



## Daily Compliance Activity Report

Trade Date: 08/24/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
GREEN ARROW DOUG	040	AEO	S	50,000	14.49	25-Jun	7-Aug	2,500.00 5.0
MORTAR ROCK	033	AHL	B	5,000	24.37	n/a	n/a	200.00 4.0
DIAMONDBACK CAP MGMT	232	AKS	S	20,000	21.08	n/a	n/a	1,000.00 5.0
ROARING BLUE LION MGMT	012	AMG	B	5,500	62.65	3-Aug	19-Aug	220.00 4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>60,000</b>	<b>39.90</b>	<b>n/a</b>	<b>21-Aug</b>	<b>2,400.00 4.0</b>
DSG CAPITAL	225	AXL	S	20,000	6.02	19-Aug	19-Aug	700.00 3.5
OZ MGMT	040	AXL	B	100,000	5.90	19-Aug	19-Aug	3,000.00 3.0
THIRD COAST CAPITAL	035	AXL	B	25,000	6.00	19-Aug	19-Aug	1,250.00 5.0
LOCUS WOOD CAPITAL MGMT	044	BBT	S	37,500	27.61	n/a	n/a	1,500.00 4.0
SANDLER O'NEILL ASSET	031	BLK	SS	2,500	206.71	24-Aug	24-Aug	125.00 5.0
LOCUS WOOD CAPITAL MGMT	044	BPO	S	10,000	11.30	n/a	n/a	400.00 4.0
SCHOTTENFELD ASSOC	041	BWA	B	35,000	30.44	3-Aug	24-Aug	1,050.00 3.0
SCOPUS FUND	041	BZ	S	25,000	4.91	n/a	n/a	1,250.00 5.0
CAVU CAP ADV	028	CAL	S	25,000	13.54	n/a	n/a	1,250.00 5.0
ARMATURE CAPITAL	041	COL	SS	10,000	44.87	n/a	n/a	400.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JMP ASSET MGMT	210	CRI	S	5,000	25.62	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRM</b>	<b>B</b>	<b>10,000</b>	<b>52.77</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
KSA CAPITAL MGMT	048	DENN	S	100,000	2.61	n/a	n/a	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>SS</b>	<b>20,000</b>	<b>22.33</b>	<b>17-Aug</b>	<b>21-Aug</b>	<b>800.00</b>	<b>4.0</b>
WEINTRAUB CAPITAL MGT.	040	DRI	B	50,000	33.58	13-Aug	13-Aug	2,000.00	4.0
MERRILL ASSET/BLACKROCK	214	EFII	B	9,200	11.28	n/a	n/a	414.00	4.5
CASTLEROCK	040	FL	B	120,515	10.10	27-Apr	21-Aug	4,820.60	4.0
MERRILL ASSET/BLACKROCK	214	FL	B	8,500	9.98	27-Apr	21-Aug	382.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>20,000</b>	<b>19.98</b>	<b>n/a</b>	<b>10-Jan</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>26,000</b>	<b>31.21</b>	<b>n/a</b>	<b>n/a</b>	<b>1,040.00</b>	<b>4.0</b>
ROSEDALE CAPITAL	046	GLW	B	20,000	15.97	27-Jul	27-Jul	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HD</b>	<b>B</b>	<b>40,000</b>	<b>27.42</b>	<b>10-Aug</b>	<b>19-Aug</b>	<b>1,600.00</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	214	HHS	S	29,000	13.75	n/a	n/a	1,305.00	4.5
BMO NESBITT BURNS	041	IP	SS	50,000	21.37	14-Aug	14-Aug	2,500.00	5.0
AVESTA CAP	229	JCP	S	50,000	30.96	13-Apr	14-Aug	2,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	JPM	S	20,000	44.05	7-Aug	17-Aug	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	LPX	B	55,800	6.79	n/a	5-Aug	1,674.00	3.0
RAINIER INV MGMT	035	MS	B	324,250	30.26	11-May	23-Jul	12,970.00	4.0
SIGMA CAPITAL ASSOCIATES	041	MW	S	51,000	24.53	n/a	n/a	2,040.00	4.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>M</b>	<b>SS</b>	<b>3,000</b>	<b>15.59</b>	<b>n/a</b>	<b>13-Aug</b>	<b>180.00</b>	<b>6.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OC</b>	<b>B</b>	<b>20,000</b>	<b>22.84</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>B</b>	<b>10,000</b>	<b>14.23</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>COHE &amp; STEERS</b>	<b>091</b>	<b>PCL</b>	<b>S</b>	<b>300,000</b>	<b>30.92</b>	<b>n/a</b>	<b>28-Jul</b>	<b>12,000.00</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	PKG	B	150,000	19.16	21-Jul	21-Jul	7,500.00	5.0
