



## Daily Compliance Activity Report

Trade Date: 08/18/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	AA	SS	30,000	12.71	n/a	n/a	1,200.00	4.0
MATRIX ASSET ADV.	036	ADI	S	3,000	27.05	n/a	n/a	120.00	4.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	100,000	14.18	25-Jun	7-Aug	4,000.00	4.0
BRIGADE CAPITAL MGMT	029	AIQ	B	50,000	5.14	n/a	n/a	1,500.00	3.0
OZ MGMT	040	ALV	C	42,000	32.50	10-Jun	22-Jul	1,260.00	3.0
PRIMECAP MGMT	048	AMGN	B	2,500	59.71	n/a	26-Jan	125.00	5.0
COUGAR TRADING	044	ANF	B	10,000	31.54	3-Jun	14-Aug	500.00	5.0
WAGONHOUND/NIC	048	AXE	S	4,808	34.63	28-Jul	28-Jul	192.32	4.0
BMO NESBITT BURNS	041	AXL	SS	75,000	5.34	n/a	12-Aug	3,750.00	5.0
BMO NESBITT BURNS	041	AXL	S	25,000	3.80	n/a	12-Aug	1,250.00	5.0
COOPER CREEK PART	028	AXL	B	50,000	5.12	n/a	12-Aug	1,500.00	3.0
L.R.BURTSCHY & CO	045	AXL	S	50,000	5.50	n/a	12-Aug	3,000.00	6.0
OZ MGMT	040	AXL	B	100,000	4.56	n/a	12-Aug	3,000.00	3.0
OZ MGMT	040	AXL	S	212,402	4.93	n/a	12-Aug	6,372.06	3.0
SLS CAPITAL LLC	224	AXL	S	193,900	5.70	n/a	12-Aug	5,817.00	3.0
THIRD COAST CAPITAL	035	AXL	B	75,000	5.21	n/a	12-Aug	3,750.00	5.0
TROUBH PART	067	AXL	S	25,000	5.00	n/a	12-Aug	1,250.00	5.0
WAGONHOUND/NIC	048	AXL	S	35,362	5.83	n/a	12-Aug	1,060.86	3.0
WOOSTER CAPITAL	035	AXL	S	100,000	3.56	n/a	12-Aug	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	039	AXP	B	110,262	31.85	n/a	18-Aug	3,307.86	3.0
CENTURION PARTNERS	041	BAC	B	25,000	16.91	11-May	17-Aug	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	BAC	S	50,000	17.02	11-May	17-Aug	2,500.00	5.0
MORTAR ROCK	033	BBT	S	10,000	26.93	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>30,000</b>	<b>35.05</b>	<b>n/a</b>	<b>27-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
CIRCLE T/SES PART	035	BWA	B	50,000	30.12	3-Aug	5-Aug	2,000.00	4.0
COUGAR TRADING	044	BWA	B	5,000	30.03	3-Aug	5-Aug	250.00	5.0
SCOPUS FUND	041	BWA	B	25,000	30.12	3-Aug	5-Aug	1,250.00	5.0
WOOSTER CAPITAL	035	BWA	B	60,000	30.11	3-Aug	5-Aug	1,800.00	3.0
PROSPECTOR PARTNERS LLC	036	CCE	S	8,000	19.94	n/a	n/a	320.00	4.0
GRANITE CAPITAL	045	CRM	S	15,300	44.02	n/a	n/a	765.00	5.0
TROUBH PART	067	CSX	B	25,000	43.45	n/a	n/a	1,250.00	5.0
OZ MGMT	040	CX	C	65,000	11.63	n/a	n/a	1,950.00	3.0
CENTURION PARTNERS	041	C	B	25,000	4.07	n/a	17-Aug	1,000.00	4.0
CENTURION PARTNERS	041	DD	B	10,000	31.50	n/a	21-Jul	400.00	4.0
COOPER CREEK PART	028	DKS	B	25,000	19.47	17-Aug	17-Aug	750.00	3.0
SENVEST PART	045	DSW	B	11,000	12.52	28-Jul	3-Aug	550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	DTV	B	125,065	23.85	n/a	4-Jan	3,751.95	3.0
WAGONHOUND/NIC	048	EM	S	991	16.90	n/a	n/a	39.64	4.0
OZ MGMT	040	ESRX	B	62,531	66.63	n/a	n/a	1,875.93	3.0
DIAMONDBACK CAP MGMT	232	ETFC	S	500,000	1.39	n/a	n/a	15,000.00	3.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.40	n/a	n/a	1,200.00	6.0
