



## Daily Compliance Activity Report

Trade Date: 01/20/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	10,000	38.92	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	ABX	B	10,000	37.53	n/a	n/a	400.00	4.0
TRUSTCO/SUNTRUST	040	AOS	B	22,100	44.47	n/a	23-Nov	861.92	3.9
BUCK CAPITAL MGMT	001	ARO	B	10,000	34.10	n/a	8-Jan	400.00	4.0
AVESTA CAP	229	AU	SS	100,000	38.88	n/a	n/a	3,000.00	3.0
SANDLER O'NEILL ASSET	031	BK	B	50,000	30.53	n/a	20-Jan	2,500.00	5.0
ROSEDALE CAPITAL	046	BSX	B	40,000	9.61	n/a	n/a	1,600.00	4.0
GRISANTI BROWN & PARTNER	048	BUCY	B	1,400	64.01	n/a	6-Jan	70.00	5.0
JP MORGAN VENTURES	046	CAKE	SS	15,000	22.43	n/a	19-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	COH	B	20,000	35.36	n/a	14-Jan	800.00	4.0
JP MORGAN VENTURES	046	COH	B	20,000	35.40	n/a	14-Jan	1,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	COST	B	25,000	58.03	n/a	n/a	1,000.00	4.0
GRISANTI BROWN & PARTNER	048	CPN	S	15,200	11.39	n/a	n/a	760.00	5.0
BUCK CAPITAL MGMT	001	CRI	S	40,000	26.04	n/a	n/a	1,600.00	4.0
ROARING BLUE LION MGMT	012	CSH	S	3,300	37.41	n/a	n/a	132.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	CVS	S	30,000	33.74	n/a	n/a	1,200.00	4.0
SOROS	036	C	S	1,000,000	3.59	n/a	19-Jan	30,000.00	3.0
STELLIAM INV ADV	034	DAL	S	20,000	13.13	n/a	n/a	1,000.00	5.0
TRELLUS PARTNERS LP	028	DAN	B	11,600	11.05	n/a	6-Jan	580.00	5.0
GRUSS CAPITAL	045	DEL	SS	500	52.75	n/a	n/a	15.00	3.0
DAVIDSON INV ADV	035	DFS	S	109,900	14.73	n/a	15-Jan	4,396.00	4.0
LONG OAR GLOBAL INV	040	DV	B	6,200	56.08	n/a	n/a	248.00	4.0
ROTHSCHILD ASSET	040	FUL	B	9,346	22.34	n/a	n/a	373.84	4.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	22.01	n/a	4-Jan	400.00	4.0
GRUSS CAPITAL	045	GLD	B	5,000	108.96	n/a	n/a	150.00	3.0
SPARTA ASSET MGMT	035	GYMB	B	12,000	41.62	n/a	8-Jan	360.00	3.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	22.80	n/a	n/a	800.00	4.0
ARCHON CAPITAL	035	HOT	SS	30,000	37.79	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	16.59	n/a	4-Jan	800.00	4.0
NEUBERGER BERMAN	036	KBW	S	25,000	27.51	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	KFT	B	31,282	28.79	n/a	n/a	1,251.28	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>51.49</b>	<b>n/a</b>	<b>8-Jan</b>	<b>400.00</b>	<b>4.0</b>
T. ROWE PRICE	033	KSS	B	80,400	51.33	n/a	8-Jan	3,216.00	4.0
SANDLER O'NEILL ASSET	031	LM	B	10,000	30.49	n/a	19-Jan	500.00	5.0
NEUBERGER BERMAN	036	LOW	B	74,860	22.75	n/a	16-Nov	2,994.40	4.0
WEINTRAUB CAPITAL MGT.	040	LOW	B	42,948	23.00	n/a	16-Nov	1,717.92	4.0
ROARING BLUE LION MGMT	012	LO	S	1,732	75.53	n/a	n/a	69.28	4.0
NEUBERGER BERMAN	036	LTD	B	52,800	19.00	n/a	n/a	2,112.00	4.0
BAIRD INVESTMENT	047	MA	B	5,100	263.61	n/a	14-Jan	255.00	5.0
