

Daily Compliance Activity Report Trade Date: 08/11/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
RBC CAPITAL MARKETS	040	ADM	В	10,000	28.51	1-Jun	4-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	20,000	15.22	25-Jun	7-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	ANF	s	80,000	31.60	3-Jun	7-Aug	3,200.00	4.0
HOLLIS CAPITAL	033	AN	В	5,000	19.12	3-Aug	5-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	s	10,000	36.10	n/a	7-Aug	400.00	4.0
MORRISON/TLB/BAYPOINT	040	AVP	S	10,000	31.80	3-Aug	3-Aug	300.00	3.0
LAGRANGE CAP ADV	048	AXL	В	60,000	3.45	n/a	10-Aug	1,800.00	3.0
OZ MGMT	040	AXL	В	200,000	3.74	n/a	10-Aug	6,000.00	3.0
SLS CAPITAL LLC	224	AXL	В	25,600	3.19	n/a	10-Aug	640.00	2.5
TRELLUS PARTNERS LP	028	AXL	В	100,000	3.67	n/a	10-Aug	3,000.00	3.0
FINANCIAL STOCK LP	028	BAC	S	64,595	16.20	11-May	20-Jul	2,583.80	4.0
DIAMONDBACK CAP MGMT	232	ВА	С	15,000	45.24	n/a	n/a	750.00	5.0
RBC CAPITAL MARKETS	040	BBY	В	10,000	36.77	n/a	27-Jul	400.00	4.0
BRIGADE CAPITAL MGMT	029	BONT	В	9,018	4.08	n/a	6-Feb	270.54	3.0
MISSOURI VALLEY PART	046	BXP	В	23,945	59.45	n/a	n/a	1,197.25	5.0
NEUBERGER BERMAN	036	CBI	S	174,600	14.24	n/a	n/a	7,857.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
WELLS/STRONG LEDDY	035	CBK	В	4,100	7.92	n/a	30-Jan	123.00	3.0	
JP MORGAN VENTURES	046	CHS	В	20,000	11.83	n/a	30-Jan	1,000.00	5.0	
BUCK CAPITAL MGMT	001	СОН	s	21,300	29.56	n/a	29-Jul	852.00	4.0	
RBC CAPITAL MARKETS	040	COST	SS	10,000	48.97	n/a	27-Jul	400.00	4.0	
BENCHMARK	028	CTAS	S	15,000	26.14	n/a	n/a	600.00	4.0	
MTB INV ADV	034	DIN	В	14,675	22.67	n/a	n/a	733.75	5.0	
GREEN ARROW CAPITAL	040	DKS	SS	400	21.13	27-Apr	3-Aug	20.00	5.0	
METROPOLITAN CAPITAL	044	DRI	В	5,300	31.89	19-Mar	15-Jul	265.00	5.0	
CARLSON CAPITAL	203	FITB	SS	208,000	9.61	n/a	n/a	10,400.00	5.0	
EATON VANCE MGMT	039	FITB	В	2,000,000	9.56	n/a	n/a	40,000.00	2.0	
TROUBH PART	067	F	В	25,000	7.81	3-Aug	10-Aug	1,250.00	5.0	
BUCK CAPITAL MGMT	001	GES	s	30,000	28.57	n/a	n/a	1,200.00	4.0	
BUCK CAPITAL MGMT	001	GIL	В	20,000	17.36	25-Jun	25-Jun	800.00	4.0	
BRIGADE CAPITAL MGMT	029	GPK	В	200,000	2.33	n/a	n/a	6,000.00	3.0	
MAIRS AND POWER INV	030	HRL	S	10,000	38.00	n/a	n/a	500.00	5.0	
SANDLER O'NEILL ASSET	031	IVZ	В	23,000	20.40	6-Aug	10-Aug	1,150.00	5.0	
	WELLS/STRONG LEDDY JP MORGAN VENTURES BUCK CAPITAL MGMT RBC CAPITAL MARKETS BENCHMARK MTB INV ADV GREEN ARROW CAPITAL METROPOLITAN CAPITAL CARLSON CAPITAL EATON VANCE MGMT TROUBH PART BUCK CAPITAL MGMT BUCK CAPITAL MGMT BRIGADE CAPITAL MGMT MAIRS AND POWER INV	WELLS/STRONG LEDDY 035 JP MORGAN VENTURES 046 BUCK CAPITAL MGMT 001 RBC CAPITAL MARKETS 040 BENCHMARK 028 MTB INV ADV 034 GREEN ARROW