BMO NESBITT BURNS	041	FOR	B	15,000	13.20	6-Aug	6-Aug	750.00	5.0
CENTURION PARTNERS	041	F	B	25,000	7.66	3-Aug	10-Aug	1,000.00	4.0
SCOPUS FUND	041	F	B	150,000	7.68	3-Aug	10-Aug	7,500.00	5.0
TRELLUS PARTNERS LP	028	F	B	50,000	7.69	3-Aug	10-Aug	1,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GME</b>	<b>S</b>	<b>30,000</b>	<b>24.67</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
BRIGADE CAPITAL MGMT	029	GPK	B	100,000	2.21	n/a	n/a	2,000.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>B</b>	<b>20,000</b>	<b>18.55</b>	<b>n/a</b>	<b>30-Jan</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HD</b>	<b>B</b>	<b>30,000</b>	<b>27.23</b>	<b>10-Aug</b>	<b>10-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
SCHOTTENFELD ASSOC	041	HD	SS	25,000	26.61	10-Aug	10-Aug	750.00	3.0
BRIGADE CAPITAL MGMT	029	HERO	B	48,468	4.53	n/a	n/a	969.36	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOG</b>	<b>B</b>	<b>20,000</b>	<b>21.79</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	HPQ	S	5,000	43.44	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	HPY	B	20,000	10.89	n/a	n/a	0.00	0.0
SCOPUS FUND	041	IP	S	49,253	19.44	14-Aug	14-Aug	2,462.65	5.0
FORD FDN.	032	JPM	S	30,000	41.47	7-Aug	17-Aug	1,500.00	5.0
CATAPULT	040	LLY	SS	50,000	32.74	n/a	n/a	2,500.00	5.0
PRIMECAP MGMT	048	LMNX	B	600	15.30	n/a	n/a	30.00	5.0
OZ MGMT	040	MHS	SS	62,531	54.56	n/a	n/a	1,875.93	3.0
PROSPECTOR PARTNERS LLC	036	MIR	S	10,000	16.80	n/a	n/a	400.00	4.0
COLONIAL FUND LLC	036	MMM	B	10,000	70.48	7-Aug	7-Aug	500.00	5.0
COUGAR TRADING	044	M	B	10,000	14.37	n/a	13-Aug	500.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	10.80	11-Aug	11-Aug	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NTY</b>	<b>B</b>	<b>10,000</b>	<b>36.26</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OC</b>	<b>B</b>	<b>20,000</b>	<b>20.06</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
SENATOR INVESTMENT GROUP	036	PCU	SS	7,500	26.05	n/a	n/a	300.00	4.0
PROSPECTOR PARTNERS LLC	036	PTP	S	5,000	34.30	n/a	n/a	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>30,000</b>	<b>35.00</b>	<b>28-Jul</b>	<b>28-Jul</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	PVH	B	4,000	35.05	28-Jul	28-Jul	240.00	6.0
COLONIAL FUND LLC	036	QCOM	S	10,000	44.89	n/a	n/a	500.00	5.0
LISTED ERR	099	RGC	B	2,000	11.65	n/a	n/a	0.00	0.0
CENTURION PARTNERS	041	SJM	B	5,000	50.79	n/a	n/a	200.00	4.0
LAGRANGE CAP ADV	048	SKS	B	10,000	5.74	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	14.97	n/a	13-Mar	1,200.00	4.0
ARCHON CAPITAL	035	SOLF	SS	50,000	5.75	n/a	n/a	1,500.00	3.0
SCHOTTENFELD ASSOC	041	STT	S	35,000	51.01	n/a	18-Aug	1,050.00	3.0
