



Daily Compliance Activity Report

Trade Date: 07/22/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AAN	B	75,000	27.93	n/a	n/a	3,000.00	4.0
EPOCH INV MGMT	030	AAPL	S	2,800	157.44	n/a	n/a	112.00	4.0
CATAPULT	040	AIPC	B	10,000	29.46	n/a	n/a	400.00	4.0
GREEN ARROW CAPITAL	034	AKS	SS	25,000	18.57	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	AKS	B	27,689	18.87	n/a	n/a	1,246.01	4.5
BUCK CAPITAL MGMT	001	ANF	B	50,000	26.77	3-Jun	10-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	38.34	n/a	10-Jul	400.00	4.0
SCOPIA CAPITAL	048	AWK	B	30,000	18.86	n/a	n/a	1,200.00	4.0
LAGRANGE CAP ADV	048	AXL	B	30,000	1.32	n/a	9-Jul	900.00	3.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	21.84	28-May	6-Jul	800.00	4.0
ACK ASSET	028	CAKE	S	21,000	18.67	29-May	21-Jul	630.00	3.0
NEWCASTLE FUNDS	255	CAKE	SS	50,000	18.14	29-May	21-Jul	2,000.00	4.0
ARAGON GLOBAL	041	CAT	B	2,400	38.56	n/a	22-Jul	36.00	1.5
SONTERRA CAP	041	CAT	B	10,000	38.63	n/a	22-Jul	400.00	4.0
COUGAR TRADING	044	COH	S	2,500	28.55	n/a	16-Jul	125.00	5.0
M&I FUNDS	256	COH	S	6,954	28.57	n/a	16-Jul	278.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	COL	S	4,200	41.98	n/a	n/a	168.00	4.0
CHART WELL ADV	028	CRR	B	31,275	38.87	1-May	1-Jul	1,251.00	4.0
GREEN ARROW CAPITAL	034	EAT	S	25,000	16.98	n/a	24-Apr	1,250.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	77,501	30.79	n/a	8-Jul	3,100.04	4.0
ARMATURE CAPITAL	041	F	B	50,000	6.41	n/a	16-Jul	2,000.00	4.0
BRENCOURT	028	F	B	50,000	6.31	n/a	16-Jul	1,500.00	3.0
BUCK CAPITAL MGMT	001	GME	B	40,000	23.33	n/a	n/a	1,600.00	4.0
BALYASNY ASSET MGMT	044	GNTX	S	20,000	14.42	10-Jun	16-Jul	1,000.00	5.0
BUCK CAPITAL MGMT	001	IGT	SS	100,000	17.15	n/a	27-Apr	4,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	135,000	17.67	21-Jul	21-Jul	6,750.00	5.0
MATLIN PATTERSON	046	JWN	B	100,000	24.08	20-Feb	10-Jul	3,000.00	3.0
PILOT ROCK	028	JWN	B	50,000	24.27	20-Feb	10-Jul	2,000.00	4.0
STELLIAM INV ADV	034	KEY	S	25,000	4.48	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	LVS	S	60,000	10.02	n/a	14-Jul	2,400.00	4.0
CIRCLE T/SES PART	035	LVS	S	25,000	10.37	n/a	14-Jul	1,000.00	4.0
STADIA CAPITAL	035	MEE	S	60,100	21.51	n/a	n/a	2,404.00	4.0
STRONG/MARK GRONET	030	MNI	S	50,000	1.04	n/a	n/a	500.00	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	091	NVDA	B	30,000	12.00	n/a	n/a	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	OI	S	15,000	30.63	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	PCAR	S	4,350	33.27	25-Mar	26-Jun	174.00	4.0
PROSPECTOR PARTNERS LLC	036	PCZ	S	30,000	41.93	n/a	n/a	1,200.00	4.0
CATAPULT	040	PFE	B	50,000	16.00	n/a	31-Mar	2,500.00	5.0
EPOCH INV MGMT	030	PM	S	3,750	44.00	n/a	n/a	150.00	4.0
BALYASNY ASSET MGMT	044	PTV	S	25,000	24.69	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	33.07	20-Apr	21-May	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SBUX	S	25,000	17.30	20-Apr	21-Jul	1,000.00	4.0
CATAPULT	040	SCHL	B	10,000	19.50	n/a	n/a	400.00	4.0
REICH AND TANG	067	SEH	S	15,000	11.21	n/a	n/a	750.00	5.0
CAXTON PART	040	SMG	S	6,683	39.70	10-Jun	9-Jul	233.92	3.5
GCORE MANAGEMENT	252	SMH	B	50,000	24.30	n/a	n/a	2,500.00	5.0