CAPITAL 040 METROPOLITAN CAPITAL 044 CARLSON CAPITAL 203 EATON VANCE MGMT 039 TROUBH PART 067 BUCK CAPITAL MGMT 001 BUCK CAPITAL MGMT 001 BRIGADE CAPITAL MGMT 029 MAIRS AND POWER INV 030	WELLS/STRONG LEDDY 035 CBK JP MORGAN VENTURES 046 CHS BUCK CAPITAL MGMT 001 COH RBC CAPITAL MARKETS 040 COST BENCHMARK 028 CTAS MTB INV ADV 034 DIN GREEN ARROW CAPITAL 040 DKS METROPOLITAN CAPITAL 040 DKS CARLSON CAPITAL 203 FITB EATON VANCE MGMT 039 FITB TROUBH PART 067 F BUCK CAPITAL MGMT 001 GES BUCK CAPITAL MGMT 001 GIL BRIGADE CAPITAL MGMT 029 GPK MAIRS AND POWER INV 030 HRL	WELLS/STRONG LEDDY 035 CBK B JP MORGAN VENTURES 046 CHS B BUCK CAPITAL MGMT 001 COH S RBC CAPITAL MARKETS 040 COST SS BENCHMARK 028 CTAS S MTB INV ADV 034 DIN B GREEN ARROW CAPITAL 040 DKS SS METROPOLITAN CAPITAL 044 DRI B CARLSON CAPITAL 203 FITB SS EATON VANCE MGMT 039 FITB B TROUBH PART 067 F B BUCK CAPITAL MGMT 001 GES S BUCK CAPITAL MGMT 001 GIL B BRIGADE CAPITAL MGMT 029 GPK B MAIRS AND POWER INV 030 HRL S	WELLS/STRONG LEDDY 035 CBK B 4,100 JP MORGAN VENTURES 046 CHS B 20,000 BUCK CAPITAL MGMT 001 COH S 21,300 RBC CAPITAL MARKETS 040 COST SS 10,000 BENCHMARK 028 CTAS S 15,000 MTB INV ADV 034 DIN B 14,675 GREEN ARROW CAPITAL 040 DKS SS 400 METROPOLITAN CAPITAL 044 DRI B 5,300 CARLSON CAPITAL 203 FITB SS 208,000 EATON VANCE MGMT 039 FITB B 2,000,000 TROUBH PART 067 F B 25,000 BUCK CAPITAL MGMT 001 GES S 30,000 BUCK CAPITAL MGMT 001 GIL B 20,000 BUCK CAPITAL MGMT 029 GPK B 200,000 MAIRS AND POWER INV 030 HRL S 10,000	WELLS/STRONG LEDDY 035 CBK B 4,100 7.92 JP MORGAN VENTURES 046 CHS B 20,000 11.83 BUCK CAPITAL MGMT 001 COH S 21,300 29.56 REC CAPITAL MARKETS 040 COST SS 10,000 48.97 BENCHMARK 028 CTAS S 15,000 26.14 MTB INV ADV 034 DIN B 14,675 22.67 GREEN ARROW CAPITAL 040 DKS SS 400 21.13 METROPOLITAN CAPITAL 044 DRI B 5,300 31.89 CARLSON CAPITAL 203 FITB SS 208,000 9.61 EATON VANCE MGMT 039 FITB B 2,000,000 9.56 TROUBH PART 067 F B 25,000 7.81 BUCK CAPITAL MGMT 001 GES S 30,000 28.57 BUCK CAPITAL MGMT 001 GIL B 20,000 17.36 BRIGADE CAPITAL MGMT 029 GPK B 200,000 2.33 MAIRS AND POWER INV 030 HRL S 10,000 38.00	WELLS/STRONG LEDDY 035 CBK B 4,100 7.92 n/a JP MORGAN VENTURES 046 CHS B 20,000 11.83 n/a BUCK CAPITAL MGMT 001 COH S 21,300 29.56 n/a REC CAPITAL MGMT 040 COST SS 10,000 48.97 n/a BENCHMARK 028 CTAS S 15,000 26.14 n/a MTB INV ADV 034 DIN B 14,675 22.67 n/a GREEN ARROW CAPITAL 040 DKS SS 400 21.13 27-Apr METROPOLITAN CAPITAL 044 DRI B 5,300 31.89 19-Mar CARLSON CAPITAL 203 FITB SS 208,000 9.61 n/a EATON VANCE MGMT 039 FITB B 25,000 7.81 3-Aug BUCK CAPITAL MGMT 001 GES S 30,000 28.57 n/a BUCK CAPITAL	WELLS/STRONG LEDDY 