



## Daily Compliance Activity Report

Trade Date: 12/04/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	AAI	B	25,000	5.06	n/a	n/a	770.00	3.7
PARTNER REINSURANCE	033	AAP	B	15,600	40.98	n/a	n/a	624.00	4.0
STRAUSS ASSET MGMT	040	ADY	B	5,000	24.28	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	10,000	16.15	n/a	4-Dec	400.00	4.0
GLENHILL CAPITAL	212	AMTD	B	140,000	19.04	n/a	n/a	5,600.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	36.23	n/a	4-Dec	800.00	4.0
BUCK CAPITAL MGMT	001	AN	B	50,000	18.23	n/a	30-Oct	2,000.00	4.0
HOLLIS CAPITAL	033	APC	B	7,000	61.42	n/a	1-Dec	350.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	28.90	n/a	4-Dec	400.00	4.0
DIAMONDBACK CAP MGMT	232	ARO	C	50,000	28.82	n/a	4-Dec	2,500.00	5.0
MILLENIUM PARTNERS	028	ARO	S	7,500	28.81	n/a	4-Dec	300.00	4.0
WEINTRAUB CAPITAL MGT.	040	AXE	S	2,800	44.72	n/a	23-Nov	112.00	4.0
EXIS CAPITAL	044	BAC	B	25,000	15.93	n/a	4-Dec	1,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	BBBY	C	50,000	39.81	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	BEN	C	25,000	109.89	n/a	4-Dec	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	BIG	S	177,141	27.39	n/a	4-Dec	7,085.64	4.0
RBC CAPITAL MARKETS	040	BWA	B	10,000	31.55	n/a	9-Nov	400.00	4.0
FORD FDN.	032	CAT	B	31,600	58.27	n/a	21-Oct	1,264.00	4.0
AVESTA CAP	229	CMCSA	SS	200,000	15.83	n/a	n/a	8,000.00	4.0
STADIA CAPITAL	035	CMI	S	18,600	43.53	n/a	18-Nov	744.00	4.0
JP MORGAN VENTURES	046	CNA	B	25,000	22.55	n/a	n/a	1,250.00	5.0
JMP ASSET MGMT	210	CREE	B	1,000	52.43	n/a	n/a	50.00	5.0
MILLENIUM PARTNERS	028	DBRN	B	15,000	21.13	n/a	n/a	600.00	4.0
ASCEND PARTNERS	033	DLTR	B	50,000	46.85	n/a	1-Dec	2,500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	DRI	SS	50,000	32.09	n/a	25-Nov	1,500.00	3.0
THOMAS WEISEL ASSET MGMT	035	ETH	B	10,600	12.73	n/a	n/a	318.00	3.0
ROYCE TRADING	216	FCS	S	10,300	9.78	n/a	n/a	515.00	5.0
THE JAY GOLDMAN	028	FDO	B	10,000	27.91	n/a	3-Dec	400.00	4.0
BMO NESBITT BURNS	041	FOR	B	10,000	18.89	n/a	5-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	24.79	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	10,000	43.49	n/a	n/a	400.00	4.0
AVESTA CAP	229	GE	B	300,000	16.41	n/a	n/a	12,000.00	4.0
ASCEND PARTNERS	033	GIL	S	50,000	20.28	n/a	n/a	2,500.00	5.0
SEMINOLE CAP	036	GLD	S	550,000	114.47	n/a	n/a	27,500.00	5.0
BUCK CAPITAL MGMT	001	GME	S	60,000	21.34	n/a	n/a	2,400.00	4.0
CASTLE ARK	031	GS	B	40,770	165.66	n/a	18-Nov	2,446.20	6.0
THOMAS WEISEL ASSET MGMT	035	HAE	B	8,844	54.15	n/a	n/a	265.32	3.0
BUCK CAPITAL MGMT	001	HBI	S	50,000	23.98	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	HOT	SS	20,000	33.70	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	IP	SS	50,000	26.28	n/a	28-Oct	2,500.00	5.0
BALYASNY ASSET MGMT	044	JNS	B	50,000	13.09	n/a	4-Dec	2,500.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	20,000	35.08	n/a	4-Dec	800.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	5,000	35.90	n/a	4-Dec	200.00	4.0