STADIA CAPITAL	035	SNDK	B	13,400	18.99	n/a	n/a	536.00	4.0
EPOCH INV MGMT	030	SUG	S	2,300	19.05	n/a	n/a	92.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRIESS MGMT	033	SYMC	B	606,800	16.84	n/a	3-Apr	24,272.00	4.0
BASIX	033	TIN	B	25,000	15.02	21-Jul	21-Jul	750.00	3.0
MILLENIUM PARTNERS	028	TIN	B	20,000	14.92	21-Jul	21-Jul	1,000.00	5.0
RBC CAPITAL MARKETS	040	TIN	B	15,000	14.94	21-Jul	21-Jul	600.00	4.0
SENATOR INVESTMENT GROUP	036	TIN	S	20,000	14.97	21-Jul	21-Jul	600.00	3.0
STADIA CAPITAL	035	TIN	B	71,900	15.02	21-Jul	21-Jul	2,876.00	4.0
RBC CAPITAL MARKETS	040	VMC	B	5,000	43.14	n/a	n/a	200.00	4.0
STRONG/MARK GRONET	030	VSH	S	20,000	7.18	n/a	n/a	600.00	3.0
EPOCH INV MGMT	030	VTR	S	1,500	31.81	n/a	n/a	60.00	4.0
SCHOTTENFELD ASSOC	041	WFC	B	25,000	23.75	n/a	n/a	750.00	3.0
EPOCH INV MGMT	030	WFR	S	1,600	20.54	n/a	n/a	64.00	4.0
BUCK CAPITAL MGMT	001	WHR	B	51,600	53.60	n/a	n/a	1,600.00	2.7
BUCK CAPITAL MGMT	001	WHR	SS	11,600	53.63	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	35.83	13-May	13-May	400.00	4.0
SCOPIA CAPITAL	048	WTR	SS	25,000	17.52	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date) :								97,608.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/21	BUCK CAPITAL MGMT (BUCKGILAGX)	001	ANF	B	300	26.27	3-Jun	10-Jul	12.00 4.0
AO,CRT	07/21	BUCK CAPITAL MGMT (BUCKGIL)	001	ANF	B	300	26.27	3-Jun	10-Jul	12.00 4.0
AO,	07/21	STRONG/MARK GRONET (SCMGST2319)	030	ANH	S	155	7.63	n/a	n/a	4.65 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST3911)	030	ANH	S	140	7.63	n/a	n/a	4.20 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST1863)	030	ANH	S	1,800	7.63	n/a	n/a	54.00 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST252)	030	ANH	S	435	7.63	n/a	n/a	13.05 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST748)	030	ANH	S	1,240	7.63	n/a	n/a	37.20 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST879)	030	ANH	S	910	7.63	n/a	n/a	27.30 3.0
AO,	07/21	STRONG/MARK GRONET (SCMG20501)	030	ANH	S	705	7.63	n/a	n/a	21.15 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST154)	030	ANH	S	4,025	7.63	n/a	n/a	120.75 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST323)	030	ANH	S	725	7.63	n/a	n/a	21.75 3.0
AO,	07/21	STRONG/MARK GRONET (SCMG829101)	030	ANH	S	1,130	7.63	n/a	n/a	33.90 3.0
AO,	07/21	STRONG/MARK GRONET (SCMG701331)	030	ANH	S	240	7.63	n/a	n/a	7.20 3.0
AO,	07/21	STRONG/MARK GRONET (SCMG203063)	030	ANH	S	185	7.63	n/a	n/a	5.55 3.0
AO,	07/21	STRONG/MARK GRONET (SCMG200722)	030	ANH	S	1,355	7.63	n/a	n/a	40.65 3.0
AO,	07/21	STRONG/MARK GRONET (SCMG202363)	030	ANH	S	1,105	7.63	n/a	n/a	33.15 3.0
AO,	07/21	STRONG/MARK GRONET (SCMG187746)	030	ANH	S	730	7.63	n/a	n/a	21.90 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST1758)	030	ANH	S	645	7.63	n/a	n/a	19.35 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST870)	030	ANH	S	185	7.63	n/a	n/a	5.55 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST589)	030	ANH	S	480	7.63	n/a	n/a	14.40 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST588)	030	ANH	S	145	7.63	n/a	n/a	4.35 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST569)	030	ANH	S	270	7.63	n/a	n/a	8.10 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST574)	