



Daily Compliance Activity Report

Trade Date: 09/03/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	14,400	12.15	n/a	31-Jul	720.00	5.0
RAIL-SPLITTER	031	AB	S	19,400	21.71	31-Jul	2-Sep	970.00	5.0
PROSPECTOR PARTNERS LLC	036	ACGL	B	10,000	65.06	n/a	n/a	400.00	4.0
WESTERN RESERVE	031	ADS	B	1,000	53.62	n/a	n/a	50.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	30,000	14.61	25-Jun	27-Aug	1,200.00	4.0
SCOPUS FUND	041	AEO	B	10,000	14.62	25-Jun	27-Aug	500.00	5.0
PENN CAPITAL	243	AMG	B	14,195	62.93	3-Aug	2-Sep	616.76	5.7
RAIL-SPLITTER	031	AMG	B	19,900	62.34	3-Aug	2-Sep	995.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	39.54	n/a	27-Aug	800.00	4.0
ASCEND PARTNERS	033	BEN	C	19,111	92.52	30-Jul	2-Sep	955.55	5.0
TRUSTCO/SUNTRUST	040	BKC	S	105,600	17.50	20-Aug	26-Aug	4,118.42	3.9
DIAMONDBACK CAP MGMT	232	BWA	B	19,074	30.28	3-Aug	24-Aug	953.70	5.0
BUCK CAPITAL MGMT	001	CAB	SS	20,000	15.09	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	047	CAM	S	3,186	35.02	n/a	n/a	159.30	5.0
ARCHON CAPITAL	035	CGA	SS	15,000	11.94	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	046	COF	B	9,200	34.68	10-Aug	2-Sep	368.00	4.0
CHARTER OAK	033	CSCO	B	100,000	21.66	n/a	22-Mar	3,000.00	3.0
CAPITAL GROWTH MGMT.	241	C	B	250,000	4.76	n/a	17-Aug	5,000.00	2.0
DIAMONDBACK CAP MGMT	232	C	B	250,000	4.76	n/a	17-Aug	7,500.00	3.0
HARBORWATCH/DIAMBACK	232	DE	C	25,000	40.90	n/a	20-Aug	1,250.00	5.0
AMBER CAPITAL	046	DFS	S	23,900	13.12	n/a	2-Sep	956.00	4.0
HARBORWATCH/DIAMBACK	232	DHI	B	25,000	12.01	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	DOW	B	25,000	19.98	n/a	30-Jul	1,250.00	5.0
LAGRANGE CAP ADV	048	DTG	SS	10,000	19.95	n/a	n/a	500.00	5.0
SOUTH POINT CAP	067	DTV	B	250,000	24.52	n/a	4-Jan	7,500.00	3.0
BUCK CAPITAL MGMT	001	DVN	B	10,000	60.58	5-Aug	28-Aug	400.00	4.0
CAXTON PART	040	EAT	B	200,000	14.56	n/a	24-Apr	7,000.01	3.5
BUCK CAPITAL MGMT	001	F	B	75,000	7.38	27-Aug	2-Sep	2,250.00	3.0
LEVIN CAPITAL STRATEGIES	012	F	B	50,000	7.05	27-Aug	2-Sep	2,000.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	21.11	n/a	10-Jan	400.00	4.0
SCOPUS FUND	041	GE	B	100,000	13.42	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	047	GPS	B	22,349	20.69	n/a	30-Jan	893.96	4.0
ROSEDALE CAPITAL	046	HAS	S	10,000	27.75	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	10,000	19.50	n/a	n/a	400.00	4.0
HARBORWATCH/DIAMBACK	232	HON	S	50,000	35.95	n/a	27-Jul	2,500.00	5.0
JENNISON	032	INTC	S	600,000	19.38	n/a	n/a	22,200.00	3.7
FARALLON CAP MGMT	040	JAVA	S	585,900	9.13	n/a	n/a	23,436.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	32.64	n/a	30-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	JNS	B	20,000	12.28	16-Jul	2-Sep	800.00	4.0
LAGRANGE CAP ADV	048	LCC	B	100	3.25	n/a	n/a	5.00	5.0
EGS ASSOCIATES LP	091	LOW	B	7,500	21.00	2-Sep	2-Sep	450.00	6.0
