



# Daily Compliance Activity Report

Trade Date: 10/07/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AAP</b>	<b>SS</b>	<b>30,000</b>	<b>37.99</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
WEISS PECK	040	AEO	B	6,500	16.64	n/a	5-Oct	325.00	5.0
IMPALA ASSET MMT	012	AKS	SS	100,000	18.86	n/a	n/a	3,000.00	3.0
SANDLER O'NEILL ASSET	031	AMG	B	10,000	65.00	n/a	6-Oct	500.00	5.0
EPOCH INV MGMT	030	AMP	S	6,265	36.48	n/a	n/a	187.95	3.0
STRAUSS ASSET MGMT	040	AONE	B	10,000	23.38	n/a	n/a	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ARO	B	25,000	42.78	n/a	5-Oct	1,000.00	4.0
MERRILL ASSET/BLACKROCK	214	AVGO	B	3,400	16.12	n/a	n/a	153.00	4.5
CIRCLE T/SES PART	035	AXL	S	20,000	6.84	n/a	n/a	800.00	4.0
SANDLER O'NEILL ASSET	031	BEN	S	24,900	102.37	n/a	6-Oct	1,245.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>SS</b>	<b>50,000</b>	<b>36.93</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	BJ	SS	20,000	36.98	n/a	n/a	800.00	4.0
SCOPUS FUND	041	BJ	SS	20,000	36.86	n/a	n/a	1,000.00	5.0
S.A.C.HABER/BOBBY	044	BK	B	305,000	28.43	n/a	6-Oct	12,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BYD</b>	<b>SS</b>	<b>20,000</b>	<b>10.63</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	CAL	B	178,000	15.96	n/a	n/a	5,340.00	3.0
STERLING JOHNSTON	035	CENT	B	75,000	11.68	n/a	n/a	3,000.00	4.0
KLEINHEINZ CAP PART	031	CHK	B	75,000	27.93	n/a	n/a	3,750.00	5.0
TROUBH PART	067	COH	B	20,000	33.43	n/a	n/a	1,000.00	5.0
US BANCORP	030	COH	B	35,244	33.29	n/a	n/a	1,762.20	5.0
MILLENIUM PARTNERS	028	COST	SS	58,000	59.21	n/a	n/a	2,320.00	4.0
IMPALA ASSET MMT	012	CSX	B	23,600	42.66	n/a	n/a	944.00	4.0
IMPALA ASSET MMT	012	CSX	S	100,000	42.37	n/a	n/a	4,000.00	4.0
BALYASNY ASSET MGMT	044	CVS	S	25,000	35.39	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	012	DAL	S	325,000	8.37	n/a	n/a	6,500.00	2.0
ROYCE TRADING	216	DDS	S	12,500	14.67	n/a	n/a	625.00	5.0
EXIS CAPITAL	044	DECK	SS	5,000	81.40	n/a	n/a	250.00	5.0
SUN AMERICA ASSET MGMT	030	DELL	S	85,000	15.38	n/a	n/a	3,400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DKS	B	25,000	23.20	n/a	n/a	1,000.00	4.0
IMPALA ASSET MMT	012	DSX	B	143,000	13.96	n/a	n/a	4,290.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>S</b>	<b>30,000</b>	<b>14.80</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	ECHO	SS	42,000	13.65	n/a	n/a	1,260.00	3.0
SCOPUS FUND	041	EL	B	2,500	37.87	n/a	n/a	125.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.72	n/a	n/a	1,200.00	6.0
ASCEND PARTNERS	033	FL	B	30,000	11.75	n/a	n/a	1,500.00	5.0
BASIX	033	FL	B	17,000	11.76	n/a	n/a	510.00	3.0
ROARING BLUE LION MGMT	012	FL	B	19,900	11.70	n/a	n/a	796.00	4.0
WEISS PECK	040	FL	B	50,160	11.88	n/a	n/a	2,508.00	5.0
ROYCE TRADING	216	FOE	S	5,000	8.51	n/a	n/a	250.00	5.0
ROYCE TRADING	216	FOH	B	1,000	1.83	n/a	n/a	30.00	3.0
ROYCE TRADING	216	GPI	B	500	26.30	n/a	n/a	25.00	5.0
ROYCE TRADING	216	HAR	S	3,000	34.01	n/a	n/a	150.00	5.0
ROYCE TRADING	216	HBI	S	5,000	23.17	n/a	n/a	250.00	5.0
PRINCIPLE CAPITAL	040	HGSI	S	25,000	19.03	n/a	n/a	750.00	3.0
ROYCE TRADING	216	HRZ	S	10,000	5.77	n/a	n/a	500.00	5.0
IMPALA ASSET MMT	012	HST	B	88,000	11.47	n/a	n/a	2,640.00	3.0
ROYCE TRADING	216	HXL	S	5,200	10.95	n/a	n/a	260.00	5.0
IMPALA ASSET MMT	012	JBHT	S	46,608	32.71	n/a	n/a	1,864.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	S	30,000	36.13	n/a	n/a	1,200.00	4.0
JP MORGAN VENTURES	046	JCP	S	25,000	34.89	n/a	5-Oct	1,250.00	5.0
THE JAY GOLDMAN	034	JCP	B	15,000	34.67	n/a	5-Oct	600.00	4.0
THE JAY GOLDMAN	034	JCP	S	25,000	35.13	n/a	5-Oct	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	JNS	SS	20,000	13.98	n/a	7-Oct	1,000.00	5.0
THE JAY GOLDMAN	034	JWN	B	10,000	31.98	n/a	5-Oct	400.00	4.0
THE JAY GOLDMAN	034	KSS	S	15,000	57.94	n/a	5-Oct	600.00	4.0
STADIA CAPITAL	035	LTD	B	18,000	17.78	n/a	n/a	720.00	4.0
IMPALA ASSET MMT	012	LUV	B	180,000	9.21	n/a	n/a	3,600.00	2.0
IMPALA ASSET MMT	012	LZ	S	20,000	70.22	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	MGM	SS	25,000	12.15	n/a	n/a	1,000.00	4.0
SENATOR INVESTMENT GROUP	036	MTW	B	75,000	9.65	n/a	n/a	2,250.00	3.0
ROTHSCHILD ASSET	040	MW	B	31,350	24.98	n/a	n/a	1,410.75	4.5
BUCK CAPITAL MGMT	001	M	B	150,000	18.61	n/a	5-Oct	6,000.00	4.0
WEISS PECK	040	M	SS	6,180	18.35	n/a	5-Oct	309.00	5.0
ROYCE TRADING	216	NEWP	B	3,000	9.03	n/a	n/a	150.00	5.0
IMPALA ASSET MMT	012	NSC	SS	45,000	44.42	n/a	n/a	1,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PECONIC PARTNERS	036	NVDA	S	500,000	13.94	n/a	n/a	25,000.00	5.0
JAT CAPITAL MANAGEMENT	041	NWSA	S	135,723	11.67	n/a	n/a	5,428.92	4.0
GRANITE CAPITAL	045	PAG	B	10,000	15.57	n/a	n/a	500.00	5.0
PHILADELPHIA FINANCIAL	033	PAG	SS	18,377	15.21	n/a	n/a	735.08	4.0
IMPALA ASSET MMT	012	PHM	S	240,000	10.06	n/a	n/a	7,200.00	3.0
SCOPUS FUND	041	PKG	S	25,000	20.11	n/a	2-Oct	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>50,000</b>	<b>42.14</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
OZ MGMT	040	RIMM	C	49,870	67.41	n/a	n/a	1,496.10	3.0
EXIS CAPITAL	044	ROST	B	17,500	48.06	n/a	n/a	875.00	5.0
IMPALA ASSET MMT	012	RYL	B	150,000	19.47	n/a	n/a	4,500.00	3.0
ROYCE TRADING	216	SEH	S	3,000	11.11	n/a	n/a	150.00	5.0
ROYCE TRADING	216	SGY	S	5,000	15.92	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>50,000</b>	<b>18.10</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
ROYCE TRADING	216	SM	S	5,000	34.02	n/a	n/a	250.00	5.0
SACC-FISHER	044	SPY	B	15,000	105.61	n/a	n/a	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>S</b>	<b>100,000</b>	<b>38.22</b>	<b>n/a</b>	<b>5-Oct</b>	<b>4,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	TJX	B	5,000	38.19	n/a	5-Oct	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>B</b>	<b>30,000</b>	<b>10.19</b>	<b>n/a</b>	<b>n/a</b>	<b>900.00</b>	<b>3.0</b>
IMPALA ASSET MMT	012	UAUA	S	266,300	7.09	n/a	n/a	5,326.00	2.0
T. ROWE PRICE	033	UFS	S	84,400	39.12	n/a	n/a	3,376.00	4.0
EXIS CAPITAL	044	VZ	S	20,000	29.26	n/a	n/a	1,000.00	5.0
KLEINHEINZ CAP PART	031	V	B	50,000	69.33	n/a	7-Oct	2,500.00	5.0
EXIS CAPITAL	044	WMT	B	10,000	49.52	n/a	6-Oct	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>44.02</b>	<b>n/a</b>	<b>2-Oct</b>	<b>800.00</b>	<b>4.0</b>
SCOPUS FUND	041	WY	S	38,910	34.82	n/a	n/a	1,945.50	5.0
STRAUSS ASSET MGMT	040	WY	B	10,000	35.37	n/a	n/a	400.00	4.0
OZ MGMT	040	XLNX	C	37,394	22.99	n/a	n/a	1,121.82	3.0
RBC CAPITAL MARKETS	040	YUM	SS	10,000	34.28	n/a	7-Oct	400.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>179,704.64</b>	

