



# Daily Compliance Activity Report

Trade Date: 11/06/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ANF	S	120,000	34.83	n/a	6-Nov	4,800.00	4.0
APEX CAPITAL MGMT.	091	ARO	B	45,000	33.38	n/a	6-Nov	1,800.00	4.0
EXIS CAPITAL	044	ARO	B	25,000	33.60	n/a	6-Nov	1,250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	AXL	B	100,000	6.69	n/a	2-Nov	5,000.00	5.0
NEWCASTLE FUNDS	255	AXL	S	25,000	6.82	n/a	2-Nov	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	BAC	S	100,000	14.92	n/a	26-Oct	5,000.00	5.0
JP MORGAN VENTURES	046	BAC	S	200,000	14.94	n/a	26-Oct	6,000.00	3.0
RBC CAPITAL MARKETS	040	BWA	B	20,000	31.58	n/a	6-Nov	800.00	4.0
RWC PARTNERS LTD	067	BWA	B	15,100	31.85	n/a	6-Nov	453.00	3.0
HOLLIS CAPITAL	033	CBS	B	10,000	12.54	n/a	n/a	500.00	5.0
CUMBERLAND	239	CHK	B	5,000	24.93	n/a	n/a	200.00	4.0
CADIAN CAPITAL	067	CHS	SS	50,000	12.20	n/a	n/a	2,000.00	4.0
ROSEDALE CAPITAL	046	COG	B	10,000	40.02	n/a	2-Nov	500.00	5.0
BASIX	033	FL	S	23,000	10.49	n/a	n/a	690.00	3.0
RBC CAPITAL MARKETS	040	FOR	B	10,000	16.59	n/a	5-Nov	400.00	4.0
ROSEDALE CAPITAL	046	F	B	20,000	7.37	n/a	4-Nov	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GPS	S	25,000	22.85	n/a	n/a	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	25,000	23.00	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	HBI	S	20,000	24.76	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	HD	SS	10,000	25.93	n/a	n/a	400.00	4.0
RWC PARTNERS LTD	067	HUBG	B	90,300	26.64	n/a	n/a	2,709.00	3.0
EXIS CAPITAL	044	INTC	B	25,000	19.03	n/a	n/a	1,250.00	5.0
SENATOR INVESTMENT GROUP	036	IYR	SS	20,000	40.66	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	JNS	S	145,400	13.10	n/a	3-Nov	6,543.00	4.5
DIAMONDBACK CAP MGMT	232	JPM	B	25,000	43.12	n/a	15-Oct	1,250.00	5.0
THE BOSTON COMPANY	039	KCP	S	11,900	9.90	n/a	n/a	476.00	4.0
DIAMONDBACK CAP MGMT	232	KEY	S	150,000	5.75	n/a	n/a	7,500.00	5.0
PRINCIPLE CAPITAL	040	LAMR	SS	50,000	29.08	n/a	n/a	1,500.00	3.0
SUN AMERICA ASSET MGMT	030	LMT	B	61,300	72.80	n/a	22-Oct	2,452.00	4.0
BUCK CAPITAL MGMT	001	LOW	SS	10,000	20.54	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	MCD	B	71,600	61.38	n/a	5-Nov	2,864.00	4.0
ROSEDALE CAPITAL	046	MRK	B	10,000	32.48	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>COHE &amp; STEERS</b>	<b>091</b>	<b>PCL</b>	<b>S</b>	<b>174,594</b>	<b>32.72</b>	<b>n/a</b>	<b>30-Oct</b>	<b>6,983.76</b>	<b>4.0</b>
DARUMA ASSET MGMT INC	034	PFS	B	63,200	10.53	n/a	n/a	3,160.00	5.0
ROTHSCHILD ASSET	040	PFS	S	24,725	10.50	n/a	n/a	1,112.66	4.5
THE BOSTON COMPANY	039	PLCE	B	110,350	35.23	n/a	6-Nov	4,414.00	4.0
PZENA INV ADV	044	POR	B	19,475	19.01	n/a	n/a	681.64	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>B</b>	<b>50,000</b>	<b>19.83</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
WHALE ROCK CAP	030	QID	S	560,172	22.40	n/a	n/a	22,406.88	4.0
PIONEER MICHAEL NOLAN	067	SAPE	B	14,939	7.51	n/a	n/a	448.17	3.0
RBC CAPITAL MARKETS	040	SBUX	S	5,000	20.47	n/a	6-Nov	200.00	4.0
FARALLON CAP MGMT	040	SCHW	B	190,000	17.05	n/a	n/a	5,700.00	3.0
WHALE ROCK CAP	030	SDS	S	162,986	38.88	n/a	n/a	6,519.44	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>22.51</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	SUP	B	23,171	13.93	n/a	n/a	1,158.55	5.0
ENTRUST CAPITAL	040	SUP	B	18,754	13.88	n/a	n/a	937.70	5.0
TRELLUS PARTNERS LP	028	SUP	B	6,670	13.52	n/a	n/a	333.50	5.0
WAGONHOUND/NIC	048	TGT	B	10,301	49.54	n/a	5-Nov	412.04	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>S</b>	<b>10,000</b>	<b>38.27</b>	<b>n/a</b>	<b>6-Nov</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	TJX	B	40,000	38.24	n/a	6-Nov	2,000.00	5.0
MATRIX ASSET ADV.	036	VLO	B	5,000	17.33	n/a	n/a	150.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>122,455.34</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/05	JP MORGAN VENTURES (JPMVJPM)	046	PVH	S	10,000	41.40	n/a	2-Nov	0.00 0.0
AO,CRT	11/05	JP MORGAN VENTURES (JPMVJPM)	046	PVH	S	10,000	41.40	n/a	2-Nov	400.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>400.00</b>
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TOTAL (Trade Date) :	122,455.34
TOTAL (AO, CXL, CRT) :	400.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>122,855.34</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