



Daily Compliance Activity Report

Trade Date: 08/05/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ACL	B	300	129.73	16-Jul	4-Aug	15.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	30,000	13.95	25-Jun	3-Aug	1,200.00	4.0
COUGAR TRADING	044	AEO	B	15,000	13.84	25-Jun	3-Aug	300.00	2.0
NEW JERSEY DIV OF INV.	030	AIV	S	40,000	10.36	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	29.98	3-Jun	3-Aug	2,000.00	4.0
TRELLUS PARTNERS LP	028	AN	B	13,100	19.48	3-Aug	5-Aug	655.00	5.0
ADAGE CAPITAL MGMT	030	AOS	SS	50,000	40.06	17-Jul	17-Jul	2,000.00	4.0
ROYCE TRADING	216	AOS	B	50,000	40.06	17-Jul	17-Jul	2,500.00	5.0
COOPER CREEK PART	028	ARM	B	10,000	6.63	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	36.49	n/a	3-Aug	400.00	4.0
COUGAR TRADING	044	ARO	B	10,000	36.22	n/a	3-Aug	500.00	5.0
SNYDER CAPITAL	038	ARP	B	16,200	9.45	n/a	n/a	648.00	4.0
NOMURA CAPITAL	045	AWI	B	100	25.81	n/a	n/a	5.00	5.0
BMO NESBITT BURNS	041	AXL	S	50,000	3.50	n/a	30-Jul	2,500.00	5.0
SCHOTTENFELD ASSOC	041	AXL	B	50,000	3.79	n/a	30-Jul	1,500.00	3.0
TRELLUS PARTNERS LP	028	AXL	B	100,000	3.65	n/a	30-Jul	3,000.00	3.0
SANDLER O'NEILL ASSET	031	BAC	S	25,000	16.36	11-May	20-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	BDX	B	1,000	65.36	n/a	22-Apr	50.00	5.0
BUCK CAPITAL MGMT	001	BIG	B	30,000	23.41	28-May	4-Aug	1,200.00	4.0
THE JAY GOLDMAN	034	BJ	B	20,000	32.31	n/a	27-Jul	800.00	4.0
COUGAR TRADING	044	BWA	B	10,000	33.34	3-Aug	5-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	CAT	B	26,272	46.90	n/a	5-Aug	1,050.88	4.0
NOMURA CAPITAL	045	CMCSK	S	1,000	14.27	n/a	n/a	50.00	5.0
BUCK CAPITAL MGMT	001	COH	S	20,000	29.42	n/a	29-Jul	800.00	4.0
COOPER CREEK PART	028	COT	B	20,000	5.75	n/a	n/a	600.00	3.0
CIRCLE T/SES PART	035	CPKI	B	15,000	16.09	4-Aug	4-Aug	600.00	4.0
BUCK CAPITAL MGMT	001	DAI	B	20,000	47.50	n/a	n/a	800.00	4.0
NOMURA CAPITAL	045	DAL	B	1,800	7.02	n/a	n/a	72.00	4.0
MILLENIUM PARTNERS	028	EAT	S	25,260	18.17	n/a	24-Apr	1,010.40	4.0
WILLOW CREEK	033	EBAY	S	3,500	21.45	n/a	n/a	140.00	4.0
ASCEND PARTNERS	033	ERTS	S	65,431	20.30	n/a	n/a	3,271.55	5.0
PATTEN & PATTEN	067	FHN	B	5,000	13.38	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	FII	S	31,200	25.47	3-Aug	4-Aug	1,248.00	4.0
COUGAR TRADING	044	FL	B	5,000	10.96	27-Apr	3-Aug	250.00	5.0
BMO NESBITT BURNS	041	FOR	S	10,000	13.29	29-Jun	20-Jul	500.00	5.0
PATTEN & PATTEN	067	GE	B	3,000	14.08	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	26,800	19.94	n/a	n/a	1,072.00	4.0
NOMURA CAPITAL	045	HOS	S	400	21.86	n/a	n/a	20.00	5.0
BASIX	033	HSC	B	19,000	28.85	29-Jul	29-Jul	570.00	3.0
NEUBERGER BERMAN	036	IART	S	13,200	32.18	n/a	22-Apr	594.00	4.5
PATTEN & PATTEN	067	IP	B	4,000	19.81	30-Jul	30-Jul	200.00	5.0
SENATOR INVESTMENT GROUP	036	IYR	B	32,500	38.63	n/a	n/a	975.00	3.0
RBC CAPITAL MARKETS	040	JCG	B	15,000	28.50	n/a	30-Jan	600.00	4.0
LATEFF MGMT	035	JPM	S	4,000	41.70	n/a	20-Jul	520.00	13.0
NOMURA CAPITAL	045	JPM	S	700	41.48	n/a	20-Jul	35.00	5.0
RBC CAPITAL MARKETS	040	JWN	B	10,000	26.95	n/a	3-Aug	400.00	4.0
RBC CAPITAL MARKETS	040	KSS	B	10,000	48.97	28-Jul	3-Aug	400.00	4.0
KEEFE BRUYETTE WOODS A	045	LAZ	B	5,100	37.60	n/a	30-Jul	255.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	LGF	B	10,000	5.85	n/a	n/a	500.00	5.0
KEEFE BRUYETTE WOODS A	045	LM	B	5,500	28.06	3-Aug	4-Aug	275.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.24	n/a	4-Jan	600.00	6.0
TRELLUS PARTNERS LP	028	LVS	S	50,000	10.98	n/a	31-Jul	2,500.00	5.0
THOMAS WEISEL ASSET MGMT	035	MASI	B	1,400	25.64	n/a	n/a	42.00	3.0
