



# Daily Compliance Activity Report

Trade Date: 06/30/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	038	ADS	B	1,000	41.41	n/a	n/a	40.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>120,000</b>	<b>14.26</b>	<b>25-Jun</b>	<b>25-Jun</b>	<b>4,800.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	AMGN	B	275,545	52.81	n/a	26-Jan	12,399.56	4.5
N&BE	036	AMGN	B	22,000	52.81	n/a	26-Jan	990.00	4.5
BALYASNY ASSET MGMT	044	AMG	B	5,000	57.19	5-Jun	29-Jun	250.00	5.0
MILLRACE FUND LP	028	ARGN	B	10,000	6.12	n/a	30-Apr	300.00	3.0
CIRCLE T/SES PART	035	AXL	B	25,000	3.57	n/a	10-Jun	750.00	3.0
NEWCASTLE FUNDS	255	AXL	B	50,000	3.55	n/a	10-Jun	2,000.00	4.0
WOOSTER CAPITAL	035	AXL	S	25,000	3.49	n/a	10-Jun	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>B</b>	<b>40,000</b>	<b>21.07</b>	<b>28-May</b>	<b>24-Jun</b>	<b>1,600.00</b>	<b>4.0</b>
TROUBH PART	067	BK	S	25,000	29.66	11-May	30-Jun	1,250.00	5.0
MILLENIUM PARTNERS	028	CMI	B	30,000	35.04	6-May	6-May	1,500.00	5.0
DIAMONDBACK CAP MGMT	232	CNS	SS	10,000	15.00	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	CRI	B	22,500	24.49	n/a	n/a	787.50	3.5
OZ MGMT	040	C	SS	124,359	3.02	n/a	30-Jun	3,730.77	3.0
CIRCLE T/SES PART	035	DAI	SS	20,000	36.02	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	DPZ	S	112,393	7.48	n/a	24-Apr	4,495.72	4.0
COLUMBIA PARTNERS	028	EPR	B	300	20.36	n/a	n/a	12.00	4.0
DIAMONDBACK CAP MGMT	232	FCX	S	15,000	50.92	n/a	n/a	750.00	5.0
BMO NESBITT BURNS	041	F	S	50,000	6.07	n/a	30-Jun	2,500.00	5.0
CIRCLE T/SES PART	035	F	S	25,000	6.02	n/a	30-Jun	1,000.00	4.0
DELTEC ASSET MGMT.	040	GIL	B	10,000	14.92	25-Jun	25-Jun	500.00	5.0
OZ MGMT	040	GLW	SS	93,268	16.17	30-Jun	30-Jun	2,798.04	3.0
CENTURION PARTNERS	041	GNW	B	30,000	7.30	n/a	n/a	1,500.00	5.0
THOMAS WEISEL ASSET MGMT	035	GPI	B	1,365	26.53	n/a	29-Apr	40.95	3.0
FIRST NY SEC/CHRIS	041	GPS	B	8,800	16.58	n/a	30-Jan	528.00	6.0
BALYASNY ASSET MGMT	044	HIBB	SS	5,880	18.26	n/a	n/a	294.00	5.0
OZ MGMT	040	HK	C	150,970	22.17	n/a	n/a	4,529.10	3.0
MILLENIUM PARTNERS	028	HNZ	B	50,700	35.55	n/a	n/a	2,028.00	4.0
OZ MGMT	040	HPQ	C	49,743	39.16	n/a	n/a	1,492.29	3.0
LEVEL GLOBAL PARTNERS	031	INTC	B	535,000	16.56	n/a	n/a	10,700.00	2.0
BMO NESBITT BURNS	041	IP	SS	50,000	15.19	23-Jun	23-Jun	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	IP	B	398,519	15.27	23-Jun	23-Jun	13,948.18	3.5
NEWLAND CAPITAL MGT	067	IP	S	24,200	15.40	23-Jun	23-Jun	968.00	4.0
BMO NESBITT BURNS	041	IR	B	25,000	20.98	n/a	19-Jun	1,250.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	7,100	17.66	5-Jun	30-Jun	355.00	5.0
HIGHBRIDGE/MS OLDS	041	JCP	B	29,500	28.63	13-Apr	19-Jun	1,180.00	4.0
BALYASNY ASSET MGMT	044	JNS	S	50,000	11.38	5-May	29-Jun	2,500.00	5.0
