



Daily Compliance Activity Report

Trade Date: 07/23/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	045	AAPL	S	8,000	157.43	n/a	n/a	320.00	4.0
LAGRANGE CAP ADV	048	ABG	SS	10,000	12.75	n/a	30-Apr	500.00	5.0
CAXTON PART	040	ABT	S	16,695	44.23	n/a	22-Apr	584.34	3.5
RBC CAPITAL MARKETS	040	ADM	B	20,000	30.52	1-Jun	1-Jun	800.00	4.0
WASHINGTON ASSET	048	ADM	B	5,000	29.94	1-Jun	1-Jun	250.00	5.0
PATTEN & PATTEN	067	ADRU	S	1,800	18.78	n/a	n/a	90.00	5.0
REICH AND TANG	067	ADSK	B	2,000	21.54	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	50,000	14.95	25-Jun	10-Jul	2,000.00	4.0
PLATTE RIVER CAPITAL	240	AEO	B	28,900	15.02	25-Jun	10-Jul	1,156.00	4.0
TOKIO MARINE ASSET MGMT	045	AKAM	B	39,500	20.93	n/a	n/a	1,580.00	4.0
STRONG/MARK GRONET	030	ALK	S	10,000	21.99	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	150,000	27.42	3-Jun	10-Jul	6,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	27.51	3-Jun	10-Jul	2,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	S	52,975	37.88	n/a	10-Jul	1,854.13	3.5
BUCK CAPITAL MGMT	001	AVP	B	70,000	29.91	2-Jun	23-Jul	2,800.00	4.0
PZENA INV ADV	044	AVT	S	16,900	24.21	n/a	n/a	591.53	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	AVY	S	3,050	27.29	28-Apr	9-Jul	152.50	5.0
BALYASNY ASSET MGMT	044	AXL	S	25,000	1.25	n/a	9-Jul	750.00	3.0
LAGRANGE CAP ADV	048	AXL	B	30,000	1.30	n/a	9-Jul	900.00	3.0
PATTEN & PATTEN	067	BAC	S	900	12.46	11-May	20-Jul	45.00	5.0
CATAPULT	040	BA	SS	60,000	41.76	n/a	n/a	3,000.00	5.0
BUCK CAPITAL MGMT	001	BBY	SS	100,000	37.07	n/a	27-Jul	4,000.00	4.0
SIGMA CAP BOBBY	044	BC	B	100,000	4.68	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	067	BDX	B	2,000	71.44	n/a	22-Apr	100.00	5.0
BUCK CAPITAL MGMT	001	BIG	B	30,000	23.05	28-May	6-Jul	1,200.00	4.0
CATAPULT	040	BJS	SS	50,000	14.93	n/a	n/a	2,500.00	5.0
UBS OCONNOR	031	BLK	S	14,000	194.34	21-Jul	21-Jul	420.00	3.0
BUCK CAPITAL MGMT	001	CLX	B	30,000	59.68	15-Jun	15-Jun	1,200.00	4.0
PZENA INV ADV	044	CMA	B	2,750	21.57	n/a	n/a	96.25	3.5
CONIFER/ISF	025	COO	B	3,571	25.90	n/a	n/a	178.55	5.0
RBC CAPITAL MARKETS	040	CVX	B	100,000	66.60	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	DAI	SS	20,000	44.17	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DDS	SS	50,000	8.98	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	DF	B	25,000	21.44	n/a	n/a	1,000.00	4.0
TOKIO MARINE ASSET MGMT	045	DGX	B	6,200	55.62	n/a	n/a	248.00	4.0
CAXTON PART	040	DTV	B	20,000	25.08	n/a	4-Jan	700.00	3.5
BUCK CAPITAL MGMT	001	EDU	B	116,423	68.07	n/a	n/a	4,656.92	4.0
UBS OCONNOR	031	EV	B	150,000	27.15	19-May	21-Jul	4,500.00	3.0
PATTEN & PATTEN	067	EXH	S	562	17.29	27-May	23-Jul	28.10	5.0
PATTEN & PATTEN	067	FHN	B	1,400	11.59	n/a	n/a	70.00	5.0
ARMATURE CAPITAL	041	F	SS	60,000	6.95	n/a	16-Jul	2,400.00	4.0
BMO NESBITT BURNS	041	F	SS	50,000	7.01	n/a	16-Jul	2,500.00	5.0
BRENCOURT	028	F	S	50,000	6.85	n/a	16-Jul	1,500.00	3.0
TRELLUS PARTNERS LP	028	F	S	100,000	6.67	n/a	16-Jul	3,000.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	20.45	n/a	10-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	28.76	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GME	B	70,000	23.83	n/a	n/a	2,800.00	4.0
