



Daily Compliance Activity Report

Trade Date: 09/14/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	S	20,000	26.34	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	AAPL	B	200	172.39	n/a	n/a	6.00	3.0
BUCK CAPITAL MGMT	001	AEO	B	50,000	16.21	25-Jun	4-Sep	2,000.00	4.0
CASTLE ARK	031	AEO	B	111,880	16.15	25-Jun	4-Sep	6,712.80	6.0
EPOCH INV MGMT	030	AET	B	800	30.48	n/a	n/a	24.00	3.0
EPOCH INV MGMT	030	AMP	B	800	30.43	n/a	n/a	24.00	3.0
EPOCH INV MGMT	030	ATK	B	300	76.71	n/a	n/a	9.00	3.0
&LAG	048	AXL	S	200	7.70	19-Aug	2-Sep	10.00	5.0
EPOCH INV MGMT	030	BA	B	550	51.06	28-Aug	1-Sep	16.50	3.0
EPOCH INV MGMT	030	BEN	B	350	97.35	4-Sep	14-Sep	10.50	3.0
EPOCH INV MGMT	030	BK	B	950	28.41	11-May	14-Sep	28.50	3.0
CSL CAPITAL MGMT	039	BPZ	B	3,000	7.14	n/a	n/a	150.00	5.0
EPOCH INV MGMT	030	BSX	B	2,000	11.13	n/a	22-Apr	60.00	3.0
EPOCH INV MGMT	030	BTU	B	250	37.04	n/a	n/a	7.50	3.0
EPOCH INV MGMT	030	CAM	B	350	37.82	n/a	n/a	10.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
11:11 CAPITAL CORP	046	CEPH	B	16,300	58.62	21-May	11-Sep	815.00	5.0
BALYASNY ASSET MGMT	044	CLMS	C	25,000	12.05	n/a	14-Sep	1,250.00	5.0
EPOCH INV MGMT	030	CMCSK	B	1,850	16.42	n/a	n/a	55.50	3.0
WAGONHOUND/NIC	048	CMI	S	3,303	46.84	7-Aug	7-Aug	132.12	4.0
DIAMONDBACK CAP MGMT	232	COF	B	5,000	37.43	10-Aug	14-Sep	250.00	5.0
EPOCH INV MGMT	030	COL	B	400	48.28	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	COP	B	600	45.60	n/a	n/a	18.00	3.0
NOMURA CAPITAL	045	CORE	S	200	29.00	n/a	n/a	10.00	5.0
EPOCH INV MGMT	030	CPO	B	500	29.04	n/a	n/a	15.00	3.0
DIAMONDBACK CAP MGMT	232	CWTR	B	100,000	7.01	n/a	n/a	5,000.00	5.0
MARINER/TRICADIA	041	CXW	B	10,000	22.30	n/a	n/a	400.00	4.0
MARINER/TRICADIA	041	CXW	S	10,000	22.36	n/a	n/a	400.00	4.0
WAGONHOUND/NIC	048	C	S	150,000	4.45	n/a	14-Sep	4,500.00	3.0
EPOCH INV MGMT	030	DD	B	800	31.54	n/a	3-Sep	24.00	3.0
EPOCH INV MGMT	030	DE	B	350	42.90	n/a	20-Aug	10.50	3.0
L.R.BURTSCHY & CO	045	DSW	SS	20,000	15.00	26-Aug	26-Aug	1,200.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DVA	B	850	54.01	n/a	n/a	25.50	3.0
CATAPULT	040	EMC	B	46,500	16.81	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	ERTS	B	850	18.26	n/a	n/a	25.50	3.0
CSL CAPITAL MGMT	039	EXH	B	2,000	22.19	n/a	28-Aug	100.00	5.0
COLONIAL FUND LLC	036	F	B	25,000	7.35	27-Aug	2-Sep	1,250.00	5.0
CSL CAPITAL MGMT	039	GDX	B	2,000	45.45	n/a	n/a	100.00	5.0
EPOCH INV MGMT	030	GLW	B	1,250	15.74	27-Jul	28-Aug	37.50	3.0
BARCLEYS CAP (OLD LEHM)	041	GME	B	50,000	25.79	n/a	n/a	2,000.00	4.0
EPOCH INV MGMT	030	GME	B	550	25.31	n/a	n/a	16.50	3.0
EPOCH INV MGMT	030	GPC	B	700	35.59	n/a	n/a	21.00	3.0
ROSEDALE CAPITAL	046	HAS	S	15,000	28.60	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	20.40	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	HCBK	B	900	13.00	n/a	14-Sep	27.00	3.0
EPOCH INV MGMT	030	HLX	B	750	14.10	n/a	n/a	22.50	3.0
EPOCH INV MGMT	030	IFF	B	400	37.19	5-Aug	14-Sep	12.00	3.0
EPOCH INV MGMT	030	IGT	B	1,450	22.62	n/a	27-Jul	43.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	IP	S	50,000	23.91	14-Aug	14-Aug	2,000.00	4.0
BMO NESBITT BURNS	041	IP	B	25,000	23.54	14-Aug	14-Aug	1,250.00	5.0
SCOPUS FUND	041	IP	SS	10,000	24.15	14-Aug	14-Aug	500.00	5.0
UBS OCONNOR	031	IVZ	B	45,000	22.27	6-Aug	14-Sep	1,350.00	3.0
EPOCH INV MGMT	030	KBH	B	1,300	18.48	n/a	n/a	39.00	3.0
EPOCH INV MGMT	030	LH	B	550	69.34	n/a	n/a	16.50	3.0
DIAMONDBACK CAP MGMT	232	LM	SS	15,000	29.99	3-Aug	14-Sep	750.00	5.0
ACK ASSET	028	LPX	SS	29,000	7.25	n/a	5-Aug	870.00	3.0
BMO NESBITT BURNS	041	LPX	SS	50,000	7.23	n/a	5-Aug	2,500.00	5.0
COLONIAL FUND LLC	036	LPX	SS	30,000	7.24	n/a	5-Aug	900.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	120,000	7.27	n/a	5-Aug	6,000.00	5.0
