



Daily Compliance Activity Report

Trade Date: 07/28/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AMG	S	15,600	62.86	5-Jun	27-Jul	780.00	5.0
ROYCE TRADING	216	AOS	B	18,000	39.22	17-Jul	17-Jul	900.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	36.25	n/a	10-Jul	400.00	4.0
COUGAR TRADING	044	ARO	B	5,000	35.88	n/a	10-Jul	250.00	5.0
MILLENNIUM-ANDEW	031	AXE	B	15,000	32.94	28-Jul	28-Jul	1,200.00	8.0
GREEN ARROW CAPITAL	040	AXP	SS	15,000	27.67	n/a	28-Jul	750.00	5.0
DIAMONDBACK CAP MGMT	232	BAC	S	50,000	13.25	11-May	20-Jul	2,500.00	5.0
OZ MGMT	040	BAC	B	250,000	13.22	11-May	20-Jul	7,500.00	3.0
BUCK CAPITAL MGMT	001	BBY	SS	30,000	37.21	n/a	27-Jul	1,200.00	4.0
GREEN ARROW CAPITAL	040	BKC	S	20,000	16.92	16-Apr	10-Jul	1,000.00	5.0
EPOCH INV MGMT	030	BTU	B	1,750	33.70	n/a	n/a	70.00	4.0
COOPER CREEK PART	028	BWA	B	10,000	35.51	10-Jun	16-Jul	400.00	4.0
PZENA INV ADV	044	CAH	S	900	33.00	n/a	n/a	31.50	3.5
PZENA INV ADV	044	CA	S	2,500	20.70	n/a	n/a	87.50	3.5
EPOCH INV MGMT	030	CL	B	1,550	75.41	8-Jun	8-Jun	62.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	COF	S	850	29.37	15-May	28-Jul	29.75	3.5
BUCK CAPITAL MGMT	001	COH	S	40,000	27.25	n/a	16-Jul	1,600.00	4.0
EPOCH INV MGMT	030	COP	B	2,800	44.70	n/a	n/a	112.00	4.0
EGS ASSOCIATES LP	091	CPKI	SS	3,500	16.60	29-May	15-Jul	210.00	6.0
BUCK CAPITAL MGMT	001	CRI	B	160,000	26.82	n/a	n/a	6,400.00	4.0
PZENA INV ADV	044	CRL	S	750	31.94	n/a	n/a	26.25	3.5
RAINIER INV MGMT	035	CXO	S	35,840	30.16	n/a	n/a	1,792.00	5.0
SLS CAPITAL LLC	224	DAL	B	102,500	6.44	n/a	n/a	3,075.00	3.0
EPOCH INV MGMT	030	DD	B	4,900	30.12	n/a	21-Jul	196.00	4.0
KINGDON ASSET MGMT	041	DECK	B	25,000	67.61	n/a	n/a	1,000.00	4.0
PZENA INV ADV	044	DELL	S	1,675	13.83	n/a	n/a	58.63	3.5
EPOCH INV MGMT	030	DE	B	2,350	41.93	n/a	17-Jun	94.00	4.0
COOPER CREEK PART	028	DSW	SS	10,000	12.98	28-Jul	28-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	96,800	20.33	n/a	10-Jan	3,872.00	4.0
BUCK CAPITAL MGMT	001	GES	S	20,000	28.70	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	GPI	SS	10,000	27.31	n/a	29-Apr	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GPS	S	100,000	16.07	n/a	30-Jan	4,000.00	4.0
PZENA INV ADV	044	HD	S	875	25.25	12-May	20-May	30.63	3.5
RK CAPTIAL MGMT	045	HEI	SS	5,000	38.46	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	IP	SS	25,000	18.38	21-Jul	21-Jul	1,250.00	5.0
CAXTON PART	040	IP	S	115,908	18.28	21-Jul	21-Jul	4,056.80	3.5
BUCK CAPITAL MGMT	001	JCG	B	10,000	28.22	n/a	30-Jan	400.00	4.0
PZENA INV ADV	044	JCP	S	1,800	28.86	13-Apr	10-Jul	63.00	3.5
CARLSON CAPITAL	203	JPM	S	52,800	37.95	n/a	20-Jul	2,112.00	4.0
KENNEDY CAPITAL	046	KPPC	B	100,000	5.26	n/a	n/a	3,000.00	3.0
