



Daily Compliance Activity Report

Trade Date: 07/17/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	158,000	14.15	25-Jun	10-Jul	6,320.00	4.0
EPOCH INV MGMT	030	AET	B	950	26.67	n/a	n/a	38.00	4.0
EPOCH INV MGMT	030	AMP	B	950	24.69	n/a	n/a	38.00	4.0
LAGRANGE CAP ADV	048	AXL	B	20,000	1.31	n/a	9-Jul	600.00	3.0
TRELLUS PARTNERS LP	028	AXL	B	200,000	1.37	n/a	9-Jul	6,000.00	3.0
L.R.BURTSCHY & CO	045	BAC	B	25,000	12.90	11-May	10-Jul	1,500.00	6.0
TROUBH PART	067	BAC	S	25,000	13.06	11-May	10-Jul	1,250.00	5.0
EPOCH INV MGMT	030	BA	B	700	42.31	n/a	n/a	28.00	4.0
EPOCH INV MGMT	030	BK	B	1,050	29.63	11-May	10-Jul	42.00	4.0
EPOCH INV MGMT	030	BSX	B	2,100	10.20	n/a	22-Apr	84.00	4.0
ACK ASSET	028	CAKE	B	21,000	17.54	29-May	17-Jul	630.00	3.0
IVORY CAPITAL	034	CIT	B	1,000,000	0.69	16-Jul	16-Jul	5,000.00	0.0
BUCK CAPITAL MGMT	001	CLX	B	50,000	58.21	15-Jun	15-Jun	2,000.00	4.0
EPOCH INV MGMT	030	CMCSK	B	2,100	13.73	n/a	n/a	84.00	4.0
BUCK CAPITAL MGMT	001	COH	S	5,000	26.57	n/a	16-Jul	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	CYCL	S	10,000	7.61	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	DAI	SS	20,000	40.79	n/a	n/a	800.00	4.0
COUGAR TRADING	044	DKS	B	10,000	18.69	27-Apr	20-May	500.00	5.0
BUCK CAPITAL MGMT	001	EL	SS	20,000	33.12	5-May	5-May	800.00	4.0
EPOCH INV MGMT	030	ERTS	B	850	21.55	n/a	n/a	34.00	4.0
NEUBERGER BERMAN	036	FRT	B	3,400	51.80	n/a	n/a	153.00	4.5
BMO NESBITT BURNS	041	F	B	50,000	6.08	n/a	16-Jul	2,500.00	5.0
COOPER CREEK PART	028	F	B	25,000	6.10	n/a	16-Jul	750.00	3.0
TRELLUS PARTNERS LP	028	F	B	100,000	6.07	n/a	16-Jul	3,000.00	3.0
SIGMA CAPITAL ASSOCIATES	041	HLF	S	50,000	31.84	n/a	n/a	2,000.00	4.0
BMO NESBITT BURNS	041	IP	SS	25,000	16.16	23-Jun	23-Jun	1,250.00	5.0
OZ MGMT	040	IP	S	125,653	16.28	23-Jun	23-Jun	3,769.59	3.0
BMO NESBITT BURNS	041	IR	S	39,700	21.74	n/a	1-Jul	1,985.00	5.0
WAGONHOUND/NIC	048	JCI	S	13,617	21.22	2-Jun	2-Jun	544.68	4.0
HUNTER GLOBAL INVESTOR	067	JKHY	SS	50,000	20.75	n/a	n/a	2,500.00	5.0
ISLE RIDGE PARTNERS	041	LTD	SS	1,000	11.62	n/a	30-Jan	50.00	5.0
MISSION GLOBAL LLC	041	MOT	S	50,000	6.19	n/a	n/a	1,750.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ISLE RIDGE PARTNERS	041	M	S	1,000	11.94	n/a	10-Jul	50.00	5.0
ARAGON GLOBAL	041	PCLN	B	6,000	115.83	n/a	n/a	300.00	5.0
PROSPECTOR PARTNERS LLC	036	PCZ	S	10,000	38.49	n/a	n/a	400.00	4.0
PRINCIPLE CAPITAL	040	RCL	SS	55,600	13.61	22-Apr	24-Apr	1,668.00	3.0
BUCK CAPITAL MGMT	001	RL	S	15,000	55.48	25-Jun	25-Jun	600.00	4.0
CARDINAL CAPITAL	044	RX	S	31,200	13.15	n/a	n/a	1,560.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	50,000	11.83	n/a	13-Mar	2,000.00	4.0
JP MORGAN VENTURES	046	SKX	S	30,000	11.93	n/a	13-Mar	1,500.00	5.0
JP MORGAN VENTURES	046	SVU	S	25,000	13.54	n/a	n/a	1,250.00	5.0
CATAPULT	040	TGI	SS	31,000	39.26	n/a	n/a	1,550.00	5.0
EPOCH INV MGMT	030	TMO	B	850	40.71	n/a	n/a	34.00	4.0
ELM RIDGE ADVISORS	044	UFS	B	34,850	15.08	n/a	n/a	1,394.00	4.0
ARAGON GLOBAL	041	WMT	SS	21,600	48.44	11-May	6-Jul	1,080.00	5.0
COUGAR TRADING	044	WRC	B	5,000	34.58	13-May	13-May	250.00	5.0
ISLE RIDGE PARTNERS	041	XHB	B	10,000	12.53	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	XOM	B	800	68.25	n/a	n/a	32.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWCASTLE FUNDS	255	YUM	SS	36,303	33.81	n/a	15-Jul	1,452.12	4.0
TOTAL (Trade Date):								62,120.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/16	TPG-AXON (TPGACREDSW)	040	BAC	S	77,795	13.11	11-May	10-Jul	3889.75 5.0
AO,	07/16	TPG-AXON (TPGAG S PR)	040	BAC	S	422,205	13.11	11-May	10-Jul	21110.25 5.0
AO,CXL	07/16	CAVU CAP ADV (CAVUMAN CS)	028	ETN	B	35,000	44.83	27-May	19-Jun	1750.00 5.0
AO,CRT	07/16	CAVU CAP ADV (CAVUCREDIS)	028	ETN	B	35,000	44.83	27-May	19-Jun	1750.00 5.0
CRT	07/17	ARAGON GLOBAL (ARAGGS)	041	PCLN	B	6,000	115.83	n/a	n/a	300.00 5.0
CRT	07/17	ARAGON GLOBAL (ARAGGS)	041	WMT	SS	21,600	48.44	11-May	6-Jul	1080.00 5.0

TOTAL (AO, CXL, CRT) :**26,380.00**

TOTAL (Trade Date) :

62,120.39

TOTAL (AO, CXL, CRT) :

26,380.00

TOTAL (RUN DATE) / NFS:**88,500.39**

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