



## Daily Compliance Activity Report

Trade Date: 01/07/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEISS PECK	040	AEO	S	7,240	17.00	n/a	5-Jan	362.00	5.0
BNP PARIBAS SEC	040	AGCO	B	25,000	33.41	n/a	4-Jan	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>60,700</b>	<b>33.48</b>	<b>n/a</b>	<b>5-Jan</b>	<b>2,428.00</b>	<b>4.0</b>
COBALT	041	ANF	B	20,000	33.63	n/a	5-Jan	1,000.00	5.0
RBC CAPITAL MARKETS	040	ANF	B	10,000	33.54	n/a	5-Jan	400.00	4.0
JP MORGAN VENTURES	046	ANN	B	20,000	13.13	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>20,000</b>	<b>35.16</b>	<b>n/a</b>	<b>5-Jan</b>	<b>800.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ARO	S	5,000	34.44	n/a	5-Jan	200.00	4.0
CONIFER/ISF	025	ATI	S	10,000	49.29	n/a	n/a	500.00	5.0
HOLLIS CAPITAL	033	AVAV	S	10,000	28.52	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	AXL	S	100,000	9.48	n/a	4-Jan	3,000.00	3.0
EXIS CAPITAL	044	BBT	S	25,000	27.30	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>SS</b>	<b>20,000</b>	<b>33.54</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
NEW JERSEY DIV OF INV.	030	CCI	S	150,000	38.90	n/a	n/a	6,000.00	4.0
RBC CAPITAL MARKETS	040	CHS	S	10,000	14.40	n/a	n/a	400.00	4.0
KEEFE BRUYETTE WOODS A	045	COF	B	21,000	41.53	n/a	6-Jan	1,050.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	DAN	B	50,000	11.59	n/a	6-Jan	2,500.00	5.0
L.R.BURTSCHY & CO	045	DAN	B	25,000	11.49	n/a	6-Jan	1,500.00	6.0
TRAFELET & COMP.	028	DAN	B	225,000	11.57	n/a	6-Jan	9,000.00	4.0
TRELLUS PARTNERS LP	028	DAN	B	16,900	11.46	n/a	6-Jan	845.00	5.0
TOCQUEVILLE	067	DBD	S	25,000	30.58	n/a	23-Nov	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	DD	S	10,000	34.29	n/a	7-Jan	400.00	4.0
RBC CAPITAL MARKETS	040	DLTR	B	5,000	49.83	n/a	4-Jan	200.00	4.0
KENNEDY CAPITAL	046	DPZ	B	400	9.10	n/a	4-Jan	12.00	3.0
GRISANTI BROWN & PARTNER	048	EMR	S	4,600	43.66	n/a	n/a	230.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.78	n/a	n/a	1,200.00	6.0
WEISS PECK	040	FL	S	23,010	12.02	n/a	4-Jan	1,150.50	5.0
BALYASNY ASSET MGMT	044	F	C	25,000	11.60	n/a	6-Jan	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	F	S	50,930	11.43	n/a	6-Jan	2,037.20	4.0
OZ MGMT	040	F	SS	150,000	11.67	n/a	6-Jan	4,500.00	3.0
TRAFELET & COMP.	028	F	B	225,000	11.57	n/a	6-Jan	9,000.00	4.0
DIAMONDBACK CAP MGMT	232	GE	B	250,000	16.13	n/a	n/a	5,000.00	2.0
SAXON WOODS ADVISORS	242	GME	S	20,000	20.27	n/a	n/a	800.00	4.0
SHEFFIELD ASSET MGMT	031	GME	S	46,000	20.43	n/a	n/a	2,300.00	5.0
RBC CAPITAL MARKETS	040	GPS	B	25,000	20.55	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SPARTA ASSET MGMT	035	GYMB	B	25,000	43.01	n/a	7-Jan	750.00	3.0
HIGHBRIDGE CAP	041	IP	SS	44,714	26.76	n/a	7-Jan	1,788.56	4.0
LEVEL GLOBAL SHARED ACCT	257	JCP	C	150,000	26.64	n/a	5-Jan	4,500.00	3.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>JNY</b>	<b>B</b>	<b>1,800</b>	<b>16.99</b>	<b>n/a</b>	<b>4-Jan</b>	<b>108.00</b>	<b>6.0</b>
GRISANTI BROWN & PARTNER	048	JRCC	B	8,900	21.47	n/a	n/a	445.00	5.0
JP MORGAN VENTURES	046	JWN	S	25,000	37.88	n/a	5-Jan	1,250.00	5.0
MACKLOWE ASSET MGMT	041	JWN	SS	25,000	38.56	n/a	5-Jan	1,000.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	5,000	38.33	n/a	5-Jan	200.00	4.0
RBC CAPITAL MARKETS	040	JWN	S	15,000	38.35	n/a	5-Jan	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>18,900</b>	<b>53.14</b>	<b>n/a</b>	<b>5-Jan</b>	<b>756.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	KSS	B	5,000	53.38	n/a	5-Jan	200.00	4.0
