



## Daily Compliance Activity Report

Trade Date: 08/14/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CONIFER/ISF	025	AAPL	S	5,000	166.12	n/a	n/a	250.00	5.0
GREEN ARROW CAPITAL	040	AEM	B	2,500	55.00	n/a	n/a	125.00	5.0
TRELLUS PARTNERS LP	028	AN	B	16,900	18.51	3-Aug	5-Aug	845.00	5.0
METROPOLITAN CAPITAL	044	ARO	B	5,400	35.69	n/a	7-Aug	270.00	5.0
PRINCIPLE CAPITAL	040	AUXL	B	35,000	28.61	n/a	n/a	1,050.00	3.0
LAGRANGE CAP ADV	048	AXL	B	3,800	2.89	n/a	12-Aug	114.00	3.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>BIG</b>	<b>SS</b>	<b>3,000</b>	<b>23.18</b>	<b>28-May</b>	<b>6-Aug</b>	<b>180.00</b>	<b>6.0</b>
SLS CAPITAL LLC	224	BKS	S	37,504	21.11	n/a	n/a	1,500.16	4.0
BRIGADE CAPITAL MGMT	029	BONT	B	36,966	3.85	n/a	6-Feb	739.32	2.0
COUGAR TRADING	044	BWA	S	7,500	30.26	3-Aug	5-Aug	375.00	5.0
TRELLUS PARTNERS LP	028	BWA	B	29,300	30.31	3-Aug	5-Aug	1,465.00	5.0
GREEN ARROW CAPITAL	040	CCK	B	12,500	25.42	n/a	n/a	625.00	5.0
WEISS PECK	040	CMI	SS	11,500	46.43	7-Aug	7-Aug	575.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>10,000</b>	<b>28.53</b>	<b>n/a</b>	<b>29-Jul</b>	<b>400.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	041	COST	S	50,000	48.39	n/a	27-Jul	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLRACE FUND LP	028	CPKI	B	7,200	14.10	7-Aug	7-Aug	288.00	4.0
GREEN ARROW CAPITAL	040	DAN	B	10,000	4.33	n/a	n/a	500.00	5.0
TROUBH PART	067	DELL	S	25,000	14.20	n/a	n/a	1,250.00	5.0
CUMBERLAND	038	FCX	B	7,000	62.97	n/a	n/a	280.00	4.0
MILLENIUUM PARTNERS	028	GE	SS	50,000	13.80	n/a	n/a	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>B</b>	<b>20,000</b>	<b>18.81</b>	<b>n/a</b>	<b>30-Jan</b>	<b>800.00</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	GPS	B	15,000	18.77	n/a	30-Jan	750.00	5.0
BMO NESBITT BURNS	041	IP	SS	25,000	20.44	14-Aug	14-Aug	1,250.00	5.0
SCHOTTENFELD ASSOC	041	IP	B	22,500	19.87	14-Aug	14-Aug	675.00	3.0
SCHOTTENFELD ASSOC	041	IP	SS	25,000	20.65	14-Aug	14-Aug	750.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>S</b>	<b>40,000</b>	<b>31.64</b>	<b>13-Apr</b>	<b>14-Aug</b>	<b>1,600.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	JOYG	B	15,000	40.67	14-Aug	14-Aug	750.00	5.0
MILLENIUUM PARTNERS	028	JWN	SS	22,150	28.39	n/a	14-Aug	886.00	4.0
ARAGON GLOBAL	041	KR	SS	19,000	20.96	n/a	n/a	950.00	5.0
JP MORGAN VENTURES	046	LOW	S	20,000	22.68	10-Aug	10-Aug	1,000.00	5.0
MILLENIUUM PARTNERS	028	LOW	B	28,131	22.77	10-Aug	10-Aug	1,125.24	4.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.19	n/a	4-Jan	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARAGON GLOBAL	041	MCD	SS	7,100	55.03	n/a	10-Aug	355.00	5.0
SONTERRA CAP	041	MTW	B	55,000	6.71	n/a	7-Aug	1,650.00	3.0
BUCK CAPITAL MGMT	001	MW	B	80,000	23.45	n/a	n/a	3,200.00	4.0
BUCK CAPITAL MGMT	001	NTY	B	10,000	36.40	n/a	n/a	400.00	4.0
SCOPUS FUND	041	PKG	B	6,355	18.75	21-Jul	21-Jul	317.75	5.0
&ACK	028	PNK	S	11,994	10.12	n/a	n/a	359.82	3.0
