



Daily Compliance Activity Report

Trade Date: 08/03/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	ADI	S	1,000	27.43	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	30,000	14.30	25-Jun	3-Aug	1,200.00	4.0
CIRCLE T/SES PART	035	AN	S	55,000	20.75	3-Aug	3-Aug	2,200.00	4.0
SCHOTTENFELD ASSOC	041	AN	S	15,000	20.67	3-Aug	3-Aug	450.00	3.0
SCOPUS FUND	041	AN	S	100,000	20.67	3-Aug	3-Aug	5,000.00	5.0
LUCID PARTNERS	067	AOS	S	10,000	40.06	17-Jul	17-Jul	400.00	4.0
EATON VANCE MGMT	039	APA	B	57,964	86.80	31-Jul	3-Aug	1,738.92	3.0
BUCK CAPITAL MGMT	001	AVP	B	70,000	32.38	3-Aug	3-Aug	2,800.00	4.0
DIAMONDBACK CAP MGMT	232	AXL	S	75,000	2.66	n/a	30-Jul	2,250.00	3.0
HUNTER GLOBAL INVESTOR	067	AXP	B	150,000	28.64	n/a	29-Jul	7,500.00	5.0
HUNTER GLOBAL INVESTOR	067	BEN	SS	55,300	90.74	30-Jul	3-Aug	2,765.00	5.0
MATRIX ASSET ADV.	036	BK	B	11,500	27.49	11-May	23-Jul	460.00	4.0
ROARING BLUE LION MGMT	012	BK	B	24,300	27.95	11-May	23-Jul	972.00	4.0
NEW JERSEY DIV OF INV.	030	BRY	S	30,000	24.96	n/a	n/a	1,200.00	4.0
NEWCASTLE FUNDS	255	BWA	B	20,000	33.85	3-Aug	3-Aug	800.00	4.0
SCHOTTENFELD ASSOC	041	BWA	S	5,000	34.46	3-Aug	3-Aug	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NICOLAS APPEGATE	048	BZ	B	100,000	2.50	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	CAT	B	20,000	45.33	n/a	22-Jul	800.00	4.0
NICOLAS APPEGATE	048	CCE	B	29,000	19.00	n/a	n/a	1,160.00	4.0
CASTLEROCK	040	CCI	S	77,988	28.80	n/a	n/a	3,119.52	4.0
BUCK CAPITAL MGMT	001	CLX	B	40,725	58.87	15-Jun	15-Jun	1,629.00	4.0
MATRIX ASSET ADV.	036	CMCSK	S	800	14.11	n/a	n/a	32.00	4.0
ROARING BLUE LION MGMT	012	CMO	S	14,200	13.43	n/a	n/a	568.00	4.0
BUCK CAPITAL MGMT	001	COH	S	70,000	29.44	n/a	29-Jul	2,800.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	50,000	27.39	n/a	n/a	2,000.00	4.0
MATRIX ASSET ADV.	036	CSCO	S	500	22.36	n/a	22-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	SS	50,000	11.03	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	DSW	SS	30,000	12.54	28-Jul	3-Aug	1,200.00	4.0
SCOPUS FUND	041	EMR	B	15,000	36.34	n/a	n/a	750.00	5.0
NEW JERSEY DIV OF INV.	030	EPR	S	20,000	27.47	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	ESRX	B	10,000	69.41	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.46	n/a	n/a	600.00	6.0
PENNANT CAP MGMT	029	EXC	S	150,000	51.41	n/a	n/a	4,500.00	3.0
BALYASNY ASSET MGMT	044	F	C	50,000	8.51	3-Aug	3-Aug	2,000.00	4.0
CIRCLE T/SES PART	035	F	S	68,000	8.76	3-Aug	3-Aug	2,720.00	4.0
COOPER CREEK PART	028	F	SS	20,000	8.45	3-Aug	3-Aug	600.00	3.0
DIAMONDBACK CAP MGMT	232	F	S	250,000	8.53	3-Aug	3-Aug	0.00	0.0
TRELLUS PARTNERS LP	028	F	B	100,000	8.57	3-Aug	3-Aug	3,000.00	3.0
BUCK CAPITAL MGMT	001	GIL	B	20,000	16.78	25-Jun	25-Jun	800.00	4.0
BUCK CAPITAL MGMT	001	GME	B	30,000	22.81	n/a	n/a	1,200.00	4.0
STRONG/MARK GRONET	030	GPRO	B	100,000	37.64	n/a	n/a	4,000.00	4.0
NEWCASTLE FUNDS	255	GT	B	50,000	17.76	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	HLF	B	30,000	35.03	n/a	n/a	1,200.00	4.0
SCOPIA CAPITAL	048	HURN	B	123,844	14.43	n/a	n/a	4,953.76	4.0
NEUBERGER BERMAN	036	IART	S	15,400	32.00	n/a	22-Apr	693.00	4.5