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	10/02	ARCHON CAPITAL (ARCCUBS)	035	CLNE	SS	22,400	13.40	n/a	n/a	896.00	4.0
AO,CRT	10/02	ARCHON CAPITAL (ARCCUBS)	035	CLNE	SS	22,400	13.40	n/a	n/a	672.00	3.0
AO,CRT	10/06	CONIFER/ISF (CONIISFRIP)	030	FL	B	5,000	11.80	n/a	n/a	200.00	4.0
AO,CXL	10/06	WHALE ROCK CAP (WHAL4CENTS)	030	FL	B	5,000	11.80	n/a	n/a	200.00	4.0
AO,CXL	10/06	SANDLER O'NEILL ASSET (SANOJPMBS)	031	IVZ	B	24,000	23.00	n/a	6-Oct	1200.00	5.0
AO,CRT	10/06	SANDLER O'NEILL ASSET (SANO)	031	IVZ	B	24,000	23.00	n/a	6-Oct	1200.00	5.0
AO,	10/06	LISTED ERR (LISTED ERR)	099	VCI	S	5,200	18.75	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										-224.00	
TOTAL (Trade Date) :										179,704.64	
TOTAL (AO, CXL, CRT) :										-224.00	
TOTAL (RUN DATE) / NFS:										179,480.64	

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