



## Daily Compliance Activity Report

Trade Date: 08/26/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	S	60,000	27.59	n/a	n/a	2,400.00	4.0
HIGHBRIDGE/MS OLDS	041	AEO	B	59,100	14.71	25-Jun	7-Aug	2,955.00	5.0
LISTED ERR	099	AHL	B	15	24.75	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	AIR	B	34,280	17.29	n/a	n/a	1,542.60	4.5
HIGHBRIDGE/MS OLDS	041	APC	B	100,000	54.29	n/a	24-Aug	4,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	90,000	40.44	n/a	21-Aug	3,600.00	4.0
CIRCLE T/SES PART	035	AXL	B	40,000	6.34	19-Aug	19-Aug	1,600.00	4.0
MILLRACE FUND LP	028	AXL	S	10,000	6.20	19-Aug	19-Aug	300.00	3.0
THIRD COAST CAPITAL	035	AXL	B	25,000	6.37	19-Aug	19-Aug	1,250.00	5.0
SCOPUS FUND	041	BWA	SS	20,000	29.97	3-Aug	24-Aug	1,000.00	5.0
SCOPUS FUND	041	BZ	S	100,000	4.91	n/a	n/a	5,000.00	5.0
CHARTER OAK	033	CEPH	B	50,000	56.76	21-May	25-Aug	2,500.00	5.0
HIGHFIELDS CAP MGMT	039	COP	S	165,800	45.47	n/a	n/a	6,632.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CTV	B	2,600	27.52	n/a	n/a	104.00	4.0
SUN AMERICA ASSET MGMT	030	CTXS	S	6,300	36.14	n/a	n/a	252.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAVU CAP ADV	028	DELL	B	25,000	14.65	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	DLTR	B	10,000	50.29	n/a	26-Aug	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	DNR	B	3,200	15.59	n/a	n/a	128.00	4.0
CRAMER ROSENTHAL/SCOTT	012	DRC	B	400	30.64	n/a	n/a	16.00	4.0
CASEY CAPITAL	067	DRI	B	25,000	33.81	13-Aug	13-Aug	1,250.00	5.0
HARVEST MGMT	039	DRI	B	22,200	33.61	13-Aug	13-Aug	1,110.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>SS</b>	<b>30,000</b>	<b>15.08</b>	<b>26-Aug</b>	<b>26-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	DSW	B	10,000	15.43	26-Aug	26-Aug	500.00	5.0
GREEN ARROW DOUG	040	DY	B	8,207	12.00	n/a	n/a	410.35	5.0
CRAMER ROSENTHAL/SCOTT	012	ELY	B	2,900	6.92	n/a	n/a	116.00	4.0
CRAMER ROSENTHAL/SCOTT	012	EQT	B	1,100	41.19	n/a	n/a	44.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.41	n/a	n/a	600.00	6.0
CRAMER ROSENTHAL/SCOTT	012	EW	B	800	63.42	n/a	n/a	32.00	4.0
CAVU CAP ADV	028	FCS	B	35,000	9.81	n/a	n/a	1,750.00	5.0
CRAMER ROSENTHAL/SCOTT	012	FHN	B	3,500	13.70	n/a	n/a	140.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>200,000</b>	<b>10.22</b>	<b>27-Apr</b>	<b>21-Aug</b>	<b>8,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	FL	B	4,500	10.16	27-Apr	21-Aug	180.00	4.0
CRAMER ROSENTHAL/SCOTT	012	FMC	B	1,400	49.03	n/a	n/a	56.00	4.0
CRAMER ROSENTHAL/SCOTT	012	FNF	B	2,100	15.47	n/a	n/a	84.00	4.0
WILLOW CREEK	033	FSLR	SS	1,000	125.50	n/a	n/a	50.00	5.0
BRENCOURT	028	F	B	50,000	7.54	3-Aug	21-Aug	1,500.00	3.0
GCORE MANAGEMENT	252	F	B	10,000	7.52	3-Aug	21-Aug	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	GEF	B	1,800	50.69	n/a	n/a	72.00	4.0
GREEN ARROW DOUG	040	GKSR	SS	12,000	23.00	n/a	n/a	600.00	5.0
WILLOW CREEK	033	GS	SS	1,500	165.53	14-Jul	14-Jul	75.00	5.0