THE BOSTON COMPANY	039	KCP	S	13,800	9.03	n/a	n/a	552.00	4.0
HUNTER GLOBAL INVESTOR	067	KMT	SS	56,967	24.74	n/a	18-Nov	2,848.35	5.0
TROUBH PART	067	LEA	B	25,000	63.13	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
METROPOLITAN CAPITAL	044	LMT	S	4,100	79.50	n/a	23-Nov	205.00	5.0
BMO NESBITT BURNS	041	LPX	SS	10,000	6.48	n/a	4-Nov	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>50,000</b>	<b>18.44</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
SCHOTTENFELD ASSOC	041	LVS	B	50,000	15.88	n/a	11-Nov	1,500.00	3.0
SCHOTTENFELD ASSOC	041	LVS	SS	50,000	16.36	n/a	11-Nov	1,500.00	3.0
PAW PARTNERS	045	MSFT	S	10,000	30.09	n/a	n/a	500.00	5.0
T. ROWE PRICE	033	MWV	S	97,600	27.89	n/a	16-Nov	3,904.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>20,000</b>	<b>21.57</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
FARALLON CAP MGMT	040	MXB	B	100,400	31.98	n/a	n/a	4,016.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>270,000</b>	<b>16.37</b>	<b>n/a</b>	<b>4-Dec</b>	<b>10,800.00</b>	<b>4.0</b>
THOMAS WEISEL ASSET MGMT	035	NAV	B	5,417	32.85	n/a	n/a	162.51	3.0
DIAMONDBACK CAP MGMT	232	NKE	C	10,000	64.43	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NTY</b>	<b>S</b>	<b>20,000</b>	<b>42.75</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	NUE	B	1,200	43.16	n/a	n/a	60.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PAG</b>	<b>B</b>	<b>50,000</b>	<b>15.71</b>	<b>n/a</b>	<b>2-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	PLCE	B	13,600	27.18	n/a	4-Dec	680.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>10,000</b>	<b>22.25</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
MILLENIUM PARTNERS	028	PSS	S	5,000	22.31	n/a	n/a	200.00	4.0
THOMAS WEISEL ASSET MGMT	035	PWER	B	35,604	3.87	n/a	n/a	1,068.12	3.0
PATTEN & PATTEN	067	PWR	S	2,000	18.25	n/a	n/a	100.00	5.0
AMBER CAPITAL	046	RF	SS	125,000	5.65	n/a	n/a	5,000.00	4.0
PRINCIPLE CAPITAL	040	RHI	B	100,000	25.46	n/a	n/a	3,000.00	3.0
ARMATURE CAPITAL	041	RTI	B	10,000	20.69	n/a	n/a	400.00	4.0
BROOKSIDE CAPITAL PART	067	SBUX	S	200,000	21.74	n/a	6-Nov	8,000.00	4.0
STRAUSS ASSET MGMT	040	SFSF	B	10,000	15.85	n/a	n/a	400.00	4.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>SIRO</b>	<b>C</b>	<b>50,000</b>	<b>32.48</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	SKS	B	10,000	5.85	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	SPWRA	S	500	22.24	n/a	n/a	25.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>SSI</b>	<b>SS</b>	<b>4,475</b>	<b>11.94</b>	<b>n/a</b>	<b>4-Dec</b>	<b>268.50</b>	<b>6.0</b>
SAB CAPITAL	034	STI	B	260,000	22.77	n/a	n/a	13,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>30,000</b>	<b>46.51</b>	<b>n/a</b>	<b>3-Dec</b>	<b>1,200.00</b>	<b>4.0</b>
CAMBIAR CAP	046	TGT	B	149,190	45.73	n/a	3-Dec	5,967.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	TGT	B	1,200	45.51	n/a	3-Dec	60.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	30,000	36.87	n/a	4-Dec	1,200.00	4.0
