



Daily Compliance Activity Report

Trade Date: 07/31/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	SS	10,000	13.90	n/a	31-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	14.32	25-Jun	10-Jul	800.00	4.0
DIAMONDBACK CAP MGMT	232	AKS	S	25,000	19.68	n/a	n/a	1,250.00	5.0
LAGRANGE CAP ADV	048	ALV	SS	3,000	35.99	10-Jun	22-Jul	150.00	5.0
GRANAHAN INV	039	ANN	B	3,000	12.11	n/a	30-Jan	120.00	4.0
MACKLOWE ASSET MGMT	041	AN	B	165,000	20.23	10-Jun	10-Jun	8,250.00	5.0
ADAGE CAPITAL MGMT	030	AOS	SS	40,000	39.43	17-Jul	17-Jul	1,600.00	4.0
ROYCE TRADING	216	AOS	B	30,000	39.40	17-Jul	17-Jul	1,500.00	5.0
LAGRANGE CAP ADV	048	AXL	B	10,000	1.66	n/a	30-Jul	300.00	3.0
DIAMONDBACK CAP MGMT	232	BA	SS	20,000	42.89	n/a	n/a	1,000.00	5.0
NEWCASTLE FUNDS	255	BA	SS	40,000	42.93	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	10,000	37.36	n/a	27-Jul	400.00	4.0
DELTEC ASSET MGMT.	040	BDC	B	11,000	17.77	n/a	n/a	550.00	5.0
COOPER CREEK PART	028	BDN	S	10,000	8.26	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	BWA	S	6,881	33.51	10-Jun	30-Jul	344.05	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	BWA	B	30,000	32.06	10-Jun	30-Jul	1,200.00	4.0
SCOPUS FUND	041	BWA	B	25,000	32.40	10-Jun	30-Jul	1,250.00	5.0
NEWCASTLE FUNDS	255	CAKE	SS	32,900	19.38	24-Jul	24-Jul	1,316.00	4.0
HOOVER INV. MGMT	033	CHS	B	194,000	11.47	n/a	30-Jan	7,760.00	4.0
BUCK CAPITAL MGMT	001	CLX	B	10,000	61.06	15-Jun	15-Jun	400.00	4.0
BUCK CAPITAL MGMT	001	COH	S	20,000	29.21	n/a	29-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	20,000	28.62	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DAI	B	50,000	46.46	n/a	n/a	2,000.00	4.0
FIRST NEW YORK LEDDY	035	DSW	B	1,500	13.42	28-Jul	28-Jul	90.00	6.0
FIRST NEW YORK LEDDY	035	DSW	SS	1,500	13.48	28-Jul	28-Jul	90.00	6.0
COLUMBIA PARTNERS	028	ESRX	S	38,270	70.49	n/a	n/a	1,530.80	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.47	n/a	n/a	1,200.00	6.0
BMO NESBITT BURNS	041	FOR	B	10,000	13.09	29-Jun	20-Jul	700.00	7.0
BALYASNY ASSET MGMT	044	F	C	50,000	7.94	n/a	29-Jul	2,000.00	4.0
BMO NESBITT BURNS	041	F	B	50,000	7.50	n/a	29-Jul	2,500.00	5.0
SCOPUS FUND	041	F	B	400,000	7.61	n/a	29-Jul	20,000.00	5.0
THIRD COAST CAPITAL	035	F	B	20,000	7.89	n/a	29-Jul	1,000.00	5.0
NEWCASTLE FUNDS	255	GT	B	100,000	16.61	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	HPQ	B	11,300	43.45	n/a	n/a	452.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	50,000	19.03	30-Jul	30-Jul	2,500.00	5.0
NEWCASTLE FUNDS	255	IP	B	30,000	19.21	30-Jul	30-Jul	1,200.00	4.0
NEWCASTLE FUNDS	255	ITW	B	20,000	40.71	30-Jun	23-Jul	800.00	4.0
MILLENNIUM-ANDEW	031	KMT	B	20,000	21.50	30-Jul	30-Jul	1,200.00	6.0
SCOPUS FUND	041	KMT	SS	10,000	21.36	30-Jul	30-Jul	500.00	5.0
DAVIDSON KEMPNER ADVISOR	243	K	B	15,385	47.58	n/a	n/a	615.40	4.0
TRELLUS PARTNERS LP	028	LVS	B	100,000	9.27	n/a	31-Jul	5,000.00	5.0
CENTURION PARTNERS	041	MET	S	30,000	33.75	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	NKE	SS	20,000	56.89	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	PSS	S	50,000	15.51	n/a	n/a	2,000.00	4.0
NICOLAS APPLGATE	048	REV	B	6,000	6.03	n/a	n/a	180.00	3.0
GRANAHAN INV	039	RGS	B	3,000	13.49	n/a	n/a	120.00	4.0
CUMBERLAND	038	TBT	B	20,000	49.57	n/a	n/a	600.00	3.0
BMO NESBITT BURNS	041	TIN	SS	25,000	16.12	23-Jul	23-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	20,000	24.45	29-Jul	29-Jul	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	033	VR	B	50,000	22.78	n/a	n/a	2,500.00	5.0
NEWCASTLE FUNDS	255	WFMI	SS	30,000	24.25	n/a	n/a	1,200.00	4.0
MILLENIUM PARTNERS	028	WY	SS	29,000	35.10	n/a	20-Jul	1,160.00	4.0
MILLENIUM PARTNERS	028	WY	S	31,000	35.20	n/a	20-Jul	1,240.00	4.0
SCOPUS FUND	041	WY	B	30,000	35.28	n/a	20-Jul	1,500.00	5.0
SCOPUS FUND	041	WY	SS	20,000	36.27	n/a	20-Jul	1,000.00	5.0
PENN CAPITAL MGMT	243	ZQK	B	153,000	2.11	12-Mar	9-Jun	4,590.00	3.0
TOTAL (Trade Date):								100,108.25	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/29	MACKLOWE ASSET MGMT (MACKCSMILP)	041	KR	B	125,000	21.10	n/a	n/a	6250.00 5.0
AO,CRT	07/29	MACKLOWE ASSET MGMT (MACKCSMILP)	041	KR	B	125,000	21.10	n/a	n/a	5000.00 4.0
AO,	07/30	BALYASNY ASSET MGMT (BALY)	044	PNRA	B	8,600	54.71	30-Jul	30-Jul	430.00 5.0
AO,	07/30	BALYASNY ASSET MGMT (BALY)	044	PNRA	B	4,200	54.71	30-Jul	30-Jul	210.00 5.0
AO,	07/30	BALYASNY ASSET MGMT (BALY)	044	PNRA	B	1,700	54.71	30-Jul	30-Jul	85.00 5.0
AO,	07/30	BALYASNY ASSET MGMT (BALY)	044	PNRA	B	7,900	54.71	30-Jul	30-Jul	395.00 5.0
AO,	07/30	BALYASNY ASSET MGMT (BALY)	044	PNRA	B	900	54.71	30-Jul	30-Jul	45.00 5.0
AO,	07/30	BALYASNY ASSET MGMT (BALY)	044	PNRA	B	1,700	54.71	30-Jul	30-Jul	85.00 5.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	100,108.25
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TOTAL (RUN DATE) / NFS :	100,108.25
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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