MILLENIUUM PARTNERS	028	LPX	SS	50,000	7.31	n/a	5-Aug	2,000.00	4.0
SCOPUS FUND	041	LPX	SS	65,000	7.21	n/a	5-Aug	3,250.00	5.0
TRELLUS PARTNERS LP	028	LPX	SS	60,000	7.31	n/a	5-Aug	1,800.00	3.0
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.36	n/a	4-Jan	600.00	6.0
CIRCLE T/SES PART	035	LVS	S	25,000	17.65	14-Sep	14-Sep	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	MDR	B	10,000	26.82	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	MET	B	1,050	38.09	n/a	n/a	31.50	3.0
SUN AMERICA ASSET MGMT	030	MRVL	S	6,900	16.16	n/a	n/a	276.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	MSFT	B	2,300	25.00	n/a	3-Apr	69.00	3.0
DIAMONDBACK CAP MGMT	232	MS	C	50,000	28.63	11-May	14-Sep	2,500.00	5.0
EXIS CAPITAL	044	MS	B	35,000	28.75	11-May	14-Sep	1,750.00	5.0
WAGONHOUND/NIC	048	MTW	B	15,630	8.82	11-Sep	11-Sep	468.90	3.0
AVESTA CAP	229	M	B	75,000	16.79	n/a	4-Sep	3,000.00	4.0
BUCK CAPITAL MGMT	001	M	B	60,000	16.27	n/a	4-Sep	2,400.00	4.0
CAERUS GLOBAL	041	M	B	10,000	16.51	n/a	4-Sep	400.00	4.0
KLEINHEINZ CAP PART	031	M	B	50,000	16.61	n/a	4-Sep	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	NKE	C	10,000	54.44	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	NOV	B	500	40.16	n/a	n/a	15.00	3.0
EPOCH INV MGMT	030	NYX	B	350	27.56	n/a	n/a	10.50	3.0
EPOCH INV MGMT	030	OKE	B	700	33.95	n/a	n/a	21.00	3.0
SAC TRADIN/BINDER	044	PENN	B	100,000	28.60	n/a	n/a	4,000.00	4.0
EPOCH INV MGMT	030	PER	B	1,550	17.08	n/a	n/a	46.50	3.0
EPOCH INV MGMT	030	PM	B	250	47.43	n/a	n/a	7.50	3.0
EPOCH INV MGMT	030	PX	B	500	77.20	5-Jun	24-Aug	15.00	3.0
BUCK CAPITAL MGMT	001	RCL	B	30,000	21.47	31-Jul	8-Sep	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSL CAPITAL MGMT	039	RDSA	SS	1,000	57.66	n/a	n/a	50.00	5.0
EPOCH INV MGMT	030	RE	B	500	84.15	n/a	n/a	15.00	3.0
BUCK CAPITAL MGMT	001	RL	S	20,000	68.69	6-Aug	6-Aug	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	RL	SS	20,000	68.75	6-Aug	6-Aug	800.00	4.0
CIRCLE T/SES PART	035	SBUX	B	25,000	19.70	n/a	21-Jul	1,000.00	4.0
EPOCH INV MGMT	030	SCI	B	1,200	7.07	n/a	n/a	36.00	3.0
EPOCH INV MGMT	030	SLGN	B	700	49.52	n/a	n/a	21.00	3.0
COUGAR TRADING	044	SLM	S	10,000	8.82	12-Aug	14-Sep	500.00	5.0
EPOCH INV MGMT	030	SY	B	750	37.00	n/a	n/a	22.50	3.0
CAMBIAR CAP	046	TEVA	B	46,225	51.76	29-Jul	11-Sep	1,849.00	4.0
GREEN ARROW DOUG	040	THI	SS	7,750	28.79	n/a	24-Apr	387.50	5.0
EPOCH INV MGMT	030	TMO	B	650	47.48	n/a	n/a	19.50	3.0
BALYASNY ASSET MGMT	044	TROW	SS	20,000	43.13	n/a	14-Sep	1,000.00	5.0
APEX CAPITAL MGMT.	091	UA	S	50,000	28.11	14-Sep	14-Sep	2,000.00	4.0
CAERUS GLOBAL	041	UA	S	17,500	28.35	14-Sep	14-Sep	700.00	4.0
LEVIN CAPITAL STRATEGIES	012	UA	SS	25,000	26.98	14-Sep	14-Sep	1,000.00	4.0
CSL CAPITAL MGMT	039	VLO	B	2,000	18.97	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	VTR	B	750	36.95	n/a	n/a	22.50	3.0
EPOCH INV MGMT	030	VVC	B	1,000	23.39	n/a	n/a	30.00	3.0
EPOCH INV MGMT	030	V	B	750	72.69	n/a	14-Sep	22.50	3.0
TRELLUS PARTNERS LP	028	WBC	B	15,591	19.31	5-Aug	5-Aug	779.55	5.0
EPOCH INV MGMT	030	WEC	B	700	44.82	n/a	n/a	21.00	3.0
EPOCH INV MGMT	030	WFR	B	1,000	17.10	n/a	n/a	30.00	3.0
EPOCH INV MGMT	030	WFT	B	550	21.70	n/a	n/a	16.50	3.0
EPOCH INV MGMT	030	WM	B	1,050	30.24	n/a	n/a	31.50	3.0
EPOCH INV MGMT	030	WRC	B	300	41.82	28-Jul	2-Sep	9.00	3.0
EPOCH INV MGMT	030	WRC	S	1,700	41.80	28-Jul	2-Sep	51.00	3.0
GLOBAL 56 LLC	060	WRES	S	2,500	3.27	n/a	n/a	75.00	3.0
EPOCH INV MGMT	030	WU	B	1,000	18.91	n/a	n/a	30.00	3.0
OZ MGMT	040	WY	B	8,100	39.23	n/a	3-Aug	243.00	3.0
SANDLER CAPITAL	038	XL	B	170,000	16.83	n/a	n/a	10,200.00	6.0
EPOCH INV MGMT	030	XOM	B	650	70.16	n/a	n/a	19.50	3.0