BUCK CAPITAL MGMT	001	IGT	B	100,000	20.67	n/a	27-Jul	4,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	250,000	19.22	30-Jul	30-Jul	12,500.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	20,000	31.36	13-Apr	3-Aug	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	JPM	S	1,500	39.41	n/a	20-Jul	315.00	21.0
SIGMA CAPITAL ASSOCIATES	041	JWN	S	50,000	27.25	n/a	3-Aug	2,000.00	4.0
KACELA CAPITAL	034	KFT	SS	28,000	28.28	n/a	n/a	1,120.00	4.0
GREENLIGHT CAPITAL	041	KO	B	350,000	49.50	n/a	n/a	17,500.00	5.0
GREEN ARROW CAPITAL	034	LVS	S	50,000	9.75	n/a	31-Jul	2,500.00	5.0
TRELLUS PARTNERS LP	028	LVS	B	50,000	9.88	n/a	31-Jul	1,500.00	3.0
GREEN ARROW CAPITAL	034	MAR	SS	25,000	22.05	n/a	n/a	1,250.00	5.0
GREEN ARROW CAPITAL	034	MGM	B	35,000	7.20	n/a	8-Jul	1,750.00	5.0
BUCK CAPITAL MGMT	001	MHK	B	20,000	51.01	n/a	n/a	800.00	4.0
CIRCLE T/SES PART	035	MPEL	S	25,000	5.85	n/a	14-Jul	1,000.00	4.0
BUCK CAPITAL MGMT	001	NKE	SS	10,000	56.69	n/a	n/a	400.00	4.0
PENNANT CAP MGMT	029	NSR	SS	20,000	22.80	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	NTY	B	10,000	37.04	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	047	OII	S	7,400	53.23	n/a	n/a	370.00	5.0
CATAPULT	040	PBRA	B	142,000	35.34	n/a	n/a	7,100.00	5.0
NICOLAS APPLGATE	048	PEP	S	9,000	56.13	n/a	n/a	360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARAGON GLOBAL	041	PH	B	7,042	46.72	n/a	31-Jul	352.10	5.0
EPOCH INV MGMT	030	RE	S	20,100	81.47	n/a	n/a	603.00	3.0
BUCK CAPITAL MGMT	001	RL	B	20,000	63.97	28-Jul	28-Jul	800.00	4.0
ACK ASSET	028	R	B	10,000	36.32	n/a	n/a	300.00	3.0
HIGHFIELDS CAP MGMT	039	SLM	B	110,000	8.61	23-Apr	29-Jul	4,400.00	4.0
NEW JERSEY DIV OF INV.	030	SXT	S	20,000	25.25	n/a	n/a	800.00	4.0
ARAGON GLOBAL	041	TEX	B	20,524	16.02	n/a	24-Jul	1,026.20	5.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	42.85	10-Jul	22-Jul	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	UTX	S	35,000	55.01	n/a	n/a	1,750.00	5.0
TYEE/TYGH	035	WDR	B	50,446	28.00	29-Jul	3-Aug	2,017.84	4.0
NEW JERSEY DIV OF INV.	030	WWE	S	30,000	13.27	n/a	n/a	1,200.00	4.0
EATON VANCE MGMT	039	XOM	B	69,220	71.28	n/a	n/a	2,076.60	3.0
TOTAL (Trade Date):							151,041.94		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/31	ADAGE CAPITAL MGMT (ADAGMS)	030	AOS	SS	40,000	39.43	17-Jul	17-Jul	1600.00 4.0
AO,CXL	07/31	ADAGE CAPITAL MGMT (ADAGESHORT)	030	AOS	SS	40,000	39.43	17-Jul	17-Jul	1600.00 4.0
AO,CXL	07/31	ROYCE TRADING (ROYC150)	216	AOS	B	30,000	39.40	17-Jul	17-Jul	1500.00 5.0
AO,	07/31	ROYCE TRADING (ROYC150)	216	AOS	B	30,000	39.40	17-Jul	17-Jul	1500.00 5.0
AO,CXL	07/31	COOPER CREEK PART (COOPGS)	028	BDN	S	10,000	8.26	n/a	n/a	400.00 4.0
AO,CRT	07/31	COOPER CREEK PART (COOPGS)	028	BDN	S	10,000	8.26	n/a	n/a	300.00 3.0
AO,CXL	07/31	SCOPUS FUND (SCOPBANC O)	041	BWA	B	5,750	32.40	3-Aug	3-Aug	287.50 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPBANC O)	041	BWA	B	5,500	32.40	3-Aug	3-Aug	275.00 5.0
AO,CXL	07/31	SCOPUS FUND (SCOPUBS)	041	BWA	B	19,250	32.40	3-Aug	3-Aug	962.50 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPUBS)	041	BWA	B	19,500	32.40	3-Aug	3-Aug	975.00 5.0
AO,CXL	07/31	FIRST NEW YORK LEDDY (FNYS)	035	DSW	B	1,500	13.42	28-Jul	3-Aug	90.00 6.0
AO,CXL	07/31	FIRST NEW YORK LEDDY (FNYS)	035	DSW	SS	1,500	13.48	28-Jul	3-Aug	90.00 6.0
AO,CRT	07/31	FIRST NYS/FENLIN (FNYFFENLIN)	035	DSW	B	1,500	13.42	28-Jul	3-Aug	60.00 4.0
