



## Daily Compliance Activity Report

Trade Date: 01/12/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	AMB	S	33,000	21.09	n/a	n/a	1,320.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AVP</b>	<b>SS</b>	<b>30,000</b>	<b>22.23</b>	<b>3-Nov</b>	<b>9-Dec</b>	<b>1,200.00</b>	<b>4.0</b>
HIGHBRIDGE/MS OLDS	041	BBY	SS	60,000	27.61	n/a	27-Jul	3,000.00	5.0
FIRST NY SEC/CHRIS	041	BWA	SS	20,000	21.96	16-Dec	12-Jan	1,000.00	5.0
HOLDEN CAPITAL MGMT	035	BWA	SS	20,000	22.23	16-Dec	12-Jan	1,000.00	5.0
MACKLOWE ASSET MGMT	041	CCL	S	30,000	23.14	n/a	26-Jan	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CMG</b>	<b>SS</b>	<b>50,000</b>	<b>54.07</b>	<b>23-Oct</b>	<b>8-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	237	COLM	SS	25,000	32.61	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CUZ</b>	<b>S</b>	<b>10,000</b>	<b>12.41</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	DELL	SS	248,390	10.51	n/a	n/a	12,419.50	5.0
THE BOSTON COMPANY	401	DIS	S	195,230	22.04	n/a	n/a	7,809.20	4.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	600	40.91	n/a	6-Jan	24.00	4.0
SCOPUS FUND	041	DLTR	B	16,400	41.12	n/a	6-Jan	820.00	5.0
PNC/MERCANTILE	028	DVN	S	19,180	63.24	n/a	7-Jan	959.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>SS</b>	<b>50,000</b>	<b>10.00</b>	<b>n/a</b>	<b>24-Apr</b>	<b>2,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	ELS	S	20,000	36.17	n/a	n/a	800.00	4.0
MACKLOWE ASSET MGMT	041	EL	SS	10,000	30.35	n/a	29-Oct	500.00	5.0
UBS OCONNOR	031	ESV	SS	25,000	27.40	n/a	n/a	750.00	3.0
CATAPULT	040	ES	B	25,000	5.96	n/a	n/a	1,000.00	4.0
CUMBERLAND	038	EXH	B	12,900	22.81	n/a	16-Dec	516.00	4.0
BUCK CAPITAL MGMT	001	EXR	S	10,000	9.15	n/a	n/a	400.00	4.0
BRIGADE CAPITAL MGMT	029	FCH	B	50,000	1.93	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	FII	S	30,000	18.50	13-Nov	12-Jan	1,500.00	5.0
FIRST NY SEC/CHRIS	041	FMCN	B	10,000	8.13	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	FRT	S	10,000	54.13	n/a	n/a	400.00	4.0
THE BOSTON COMPANY	401	GES	B	90,960	15.30	n/a	n/a	3,638.40	4.0
BRANDWINE	028	GE	B	96,400	15.90	n/a	n/a	3,856.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	200,000	11.41	11-Dec	12-Dec	8,000.00	4.0
BRANDWINE	028	HD	B	35,400	23.16	n/a	27-Jul	1,416.00	4.0
BRANDWINE	028	HIG	B	18,400	15.22	n/a	n/a	736.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	HIW	S	10,000	21.58	n/a	n/a	400.00	4.0
BRANDWINE	028	HON	B	31,100	33.70	3-Oct	18-Nov	1,244.00	4.0
KLEINHEINZ CAP PART	031	HRB	B	50,000	21.02	n/a	n/a	2,500.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	25,000	13.13	9-Jan	12-Jan	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	IVZ	B	188,500	13.02	9-Jan	12-Jan	6,597.50	3.5
HUNTER GLOBAL INVESTOR	067	JPM	B	19,700	25.43	23-Dec	23-Dec	985.00	5.0
Õ Ted Wheeler		KEG	B	50	8.5000	n/a	20-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	LRY	S	10,000	19.91	n/a	n/a	400.00	4.0
MACKLOWE ASSET MGMT	041	MAR	B	15,000	19.10	n/a	n/a	750.00	5.0
DALTON GREINER	012	MLI	S	10,430	22.95	n/a	18-Nov	521.50	5.0
STRAUSS ASSET MGMT	040	MS	B	15,000	19.74	18-Dec	12-Jan	600.00	4.0
BUCK CAPITAL MGMT	001	OFC	S	20,000	24.36	n/a	n/a	800.00	4.0
MATRIX ASSET ADV.	036	OMC	S	3,000	27.21	n/a	n/a	120.00	4.0
MAGNETAR FINANCIAL	031	PGN	S	44,100	38.21	n/a	n/a	1,764.00	4.0
BUCK CAPITAL MGMT	001	PKY	S	20,000	15.55	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	14,100	12.21	7-Nov	7-Nov	423.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	RJF	B	28,900	17.27	n/a	n/a	1,156.00	4.0
KLEINHEINZ CAP PART	031	SBH	SS	50,000	5.01	n/a	n/a	2,500.00	5.0
HOLDEN CAPITAL MGMT	035	SFSF	B	40,000	5.69	n/a	n/a	2,000.00	5.0
MATRIX ASSET ADV.	036	SPLS	S	3,000	18.51	n/a	27-Jul	90.00	3.0
THIRD COAST CAPITAL	035	TIF	SS	8,000	22.21	n/a	12-Jan	400.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>SS</b>	<b>20,000</b>	<b>50.60</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
HUNTER GLOBAL INVESTOR	067	VLY	B	28,800	17.41	n/a	n/a	1,152.00	4.0
REINHART & MAHONEY	031	WCRX	B	23,480	14.06	n/a	12-Jan	1,174.00	5.0
WAGONHOUND/NIC	048	WMT	S	9,137	51.57	10-Oct	8-Jan	365.48	4.0
HIGHBRIDGE/MS OLDS	041	X	S	7,544	36.33	n/a	n/a	377.20	5.0
PRINCIPLE CAPITAL	040	YUM	SS	41,700	30.54	14-Aug	8-Jan	1,251.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>92,634.78</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/12	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	EAT	SS	2,700	10.00	n/a	24-Apr	108.00 4.0
AO,CXL	01/09	SANDLER O'NEILL ASSET (SANO)	031	MS	S	75,000	19.82	18-Dec	12-Jan	3000.00 4.0
AO,CRT	01/09	SANDLER O'NEILL ASSET (SANO)	031	MS	S	75,000	19.82	18-Dec	12-Jan	3750.00 5.0
AO,CXL	01/09	BALYASNY ASSET MGMT (BALYGS)	044	PAG	SS	15,000	8.76	n/a	23-Dec	750.00 5.0
AO,CRT	01/09	BALYASNY ASSET MGMT (BALYGS)	044	PAG	SS	15,000	8.76	n/a	23-Dec	600.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>708.00</b>

TOTAL (Trade Date) :	92,634.78
TOTAL (AO, CXL, CRT) :	708.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>93,342.78</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