0.35 CBK B 4,100 7.92 n/a 30-Jan JP MORGAN VENTURES 0.46 CHS B 20,000 11.83 n/a 30-Jan BUCK CAPITAL MGMT 0.01 COH S 21,300 29.56 n/a 29-Jul REC CAPITAL MGMT 0.028 CTAS S 10,000 48.97 n/a 27-Jul BENCHMARK 0.28 CTAS S 15,000 26.14 n/a n/a MTB INV ADV 0.34 DIN B 14,675 22.67 n/a n/a GREEN ARROW CAPITAL 0.40 DKS SS 400 21.13 27-Apr 3-Aug METROPOLITAN CAPITAL 0.44 DRI B 5,300 31.89 19-Mar 15-Jul CARLSON CAPITAL 2.03 FITB SS 208,000 9.61 n/a n/a EATON VANCE MGMT 0.39 FITB B 2,000,000 9.56 n/a n/a TROUBH PART 0.67 F B 25,000 7.81 3-Aug 10-Aug BUCK CAPITAL MGMT 0.01 GES S 30,000 28.57 n/a n/a BUCK CAPITAL MGMT 0.01 GIL B 20,000 17.36 25-Jun BRIGADE CAPITAL MGMT 0.29 GPK B 200,000 2.33 n/a n/a MAIRS AND POWER INV 0.30 HRL S 10,000 38.00 n/a n/a	WELLS/STRONG LEDDY 035 CBK B 4,100 7.92 n/a 30-Jan 123.00 JP MORGAN VENTURES 016 CHS B 20,000 11.83 n/a 30-Jan 1,000.00 BUCK CAPITAL MGMT 001 COH S 21,300 29.56 n/a 29-Jul 852.00 REC CAPITAL MARKETS 040 COST SS 10,000 48.97 n/a 27-Jul 400.00 BENCHMARK 028 CTAS S 15,000 26.14 n/a n/a n/a 600.00 MTB INV ADV 034 DIN B 14,675 22.67 n/a n/a 733.75 GREEN ARROW CAPITAL 040 DKS SS 400 21.13 27-Apr 3-Aug 20.00 METROPOLITAN CAPITAL 044 DRI B 5,300 31.89 19-Mar 15-Jul 265.00 CARLSON CAPITAL 203 FITB SS 208,000 9.61 n/a n/a 10,400.00 EATON VANCE MCMT 039 FITB B 2,000,000 9.56 n/a n/a 40,000.00 TROUBH PART 067 F B 25,000 7.81 3-Aug 10-Aug 1,250.00 BUCK CAPITAL MCMT 001 GES S 30,000 28.57 n/a n/a 1,200.00 BUCK CAPITAL MCMT 001 GIL B 20,000 17.36 25-Jun 25-Jun 800.00 BUCK CAPITAL MCMT 029 CPK B 200,000 2.33 n/a n/a n/a 6,000.00 MAIRS AND FOWER INV 030 HRL S 10,000 38.00 n/a n/a 500.00	WELLS/STRONG LEDDY 035 CBK B 4,100 7.92 N/a 30-Jan 123.00 3.0 JP MORGAN VENTURES 046 CHS B 20,000 11.83 N/a 30-Jan 1,000.00 5.0 BUCK CAPITAL MGMT 001 COH S 21,300 29.56 N/a 29-Jul 852.00 4.0 REC CAPITAL MARKETS 040 COST SS 10,000 48.97 N/a 27-Jul 400.00 4.0 BENCHMARK 028 CTAS S 15,000 26.14 N/a N/a N/a 600.00 4.0 MIB INV ADV 034 DIN B 14,675 22.67 N/a N/a 733.75 5.0 GREEN ARROW CAPITAL 040 DRS SS 400 21.13 27-Apr 3-Aug 20.00 5.0 METROPOLITAN CAPITAL 044 DRI B 5,300 31.89 19-Mar 15-Jul 265.00 5.0 CARLSON CAPITAL 203 FITB SS 208,000 9.61 N/a N/a N/a 40,000.00 2.0 EATON VANCE MGMT 039 FITB B 2,000,000 9.56 N/a N/a N/a 40,000.00 2.0 TROUBH PART 067 F B 25,000 7.81 3-Aug 10-Aug 1,250.00 5.0 BUCK CAPITAL MGMT 001 GES S 30,000 28.57 N/a N/a N/a 1,200.00 4.0 BUCK CAPITAL MGMT 001 GES S 30,000 28.57 N/a N/a N/a 6,000.00 3.0 BUCK CAPITAL MGMT 029 GPK B 200,000 2.33 N/a N/a 6,000.00 3.0 MAIRS AND POWER INV 030 HRL S 10,000 38.00 N/a N/a 500.00 5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.	