AO,CRT	07/31	FIRST NYS/FENLIN (FNYFFENLIN)	035	DSW	SS	1,500	13.48	28-Jul	3-Aug	60.00 4.0
AO,CXL	07/31	SCOPUS FUND (SCOPBANC O)	041	F	B	92,000	7.61	3-Aug	3-Aug	4600.00 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPBANC O)	041	F	B	88,000	7.61	3-Aug	3-Aug	4400.00 5.0
AO,CXL	07/31	SCOPUS FUND (SCOPUBS)	041	F	B	308,000	7.61	3-Aug	3-Aug	15400.00 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPUBS)	041	F	B	312,000	7.61	3-Aug	3-Aug	15600.00 5.0
AO,	07/31	NICOLAS APPELEGATE (APPL1237)	048	GCO	B	491	21.67	n/a	10-Jan	19.64 4.0
AO,	07/31	NICOLAS APPELEGATE (APPL1738)	048	GCO	B	200	21.67	n/a	10-Jan	8.00 4.0
AO,	07/31	NICOLAS APPELEGATE (APPL861)	048	GCO	B	300	21.67	n/a	10-Jan	12.00 4.0
AO,	07/31	NICOLAS APPELEGATE (APPL74)	048	GCO	B	3,809	21.67	n/a	10-Jan	152.36 4.0
AO,	07/31	NICOLAS APPELEGATE (APPL66)	048	GCO	B	1,000	21.67	n/a	10-Jan	40.00 4.0
AO,	07/31	NICOLAS APPELEGATE (APPL953)	048	GCO	B	1,100	21.67	n/a	10-Jan	44.00 4.0
AO,	07/31	NICOLAS APPELEGATE (APPL470)	048	GCO	B	100	21.67	n/a	10-Jan	4.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/31	NICOLAS APPEGATE (APPL19)	048	GCO	B	600	21.67	n/a	10-Jan	24.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL858)	048	GCO	B	400	21.67	n/a	10-Jan	16.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL72)	048	GCO	B	300	21.67	n/a	10-Jan	12.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL73)	048	GCO	B	100	21.67	n/a	10-Jan	4.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL830)	048	GCO	B	500	21.67	n/a	10-Jan	20.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL8)	048	GCO	B	100	21.67	n/a	10-Jan	4.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL861)	048	IVC	B	300	20.60	n/a	n/a	12.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL74)	048	IVC	B	3,666	20.60	n/a	n/a	146.64 4.0
AO,	07/31	NICOLAS APPEGATE (APPL66)	048	IVC	B	1,000	20.60	n/a	n/a	40.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL953)	048	IVC	B	1,100	20.60	n/a	n/a	44.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL470)	048	IVC	B	200	20.60	n/a	n/a	8.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL19)	048	IVC	B	1,234	20.60	n/a	n/a	49.36 4.0
AO,	07/31	NICOLAS APPEGATE (APPL858)	048	IVC	B	900	20.60	n/a	n/a	36.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL72)	048	IVC	B	600	20.60	n/a	n/a	24.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL73)	048	IVC	B	100	20.60	n/a	n/a	4.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL830)	048	IVC	B	400	20.60	n/a	n/a	16.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL8)	048	IVC	B	100	20.60	n/a	n/a	4.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL1237)	048	IVC	B	1,200	20.60	n/a	n/a	48.00 4.0
AO,CXL	07/31	SCOPUS FUND (SCOPBANC O)	041	KMT	SS	2,300	21.36	30-Jul	30-Jul	115.00 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPBANC O)	041	KMT	SS	2,200	21.36	30-Jul	30-Jul	110.00 5.0
AO,CXL	07/31	SCOPUS FUND (SCOPUBS)	041	KMT	SS	7,700	21.36	30-Jul	30-Jul	385.00 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPUBS)	041	KMT	SS	7,800	21.36	30-Jul	30-Jul	390.00 5.0
AO,CXL	07/31	CENTURION PARTNERS (CENTBSPT)	041	MET	S	30,000	33.75	n/a	n/a	1500.00 5.0