JP MORGAN VENTURES	046	TLB	B	40,000	7.07	n/a	n/a	2,000.00	5.0
STADIA CAPITAL	035	TUP	S	11,700	49.61	n/a	n/a	468.00	4.0
THOMAS WEISEL ASSET MGMT	035	UTIW	B	15,436	14.85	n/a	n/a	463.08	3.0
JMP ASSET MGMT	210	VECO	S	3,400	29.97	n/a	n/a	170.00	5.0
ROARING BLUE LION MGMT	012	WBC	B	13,000	24.64	n/a	30-Nov	520.00	4.0
ROTHSCHILD ASSET	040	WPP	S	21,500	10.40	n/a	n/a	967.52	4.5
BUCK CAPITAL MGMT	001	WRC	S	10,000	43.65	n/a	5-Nov	400.00	4.0
BNP PARIBAS SEC	040	YUM	SS	10,000	34.25	n/a	7-Oct	400.00	4.0
RAMIUS CAP	040	YUM	SS	70,000	34.02	n/a	7-Oct	2,800.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>185,249.84</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/02	SCOPIA CAPITAL (SCOAGSBULK)	048	ADP	B	100,000	43.95	n/a	n/a	5000.00 5.0
AO,CRT	12/02	SCOPIA CAPITAL (SCOAGSBULK)	048	ADP	B	100,000	43.95	n/a	n/a	4000.00 4.0
AO,CXL	12/03	HARVEST MGMT (HARVGSCO)	039	AMD	B	5,000	7.53	n/a	n/a	250.00 5.0
AO,CRT	12/03	JMP ASSET MGMT (JMPABOABA)	210	AMD	B	5,000	7.53	n/a	n/a	250.00 5.0
AO,CXL	12/03	HARVEST MGMT (HARVGSCO)	039	ANF	B	2,000	38.09	n/a	4-Dec	100.00 5.0
AO,CRT	12/03	JMP ASSET MGMT (JMPAGS)	210	ANF	B	2,000	38.09	n/a	4-Dec	100.00 5.0
AO,	12/03	SENATOR INVESTMENT GROUP (SENAJPM)	036	BAC	B	50,000	15.79	n/a	4-Dec	1500.00 3.0
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9629)	031	GE	B	9,800	16.25	n/a	n/a	343.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9626)	031	GE	B	800	16.25	n/a	n/a	28.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9620)	031	GE	B	2,600	16.25	n/a	n/a	91.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9823)	031	GE	B	2,200	16.25	n/a	n/a	77.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9623)	031	GE	B	2,600	16.25	n/a	n/a	91.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9624)	031	GE	B	4,600	16.25	n/a	n/a	161.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9613)	031	GE	B	5,100	16.25	n/a	n/a	178.50 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9615)	031	GE	B	6,400	16.25	n/a	n/a	224.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9604)	031	GE	B	10,100	16.25	n/a	n/a	353.50 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR1304)	031	GE	B	2,700	16.25	n/a	n/a	94.50 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR1302)	031	GE	B	1,100	16.25	n/a	n/a	38.50 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9858)	031	GE	B	2,900	16.25	n/a	n/a	101.50 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9847)	031	GE	B	5,800	16.25	n/a	n/a	203.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9838)	031	GE	B	1,200	16.25	n/a	n/a	42.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9727)	031	GE	B	5,400	16.25	n/a	n/a	189.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9715)	031	GE	B	3,200	16.25	n/a	n/a	112.00 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9732)	031	GE	B	700	16.25	n/a	n/a	24.50 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9725)	031	GE	B	1,500	16.25	n/a	n/a	52.50 3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR1836)	031	GE	B	8,600	16.25	n/a	n/a	301.00 3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR9803)	031	GE	B	2,200	16.25	n/a	n/a	77.00	3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR1806)	031	GE	B	12,100	16.25	n/a	n/a	423.50	3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARRfund)	031	GE	B	20,300	16.25	n/a	n/a	710.50	3.5