SCHOTTENFELD ASSOC	041	RKT	SS	10,000	45.17	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	14.80	n/a	13-Mar	1,200.00	4.0
GREEN ARROW CAPITAL	040	SPY	SS	5,000	101.02	n/a	n/a	250.00	5.0
SANDLER O'NEILL ASSET	031	STT	B	25,000	50.79	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	SWKS	SS	45,000	11.08	n/a	n/a	1,350.00	3.0
AVESTA CAP	229	TIN	B	100,000	15.56	14-Aug	14-Aug	4,000.00	4.0
BASIX	033	TIN	S	32,000	15.57	14-Aug	14-Aug	960.00	3.0
JETSTREAM GLOBAL FUND LP	065	TIN	B	42,600	15.79	14-Aug	14-Aug	2,130.00	5.0
SCOPUS FUND	041	TIN	SS	5,000	15.86	14-Aug	14-Aug	250.00	5.0
JP MORGAN VENTURES	046	TJX	SS	30,000	35.18	28-Jul	7-Aug	1,500.00	5.0
TYEE/TYGH	035	WDR	B	35,800	26.91	29-Jul	13-Aug	1,432.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	WFT	S	17,850	19.19	n/a	n/a	892.50	5.0
GREEN ARROW CAPITAL	040	WMT	B	5,000	51.77	11-May	13-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	38.99	28-Jul	12-Aug	800.00	4.0
GREEN ARROW CAPITAL	040	XLP	SS	15,000	24.46	n/a	n/a	750.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>49,564.79</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/13	LAGRANGE CAP ADV (LAGRJJEFF)	048	AXL	B	20,000	3.14	n/a	12-Aug	1000.00 5.0
AO,CRT	08/13	LAGRANGE CAP ADV (LAGRJJEFF)	048	AXL	B	20,000	3.14	n/a	12-Aug	600.00 3.0
AO,CXL	08/13	WINSLOW CAPITAL (WINS138BVT)	030	CHRW	B	200	55.55	n/a	n/a	8.00 4.0
AO,CRT	08/13	WINSLOW CAPITAL (WINS124)	030	CHRW	B	200	55.55	n/a	n/a	8.00 4.0
AO,CXL	08/13	WINSLOW CAPITAL (WINS138BVT)	030	EXPD	B	200	33.14	n/a	n/a	8.00 4.0
AO,CRT	08/13	WINSLOW CAPITAL (WINS124)	030	EXPD	B	200	33.14	n/a	n/a	8.00 4.0
AO,CXL	08/13	BUCK CAPITAL MGMT (BUCKJPMBS)	001	HOG	B	27,000	23.21	n/a	n/a	1080.00 4.0
AO,CXL	08/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HOG	B	3,000	23.21	n/a	n/a	120.00 4.0
AO,CRT	08/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HOG	B	30,000	23.21	n/a	n/a	1200.00 4.0
CRT	08/14	SONTERRA CAP (SONTGSRBUCK)	041	MTW	B	55,000	6.71	n/a	7-Aug	1650.00 3.0
AO,CXL	08/13	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	PALM	S	46,600	13.51	n/a	n/a	2330.00 5.0
AO,CRT	08/13	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	PALM	S	46,600	13.51	n/a	n/a	1864.00 4.0
AO,	08/13	HOTCHKIS & WILEY (HOTS1279)	035	TEL	B	7,800	23.17	n/a	n/a	390.00 5.0
AO,CXL	08/13	HOTCHKIS & WILEY (HOTS1270)	035	TEL	B	7,800	23.17	n/a	n/a	390.00 5.0
AO,	08/13	PATTEN & PATTEN (PATTMERR)	067	VXX	B	870	59.28	n/a	n/a	43.50 5.0
AO,	08/13	PATTEN & PATTEN (PATTPEPERSHI)	067	VXX	B	1,495	59.28	n/a	n/a	74.75 5.0
AO,CXL	08/13	PATTEN & PATTEN (PATTSCHWAB)	067	VXX	B	7,610	59.28	n/a	n/a	380.50 5.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	067	VXX	B	5,245	59.28	n/a	n/a	262.25 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>784.00</b>

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TOTAL (Trade Date):	49,564.79
TOTAL (AO, CXL, CRT):	784.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>50,348.79</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