MERRILL ASSET/BLACKROCK	214	LF	B	40,000	2.48	n/a	n/a	1,800.00	4.5
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	1.65	n/a	4-Jan	1,000.00	5.0
GREEN ARROW CAPITAL	040	LVS	S	30,000	10.82	n/a	14-Jul	1,500.00	5.0
SAC TRADING/BILLY	044	MA	S	10,000	186.97	n/a	28-Jul	400.00	4.0
HOLLIS CAPITAL	033	MRK	S	5,000	30.02	n/a	n/a	250.00	5.0
CATAPULT	040	MYL	B	70,000	13.21	n/a	27-Jul	3,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	NTY	B	80,000	35.60	n/a	n/a	3,200.00	4.0
APEX CAPITAL MGMT.	091	NVDA	S	100,000	12.93	n/a	n/a	4,000.00	4.0
MOORE CAPITAL	036	NWL	B	65,000	12.15	n/a	n/a	2,600.00	4.0
BALYASNY ASSET MGMT	044	OMX	B	20,000	7.26	n/a	15-Apr	800.00	4.0
MARINER/TRICADIA	041	OUTD	B	800	7.03	n/a	n/a	40.00	5.0
MARINER/TRICADIA	041	OUTD	S	800	7.10	n/a	n/a	40.00	5.0
MERRILL ASSET/BLACKROCK	214	PLCE	B	5,300	29.71	19-Mar	10-Jul	238.50	4.5
BUCK CAPITAL MGMT	001	PSS	S	30,000	15.61	n/a	n/a	1,200.00	4.0
BAIRD INVESTMENT	256	PVH	S	17,425	34.94	28-Jul	28-Jul	871.25	5.0
THE JAY GOLDMAN	034	PVH	SS	10,000	34.66	28-Jul	28-Jul	400.00	4.0
FIRST NEW YORK NICK	029	Q	B	30,000	4.06	n/a	n/a	1,500.00	5.0
GREEN ARROW CAPITAL	040	RCL	S	15,000	15.79	22-Apr	24-Apr	750.00	5.0
BUCK CAPITAL MGMT	001	RL	S	10,000	60.89	28-Jul	28-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	60,000	13.62	n/a	13-Mar	2,400.00	4.0
MERRILL ASSET/BLACKROCK	214	SMBL	B	50,000	5.81	n/a	n/a	2,250.00	4.5
MERRILL ASSET/BLACKROCK	214	TEX	B	7,000	14.26	n/a	24-Jul	315.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	TIN	SS	25,000	15.71	23-Jul	23-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	5.27	n/a	30-Jan	900.00	3.0
MAIRS AND POWER INV	030	VAL	S	20,000	24.42	n/a	n/a	1,000.00	5.0
KACELA CAPITAL	034	V	S	10,000	67.62	n/a	28-Jul	400.00	4.0
JP MORGAN VENTURES	046	WMT	S	30,000	48.84	11-May	6-Jul	1,500.00	5.0
WEISS PECK	040	WYNN	SS	5,800	46.43	n/a	14-Jul	290.00	5.0
BMO NESBITT BURNS	041	WY	SS	25,000	34.63	n/a	20-Jul	1,250.00	5.0
TOTAL (Trade Date) :								88,403.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/27	MILLENIU M PARTNERS (MILPINTREG)	028	FNF	S	40,000	13.52	n/a	n/a	1600.00 4.0
AO,CXL	07/27	MILLENIU M PARTNERS (MILPUSE)	028	FNF	S	40,000	13.52	n/a	n/a	1600.00 4.0
AO,CRT	07/27	REINHART & MAHONEY (REINTURERQ)	031	JPM	B	15	38.12	n/a	20-Jul	0.75 5.0
AO,CXL	07/27	REINHART & MAHONEY (REINTURERB)	031	JPM	B	15	38.12	n/a	20-Jul	0.75 5.0
AO,	07/27	HIGHFIELDS CAP MGMT (HIGFCSFB)	039	MGM	S	125,000	7.85	n/a	8-Jul	5000.00 4.0

TOTAL (AO, CXL, CRT) :**5,000.00**

TOTAL (Trade Date) :

88,403.81

TOTAL (AO, CXL, CRT) :

5,000.00

TOTAL (RUN DATE) / NFS:**93,403.81**

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