0
AO,CXL	08/19	SCOPUS FUND (SCOPBANC O)	041	TEN	SS	2,016	16.48	n/a	n/a	100.80	5.0
AO,CXL	08/19	SCOPUS FUND (SCOPBANC O)	041	TEN	SS	7,584	16.48	n/a	n/a	379.20	5.0
AO,CXL	08/19	SCOPUS FUND (SCOPBANC O)	041	TEN	SS	1,470	16.43	n/a	n/a	73.50	5.0
AO,CRT	08/19	SCOPUS FUND (SCOPBANC O)	041	TEN	SS	3,486	16.46	n/a	n/a	174.30	5.0
AO,CXL	08/19	SCOPUS FUND (SCOPUBS)	041	TEN	SS	5,530	16.43	n/a	n/a	276.50	5.0
AO,CRT	08/19	SCOPUS FUND (SCOPUBS)	041	TEN	SS	13,114	16.46	n/a	n/a	655.70	5.0
TOTAL (AO, CXL, CRT) :										6,643.00	

TOTAL (Trade Date) :

144,018.12

TOTAL (AO, CXL, CRT):

6,643.00

TOTAL (RUN DATE) / NFS:

150,661.12

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