



Daily Compliance Activity Report

Trade Date: 08/04/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	S	102,956	28.32	n/a	n/a	4,118.24	4.0
SOROS	036	AA	S	500,000	12.50	n/a	n/a	20,000.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	180,000	14.26	25-Jun	3-Aug	7,200.00	4.0
JP MORGAN VENTURES	046	AEO	S	38,100	14.14	25-Jun	3-Aug	1,905.00	5.0
NEW JERSEY DIV OF INV.	030	AIV	S	10,000	10.20	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	29.38	3-Jun	3-Aug	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	29.75	3-Jun	3-Aug	2,000.00	4.0
TRELLUS PARTNERS LP	028	AN	B	20,000	19.94	3-Aug	3-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	37.78	n/a	3-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	20,000	38.67	n/a	27-Jul	800.00	4.0
ROARING BLUE LION MGMT	012	BK	B	5,900	27.97	11-May	23-Jul	236.00	4.0
BUCK CAPITAL MGMT	001	CAB	SS	20,000	16.13	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	CAT	B	60,000	47.35	n/a	22-Jul	2,400.00	4.0
CUMBERLAND	038	CENX	SS	5,000	10.28	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	CMA	B	33,400	25.72	n/a	n/a	1,503.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	COG	B	1,800	36.65	n/a	3-Aug	90.00	5.0
BUCK CAPITAL MGMT	001	COH	S	100,000	29.25	n/a	29-Jul	4,000.00	4.0
EPOCH INV MGMT	030	COP	B	1,500	44.79	n/a	n/a	45.00	3.0
EGS ASSOCIATES LP	091	CPKI	SS	3,000	16.19	4-Aug	4-Aug	180.00	6.0
STRONG/MARK GRONET	030	CRS	B	15,000	19.38	n/a	n/a	600.00	4.0
TROUBH PART	067	CSX	SS	25,000	41.44	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	CW	S	8,500	33.96	n/a	n/a	382.54	4.5
BUCK CAPITAL MGMT	001	DAI	B	15,000	48.91	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	DD	B	2,650	31.89	n/a	21-Jul	79.50	3.0
EPOCH INV MGMT	030	DE	B	1,250	45.51	n/a	17-Jun	37.50	3.0
EPOCH INV MGMT	030	DHR	B	1,500	62.29	n/a	n/a	45.00	3.0
BUCK CAPITAL MGMT	001	DKS	SS	50,000	20.04	27-Apr	3-Aug	2,000.00	4.0
EPOCH INV MGMT	030	DO	B	1,000	91.13	n/a	n/a	30.00	3.0
EPOCH INV MGMT	030	DVA	B	3,100	50.97	n/a	n/a	93.00	3.0
RAINIER INV MGMT	035	DVN	S	17,630	61.00	6-May	3-Aug	881.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	EMR	SS	5,000	35.02	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	ENDP	B	44,550	21.11	n/a	4-Aug	1,336.50	3.0
EPOCH INV MGMT	030	ERTS	B	3,000	22.05	n/a	n/a	90.00	3.0
FRED ALGER MGMT	035	ERTS	S	17,200	22.07	n/a	n/a	688.00	4.0
HUNTER GLOBAL INVESTOR	067	ESRX	B	20,000	68.85	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	ETR	B	600	78.89	n/a	n/a	18.00	3.0
PHILADELPHIA FINANCIAL	033	EV	B	32,718	29.05	19-May	4-Aug	1,308.72	4.0
CSL CAPITAL MGMT	039	EXH	B	2,000	17.93	27-May	3-Aug	100.00	5.0
EPOCH INV MGMT	030	FISV	B	2,200	48.59	n/a	n/a	66.00	3.0
TRELLUS PARTNERS LP	028	F	B	50,000	8.24	3-Aug	3-Aug	1,500.00	3.0
TROUBH PART	067	F	SS	75,000	8.32	3-Aug	3-Aug	3,750.00	5.0
CSL CAPITAL MGMT	039	GDP	B	2,000	27.11	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	GES	S	30,000	28.87	n/a	n/a	1,200.00	4.0
MOORE CAPITAL	036	GE	S	500,000	13.47	n/a	n/a	20,000.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	16.86	25-Jun	25-Jun	400.00	4.0
EPOCH INV MGMT	030	GLW	B	2,950	16.75	27-Jul	27-Jul	88.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	HGG	S	20,000	19.53	n/a	n/a	800.00	4.0
CSL CAPITAL MGMT	039	HOC	B	2,000	22.35	n/a	n/a	100.00	5.0
NEUBERGER BERMAN	036	IART	S	33,800	32.46	n/a	22-Apr	1,521.00	4.5
TROUBH PART	067	INFN	S	25,026	7.31	n/a	n/a	1,251.30	5.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	28.53	n/a	30-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	JCP	S	20,000	30.81	13-Apr	3-Aug	800.00	4.0
