



Daily Compliance Activity Report

Trade Date: 07/20/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	B	70,000	31.73	n/a	n/a	2,800.00	4.0
LAGRANGE CAP ADV	048	ABG	SS	10,000	11.99	n/a	30-Apr	500.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	10,000	14.39	25-Jun	10-Jul	400.00	4.0
COUGAR TRADING	044	AEO	S	10,000	14.32	25-Jun	10-Jul	500.00	5.0
JP MORGAN VENTURES	046	AEO	S	25,000	14.58	25-Jun	10-Jul	1,250.00	5.0
SOLARIS INV MGMT	029	AEO	B	78,100	14.47	25-Jun	10-Jul	3,905.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	50,255	25.56	3-Jun	10-Jul	2,010.20	4.0
NEW JERSEY DIV OF INV.	030	AWK	B	50,000	18.73	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	AXL	B	25,000	1.45	n/a	9-Jul	500.00	2.0
MADISON ST PARTNERS LLC	046	BAC	B	25,000	12.25	11-May	20-Jul	1,250.00	5.0
GRUBER MACBAINE	033	BBBY	S	10,000	33.11	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	BIG	B	100,000	21.91	28-May	6-Jul	4,000.00	4.0
CADIAN CAPITAL	067	BIG	B	120,000	21.80	28-May	6-Jul	4,800.00	4.0
CONIFER/ISF	025	CA	B	5,700	17.98	n/a	n/a	285.00	5.0
BUCK CAPITAL MGMT	001	CCL	B	97,502	27.58	n/a	26-Jan	3,900.08	4.0
KLEINHEINZ CAP PART	031	COG	B	60,000	34.62	n/a	20-Jul	3,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	048	COG	B	10,000	34.68	n/a	20-Jul	500.00	5.0
HUNTER GLOBAL INVESTOR	067	CSC	B	43,700	45.88	n/a	n/a	2,185.00	5.0
REICH AND TANG	067	CYT	S	12,000	23.13	n/a	n/a	600.00	5.0
DIAMONDBACK CAP MGMT	232	DD	SS	30,000	28.24	n/a	19-Jun	1,500.00	5.0
THOMSON HORSTMAN BRYANT	034	DKS	S	6,300	19.01	27-Apr	20-May	315.00	5.0
MILLENIUM PARTNERS	028	DRI	S	25,000	34.01	19-Mar	15-Jul	1,000.00	4.0
LAGRANGE CAP ADV	048	DTG	SS	5,000	16.40	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	EAT	B	50,000	17.42	n/a	24-Apr	2,000.00	4.0
REICH AND TANG	067	EMN	S	5,000	41.03	n/a	n/a	250.00	5.0
IRONBOUND CAPITAL	012	EXH	B	150,000	16.73	27-May	1-Jul	6,000.00	4.0
JP MORGAN VENTURES	046	EXPE	S	25,000	17.12	n/a	n/a	1,250.00	5.0
TRELLUS PARTNERS LP	028	F	B	110,000	6.23	n/a	16-Jul	3,300.00	3.0
L.R.BURTSCHY & CO	045	HAR	B	20,000	28.85	10-Jun	16-Jun	1,200.00	6.0
CONIFER/ISF	025	HAS	B	4,000	26.39	n/a	n/a	200.00	5.0
CONIFER/ISF	025	HPY	B	2,500	9.47	n/a	n/a	125.00	5.0
RAINIER INV MGMT	035	ICE	B	98,230	92.89	n/a	n/a	4,911.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	INFY	B	4,000	40.16	n/a	n/a	200.00	5.0
HUNTER GLOBAL INVESTOR	067	JKHY	SS	95,600	20.86	n/a	n/a	3,824.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	110,000	22.54	20-Feb	10-Jul	4,400.00	4.0
COBALT	041	JWN	SS	50,000	23.36	20-Feb	10-Jul	2,500.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	1.64	n/a	4-Jan	1,000.00	5.0
COUGAR TRADING	044	LVS	S	10,000	9.76	n/a	14-Jul	400.00	4.0
WAGONHOUND/NIC	048	LVS	B	25,000	9.96	n/a	14-Jul	750.00	3.0
RAINIER INV MGMT	035	MA	B	40,030	183.98	n/a	20-Jul	2,001.50	5.0
BUCK CAPITAL MGMT	001	MCD	B	30,000	58.33	n/a	17-Jul	1,200.00	4.0
SAXON WOODS ADVISORS	038	MEE	B	214,500	21.88	n/a	n/a	8,580.00	4.0
EPOCH INV MGMT	030	MET	B	6,700	30.76	n/a	n/a	268.00	4.0