GALT INVESTMENT	041	GME	S	10,000	23.93	n/a	n/a	500.00	5.0
CAVU CAP ADV	028	GNTX	SS	40,000	14.49	10-Jun	23-Jul	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	GNTX	SS	20,000	14.53	10-Jun	23-Jul	1,000.00	5.0
RBC CAPITAL MARKETS	040	HAL	B	100,000	22.28	n/a	n/a	4,000.00	4.0
LAGRANGE CAP ADV	048	HAR	SS	2,000	22.81	10-Jun	16-Jun	100.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	50,000	15.68	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	HOT	SS	30,000	22.85	n/a	n/a	1,200.00	4.0
CATAPULT	040	HRB	S	75,000	16.94	n/a	n/a	3,000.00	4.0
SUN AMERICA ASSET MGMT	030	IDTI	S	50,200	6.67	n/a	n/a	2,008.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	75,000	18.17	21-Jul	21-Jul	3,750.00	5.0
CUMBERLAND	038	IRM	B	5,000	29.98	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	30,000	27.48	n/a	30-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	150,000	29.79	13-Apr	10-Jul	6,000.00	4.0
DC CAPITAL	044	JPM	S	50,000	37.30	n/a	20-Jul	2,500.00	5.0
TROUBH PART	067	JPM	B	50,000	37.32	n/a	20-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	36,117	26.13	20-Feb	10-Jul	1,444.68	4.0
LATEFF MGMT	035	JWN	S	2,000	25.84	20-Feb	10-Jul	320.00	16.0
MATLIN PATTERSON	046	JWN	B	100,000	25.65	20-Feb	10-Jul	3,000.00	3.0
PILOT ROCK	028	JWN	B	90,809	24.96	20-Feb	10-Jul	3,632.36	4.0
PATTEN & PATTEN	067	KMB	B	3,200	57.11	23-Apr	27-Apr	160.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	KPPC	B	400,000	5.21	n/a	n/a	12,000.00	3.0
LEVIN CAPITAL STRATEGIES	012	KPPC	B	20,000	5.15	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	KSS	S	12,000	49.12	10-Jul	10-Jul	480.00	4.0
PILOT ROCK	028	LNC	B	107,500	17.59	n/a	n/a	4,300.00	4.0
APEX CAPITAL MGMT.	091	LOW	S	100,000	21.69	12-May	18-May	4,000.00	4.0
CONIFER/ISF	025	LRN	B	4,434	19.59	n/a	n/a	221.70	5.0
BUCK CAPITAL MGMT	001	LVS	S	50,000	10.39	n/a	14-Jul	2,000.00	4.0
HOLLIS CAPITAL	033	MAN	B	5,000	45.92	n/a	n/a	250.00	5.0
CATAPULT	040	MHK	SS	35,000	42.08	n/a	n/a	1,750.00	5.0
RAMIUS CAP	040	MHP	C	27,525	32.09	n/a	n/a	1,101.00	4.0
BMO NESBITT BURNS	041	MMM	SS	25,000	66.50	23-Jul	23-Jul	1,250.00	5.0
STRONG/MARK GRONET	030	MNI	S	20,000	1.26	n/a	n/a	200.00	1.0
CAXTON PART	040	MS	B	40,000	28.03	11-May	23-Jul	1,400.00	3.5
BARCLEYS CAP (OLD LEHM)	041	M	B	125,000	13.44	n/a	10-Jul	5,000.00	4.0
PATTEN & PATTEN	067	NVS	S	2,600	44.19	n/a	n/a	130.00	5.0
CONIFER/ISF	025	OC	B	3,730	17.17	n/a	n/a	186.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	036	OSK	SS	35,000	26.97	n/a	n/a	1,400.00	4.0
CAXTON PART	040	OXY	B	13,296	71.11	n/a	n/a	465.40	3.5
PATTEN & PATTEN	067	PG	S	1,150	55.38	5-Jun	5-Jun	57.50	5.0
REICH AND TANG	067	PKI	B	2,000	17.99	n/a	n/a	100.00	5.0
REICH AND TANG	067	PLL	B	2,000	28.80	n/a	n/a	100.00	5.0
CAXTON PART	040	PM	B	16,619	45.03	n/a	n/a	581.68	3.5
CAXTON PART	040	QCOM	B	16,619	47.05	n/a	n/a	581.68	3.5
BALYASNY ASSET MGMT	044	RCII	B	25,000	19.71	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	RL	S	20,000	60.10	25-Jun	25-Jun	800.00	4.0
PILOT ROCK	028	RL	B	24,325	60.52	25-Jun	25-Jun	973.00	4.0
CAXTON PART	040	RTN	B	13,296	45.72	n/a	n/a	465.40	3.5
CATAPULT	040	SPY	B	9,000	97.57	n/a	n/a	360.00	4.0