ROARING BLUE LION MGMT	012	MCO	B	2,000	27.78	n/a	n/a	80.00	4.0
PROSPECTOR PARTNERS LLC	036	MIR	B	10,000	15.05	n/a	n/a	400.00	4.0
SCHOTTENFELD ASSOC	041	MOT	B	50,000	7.47	n/a	n/a	1,500.00	3.0
JP MORGAN VENTURES	046	MRT	B	20,000	4.07	n/a	n/a	600.00	3.0
BASIX	033	MTW	B	17,000	12.93	n/a	12-Jan	510.00	3.0
JP MORGAN VENTURES	046	MW	S	25,000	20.87	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	NXY	B	10,000	22.30	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	ORCL	S	25,000	24.77	n/a	n/a	1,250.00	5.0
FRIESS MGMT	033	PAG	B	146,600	16.43	n/a	4-Jan	5,864.00	4.0
BRIGADE CAPITAL MGMT	029	PLCE	B	15,000	34.48	n/a	8-Jan	450.00	3.0
PROSPECTOR PARTNERS LLC	036	REP	B	10,000	25.55	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	RRR	S	55,000	7.51	n/a	4-Jan	1,100.00	2.0
BUCK CAPITAL MGMT	001	SIG	B	10,000	27.83	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	30.30	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	70,000	10.12	n/a	n/a	2,800.00	4.0
HARBORWATCH/DIAMBACK	232	TYC	B	10,000	38.01	n/a	19-Jan	500.00	5.0
SANDLER O'NEILL ASSET	031	WDR	B	10,000	32.50	n/a	19-Jan	500.00	5.0
KARSCH CAPITAL	034	WFC	SS	590,000	27.99	n/a	14-Jan	17,700.00	3.0
BMO NESBITT BURNS	041	WPI	B	5,000	41.53	n/a	19-Jan	350.00	7.0
HIGHBRIDGE CAP	041	WY	B	37,500	44.05	n/a	4-Jan	1,500.00	4.0
<b>TOTAL (Trade Date):</b>								<b>107,966.64</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/19	GRUSS CAPITAL (GRUSUBS)	045	DEI	S	10,000	15.02	n/a	n/a	300.00 3.0
AO,CXL	01/19	GRUSS CAPITAL (GRUS)	045	DEI	S	10,000	15.02	n/a	n/a	300.00 3.0
AO,CRT	01/19	GRUSS CAPITAL (GRUSUBS)	045	DEL	SS	1,000	53.23	n/a	n/a	30.00 3.0
AO,CXL	01/19	GRUSS CAPITAL (GRUS)	045	DEL	SS	1,000	53.23	n/a	n/a	30.00 3.0
CRT	01/20	BUCK CAPITAL MGMT (BUCKJPMBS)	001	HBI	B	18,800	22.80	n/a	n/a	752.00 4.0
CRT	01/20	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HBI	B	1,200	22.80	n/a	n/a	48.00 4.0
AO,CXL	01/19	CR INTRINIC INVESTMENT (CRINJPM)	044	JCP	SS	250,000	26.18	n/a	8-Jan	10000.00 4.0
AO,CRT	01/19	CR INTRINIC INVESTMENT (CRINGSPB)	044	JCP	SS	250,000	26.18	n/a	8-Jan	10000.00 4.0
CRT	01/20	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	LOW	B	42,948	23.00	n/a	16-Nov	1717.92 4.0
AO,CXL	01/19	DC CAPITAL (DCCAGOLDMA)	044	TEN	S	25,000	19.27	n/a	n/a	1250.00 5.0
AO,CRT	01/19	DC CAPITAL (DCCAGOLDMA)	044	TEN	S	25,000	19.27	n/a	n/a	1000.00 4.0
AO,CXL	01/19	GALT INVESTMENT (GALTGS)	041	WTSLA	S	25,000	3.50	n/a	n/a	1000.00 4.0
AO,CRT	01/19	GALT INVESTMENT (GALTGS)	041	WTSLA	S	25,000	3.50	n/a	n/a	625.00 2.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,892.92</b>

TOTAL (Trade Date):	107,966.64
TOTAL (AO, CXL, CRT):	1,892.92

**TOTAL (RUN DATE) / NFS:**

**109,859.56**

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