BUCK CAPITAL MGMT	001	NTY	B	70,000	30.74	n/a	n/a	2,800.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	20,000	3.10	n/a	30-Jan	400.00	2.0
DECADE CAPITAL PARTNERS	040	PEP	B	17,900	55.91	n/a	n/a	716.00	4.0
DECADE CAPITAL PARTNERS	040	PG	SS	18,100	55.36	5-Jun	5-Jun	724.00	4.0
SCOPUS FUND	041	PKG	S	25,600	17.93	8-Apr	20-Jul	1,280.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK NICK	029	Q	B	20,000	4.06	n/a	n/a	1,000.00	5.0
CARDINAL CAPITAL	044	RX	S	110,900	13.13	n/a	n/a	5,545.00	5.0
MILLENIUM PARTNERS	028	SBUX	SS	12,820	14.89	20-Apr	20-Jul	512.80	4.0
NEWCASTLE FUNDS	255	SMG	S	50,000	38.47	10-Jun	9-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	SSI	SS	20,000	11.76	n/a	10-Jul	800.00	4.0
AVESTA CAP	229	SWY	B	100,000	19.65	n/a	n/a	4,000.00	4.0
TROUBH PART	067	TGT	S	25,000	39.47	10-Jul	10-Jul	1,250.00	5.0
BMO NESBITT BURNS	041	TIN	SS	25,000	14.14	9-Jul	20-Jul	1,250.00	5.0
GCORE MANAGEMENT	252	TIN	B	20,000	14.18	9-Jul	20-Jul	1,000.00	5.0
JP MORGAN VENTURES	046	WEN	S	40,000	4.47	n/a	10-Jul	1,600.00	4.0
BUCK CAPITAL MGMT	001	WMT	S	206,032	48.33	11-May	6-Jul	8,241.28	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	35.45	13-May	13-May	800.00	4.0
JP MORGAN VENTURES	046	WRC	B	25,000	35.20	13-May	13-May	1,250.00	5.0
CIRCLE T/SES PART	035	YUM	SS	10,000	33.60	n/a	15-Jul	400.00	4.0
TOTAL (Trade Date):								117,779.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/17	BUCK CAPITAL MGMT (BUCKJPMBS)	001	DAI	SS	12,100	40.79	n/a	n/a	484.00	4.0
AO,CXL	07/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DAI	SS	7,900	40.79	n/a	n/a	316.00	4.0
AO,CRT	07/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DAI	SS	20,000	40.79	n/a	n/a	800.00	4.0
AO,	07/17	OZ MGMT (OZFFMERRPB)	040	IPI	SS	96,818	25.11	n/a	n/a	2904.54	3.0
AO,	07/17	OZ MGMT (OZFFCSFB)	040	IPI	SS	19,330	25.11	n/a	n/a	579.90	3.0
AO,	07/17	OZ MGMT (OZFFMS)	040	IPI	SS	3,209	25.11	n/a	n/a	96.27	3.0
AO,	07/17	OZ MGMT (OZFFGS)	040	IPI	SS	2,296	25.11	n/a	n/a	68.88	3.0
AO,CXL	07/17	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	067	JKHY	SS	50,000	20.75	n/a	n/a	2500.00	5.0
AO,CRT	07/17	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	067	JKHY	SS	50,000	20.75	n/a	n/a	2000.00	4.0
AO,CRT	07/15	ARCHON CAPITAL (ARCCUBS)	035	MAR	B	30,213	21.54	n/a	n/a	906.39	3.0
AO,CXL	07/15	ARCHON PARTNERS (ARCHGOLDS)	032	MAR	B	30,213	21.54	n/a	n/a	906.39	3.0
AO,CRT	07/16	CAVU CAP ADV (CAVUCREDIS)	028	TIN	B	50,000	13.64	9-Jul	20-Jul	2500.00	5.0
AO,CXL	07/16	CAVU CAP ADV (CAVUMAN CS)	028	TIN	B	50,000	13.64	9-Jul	20-Jul	2500.00	5.0
AO,CXL	07/17	ISLE RIDGE PARTNERS (ISLECSFB)	041	XHB	B	10,000	12.53	n/a	n/a	500.00	5.0
AO,CRT	07/17	ISLE RIDGE PARTNERS (ISLECSFB)	041	XHB	B	10,000	12.53	n/a	n/a	400.00	4.0
AO,	07/17	NEWCASTLE FUNDS (NEWCDM202)	255	YUM	SS	800	33.81	n/a	15-Jul	32.00	4.0
AO,CXL	07/17	NEWCASTLE FUNDS (NEWCMLDC88)	255	YUM	SS	800	33.81	n/a	15-Jul	32.00	4.0
TOTAL (AO, CXL, CRT) :										3,049.59	

TOTAL (Trade Date):

117,779.36

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3,049.59

TOTAL (RUN DATE) / NFS:

120,828.95

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