MILLENIUM PARTNERS	028	KFT	S	58,951	25.15	n/a	n/a	2,358.04	4.0
AVESTA CAP	229	KSS	SS	50,000	42.59	8-May	5-Jun	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>42.71</b>	<b>8-May</b>	<b>5-Jun</b>	<b>400.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	LULU	S	80,000	13.06	n/a	n/a	4,000.00	5.0
EIDELMAN,FINGER & CO	045	LZB	S	8,000	4.80	n/a	n/a	320.00	4.0
OPPENHEIMER MGMT.	231	MET	B	175,000	29.50	n/a	n/a	7,000.00	4.0
OPPENHEIMER MGMT.	231	MOT	B	779,780	6.61	n/a	n/a	15,595.60	2.0
NEWLAND CAPITAL MGT	067	MSA	S	15,000	24.00	n/a	n/a	600.00	4.0
ROTHSCHILD ASSET	040	MUR	B	7,504	53.68	n/a	n/a	337.71	4.5
BALYASNY ASSET MGMT	044	PLCE	B	75,000	26.42	19-Mar	5-Jun	3,750.00	5.0
COLUMBIA PARTNERS	028	PNFP	B	65,211	13.33	n/a	n/a	2,608.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	RJF	S	10,000	17.04	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	B	20,000	53.53	25-Jun	25-Jun	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	34,000	9.78	n/a	13-Mar	1,020.00	3.0
JMP ASSET MGMT	210	SWHC	SS	1,948	5.75	n/a	n/a	77.92	4.0
DSG CAPITAL	225	TAM	B	5,000	10.30	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	TEVA	B	23,617	48.82	18-Feb	30-Jun	1,062.77	4.5
N&BE	036	TEVA	B	1,300	48.82	18-Feb	30-Jun	58.50	4.5
CASEY CAPITAL	067	TGI	B	3,928	41.25	n/a	n/a	196.40	5.0
CATAPULT	040	TGI	S	55,128	40.16	n/a	n/a	2,756.40	5.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	24.74	n/a	24-Apr	800.00	4.0
CIRCLE T/SES PART	035	TM	SS	15,000	75.05	n/a	n/a	600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	48.40	11-May	19-Jun	2,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>137,908.89</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/29	SAC TRADING HOWARD (SACHGS)	038	ANF	B	19,200	26.00	3-Jun	18-Jun	960.00 5.0
AO,CRT	06/29	SAC TRADING HOWARD (SACHGS)	038	ANF	B	19,200	26.00	3-Jun	18-Jun	768.00 4.0
AO,CXL	06/29	PATTEN & PATTEN (PATTFSG BA)	067	CL	S	300	72.03	8-Jun	8-Jun	15.00 5.0
AO,CRT	06/29	PATTEN & PATTEN (PATTPERSHI)	067	CL	S	300	72.03	8-Jun	8-Jun	15.00 5.0
AO,CXL	06/29	IRONBOUND CAPITAL (IROBGS)	012	EXH	B	110,000	16.53	27-May	22-Jun	5500.00 5.0
AO,CRT	06/29	IRONBOUND CAPITAL (IROBGS)	012	EXH	B	110,000	16.53	27-May	22-Jun	3300.00 3.0
AO,CXL	06/25	FARALLON CAP MGMT (FARABULK F)	040	STP	S	100,000	18.30	n/a	n/a	4000.00 4.0
AO,CRT	06/25	FARALLON CAP MGMT (FARABULK F)	040	STP	S	100,000	18.30	n/a	n/a	3000.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-3,392.00</b>
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TOTAL (Trade Date) :	137,908.89
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TOTAL (AO, CXL, CRT) :	-3,392.00
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>134,516.89</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