



## Daily Compliance Activity Report

Trade Date: 07/30/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	12,500	12.93	n/a	30-Apr	625.00	5.0
LAGRANGE CAP ADV	048	ABG	SS	30,100	13.73	n/a	30-Apr	1,505.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>120,100</b>	<b>14.90</b>	<b>25-Jun</b>	<b>10-Jul</b>	<b>4,804.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>50,000</b>	<b>29.51</b>	<b>3-Jun</b>	<b>10-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
ROYCE TRADING	216	AOS	B	50,000	39.95	17-Jul	17-Jul	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>49,400</b>	<b>37.28</b>	<b>n/a</b>	<b>10-Jul</b>	<b>1,976.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AVY</b>	<b>B</b>	<b>25,000</b>	<b>29.34</b>	<b>28-Apr</b>	<b>30-Jul</b>	<b>1,000.00</b>	<b>4.0</b>
ROCKEFELLER & CO	045	AVY	B	371,708	29.03	28-Apr	30-Jul	11,151.24	3.0
LAGRANGE CAP ADV	048	AXL	B	30,000	1.73	n/a	30-Jul	1,500.00	5.0
TRELLUS PARTNERS LP	028	AXL	B	100,000	1.68	n/a	30-Jul	1,000.00	1.0
REICH AND TANG	067	BDX	B	3,000	66.86	n/a	22-Apr	150.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>BIG</b>	<b>SS</b>	<b>100</b>	<b>23.30</b>	<b>28-May</b>	<b>6-Jul</b>	<b>6.00</b>	<b>6.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>B</b>	<b>50,000</b>	<b>23.62</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
FRONTPOINT/COPIA-ANDREW	031	BP	B	43,500	49.97	n/a	n/a	1,522.50	3.5
WEISS PECK	040	CAKE	SS	5,800	18.74	24-Jul	24-Jul	290.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CAT</b>	<b>B</b>	<b>20,000</b>	<b>43.45</b>	<b>n/a</b>	<b>22-Jul</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	CMP	S	4,919	50.94	n/a	n/a	221.37	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>80,000</b>	<b>29.43</b>	<b>n/a</b>	<b>29-Jul</b>	<b>3,200.00</b>	<b>4.0</b>
FRONTPOINT/COPIA-ANDREW	031	COP	B	33,700	43.32	n/a	n/a	1,179.50	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>S</b>	<b>90,000</b>	<b>28.33</b>	<b>n/a</b>	<b>n/a</b>	<b>3,600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DAI</b>	<b>B</b>	<b>30,000</b>	<b>45.13</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>DSW</b>	<b>SS</b>	<b>3,500</b>	<b>13.69</b>	<b>28-Jul</b>	<b>28-Jul</b>	<b>210.00</b>	<b>6.0</b>
DIAMONDBACK CAP MGMT	232	DYN	B	50,000	2.01	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>SS</b>	<b>20,000</b>	<b>36.81</b>	<b>5-May</b>	<b>5-May</b>	<b>800.00</b>	<b>4.0</b>
FIRST NEW YORK LEDDY	035	ETFC	B	40,000	1.48	n/a	n/a	2,000.00	5.0
CUMBERLAND	038	EXH	B	2,383	17.25	27-May	29-Jul	95.32	4.0
PAULSON & CO INC	041	FHN	B	250,000	12.63	n/a	n/a	7,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>50,000</b>	<b>11.46</b>	<b>27-Apr</b>	<b>26-Jun</b>	<b>2,000.00</b>	<b>4.0</b>
MOORE CAPITAL	036	FXI	SS	100,000	42.16	n/a	n/a	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GE</b>	<b>B</b>	<b>290,894</b>	<b>13.19</b>	<b>n/a</b>	<b>n/a</b>	<b>11,635.76</b>	<b>4.0</b>
PATTEN & PATTEN	067	GS	B	200	163.74	14-Jul	14-Jul	10.00	5.0