TOTAL (Trade Date):

95,610.37

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/11	PHILADELPHIA FINANCIAL (PHILFCMNF)	033	AB	S	18,648	24.60	31-Jul	14-Sep	745.92	4.0
AO,	09/11	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	AB	S	81,352	24.60	31-Jul	14-Sep	3254.08	4.0
AO,	09/11	CAERUS GLOBAL (CAERGS)	041	AEO	B	30,000	15.56	25-Jun	4-Sep	1200.00	4.0
AO,	09/11	LISTED ERR (LISTED ERR)	099	AXL	S	2,100	7.88	19-Aug	2-Sep	0.00	0.0
AO,	09/11	PARTNER REINSURANCE (PARRPUSDEQ)	033	FL	B	32,750	10.69	27-Aug	27-Aug	1310.00	4.0
AO,	09/11	PARTNER REINSURANCE (PARRPELCEQ)	033	FL	B	2,300	10.69	27-Aug	27-Aug	92.00	4.0
AO,CXL	09/11	GALT INVESTMENT (GALTGS)	041	SCSS	S	50,000	4.30	n/a	n/a	2500.00	5.0
AO,CRT	09/11	GALT INVESTMENT (GALTGS)	041	SCSS	S	50,000	4.30	n/a	n/a	1250.00	2.5
AO,CXL	09/11	BUCK CAPITAL MGMT (BUCKJPMBS)	001	TLB	SS	18,000	8.51	n/a	30-Jan	720.00	4.0
AO,CRT	09/11	BUCK CAPITAL MGMT (BUCKJPMBS)	001	TLB	SS	18,000	8.51	n/a	30-Jan	540.00	3.0
AO,CXL	09/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	SS	2,000	8.51	n/a	30-Jan	80.00	4.0
AO,CRT	09/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	SS	2,000	8.51	n/a	30-Jan	60.00	3.0
AO,CXL	09/11	STRAUSS ASSET MGMT (STRAJEFUSE)	040	VOCS	SS	5,000	19.76	n/a	n/a	250.00	5.0
AO,CRT	09/11	STRAUSS ASSET MGMT (STRAJEFUSE)	040	VOCS	SS	5,000	19.76	n/a	n/a	200.00	4.0

TOTAL (AO, CXL, CRT) :**5,102.00**

TOTAL (Trade Date) :

95,610.37

TOTAL (AO, CXL, CRT) :

5,102.00

TOTAL (RUN DATE) / NFS:

100,712.37

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