



## Daily Compliance Activity Report

Trade Date: 05/22/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMSON HORSTMAN BRYANT	040	AEO	S	50,000	13.61	20-Apr	8-May	2,500.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>AEO</b>	<b>B</b>	<b>200</b>	<b>13.63</b>	<b>20-Apr</b>	<b>8-May</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AVP</b>	<b>B</b>	<b>100,000</b>	<b>25.76</b>	<b>25-Feb</b>	<b>6-May</b>	<b>4,000.00</b>	<b>4.0</b>
SENATOR INVESTMENT GROUP	036	BAC	B	15,000	10.89	11-May	19-May	600.00	4.0
PILOT ADV	038	BKC	B	60,000	16.88	16-Apr	29-Apr	2,400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CAB</b>	<b>SS</b>	<b>10,000</b>	<b>12.14</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
PAULSON & CO INC	041	CAT	SS	500,000	35.18	n/a	22-Apr	15,000.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>CAT</b>	<b>SS</b>	<b>1,213</b>	<b>34.71</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	DFS	S	50,000	8.51	n/a	20-May	1,500.00	3.0
ROTHSCHILD ASSET	040	DVN	B	30,728	60.20	6-May	6-May	1,382.77	4.5
KARSCH CAPITAL	034	EAT	B	25,000	16.71	n/a	24-Apr	750.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EDU</b>	<b>SS</b>	<b>20,000</b>	<b>54.50</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	ETN	SS	5,000	44.33	21-Apr	19-May	250.00	5.0
COUGAR TRADING	044	FL	SS	5,000	9.73	27-Apr	22-May	150.00	3.0
M&I FUNDS	256	GME	B	20,000	22.83	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	HOTT	C	30,200	7.10	n/a	30-Jan	1,510.00	5.0
EPOCH INV MGMT	030	IFF	S	45,000	30.65	21-Jan	30-Apr	1,800.00	4.0
LAGRANGE CAP ADV	048	JAKK	B	5,600	12.32	n/a	n/a	280.00	5.0
MERRILL ASSET	032	JCP	B	5,000	24.84	13-Apr	18-May	225.00	4.5
SYSTEMATIC FINANCIAL MGT	035	KSS	B	227,500	41.24	8-May	15-May	7,962.51	3.5
AELTUS/ING INVESTMENT MGT	215	NOK	B	20,000	14.85	n/a	n/a	700.00	3.5
BALYASNY ASSET MGMT	044	OI	S	5,000	26.21	n/a	n/a	250.00	5.0
KENNEDY CAPITAL	046	PSUN	B	55,512	3.79	6-Feb	6-Feb	1,110.24	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>100,000</b>	<b>49.42</b>	<b>n/a</b>	<b>16-Apr</b>	<b>4,000.00</b>	<b>4.0</b>
M&I FUNDS	256	SPLS	S	24,497	19.45	n/a	27-Jul	979.88	4.0
SYSTEMATIC FINANCIAL MGT	035	TAP	B	80,000	43.69	n/a	n/a	2,800.00	3.5
AVESTA CAP	229	TGT	S	50,000	41.13	25-Feb	20-May	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TIF</b>	<b>B</b>	<b>112,474</b>	<b>26.62</b>	<b>n/a</b>	<b>30-Jan</b>	<b>4,498.96</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	TROW	C	20,000	38.49	n/a	19-May	1,000.00	5.0
MERRILL ASSET	032	WMT	B	821,300	49.56	11-May	14-May	36,958.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	WRC	B	40,000	27.66	13-May	13-May	1,600.00	4.0
EGS ASSOCIATES LP	091	WRC	B	8,000	27.94	13-May	13-May	480.00	6.0
METROPOLITAN CAPITAL	044	XRT	SS	10,100	26.42	n/a	n/a	404.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>99,091.86</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/21	LISTED ERR (LISTED ERR)	099	DKS	S	11,800	17.82	27-Apr	20-May	0.00	0.0
AO,CRT	05/21	REINHART & MAHONEY (REINNGLMID)	031	DRI	S	430	33.36	19-Mar	19-Mar	21.50	5.0
AO,CXL	05/21	REINHART & MAHONEY (REINKANTJM)	031	DRI	S	430	33.36	19-Mar	19-Mar	21.50	5.0
AO,	05/20	EPOCH INV MGMT (EPOCUNCCEQ)	030	IFF	S	42	31.05	21-Jan	30-Apr	1.68	4.0
AO,	05/20	EPOCH INV MGMT (EPOCUNEQVP)	030	IFF	S	43	31.05	21-Jan	30-Apr	1.72	4.0
AO,CXL	05/20	EPOCH INV MGMT (EPOCASSANT)	030	IFF	S	85	31.05	21-Jan	30-Apr	3.40	4.0
AO,	05/21	EPOCH INV MGMT (EPOCUNCCEQ)	030	IFF	S	38	30.50	21-Jan	30-Apr	1.52	4.0
AO,	05/21	EPOCH INV MGMT (EPOCUNEQVP)	030	IFF	S	37	30.50	21-Jan	30-Apr	1.48	4.0
AO,CXL	05/21	EPOCH INV MGMT (EPOCASSANT)	030	IFF	S	75	30.50	21-Jan	30-Apr	3.00	4.0
AO,CRT	05/21	CROSS CAPITAL (CROCBEARST)	028	IVZ	B	5,900	14.59	11-May	22-May	236.00	4.0
AO,CXL	05/21	CROSS CAPITAL (CROCBAUSE)	028	IVZ	B	83,100	14.59	11-May	22-May	4155.00	5.0
AO,CRT	05/21	CROSS CAPITAL (CROCBAUSE)	028	IVZ	B	77,200	14.59	11-May	22-May	3088.00	4.0
AO,CXL	05/21	BAIRD INVESTMENT (BAIRJB473M)	256	SWN	S	11,500	39.80	27-Feb	28-Apr	575.00	5.0
AO,CRT	05/21	BAIRD INVESTMENT (BAIRJB473M)	256	SWN	S	9,013	39.80	27-Feb	28-Apr	450.65	5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-955.35</b>	

TOTAL (Trade Date):	99,091.86
TOTAL (AO, CXL, CRT):	-955.35

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

**98,136.51**

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