



Daily Compliance Activity Report

Trade Date: 08/17/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	ANF	SS	10,000	32.31	3-Jun	14-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	37,500	34.54	n/a	7-Aug	1,500.00	4.0
BUCK CAPITAL MGMT	001	AVP	B	29,848	31.36	3-Aug	3-Aug	1,193.92	4.0
LAGRANGE CAP ADV	048	AXL	B	2,400	2.60	n/a	12-Aug	72.00	3.0
TROUBH PART	067	AXL	B	25,000	2.66	n/a	12-Aug	1,250.00	5.0
CAXTON PART	040	AZO	S	6,316	142.95	n/a	n/a	221.06	3.5
MATRIX ASSET ADV.	036	BAC	S	1,000	16.70	11-May	17-Aug	30.00	3.0
ROTHSCHILD ASSET	040	BGC	B	20,220	33.59	n/a	n/a	909.90	4.5
SANDLER O'NEILL ASSET	031	BLK	SS	900	192.20	4-Aug	13-Aug	45.00	5.0
BUCK CAPITAL MGMT	001	CRM	B	30,000	45.25	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	DDS	SS	10,000	10.25	n/a	n/a	400.00	4.0
COLUMBIA PARTNERS	028	DKS	S	30,000	19.50	17-Aug	17-Aug	1,200.00	4.0
HIGHFIELDS CAP MGMT	039	FITB	S	250,000	9.84	n/a	n/a	10,000.00	4.0
BUCK CAPITAL MGMT	001	F	B	135,000	7.45	3-Aug	10-Aug	4,050.00	3.0
TRELLUS PARTNERS LP	028	F	B	50,000	7.39	3-Aug	10-Aug	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	S	20,000	21.77	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	GES	S	20,000	27.40	n/a	n/a	800.00	4.0
SCOGGIN CAP	039	GLW	B	90,000	15.22	27-Jul	27-Jul	2,700.00	3.0
BUCK CAPITAL MGMT	001	GPS	B	20,000	18.29	n/a	30-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	HOG	B	20,000	21.61	n/a	n/a	800.00	4.0
PRIMECAP MGMT	048	HPQ	B	5,200	43.10	n/a	n/a	260.00	5.0
MILLENNIUM-ANDEW	031	IBN	B	10,000	28.86	n/a	n/a	600.00	6.0
MILLENNIUM-ANDEW	031	IFN	B	10,000	25.82	n/a	n/a	600.00	6.0
MILLENNIUM-ANDEW	031	IIF	B	10,000	18.15	n/a	n/a	600.00	6.0
SCHOTTENFELD ASSOC	041	IP	B	15,000	19.03	14-Aug	14-Aug	450.00	3.0
BUCK CAPITAL MGMT	001	JNS	B	145,000	13.26	16-Jul	13-Aug	5,800.00	4.0
PRIMECAP MGMT	048	MON	B	2,500	79.98	n/a	17-Aug	125.00	5.0
PRIMECAP MGMT	048	MSFT	B	5,000	23.28	n/a	3-Apr	250.00	5.0
BUCK CAPITAL MGMT	001	MW	B	20,000	22.29	n/a	n/a	800.00	4.0
COUGAR TRADING	044	M	SS	10,000	14.70	n/a	13-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	038	M	SS	33,000	14.50	n/a	13-Aug	1,320.00	4.0
SCOPUS FUND	041	M	B	20,000	14.54	n/a	13-Aug	1,000.00	5.0
TROUBH PART	067	M	B	25,000	14.53	n/a	13-Aug	1,250.00	5.0
MATRIX ASSET ADV.	036	OMC	S	400	34.76	n/a	n/a	16.00	4.0
LATEFF MGMT	035	PRGO	B	4,000	26.38	n/a	17-Aug	480.00	12.0
BUCK CAPITAL MGMT	001	PSS	S	20,000	14.03	n/a	n/a	800.00	4.0
PRINCIPLE CAPITAL	040	RCL	SS	200,000	16.28	31-Jul	31-Jul	6,000.00	3.0
SCHOTTENFELD ASSOC	041	RKT	B	10,000	44.87	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	RVI	B	18,200	3.84	n/a	n/a	546.00	3.0
PILOT ADV	038	SHW	SS	10,000	59.55	17-Apr	7-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	14.15	n/a	13-Mar	1,600.00	4.0
BUCK CAPITAL MGMT	001	SSI	SS	10,000	12.37	n/a	7-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	TGT	S	10,000	41.32	6-Aug	17-Aug	400.00	4.0
TYEE/TYGH	035	WDR	B	19,439	26.17	29-Jul	13-Aug	777.56	4.0
TROUBH PART	067	WMT	B	25,000	51.69	11-May	13-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	36.85	28-Jul	12-Aug	800.00	4.0
EPOCH INV MGMT	030	WRC	B	50,000	36.78	28-Jul	12-Aug	1,500.00	3.0

TOTAL (Trade Date):

58,796.44

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/13	ROTHSCHILD ASSET (ROTH3762)	040	MET	S	1,170	36.03	n/a	n/a	52.65	4.5
AO,CXL	08/13	ROTHSCHILD ASSET (ROTH3761)	040	MET	S	1,170	36.03	n/a	n/a	52.65	4.5
AO,CXL	08/14	&ACK (&ACKAGS)	028	PNK	S	11,994	10.12	n/a	n/a	359.82	3.0
AO,CRT	08/14	ACK ASSET (ACKABEARPB)	028	PNK	S	11,994	10.12	n/a	n/a	359.82	3.0
AO,	08/14	ARAGON GLOBAL (ARAGGS)	041	RGC	SS	34,000	11.76	n/a	n/a	1700.00	5.0

TOTAL (AO, CXL, CRT) :	1,700.00
-------------------------------	-----------------

TOTAL (Trade Date) :	58,796.44
TOTAL (AO, CXL, CRT) :	1,700.00

TOTAL (RUN DATE) / NFS :	60,496.44
---------------------------------	------------------

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