OZ MGMT	040	S	C	500,000	3.88	n/a	n/a	15,000.00	3.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	43.70	6-Aug	17-Aug	400.00	4.0
FIRST NY SEC/CHRIS	041	TGT	B	10,000	43.60	6-Aug	17-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	30,000	34.09	28-Jul	7-Aug	1,200.00	4.0
COLONIAL FUND LLC	036	TRW	B	30,000	19.05	n/a	n/a	1,500.00	5.0
MATRIX ASSET ADV.	036	TYC	S	3,000	30.65	30-Jul	30-Jul	120.00	4.0
SCOPUS FUND	041	UFS	S	25,000	27.09	n/a	n/a	1,250.00	5.0
FORD FDN.	032	WFC	S	35,000	26.53	n/a	n/a	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	WY	B	25,000	35.05	n/a	3-Aug	1,250.00	5.0
SCOPUS FUND	041	WY	B	10,000	34.84	n/a	3-Aug	500.00	5.0
OZ MGMT	040	XRT	C	93,799	30.77	n/a	n/a	2,813.97	3.0
<b>TOTAL (Trade Date) :</b>								<b>148,419.53</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/17	MATRIX ASSET ADV. (MATXVTCO)	036	BAC	S	1,000	16.70	11-May	17-Aug	30.00 3.0
AO,CXL	08/17	MATRIX ASSET ADV. (MATXVALUE)	036	BAC	S	1,000	16.70	11-May	17-Aug	30.00 3.0
AO,	08/17	JENNISON (JENN892)	032	KSS	B	11,200	50.64	14-Aug	14-Aug	414.40 3.7
AO,	08/17	JENNISON (JENN0866)	032	KSS	B	200	50.64	14-Aug	14-Aug	7.40 3.7
AO,	08/17	JENNISON (JENN0851)	032	KSS	B	4,800	50.64	14-Aug	14-Aug	177.60 3.7
AO,	08/17	JENNISON (JENN461)	032	KSS	B	1,000	50.64	14-Aug	14-Aug	37.00 3.7
AO,	08/17	JENNISON (JENN769)	032	KSS	B	600	50.64	14-Aug	14-Aug	22.20 3.7
AO,	08/17	JENNISON (JENN203)	032	KSS	B	18,700	50.64	14-Aug	14-Aug	691.90 3.7
AO,	08/17	JENNISON (JENN481)	032	KSS	B	7,700	50.64	14-Aug	14-Aug	284.90 3.7
AO,	08/17	JENNISON (JENN612)	032	KSS	B	600	50.64	14-Aug	14-Aug	22.20 3.7
AO,	08/17	JENNISON (JENN621)	032	KSS	B	400	50.64	14-Aug	14-Aug	14.80 3.7
AO,	08/17	JENNISON (JENN615)	032	KSS	B	200	50.64	14-Aug	14-Aug	7.40 3.7
AO,	08/17	JENNISON (JENN119)	032	KSS	B	26,100	50.64	14-Aug	14-Aug	965.70 3.7
AO,	08/17	JENNISON (JENN426)	032	KSS	B	18,100	50.64	14-Aug	14-Aug	669.70 3.7
AO,	08/17	JENNISON (JENN536)	032	KSS	B	1,600	50.64	14-Aug	14-Aug	59.20 3.7
AO,	08/17	JENNISON (JENN79)	032	KSS	B	1,800	50.64	14-Aug	14-Aug	66.60 3.7
AO,	08/17	JENNISON (JENN322)	032	KSS	B	32,000	50.64	14-Aug	14-Aug	1184.00 3.7
AO,CRT	08/17	MATRIX ASSET ADV. (MATXVTCO)	036	OMC	S	400	34.76	n/a	n/a	16.00 4.0
AO,CXL	08/17	MATRIX ASSET ADV. (MATXVALUE)	036	OMC	S	400	34.76	n/a	n/a	16.00 4.0
AO,	08/14	LISTED ERR (LISTED ERR)	041	RGC	SS	2,000	11.76	n/a	n/a	0.00 0.0
AO,CXL	08/14	ARAGON GLOBAL (ARAGGS)	041	RGC	SS	34,000	11.76	n/a	n/a	1700.00 5.0
AO,	08/14	ARAGON GLOBAL (ARAGGS)	041	RGC	SS	32,000	11.76	n/a	n/a	1600.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,525.00</b>

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TOTAL (Trade Date):	148,419.53
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>152,944.53</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