



Daily Compliance Activity Report

Trade Date: 08/27/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	099	AHL	S	15	24.91	n/a	n/a	0.00	0.0
TYEE/TYGH	035	AMG	B	17,800	65.10	3-Aug	26-Aug	712.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	60,000	39.70	n/a	27-Aug	2,400.00	4.0
COOPER CREEK PART	028	AXL	B	10,000	6.29	19-Aug	19-Aug	300.00	3.0
MILLRACE FUND LP	028	AXL	S	11,100	6.36	19-Aug	19-Aug	333.00	3.0
FORD FDN.	032	BA	B	20,200	51.41	n/a	26-Aug	1,010.00	5.0
ACK ASSET	028	BWA	B	10,000	29.37	3-Aug	24-Aug	300.00	3.0
BALYASNY ASSET MGMT	044	BWA	S	9,735	30.21	3-Aug	24-Aug	486.75	5.0
MILLENNIUM-ANDEW	031	CAT	SS	20,000	46.13	n/a	5-Aug	1,200.00	6.0
DIAMONDBACK CAP MGMT	232	CWTR	SS	25,000	7.65	n/a	n/a	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ERTS	B	3,900	19.09	n/a	n/a	156.00	4.0
HOLLIS CAPITAL	033	ERTS	B	10,000	18.87	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	FL	B	150,000	10.67	27-Aug	27-Aug	6,000.00	4.0
TRUSTCO/SUNTRUST	040	FL	B	31,975	10.52	27-Aug	27-Aug	1,247.02	3.9
BALYASNY ASSET MGMT	044	F	B	50,000	7.69	27-Aug	27-Aug	2,000.00	4.0
CENTURION PARTNERS	041	F	B	100,000	7.70	27-Aug	27-Aug	4,000.00	4.0
COLONIAL FUND LLC	036	F	B	50,000	7.51	27-Aug	27-Aug	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	F	B	100,000	7.54	27-Aug	27-Aug	3,000.00	3.0
PHILADELPHIA FINANCIAL	033	F	B	134,930	7.66	27-Aug	27-Aug	5,397.20	4.0
WEINTRAUB CAPITAL MGT.	040	F	B	450,000	7.62	27-Aug	27-Aug	13,500.00	3.0
BUCK CAPITAL MGMT	001	GCO	S	40,000	23.07	n/a	10-Jan	1,600.00	4.0
BUCK CAPITAL MGMT	001	GES	S	40,000	35.04	n/a	n/a	1,600.00	4.0
HOLLIS CAPITAL	033	HK	SS	4,000	21.28	n/a	n/a	200.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	72,000	21.77	14-Aug	14-Aug	3,600.00	5.0
KLEINHEINZ CAP PART	031	JOSB	B	30,000	43.69	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	KMX	B	50,000	17.12	n/a	10-Jan	2,000.00	4.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.21	n/a	4-Jan	600.00	6.0
BRANDWINE	028	MS	B	173,380	29.57	11-May	23-Jul	6,935.20	4.0
BUCK CAPITAL MGMT	001	MW	B	100,000	25.62	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	NKE	B	100,000	57.00	n/a	n/a	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	PBRA	B	15,000	34.74	n/a	n/a	600.00	4.0
LEVIN CAPITAL STRATEGIES	012	PBR	SS	10,000	41.42	n/a	n/a	400.00	4.0
DIAMONDBACK CAP MGMT	232	PEP	S	15,000	57.56	n/a	n/a	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	141,000	19.91	21-Jul	21-Jul	7,050.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	PKG	B	14,880	19.72	21-Jul	21-Jul	744.00	5.0
BUCK CAPITAL MGMT	001	RL	S	25,000	67.88	6-Aug	6-Aug	1,000.00	4.0
FORD FDN.	032	SCHW	S	7,500	17.75	n/a	n/a	375.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	16.30	n/a	13-Mar	1,200.00	4.0
VISIUM/BALY HOWARD	038	TIF	B	25,000	33.64	n/a	30-Jan	1,250.00	5.0
MAIRS AND POWER INV	030	VAL	S	20,000	27.05	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	39.32	28-Jul	12-Aug	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	XOM	C	45,000	70.65	n/a	n/a	1,800.00	4.0
APEX CAPITAL MGMT.	091	YHOO	S	200,000	14.93	n/a	n/a	8,000.00	4.0
TOTAL (Trade Date):								96,296.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/26	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	AEO	B	59,100	14.71	25-Jun	27-Aug	2955.00 5.0
AO,CRT	08/26	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	AEO	B	59,100	14.71	25-Jun	27-Aug	2364.00 4.0
AO,CRT	08/26	CHARTER OAK (CHARFUND3)	033	CEPH	B	2,200	56.76	21-May	25-Aug	110.00 5.0
AO,CXL	08/26	CHARTER OAK (CHARUBS)	033	CEPH	B	2,200	56.76	21-May	25-Aug	110.00 5.0
AO,CXL	08/26	CASEY CAPITAL (CASENFS)	067	DRI	B	25,000	33.81	13-Aug	13-Aug	1250.00 5.0
AO,CRT	08/26	KACELA CAPITAL (KACEGS)	034	DRI	B	25,000	33.81	13-Aug	13-Aug	1250.00 5.0
AO,CXL	08/26	WILLOW CREEK (WILLMAIN4C)	033	GS	SS	1,500	165.53	14-Jul	14-Jul	75.00 5.0
AO,CRT	08/26	WILLOW CREEK (WILLMAIN4C)	033	GS	SS	1,500	165.53	14-Jul	14-Jul	60.00 4.0
AO,CXL	08/26	WILLOW CREEK (WILLMAIN4C)	033	HZO	SS	7,500	7.65	n/a	n/a	375.00 5.0
AO,CRT	08/26	WILLOW CREEK (WILLMAIN4C)	033	HZO	SS	7,500	7.65	n/a	n/a	300.00 4.0
AO,CXL	08/24	SENATOR INVESTMENT GROUP (SENAJPMORG)	036	LPX	B	55,800	6.79	n/a	5-Aug	1674.00 3.0
AO,CRT	08/24	SENATOR INVESTMENT GROUP (SENAGS)	036	LPX	B	55,800	6.79	n/a	5-Aug	1674.00 3.0
AO,CXL	08/26	WILLOW CREEK (WILLMAIN4C)	033	NKE	SS	2,000	55.43	n/a	n/a	100.00 5.0
AO,CRT	08/26	WILLOW CREEK (WILLMAIN4C)	033	NKE	SS	2,000	55.43	n/a	n/a	80.00 4.0
AO,CXL	08/26	SENATOR INVESTMENT GROUP (SENAJPMORG)	036	SLT	B	25,000	13.87	n/a	n/a	750.00 3.0
AO,CRT	08/26	SENATOR INVESTMENT GROUP (SENAJPMORG)	036	SLT	B	13,750	13.87	n/a	n/a	412.50 3.0
AO,CRT	08/26	SENATOR INVESTMENT GROUP (SENAJPMORG)	036	SLT	B	11,250	13.87	n/a	n/a	337.50 3.0
AO,	08/26	VISIUM/BALY HOWARD (VISHMS)	038	THI	C	10,000	28.98	n/a	24-Apr	500.00 5.0
TOTAL (AO, CXL, CRT) :										-201.00

TOTAL (Trade Date):	96,296.17
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TOTAL (RUN DATE) / NFS:	96,095.17
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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