AO,	12/03	BARROW HANLEY MEWHINNEY (BARR1803)	031	GE	B	4,700	16.25	n/a	n/a	164.50	3.5
<b>CRT</b>	<b>12/04</b>	<b>BUCK CAPITAL MGMT (BUCKJPMBS)</b>	<b>001</b>	<b>HBI</b>	<b>S</b>	<b>50,000</b>	<b>23.98</b>	<b>n/a</b>	<b>n/a</b>	<b>2000.00</b>	<b>4.0</b>
<b>CRT</b>	<b>12/04</b>	<b>BUCK CAPITAL MGMT (BUCKJPMBS)</b>	<b>001</b>	<b>JWN</b>	<b>S</b>	<b>20,000</b>	<b>35.08</b>	<b>n/a</b>	<b>4-Dec</b>	<b>800.00</b>	<b>4.0</b>
AO,	12/02	COLUMBUS CIRCLE (COLC5040)	036	LVS	B	2,500	16.31	n/a	11-Nov	100.00	4.0
AO,	12/02	COLUMBUS CIRCLE (COLC5000)	036	LVS	B	5,500	16.31	n/a	11-Nov	220.00	4.0
CRT	12/04	SCHOTTENFELD ASSOC (SCHOASSOC)	041	LVS	B	50,000	15.88	n/a	11-Nov	1500.00	3.0
<b>AO,</b>	<b>12/03</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>MHK</b>	<b>B</b>	<b>18</b>	<b>42.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>AO,</b>	<b>12/03</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>097</b>	<b>MHK</b>	<b>S</b>	<b>18</b>	<b>42.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AO,	12/03	BARON ASSET MGMT* (BAROLODH)	012	MHK	S	2,640	42.83	n/a	n/a	132.00	5.0
AO,	12/03	BARON ASSET MGMT* (BAROLODH)	012	MHK	S	7,118	42.25	n/a	n/a	355.90	5.0
AO,	12/03	BARON ASSET MGMT* (BAROBFIFTH)	012	MHK	S	660	42.83	n/a	n/a	33.00	5.0
AO,	12/03	BARON ASSET MGMT* (BAROBFIFTH)	012	MHK	S	2,882	42.25	n/a	n/a	144.10	5.0
<b>AO,CXL</b>	<b>12/02</b>	<b>BUCK CAPITAL MGMT (BUCKGILAGX)</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>20,000</b>	<b>4.40</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>2.0</b>
<b>AO,CRT</b>	<b>12/02</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>20,000</b>	<b>4.40</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>2.0</b>
<b>CRT</b>	<b>12/04</b>	<b>BUCK CAPITAL MGMT (BUCKJPMBS)</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>26,800</b>	<b>46.51</b>	<b>n/a</b>	<b>3-Dec</b>	<b>1072.00</b>	<b>4.0</b>
<b>CRT</b>	<b>12/04</b>	<b>BUCK CAPITAL MGMT (BUCKJPMBS)</b>	<b>001</b>	<b>TJX</b>	<b>B</b>	<b>19,400</b>	<b>36.87</b>	<b>n/a</b>	<b>4-Dec</b>	<b>776.00</b>	<b>4.0</b>
<b>CRT</b>	<b>12/04</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>TJX</b>	<b>B</b>	<b>10,600</b>	<b>36.87</b>	<b>n/a</b>	<b>4-Dec</b>	<b>424.00</b>	<b>4.0</b>
<b>TOTAL (AO, CXL, CRT) :</b>										<b>12,138.00</b>	



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TOTAL (Trade Date):	185,249.84
TOTAL (AO, CXL, CRT):	12,138.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>197,387.84</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