



## Daily Compliance Activity Report

Trade Date: 01/14/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	AAI	B	300,000	5.55	n/a	n/a	12,000.00	4.0
COUGAR TRADING	044	AEO	S	10,000	17.05	n/a	8-Jan	500.00	5.0
NICOLAS APPELEGATE	048	AGCO	B	24,000	34.94	n/a	4-Jan	960.00	4.0
CATAPULT	040	AKS	SS	25,000	24.79	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	AMG	S	10,000	69.36	n/a	8-Jan	500.00	5.0
ENTRUST CAPITAL	040	AMP	B	52,100	41.97	n/a	n/a	2,605.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>100,000</b>	<b>35.37</b>	<b>n/a</b>	<b>8-Jan</b>	<b>4,000.00</b>	<b>4.0</b>
GALT INVESTMENT	041	ARO	S	20,000	35.47	n/a	8-Jan	1,000.00	5.0
LAGRANGE CAP ADV	048	AXL	S	20,845	10.35	n/a	4-Jan	1,042.25	5.0
BALYASNY ASSET MGMT	044	BEN	B	30,000	111.18	n/a	13-Jan	1,500.00	5.0
JP MORGAN VENTURES	046	BWS	B	25,000	11.90	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	CAKE	SS	15,000	22.59	n/a	12-Jan	750.00	5.0
FORD FDN.	032	COF	S	50,000	41.58	n/a	14-Jan	2,500.00	5.0
EPOCH INV MGMT	030	COL	B	14,500	56.89	n/a	5-Jan	435.00	3.0
MILLRACE FUND LP	028	CPKI	SS	30,000	13.99	n/a	14-Jan	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	CSL	S	14,880	36.77	n/a	n/a	595.20	4.0
OZ MGMT	040	C	B	500,000	3.51	n/a	14-Jan	15,000.00	3.0
CATAPULT	040	DD	SS	11,000	33.91	n/a	13-Jan	550.00	5.0
DSG CAPITAL	225	DE	S	2,000	58.03	n/a	30-Nov	100.00	5.0
PLATTE RIVER CAPITAL	240	DE	S	11,000	58.54	n/a	30-Nov	440.00	4.0
CATAPULT	040	DOW	SS	6,000	30.42	n/a	13-Jan	300.00	5.0
WAGONHOUND/NIC	048	DPZ	S	10,272	11.17	n/a	14-Jan	410.88	4.0
VISIUM/BALY BOBBY	044	EAT	C	15,000	15.17	n/a	n/a	750.00	5.0
MILLENIUM PARTNERS	028	F	B	25,000	11.58	n/a	6-Jan	1,000.00	4.0
AVESTA CAP	229	GE	SS	500,000	16.75	n/a	n/a	15,000.00	3.0
EPOCH INV MGMT	030	GPC	B	23,600	38.79	n/a	n/a	708.00	3.0
JETSTREAM GLOBAL FUND LP	065	INTC	S	100,000	21.22	n/a	n/a	5,000.00	5.0
SCOPUS FUND	041	IP	SS	10,000	26.42	n/a	7-Jan	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>100,000</b>	<b>16.60</b>	<b>n/a</b>	<b>4-Jan</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	S	5,000	51.62	n/a	8-Jan	250.00	5.0
RAIL-SPLITTER	031	LM	SS	38,000	30.57	n/a	8-Jan	1,900.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	239	LVLTT	SS	250,000	1.43	n/a	n/a	5,000.00	2.0
BASIX	033	MTW	B	25,000	12.93	n/a	12-Jan	750.00	3.0
KLEINHEINZ CAP PART	031	NFX	B	92,000	53.30	n/a	n/a	4,600.00	5.0
JP MORGAN VENTURES	046	NTRI	SS	10,000	26.93	n/a	n/a	500.00	5.0
RAINIER INV MGMT	035	OSK	B	76,220	38.32	n/a	n/a	3,811.00	5.0
ROSEDALE CAPITAL	046	PAG	B	25,000	16.53	n/a	4-Jan	1,250.00	5.0
BRIGADE CAPITAL MGMT	029	PLCE	B	25,000	33.98	n/a	8-Jan	750.00	3.0
METROPOLITAN CAPITAL	044	PLCE	B	11,000	33.98	n/a	8-Jan	550.00	5.0
THE BOSTON COMPANY	039	PLCE	B	40,930	34.32	n/a	8-Jan	1,637.20	4.0
CATAPULT	040	PPG	B	33,000	62.86	n/a	13-Jan	1,320.00	4.0
NWQ INVESTMENT MGMT CO	048	RDEN	S	18,600	15.73	n/a	17-Dec	558.00	3.0
SAXON WOODS ADVISORS	242	RHB	B	15,000	33.99	n/a	n/a	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>31.04</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
SCOPUS FUND	041	TIN	SS	10,000	19.73	n/a	7-Jan	500.00	5.0
EPOCH INV MGMT	030	V	B	25,800	87.18	n/a	5-Jan	774.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	WCRX	S	29,700	28.60	n/a	13-Jan	594.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WRC	B	86,400	46.13	n/a	4-Jan	3,456.00	4.0
KENNEDY CAPITAL	046	WRC	S	24,785	45.00	n/a	4-Jan	991.40	4.0
TOTAL (Trade Date) :								105,887.93	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/13	DAVENPORT CAPITAL (DAVNJPM)	070	F	B	10,000	11.92	n/a	6-Jan	600.00 6.0
AO,CXL	01/13	MKT MAKER (MKT MAKER)	099	PBR	S	25,000	46.35	n/a	n/a	0.00 0.0
AO,CRT	01/13	RBC CAPITAL MARKETS (RBCCMAIN)	040	PBR	S	25,000	46.35	n/a	n/a	1000.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,600.00</b>
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>107,487.93</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