TRELLUS PARTNERS LP	028	LVS	S	100,000	10.69	n/a	31-Jul	5,000.00	5.0
STELLIAM INV ADV	034	MCD	B	20,000	55.09	n/a	23-Jul	1,000.00	5.0
EGS ASSOCIATES LP	091	MGM	SS	3,000	8.18	n/a	4-Aug	180.00	6.0
CIRCLE T/SES PART	035	MPCL	S	25,000	6.02	n/a	4-Aug	1,000.00	4.0
BUCK CAPITAL MGMT	001	M	SS	300,000	14.06	n/a	3-Aug	12,000.00	4.0
CSL CAPITAL MGMT	039	NGS	B	3,000	14.07	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	NKE	SS	30,000	56.84	n/a	n/a	1,200.00	4.0
HIGHBRIDGE/MS OLDS	041	PCH	S	29,000	30.57	n/a	29-Jul	1,160.00	4.0
HIGHBRIDGE CAPITAL	038	PCL	S	72,240	32.75	n/a	28-Jul	2,889.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRANITE CAPITAL	045	PCS	B	10,000	12.18	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	PEP	S	93,843	58.84	n/a	n/a	2,815.29	3.0
BASIX	033	PKG	S	20,000	20.05	21-Jul	21-Jul	600.00	3.0
SIGMA CAPITAL ASSOCIATES	041	QQQQ	SS	50,000	40.07	n/a	n/a	2,000.00	4.0
CSL CAPITAL MGMT	039	RIG	B	1,000	80.75	n/a	n/a	50.00	5.0
DSG CAPITAL	225	RRC	B	1,400	47.75	n/a	3-Aug	70.00	5.0
HIGHBRIDGE CAPITAL	038	RYN	S	58,100	40.81	n/a	3-Aug	2,324.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	14.11	n/a	13-Mar	1,600.00	4.0
HUNTER GLOBAL INVESTOR	067	SPG	B	56,300	59.43	n/a	n/a	2,815.00	5.0
BUCK CAPITAL MGMT	001	SSI	SS	25,000	12.88	n/a	3-Aug	1,000.00	4.0
NEUBERGER BERMAN	036	STI	B	39,600	20.59	n/a	n/a	1,782.00	4.5
BALYASNY ASSET MGMT	044	SUP	B	6,328	15.88	10-Jun	10-Jun	316.40	5.0
DSG CAPITAL	225	SWN	B	1,500	42.99	n/a	3-Aug	75.00	5.0
FRED ALGER MGMT	035	SYNA	S	139,650	24.98	n/a	n/a	5,586.00	4.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	36.12	28-Jul	3-Aug	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	UNH	S	87,132	26.82	n/a	n/a	3,049.64	3.5
BUCK CAPITAL MGMT	001	WDR	S	38,000	28.30	29-Jul	4-Aug	1,520.00	4.0
TYEE/TYGH	035	WDR	B	15,000	27.84	29-Jul	4-Aug	600.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	37.61	28-Jul	28-Jul	800.00	4.0
CATAPULT	040	WTI	S	50,000	11.58	n/a	n/a	2,500.00	5.0
EATON VANCE MGMT	039	XOM	B	134,799	70.37	n/a	n/a	4,043.97	3.0
TOTAL (Trade Date):							151,271.20		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/03	MATRIX ASSET ADV. (MATXARVINM)	036	CSCO	S	500	22.36	n/a	22-Mar	0.00 0.0
AO,CRT	08/03	MATRIX ASSET ADV. (MATXARVINM)	036	CSCO	S	500	22.36	n/a	22-Mar	20.00 4.0
AO,	08/03	BALYASNY ASSET MGMT (BALYGS)	044	F	B	25,000	8.51	3-Aug	3-Aug	1000.00 4.0
AO,CXL	08/03	BALYASNY ASSET MGMT (BALYGS)	044	F	C	2,200	8.51	3-Aug	3-Aug	88.00 4.0
AO,CXL	08/03	BALYASNY ASSET MGMT (BALYGS)	044	F	C	22,800	8.51	3-Aug	3-Aug	912.00 4.0
AO,CXL	08/03	BALYASNY ASSET MGMT (BALYGS)	044	F	C	2,100	8.51	3-Aug	3-Aug	84.00 4.0
AO,CXL	08/03	BALYASNY ASSET MGMT (BALYGS)	044	F	C	22,900	8.51	3-Aug	3-Aug	916.00 4.0
AO,	08/03	BALYASNY ASSET MGMT (BALYGS)	044	F	C	25,000	8.48	3-Aug	3-Aug	1000.00 4.0
AO,	07/31	DAVIDSON INV ADV (DADAMAIN)	035	K	B	15,385	47.58	n/a	n/a	615.40 4.0
AO,CXL	07/31	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	243	K	B	15,385	47.58	n/a	n/a	615.40 4.0
AO,CXL	07/30	HIGHFIELDS CAP MGMT (HIGFMORGAN)	039	XOM	B	100,000	71.27	n/a	n/a	5000.00 5.0
AO,CRT	07/30	HIGHFIELDS CAP MGMT (HIGFBSPB)	039	XOM	B	100,000	71.27	n/a	n/a	5000.00 5.0

TOTAL (AO, CXL, CRT) :	20.00
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TOTAL (Trade Date):	151,271.20
TOTAL (AO, CXL, CRT):	20.00

TOTAL (RUN DATE) / NFS:	151,291.20
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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