DIAMONDBACK CAP MGMT	232	HD	S	100,000	27.68	10-Aug	19-Aug	5,000.00	5.0
WILLOW CREEK	033	HZO	SS	7,500	7.65	n/a	n/a	375.00	5.0
SCOPUS FUND	041	IP	SS	64,987	21.33	14-Aug	14-Aug	3,249.35	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>S</b>	<b>50,000</b>	<b>30.95</b>	<b>13-Apr</b>	<b>14-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
CADIAN CAPITAL	067	JCP	S	50,000	31.01	13-Apr	14-Aug	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	JCP	B	25,000	30.50	13-Apr	14-Aug	1,250.00	5.0
WILLOW CREEK	033	NKE	SS	2,000	55.43	n/a	n/a	100.00	5.0
HARBORWATCH/DIAMBACK	232	NSC	S	15,000	46.19	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GCORE MANAGEMENT	252	NSM	S	35,000	15.14	n/a	n/a	1,750.00	5.0
EATON VANCE MGMT	039	PFE	B	150,000	16.75	n/a	31-Mar	4,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	9,000	19.83	21-Jul	21-Jul	450.00	5.0
POINT BLANK CAPITAL	028	PKG	B	5,000	19.72	21-Jul	21-Jul	250.00	5.0
TRELLUS PARTNERS LP	028	PKG	B	14,880	19.72	21-Jul	21-Jul	744.00	5.0
ARCHON CAPITAL	035	PWRD	SS	17,500	39.06	n/a	n/a	525.00	3.0
KARSCH CAPITAL	034	QQQQ	SS	251,800	40.18	n/a	n/a	5,036.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RCL</b>	<b>B</b>	<b>65,000</b>	<b>19.61</b>	<b>31-Jul</b>	<b>31-Jul</b>	<b>2,600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>16.29</b>	<b>n/a</b>	<b>13-Mar</b>	<b>800.00</b>	<b>4.0</b>
SENATOR INVESTMENT GROUP	036	SLT	B	25,000	13.87	n/a	n/a	750.00	3.0
CAVU CAP ADV	028	STX	SS	20,000	12.13	n/a	n/a	1,000.00	5.0
POINT BLANK CAPITAL	028	TEX	SS	5,000	16.76	n/a	24-Jul	250.00	5.0
STADIA CAPITAL	035	TGT	B	15,900	47.25	19-Aug	19-Aug	636.00	4.0
SCOPUS FUND	041	TIN	SS	28,600	16.84	14-Aug	14-Aug	1,430.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>SS</b>	<b>30,000</b>	<b>6.50</b>	<b>n/a</b>	<b>30-Jan</b>	<b>900.00</b>	<b>3.0</b>
GREEN ARROW DOUG	040	TWI	S	10,000	8.80	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STADIA CAPITAL	035	URBN	B	18,000	29.10	n/a	30-Jan	720.00	4.0
GRANITE CAPITAL	045	VCI	SS	20,000	15.83	n/a	n/a	1,000.00	5.0
CATAPULT	040	VLO	B	25,000	19.03	n/a	n/a	1,250.00	5.0
CENTURION PARTNERS	041	WFC	S	25,000	27.11	n/a	n/a	1,000.00	4.0
SCOPUS FUND	041	WY	B	25,000	37.30	n/a	3-Aug	1,250.00	5.0
<b>TOTAL (Trade Date):</b>								<b>95,364.30</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/25	PARTNER REINSURANCE (PARRPUSDEQ)	033	ODP	B	37,100	5.39	n/a	27-Jul	1113.00 3.0
AO,CXL	08/25	PARTNER REINSURANCE (PARRPUSFEQ)	033	ODP	B	37,100	5.39	n/a	27-Jul	1113.00 3.0
AO,CXL	08/25	JMP ASSET MGMT (JMPAGS)	210	ZAGG	S	7,400	5.45	n/a	n/a	370.00 5.0
AO,CRT	08/25	JMP ASSET MGMT (JMPAGS)	210	ZAGG	S	7,400	5.45	n/a	n/a	296.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-74.00</b>

TOTAL (Trade Date) :	95,364.30
TOTAL (AO, CXL, CRT) :	-74.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>95,290.30</b>
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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