AO,CRT	07/31	CENTURION PARTNERS (CENTBSPT)	041	MET	S	30,000	33.75	n/a	n/a	1200.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL1738)	048	OMX	B	400	9.24	n/a	15-Apr	12.00 3.0
AO,	07/31	NICOLAS APPEGATE (APPL861)	048	OMX	B	900	9.24	n/a	15-Apr	27.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/31	NICOLAS APPLGATE (APPL74)	048	OMX	B	13,000	9.24	n/a	15-Apr	390.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL66)	048	OMX	B	3,500	9.24	n/a	15-Apr	105.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL953)	048	OMX	B	3,800	9.24	n/a	15-Apr	114.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL470)	048	OMX	B	300	9.24	n/a	15-Apr	9.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL19)	048	OMX	B	2,200	9.24	n/a	15-Apr	66.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL858)	048	OMX	B	1,600	9.24	n/a	15-Apr	48.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL72)	048	OMX	B	1,100	9.24	n/a	15-Apr	33.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL73)	048	OMX	B	200	9.24	n/a	15-Apr	6.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL830)	048	OMX	B	1,500	9.24	n/a	15-Apr	45.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL8)	048	OMX	B	200	9.24	n/a	15-Apr	6.00 3.0
AO,	07/31	NICOLAS APPLGATE (APPL1237)	048	OMX	B	2,100	9.24	n/a	15-Apr	63.00 3.0
AO,CRT	07/31	MILLENIU PARTNERS (MILPINTREG)	028	WY	S	10,000	35.20	n/a	3-Aug	400.00 4.0
AO,CRT	07/31	MILLENIU PARTNERS (MILPINTREG)	028	WY	S	21,000	35.10	n/a	3-Aug	840.00 4.0
AO,CXL	07/31	MILLENIU PARTNERS (MILPUSE)	028	WY	S	10,000	35.20	n/a	3-Aug	400.00 4.0
AO,CXL	07/31	MILLENIU PARTNERS (MILPUSE)	028	WY	S	21,000	35.10	n/a	3-Aug	840.00 4.0
AO,CRT	07/31	MILLENIU PARTNERS (MILPINTREG)	028	WY	SS	29,000	35.10	n/a	3-Aug	1160.00 4.0
AO,CXL	07/31	MILLENIU PARTNERS (MILPUSE)	028	WY	SS	29,000	35.10	n/a	3-Aug	1160.00 4.0
AO,CXL	07/31	SCOPUS FUND (SCOPBANC O)	041	WY	B	6,900	35.28	n/a	3-Aug	345.00 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPBANC O)	041	WY	B	6,600	35.28	n/a	3-Aug	330.00 5.0
AO,CXL	07/31	SCOPUS FUND (SCOPUBS)	041	WY	B	23,100	35.28	n/a	3-Aug	1155.00 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPUBS)	041	WY	B	23,400	35.28	n/a	3-Aug	1170.00 5.0
AO,CXL	07/31	SCOPUS FUND (SCOPBANC O)	041	WY	SS	4,600	36.27	n/a	3-Aug	230.00 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPBANC O)	041	WY	SS	4,400	36.27	n/a	3-Aug	220.00 5.0
AO,CXL	07/31	SCOPUS FUND (SCOPUBS)	041	WY	SS	15,400	36.27	n/a	3-Aug	770.00 5.0
AO,CRT	07/31	SCOPUS FUND (SCOPUBS)	041	WY	SS	15,600	36.27	n/a	3-Aug	780.00 5.0
AO,	07/31	PENN CAPITAL (PENNRUSSEL)	243	ZQK	B	56,000	2.11	12-Mar	9-Jun	1680.00 3.0
AO,	07/31	PENN CAPITAL (PENNDIVALP)	243	ZQK	B	65,425	2.11	12-Mar	9-Jun	1962.75 3.0
AO,	07/31	PENN CAPITAL (PENNDIVERS)	243	ZQK	B	7,225	2.11	12-Mar	9-Jun	216.75 3.0

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AO,CXL	07/31	PENN CAPITAL (PENNALASKA)	243	ZQK	B	153,000	2.11	12-Mar	9-Jun	4590.00 3.0
AO,	07/31	PENN CAPITAL (PENNCANTER)	243	ZQK	B	24,350	2.11	12-Mar	9-Jun	730.50 3.0

TOTAL (AO, CXL, CRT) :	1,256.00
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TOTAL (Trade Date):	151,041.94
TOTAL (AO, CXL, CRT):	1,256.00

TOTAL (RUN DATE) / NFS:	152,297.94
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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