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ROSEDALE CAPITAL	046	HAS	B	20,000	26.25	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOG</b>	<b>SS</b>	<b>10,000</b>	<b>22.36</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOT</b>	<b>B</b>	<b>50,000</b>	<b>23.04</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
COBALT	041	IP	B	200,000	19.23	30-Jul	30-Jul	10,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	60,000	19.40	30-Jul	30-Jul	3,000.00	5.0
SCOPUS FUND	041	IP	S	20,000	19.24	30-Jul	30-Jul	1,000.00	5.0
SCOPUS FUND	041	ITT	SS	25,000	48.40	n/a	24-Jul	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>20,000</b>	<b>28.44</b>	<b>n/a</b>	<b>30-Jan</b>	<b>800.00</b>	<b>4.0</b>
KENNEDY CAPITAL	046	KCP	B	28,972	7.47	n/a	28-Sep	869.16	3.0
MILLENNIUM-ANDEW	031	KMT	SS	20,000	22.20	30-Jul	30-Jul	1,200.00	6.0
SCHOTTENFELD ASSOC	041	KMT	B	20,000	21.65	30-Jul	30-Jul	600.00	3.0
KENNEDY CAPITAL	046	KPPC	B	25,000	5.19	n/a	n/a	750.00	3.0
AVESTA CAP	229	KSS	S	50,000	50.20	28-Jul	28-Jul	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAR</b>	<b>B</b>	<b>50,000</b>	<b>21.23</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	MCD	B	25,000	55.88	n/a	23-Jul	1,250.00	5.0
CIRCLE T/SES PART	035	MPEL	S	25,000	5.21	n/a	14-Jul	750.00	3.0
TROUBH PART	067	MSFT	S	50,000	24.08	n/a	3-Apr	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	MWV	B	25,000	19.35	n/a	29-Jul	750.00	3.0
PROSPECTOR PARTNERS LLC	036	MXGL	B	10,000	19.88	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	NTRI	B	1,000	14.48	n/a	n/a	40.00	4.0
PATTEN & PATTEN	067	OXY	B	1,000	71.20	n/a	n/a	50.00	5.0
CR INTRINIC INVESTMENT	044	PKI	S	50,000	19.25	n/a	n/a	2,000.00	4.0
METROPOLITAN CAPITAL	044	PLCE	S	36,200	31.33	19-Mar	30-Jul	1,810.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>10,000</b>	<b>16.12</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
FIRST NEW YORK NICK	029	Q	S	20,000	4.04	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	RCL	B	125,000	14.61	22-Apr	24-Apr	5,625.00	4.5
ROTHSCHILD ASSET	040	RGA	S	9,339	41.39	n/a	n/a	420.28	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>63.20</b>	<b>28-Jul</b>	<b>28-Jul</b>	<b>400.00</b>	<b>4.0</b>
SOROS	036	RTH	C	248,500	83.19	n/a	n/a	7,455.00	3.0
LIEBAU ASSET	048	SNE	S	26,750	27.18	n/a	n/a	1,337.50	5.0
TROUBH PART	067	SPY	B	50,000	99.55	n/a	n/a	2,500.00	5.0
TROUBH PART	067	SPY	SS	50,000	99.50	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>B</b>	<b>55,000</b>	<b>5.55</b>	<b>n/a</b>	<b>30-Jan</b>	<b>1,650.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	UA	SS	20,000	25.31	29-Jul	29-Jul	800.00	4.0
ARCHON CAPITAL	035	V	S	57,000	68.52	n/a	30-Jul	1,710.00	3.0
SCOPUS FUND	041	WCC	SS	10,000	24.75	n/a	n/a	500.00	5.0
TYEE/TYGH	035	WDR	B	11,714	27.92	29-Jul	29-Jul	468.56	4.0
SAC TRADIN/BINDER	044	WYNN	SS	20,000	50.10	n/a	14-Jul	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	XL	S	140,000	13.47	n/a	n/a	4,900.00	3.5
HIGHFIELDS CAP MGMT	039	XOM	B	100,000	71.27	n/a	n/a	5,000.00	5.0
NEWCASTLE FUNDS	255	YUM	SS	35,000	35.32	n/a	15-Jul	1,400.00	4.0
CASTLE ARK	031	ZMH	SS	100	46.44	n/a	n/a	6.00	6.0
<b>TOTAL (Trade Date) :</b>							<b>148,273.19</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/29	NICOLAS APPEGATE (APPL861)	048	GLBL	S	600	6.50	n/a	n/a	18.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL74)	048	GLBL	S	9,400	6.50	n/a	n/a	282.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL66)	048	GLBL	S	2,500	6.50	n/a	n/a	75.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL953)	048	GLBL	S	2,700	6.50	n/a	n/a	81.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL470)	048	GLBL	S	200	6.50	n/a	n/a	6.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL19)	048	GLBL	S	1,300	6.50	n/a	n/a	39.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL858)	048	GLBL	S	1,000	6.50	n/a	n/a	30.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL72)	048	GLBL	S	700	6.50	n/a	n/a	21.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL73)	048	GLBL	S	100	6.50	n/a	n/a	3.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL830)	048	GLBL	S	1,000	6.50	n/a	n/a	30.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL8)	048	GLBL	S	100	6.50	n/a	n/a	3.00 3.0
AO,	07/29	NICOLAS APPEGATE (APPL1237)	048	GLBL	S	1,400	6.50	n/a	n/a	42.00 3.0
AO,CXL	07/29	MACKLOWE ASSET MGMT (MACKCSMILP)	041	KR	B	125,000	21.10	n/a	n/a	5000.00 4.0
AO,CRT	07/29	MACKLOWE ASSET MGMT (MACKCSMILP)	041	KR	B	125,000	21.10	n/a	n/a	6250.00 5.0

**TOTAL (AO, CXL, CRT) :****1,880.00**

TOTAL (Trade Date) :

148,273.19

TOTAL (AO, CXL, CRT) :

1,880.00

**TOTAL (RUN DATE) / NFS:****150,153.19**

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