THIRD COAST CAPITAL	035	LVS	B	25,000	14.23	14-Aug	26-Aug	1,250.00	5.0
FIRST INV MGMT CO	029	LZ	S	12,200	64.40	n/a	n/a	610.00	5.0
EATON VANCE MGMT	039	MA	B	6,000	202.81	30-Jul	2-Sep	180.00	3.0
AVESTA CAP	229	MCD	B	100,000	55.27	n/a	10-Aug	4,000.00	4.0
STADIA CAPITAL	035	MRK	B	17,600	30.01	n/a	n/a	704.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL/KADEM	044	MSFT	B	20,000	24.02	n/a	3-Apr	1,000.00	5.0
PHILADELPHIA FINANCIAL	033	MS	B	34,149	27.50	11-May	23-Jul	1,365.96	4.0
SLS CAPITAL LLC	224	M	S	101,000	14.81	n/a	2-Sep	4,040.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	SS	23,500	56.78	22-Apr	23-Jul	1,175.00	5.0
11:11 CAPITAL CORP	046	OCR	B	500	22.48	30-Jul	31-Aug	25.00	5.0
BUCK CAPITAL MGMT	001	OXM	B	41,748	16.80	n/a	n/a	1,669.92	4.0
HARBORWATCH/DIAMBACK	232	PHM	B	25,000	11.95	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	41,074	15.81	n/a	n/a	1,642.96	4.0
HIGHBRIDGE CAPITAL	038	RAI	SS	30,000	45.72	n/a	n/a	1,200.00	4.0
FIRST INV MGMT CO	029	SLE	B	13,500	9.37	n/a	n/a	675.00	5.0
ARMATURE CAPITAL	041	SOA	S	9,900	11.77	n/a	n/a	396.00	4.0
DALTON GREINER	012	SSI	S	45,100	12.77	n/a	27-Aug	2,255.00	5.0
TRUSTCO/SUNTRUST	040	SSI	S	23,700	12.74	n/a	27-Aug	924.34	3.9
BUCK CAPITAL MGMT	001	TLB	SS	20,000	6.41	n/a	30-Jan	800.00	4.0
MAIRS AND POWER INV	030	TRV	S	10,000	49.18	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	UAUA	S	35,000	6.15	n/a	n/a	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	VMED	S	60,000	11.24	n/a	n/a	2,400.00	4.0
EXIS CAPITAL/KADEM	044	VXX	B	5,000	59.71	n/a	n/a	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WSM	S	25,000	18.38	n/a	n/a	1,000.00	4.0
RAMIUS CAP	040	WYNN	SS	34,350	52.60	n/a	26-Aug	1,374.00	4.0
BMO NESBITT BURNS	041	WY	B	25,000	35.73	n/a	3-Aug	1,250.00	5.0
SCHOTTENFELD ASSOC	041	WY	S	25,000	36.59	n/a	3-Aug	750.00	3.0
SCOPUS FUND	041	WY	B	10,000	36.01	n/a	3-Aug	500.00	5.0
WEINTRAUB CAPITAL MGT.	040	WY	B	173,802	36.49	n/a	3-Aug	6,952.08	4.0
11:11 CAPITAL CORP	046	XRT	SS	130,000	31.74	n/a	n/a	5,200.00	4.0
TOTAL (Trade Date):								157,986.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/02	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	MDR	B	100	23.55	n/a	n/a	5.00 5.0
AO,	09/02	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	MDR	B	19,900	23.63	n/a	n/a	995.00 5.0
CRT	09/03	EXIS CAPITAL/KADEM (EXISRBC)	044	MSFT	B	12,600	24.02	n/a	3-Apr	630.00 5.0
CRT	09/03	EXIS CAPITAL/KADEM (EXISRBC)	044	VXX	B	3,200	59.71	n/a	n/a	160.00 5.0

TOTAL (AO, CXL, CRT) :	1,790.00
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TOTAL (Trade Date) :	157,986.96
TOTAL (AO, CXL, CRT) :	1,790.00

TOTAL (RUN DATE) / NFS:	159,776.96
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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