BUCK CAPITAL MGMT	001	SSI	SS	10,000	12.32	n/a	10-Jul	400.00	4.0
ROYAL CAPITAL	039	SWY	B	128,191	18.17	n/a	n/a	6,409.55	5.0
FRIESS MGMT	033	SYMC	B	146,400	17.49	n/a	3-Apr	5,856.00	4.0
REICH AND TANG	067	TBI	S	39,000	11.91	n/a	n/a	1,950.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	TEX	B	15,000	14.08	n/a	12-Jun	600.00	4.0
BASIX	033	TIN	B	50,000	15.02	23-Jul	23-Jul	1,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	70,000	15.26	23-Jul	23-Jul	3,500.00	5.0
NWQ INVESTMENT MGMT CO	048	TIN	S	50,930	14.54	23-Jul	23-Jul	2,037.20	4.0
WASHINGTON ASSET	048	TIN	S	15,000	15.01	23-Jul	23-Jul	750.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	35.94	10-Jul	10-Jul	800.00	4.0
M&I FUNDS	256	TJX	S	19,186	36.03	10-Jul	10-Jul	767.44	4.0
BUCK CAPITAL MGMT	001	TLB	SS	30,000	4.50	n/a	30-Jan	900.00	3.0
THIRD COAST CAPITAL	035	TLB	B	35,000	4.37	n/a	30-Jan	1,750.00	5.0
REICH AND TANG	067	TMO	S	25,000	45.83	n/a	n/a	1,250.00	5.0
HOLDEN CAPITAL MGMT	035	TROW	B	25,000	45.81	n/a	21-Jul	1,250.00	5.0
KEEFE BRUYETTE WOODS A	045	TROW	B	61,000	45.48	n/a	21-Jul	3,050.00	5.0
CONIFER/ISF	025	TXT	B	3,182	11.27	n/a	n/a	159.10	5.0
PATTEN & PATTEN	067	T	S	700	25.60	n/a	4-Jan	35.00	5.0
TOKIO MARINE ASSET MGMT	045	VAR	B	10,700	34.74	n/a	n/a	428.00	4.0
PATTEN & PATTEN	067	VMC	S	1,350	45.82	n/a	n/a	67.50	5.0
PATTEN & PATTEN	067	VXX	B	3,300	60.52	n/a	n/a	165.00	5.0
MILLENIUM PARTNERS	028	WMT	B	43,000	49.19	11-May	6-Jul	1,720.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	WY	S	20,000	33.15	n/a	20-Jul	800.00	4.0
RBC CAPITAL MARKETS	040	XOM	SS	100,000	70.19	n/a	n/a	4,000.00	4.0
TOTAL (Trade Date):							192,735.01		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/23	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	041	ANF	S	50,000	27.51	3-Jun	10-Jul	2000.00 4.0
AO,CXL	07/21	MILLENIU PARTNERS (MILPCREDSU)	028	IP	S	15,000	17.53	21-Jul	21-Jul	750.00 5.0
AO,CRT	07/21	MILLENIU PARTNERS (MILPCREDSU)	028	IP	S	15,000	17.53	21-Jul	21-Jul	600.00 4.0
AO,CXL	07/22	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LVS	S	15,100	10.02	n/a	14-Jul	604.00 4.0
AO,CRT	07/22	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LVS	S	15,100	10.02	n/a	14-Jul	453.00 3.0
AO,CXL	07/22	BUCK CAPITAL MGMT (BUCKGIL)	001	LVS	S	200	10.02	n/a	14-Jul	8.00 4.0
AO,CRT	07/22	BUCK CAPITAL MGMT (BUCKGIL)	001	LVS	S	200	10.02	n/a	14-Jul	6.00 3.0
AO,CXL	07/22	MILLENIU PARTNERS (MILPCREDSU)	028	TIN	B	20,000	14.92	23-Jul	23-Jul	1000.00 5.0
AO,CRT	07/22	MILLENIU PARTNERS (MILPCREDSU)	028	TIN	B	20,000	14.92	23-Jul	23-Jul	800.00 4.0
AO,CRT	07/21	MILLENIU PARTNERS (MILPCREDSU)	028	TIN	S	20,000	14.91	23-Jul	23-Jul	800.00 4.0
AO,CXL	07/21	MILLENIU PARTNERS (MILPUSE)	028	TIN	S	20,000	14.91	23-Jul	23-Jul	1000.00 5.0

TOTAL (AO, CXL, CRT) :	1,297.00
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TOTAL (Trade Date) :	192,735.01
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TOTAL (AO, CXL, CRT) :	1,297.00
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TOTAL (RUN DATE) / NFS :	194,032.01
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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