UBS OCONNOR	031	LM	SS	100,000	30.81	n/a	5-Jan	3,000.00	3.0
GRUBER MACBAINE	033	LOW	B	75,000	23.47	n/a	16-Nov	3,000.00	4.0
HUTCHIN HILL CAPITAL LP	233	LTD	S	15,000	18.89	n/a	n/a	450.00	3.0
LEVEL GLOBAL SHARED ACCT	257	MCD	B	50,000	61.93	n/a	4-Jan	1,500.00	3.0
NWQ INVESTMENT MGMT CO	048	MIDD	B	1,800	51.60	n/a	4-Jan	72.00	4.0
PROSPECTOR PARTNERS LLC	036	MIR	S	10,000	16.62	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	MLM	SS	10,000	92.31	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	MMR	S	10,000	8.91	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	MSFT	S	75,000	30.25	n/a	n/a	3,750.00	5.0
MTB INV ADV	034	MTW	B	79,275	12.42	n/a	4-Jan	3,171.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>20,000</b>	<b>22.32</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>20,000</b>	<b>17.25</b>	<b>n/a</b>	<b>5-Jan</b>	<b>800.00</b>	<b>4.0</b>
COLONIAL FUND LLC	036	PAG	B	10,000	16.35	n/a	4-Jan	500.00	5.0
COLONIAL FUND LLC	036	PAG	S	45,000	16.50	n/a	4-Jan	2,250.00	5.0
FRIESS MGMT	033	PAG	B	303,100	16.47	n/a	4-Jan	12,124.00	4.0
JP MORGAN VENTURES	046	PG	B	10,000	60.43	n/a	4-Jan	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PIR</b>	<b>S</b>	<b>20,000</b>	<b>6.01</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
BRIGADE CAPITAL MGMT	029	PLCE	B	50,000	33.75	n/a	7-Jan	1,500.00	3.0
METROPOLITAN CAPITAL	044	PLCE	S	49,600	34.78	n/a	7-Jan	2,480.00	5.0
JP MORGAN VENTURES	046	PVH	S	15,000	43.85	n/a	4-Jan	750.00	5.0
FIRST NEW YORK NICK	029	Q	B	40,000	4.68	n/a	n/a	2,000.00	5.0
JP MORGAN VENTURES	046	RUE	S	30,000	30.61	n/a	n/a	1,500.00	5.0
RAINIER INV MGMT	035	SF	B	10,460	56.22	n/a	n/a	523.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARCHON CAPITAL	035	SPWRA	B	120,000	25.75	n/a	n/a	3,600.00	3.0
FORD FDN.	032	S	B	65,000	4.00	n/a	n/a	1,950.00	3.0
PRINCIPLE CAPITAL	040	TIF	B	120,000	46.71	n/a	n/a	4,800.00	4.0
COOPER CREEK PART	028	TIN	B	10,000	20.97	n/a	7-Jan	400.00	4.0
ASCEND PARTNERS	033	TJX	S	51,800	39.17	n/a	5-Jan	2,590.00	5.0
RBC CAPITAL MARKETS	040	VALE	B	25,000	31.07	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>B</b>	<b>10,000</b>	<b>75.63</b>	<b>n/a</b>	<b>4-Jan</b>	<b>400.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	WMS	S	10,000	43.21	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	WY	SS	30,000	44.48	n/a	4-Jan	1,500.00	5.0
WHITE PINE CAPITAL	030	WY	B	15,800	44.31	n/a	4-Jan	790.00	5.0
<b>TOTAL (Trade Date):</b>								<b>136,362.26</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/06	NEUBERGER BERMAN (NBER567188)	036	LTD	B	4,300	18.52	n/a	n/a	172.00 4.0
AO,	01/06	NEUBERGER BERMAN (NBER532692)	036	LTD	B	28,100	18.52	n/a	n/a	1124.00 4.0
AO,	01/06	NEUBERGER BERMAN (NBER532689)	036	LTD	B	7,500	18.52	n/a	n/a	300.00 4.0
AO,	01/06	NEUBERGER BERMAN (NBER9W89)	036	LTD	B	6,600	18.52	n/a	n/a	264.00 4.0
AO,	01/06	NEUBERGER BERMAN (NBER9W36)	036	LTD	B	3,800	18.52	n/a	n/a	152.00 4.0
AO,CXL	01/05	FORWARD MGMT (FORWSTRFD)	033	OSIP	S	400	31.11	n/a	n/a	20.00 5.0
AO,CRT	01/05	FORWARD MGMT (FORWSUTSCG)	033	OSIP	S	400	31.11	n/a	n/a	20.00 5.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>2,012.00</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	136,362.26
TOTAL (AO, CXL, CRT) :	2,012.00

---

<b>TOTAL (RUN DATE) / NFS :</b>	<b>138,374.26</b>
---------------------------------	-------------------

---

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