L.R.BURTISCHY & CO	045	MCD	B	20,000	55.04	n/a	5-Aug	1,000.00	5.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	29.85	11-May	23-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	M	SS	120,000	13.97	n/a	3-Aug	4,800.00	4.0
FIRST NY SEC/CHRIS	041	M	SS	10,000	14.16	n/a	3-Aug	500.00	5.0
SUN AMERICA ASSET MGMT	030	NWL	S	30,600	13.37	n/a	n/a	1,224.00	4.0
TROUBH PART	067	OEH	B	50,000	9.77	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	OMX	S	20,000	10.03	n/a	15-Apr	1,000.00	5.0
MATLIN PATTERSON	046	O	S	50,000	25.09	n/a	n/a	1,500.00	3.0
KEEFE BRUYETTE WOODS A	045	PBCT	S	4,600	16.81	n/a	28-Jul	230.00	5.0
HIGHBRIDGE CAPITAL	038	PCH	S	31,000	31.82	n/a	29-Jul	1,240.00	4.0
BMO NESBITT BURNS	041	PCL	B	2,000	33.74	n/a	28-Jul	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	PCL	S	29,000	34.36	n/a	28-Jul	1,160.00	4.0
CIRCLE T/SES PART	035	PNRA	B	15,000	54.83	30-Jul	30-Jul	600.00	4.0
BALYASNY ASSET MGMT	044	PSS	S	30,000	15.50	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	PWR	B	1,150	23.30	n/a	n/a	57.50	5.0
JP MORGAN VENTURES	046	RF	B	50,000	4.68	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	RL	S	10,000	66.87	28-Jul	28-Jul	400.00	4.0
COUGAR TRADING	044	RL	S	5,700	67.72	28-Jul	28-Jul	285.00	5.0
SIGMA CAPITAL ASSOCIATES	041	RL	B	20,000	66.66	28-Jul	28-Jul	800.00	4.0
THE BOSTON COMPANY	039	RL	S	20,710	66.54	28-Jul	28-Jul	828.40	4.0
THIRD COAST CAPITAL	035	RL	B	5,000	66.25	28-Jul	28-Jul	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	ROK	C	12,000	41.88	n/a	n/a	480.00	4.0
LISTED ERR	099	ROK	B	100	41.30	n/a	n/a	0.00	0.0
LISTED ERR	099	ROK	S	100	42.20	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	RYN	B	1,500	41.71	n/a	3-Aug	75.00	5.0
HIGHBRIDGE CAPITAL	038	RYN	S	24,000	42.04	n/a	3-Aug	960.00	4.0
PHILADELPHIA FINANCIAL	033	SAH	C	35,199	14.46	n/a	6-Apr	1,407.96	4.0
KEEFE BRUYETTE WOODS A	045	SLM	S	27,900	8.87	23-Apr	5-Aug	1,395.00	5.0
PATTEN & PATTEN	067	SRCL	B	1,000	51.39	n/a	n/a	50.00	5.0
BUCK CAPITAL MGMT	001	SSI	SS	10,000	12.26	n/a	3-Aug	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	SUP	B	28,900	15.89	10-Jun	10-Jun	1,445.00	5.0
COUGAR TRADING	044	SUP	B	10,000	15.96	10-Jun	10-Jun	500.00	5.0
BUCK CAPITAL MGMT	001	TLB	SS	50,000	5.87	n/a	30-Jan	1,500.00	3.0
SONTERRA CAP	041	TRN	SS	20,000	14.69	n/a	n/a	800.00	4.0
ROSEDALE CAPITAL	046	UNH	B	30,000	26.33	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	V	B	1,000	68.17	n/a	5-Aug	50.00	5.0
LEVIN CAPITAL STRATEGIES	012	WBC	S	200	20.55	5-Aug	5-Aug	8.00	4.0
TYEE/TYGH	035	WDR	B	41,653	27.99	29-Jul	4-Aug	1,666.12	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	37.17	28-Jul	28-Jul	800.00	4.0
COUGAR TRADING	044	WRC	S	2,500	37.51	28-Jul	28-Jul	125.00	5.0
JMP ASSET MGMT	210	WSM	B	15,000	15.06	n/a	n/a	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WSM	B	25,000	14.76	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	ZQK	S	15,000	2.15	12-Mar	9-Jun	750.00	5.0
TOTAL (Trade Date) :								82,910.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/04	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PCH	S	29,000	30.57	n/a	29-Jul	1160.00 4.0
AO,CXL	08/04	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	PCH	S	29,000	30.57	n/a	29-Jul	1160.00 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	82,910.81
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TOTAL (RUN DATE) / NFS:	82,910.81
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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