PIONEER MICHAEL NOLAN	067	RAX	B	52,500	14.98	n/a	n/a	1,575.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>30,000</b>	<b>66.38</b>	<b>6-Aug</b>	<b>6-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
CASTLE ARK	031	SCHW	S	8,100	18.16	n/a	n/a	486.00	6.0
METROPOLITAN CAPITAL	044	SKS	B	5,400	6.14	n/a	n/a	270.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>10,000</b>	<b>15.37</b>	<b>n/a</b>	<b>13-Mar</b>	<b>400.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	SLB	SS	15,000	57.82	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	214	TGI	B	8,800	43.25	n/a	n/a	396.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	UFS	S	25,000	30.89	n/a	n/a	1,250.00	5.0
VISIUM/BALY BOBBY	044	WAG	B	25,000	31.37	n/a	n/a	1,250.00	5.0
FEDERATED INV/KAUFMAN	029	WCRX	B	200,000	20.85	24-Aug	24-Aug	11,000.01	5.5
MERRILL ASSET/BLACKROCK	214	WRC	B	3,900	39.46	28-Jul	12-Aug	175.50	4.5
JETSTREAM GLOBAL FUND LP	065	X	S	30,000	46.00	n/a	n/a	1,500.00	5.0
<b>TOTAL (Trade Date):</b>								<b>98,373.61</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	LEVG (LEVGCCHRISC)	031	BRCD	B	1,000,000	7.62	n/a	n/a	10000.00 1.0
AO,CXL	08/20	SENVEST PART (SENVGS)	045	DSW	B	3,100	12.88	28-Jul	24-Aug	93.00 3.0
AO,CRT	08/20	SENVEST PART (SENVGS)	045	DSW	B	3,100	12.88	28-Jul	24-Aug	155.00 5.0
AO,	08/21	EPOCH INV MGMT (EPOCSNAPPR)	030	FII	B	1,200	26.85	3-Aug	13-Aug	36.00 3.0
AO,	08/21	EPOCH INV MGMT (EPOCCIAMSC)	030	FII	B	51,100	26.85	3-Aug	13-Aug	1533.00 3.0
AO,	08/21	EPOCH INV MGMT (EPOCCIAMSC)	030	FII	B	600	26.85	3-Aug	13-Aug	18.00 3.0
AO,	08/21	EPOCH INV MGMT (EPOCCADBUR)	030	FII	B	650	26.85	3-Aug	13-Aug	19.50 3.0
AO,CXL	08/21	CAVU CAP ADV (CAVUCRDMIL)	028	JCI	S	50,000	25.31	4-Aug	20-Aug	2500.00 5.0
AO,CRT	08/21	CAVU CAP ADV (CAVUCREDIS)	028	JCI	S	50,000	25.31	4-Aug	20-Aug	2500.00 5.0
AO,CXL	08/21	MILLENIUUM PARTNERS (MILPINTREG)	028	K	B	1,578	47.40	n/a	n/a	63.12 4.0
AO,CRT	08/21	MILLENIUUM PARTNERS (MILPUSE)	028	K	B	1,578	47.40	n/a	n/a	63.12 4.0
AO,CXL	08/21	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	LPX	SS	50,000	6.39	n/a	5-Aug	2000.00 4.0
AO,CRT	08/21	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	LPX	SS	50,000	6.39	n/a	5-Aug	1500.00 3.0
AO,CXL	08/21	COBALT (COBAUBS)	041	SLM	B	50,000	8.71	12-Aug	12-Aug	2500.00 5.0
AO,CRT	08/21	COBALT (COBAUBS)	041	SLM	B	50,000	8.71	12-Aug	12-Aug	1500.00 3.0
AO,CXL	08/21	MILLENIUUM PARTNERS (MILPINTREG)	028	SWY	S	15,626	19.18	n/a	n/a	625.04 4.0
AO,	08/21	MILLENIUUM PARTNERS (MILPUSE)	028	SWY	S	15,626	19.18	n/a	n/a	625.04 4.0
AO,CXL	08/21	MILLENIUUM PARTNERS (MILPINTREG)	028	TAP	B	4,838	46.40	n/a	n/a	193.52 4.0
AO,CRT	08/21	MILLENIUUM PARTNERS (MILPUSE)	028	TAP	B	4,838	46.40	n/a	n/a	193.52 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>10,168.50</b>
TOTAL (Trade Date) :									98,373.61
TOTAL (AO, CXL, CRT) :									10,168.50
<b>TOTAL (RUN DATE) / NFS :</b>									<b>108,542.11</b>

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