030	ANH	S	1,805	7.63	n/a	n/a	54.15 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST821)	030	ANH	S	655	7.63	n/a	n/a	19.65 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST364)	030	ANH	S	335	7.63	n/a	n/a	10.05 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST368)	030	ANH	S	70	7.63	n/a	n/a	2.10 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/21	STRONG/MARK GRONET (SCMGST268)	030	ANH	S	2,345	7.63	n/a	n/a	70.35 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST554)	030	ANH	S	205	7.63	n/a	n/a	6.15 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST555)	030	ANH	S	195	7.63	n/a	n/a	5.85 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST606)	030	ANH	S	420	7.63	n/a	n/a	12.60 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST161)	030	ANH	S	160	7.63	n/a	n/a	4.80 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST9919)	030	ANH	S	6,800	7.63	n/a	n/a	204.00 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST545)	030	ANH	S	270	7.63	n/a	n/a	8.10 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST503)	030	ANH	S	195	7.63	n/a	n/a	5.85 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST13)	030	ANH	S	410	7.63	n/a	n/a	12.30 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST11)	030	ANH	S	145	7.63	n/a	n/a	4.35 3.0
AO,	07/21	STRONG/MARK GRONET (SCMGST9966)	030	ANH	S	655	7.63	n/a	n/a	19.65 3.0
AO,CXL	07/21	LISTED ERR (LISTED ERR)	099	ESL	S	200	28.08	n/a	n/a	0.00 0.0
AO,	07/21	OZ MGMT (OZFFNFS)	040	GE	SS	557,085	11.40	n/a	n/a	16712.55 3.0
AO,	07/21	OZ MGMT (OZFFNFS)	040	GE	SS	84,633	11.40	n/a	n/a	2538.99 3.0
AO,	07/21	OZ MGMT (OZFFMS)	040	GE	SS	18,471	11.40	n/a	n/a	554.13 3.0
AO,	07/21	OZ MGMT (OZFFMS)	040	GE	SS	13,216	11.40	n/a	n/a	396.48 3.0
AO,	07/21	OZ MGMT (OZFFMS)	040	GE	SS	26,595	11.40	n/a	n/a	797.85 3.0
AO,CXL	07/21	BNP PARIBAS SEC (BNPPMAIN)	040	IP	B	25,000	17.62	21-Jul	21-Jul	1000.00 4.0
AO,CRT	07/21	BNP PARIBAS SEC (BNPPMAIN)	040	IP	B	25,000	17.62	21-Jul	21-Jul	1250.00 5.0
AO,CRT	07/21	MILLENIU PARTNERS (MILPCREDSU)	028	IP	S	15,000	17.53	21-Jul	21-Jul	750.00 5.0
AO,CXL	07/21	MILLENIU PARTNERS (MILPUSE)	028	IP	S	15,000	17.53	21-Jul	21-Jul	750.00 5.0
AO,CXL	07/21	KARSCH CAPITAL (KARSKBL)	034	SGP	B	1,615	26.51	n/a	n/a	48.45 3.0
AO,	07/21	KARSCH CAPITAL (KARSKBL)	034	SGP	B	1,615	26.51	n/a	n/a	48.45 3.0
AO,CXL	07/21	KARSCH CAPITAL (KARSMORGAN)	034	SGP	B	370	26.51	n/a	n/a	11.10 3.0
AO,	07/21	KARSCH CAPITAL (KARSMORGAN)	034	SGP	B	370	26.51	n/a	n/a	11.10 3.0
AO,CXL	07/21	KARSCH CAPITAL (KARSGOLDMA)	034	SGP	B	108,890	26.51	n/a	n/a	3266.70 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/21	KARSCH CAPITAL (KARSGOLDMA)	034	SGP	B	108,890	26.51	n/a	n/a	3266.70 3.0
AO,CRT	07/21	BUCK CAPITAL MGMT (BUCKJPMBS)	001	WWW	SS	9,100	22.83	n/a	13-Mar	364.00 4.0
AO,CXL	07/21	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WWW	SS	9,100	22.83	n/a	13-Mar	364.00 4.0
TOTAL (AO, CXL, CRT) :										22,188.10

TOTAL (Trade Date):	97,608.13
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TOTAL (RUN DATE) / NFS:	119,796.23
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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