	MTB INV ADV	034	JBHT	В	26,425	30.13	n/a	n/a	1,321.25	5.0	
	BUCK CAPITAL MGMT	001	JCP	S	40,000	32.82	13-Apr	7-Aug	1,600.00	4.0	
	THE JAY GOLDMAN	034	JCP	В	35,000	33.06	13-Apr	7-Aug	1,400.00	4.0	
	EATON VANCE MGMT	039	JNJ	S	101,091	60.57	n/a	22-Apr	3,032.73	3.0	
	EIDELMAN, FINGER & CO	045	JSM	S	1,609	15.02	n/a	n/a	80.45	5.0	
	RBC CAPITAL MARKETS	040	KSS	S	20,000	52.50	7-Aug	7-Aug	800.00	4.0	
	RBC CAPITAL MARKETS	040	LOW	В	50,000	23.26	10-Aug	10-Aug	2,000.00	4.0	
	TRELLUS PARTNERS LP	028	LVS	В	50,000	11.55	6-Aug	6-Aug	2,500.00	5.0	
	FRONTPOINT/COPIA-ANDREW	035	LZ	В	12,000	60.63	n/a	n/a	420.00	3.5	
	DIAMONDBACK CAP MGMT	232	MCD	В	40,000	56.08	n/a	10-Aug	2,000.00	5.0	
	NEUBERGER BERMAN	036	MDR	В	111,600	22.17	n/a	n/a	5,022.00	4.5	
	NEUBERGER BERMAN	036	MHP	В	30,800	29.50	n/a	n/a	1,386.00	4.5	
	THE JAY GOLDMAN	034	М	SS	100,000	15.62	n/a	7-Aug	4,000.00	4.0	
õ	David Keidan		NP	S	3894 1	1.0200	11-Aug	11-Aug	0.00	0.0	
	BUCK CAPITAL MGMT	001	NTY	В	20,000	36.49	n/a	n/a	800.00	4.0	
	FRONTPOINT/COPIA-ANDREW	035	OSK	В	30,800	25.78	n/a	n/a	1,078.00	3.5	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
HIGHBRIDGE CAPITAL	038	PCH	В	19,000	29.70	n/a	29-Jul	760.00	4.0	
MTB INV ADV	034	PNRA	В	4,225	53.32	30-Jul	30-Jul	211.25	5.0	
BUCK CAPITAL MGMT	001	PVH	В	10,000	34.05	28-Jul	28-Jul	400.00	4.0	
SIGMA CAP BOBBY	044	SHPGY	S	30,000	49.41	n/a	11-Aug	1,200.00	4.0	
WAGONHOUND/NIC	048	SNDA	S	2,622	49.93	n/a	n/a	104.88	4.0	
MISSOURI VALLEY PART	046	SPG	S	26,334	62.57	n/a	n/a	1,316.70	5.0	
NEUBERGER BERMAN	036	SPLS	S	316,000	22.24	n/a	27-Jul	14,220.00	4.5	
METROPOLITAN CAPITAL	044	SWY	В	5,300	18.93	n/a	n/a	265.00	5.0	
MTB INV ADV	034	TUP	В	7 , 375	32.15	n/a	n/a	368.75	5.0	
WASHINGTON ASSET	048	WBC	В	25 , 000	19.50	5-Aug	5-Aug	1,250.00	5.0	
TYEE/TYGH	035	WDR	В	25 , 000	27.00	29-Jul	7-Aug	1,000.00	4.0	
MTB INV ADV	034	WMS	В	9,500	40.98	n/a	n/a	475.00	5.0	
BUCK CAPITAL MGMT	001	WRC	S	30,000	38.49	28-Jul	28-Jul	1,200.00	4.0	
METROPOLITAN CAPITAL	044	YUM	В	5,300	34.86	n/a	15-Jul	265.00	5.0	

TOTAL (Trade Date): 145,619.35

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/S	Shr.
AO,CRT AO,CXL		MILLENIUM PARTNERS (MILPINTREG) MILLENIUM PARTNERS (MILPUSE)	028 028	HRP HRP	ВВ	150,000 150,000	5.74 5.74	n/a n/a			1.0
TOTAL	(AO, (CXL, CRT):								0.00	

TOTAL (RUN DATE) / NFS:	145,619.35
TOTAL (AO, CXL, CRT):	0.00
TOTAL (Trade Date):	145,619.35

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