

Daily Compliance Activity Report Trade Date: 07/28/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
BALYASNY ASSET MGMT	044	AMG	S	15,600	62.86	5-Jun	27-Jul	780.00	5.0
ROYCE TRADING	216	AOS	В	18,000	39.22	17-Jul	17-Jul	900.00	5.0
BUCK CAPITAL MGMT	001	ARO	В	10,000	36.25	n/a	10-Jul	400.00	4.0
COUGAR TRADING	044	ARO	В	5,000	35.88	n/a	10-Jul	250.00	5.0
MILLENNIUM-ANDEW	031	AXE	В	15,000	32.94	28-Jul	28-Jul	1,200.00	8.0
GREEN ARROW CAPITAL	040	AXP	SS	15,000	27.67	n/a	28-Jul	750.00	5.0
DIAMONDBACK CAP MGMT	232	BAC	S	50,000	13.25	11-May	20-Jul	2,500.00	5.0
OZ MGMT	040	BAC	В	250,000	13.22	11-May	20-Jul	7,500.00	3.0
BUCK CAPITAL MGMT	001	вву	SS	30,000	37.21	n/a	27-Jul	1,200.00	4.0
GREEN ARROW CAPITAL	040	BKC	S	20,000	16.92	16-Apr	10-Jul	1,000.00	5.0
EPOCH INV MGMT	030	BTU	В	1,750	33.70	n/a	n/a	70.00	4.0
COOPER CREEK PART	028	BWA	В	10,000	35.51	10-Jun	16-Jul	400.00	4.0
PZENA INV ADV	044	САН	S	900	33.00	n/a	n/a	31.50	3.5
PZENA INV ADV	044	CA	S	2,500	20.70	n/a	n/a	87.50	3.5
EPOCH INV MGMT	030	CL	В	1,550	75.41	8-Jun	8-Jun	62.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr	
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PZENA INV ADV	044	COF	S	850	29.37	15-May	28-Jul	29.75	3.5	
BUCK CAPITAL MGMT	001	СОН	S	40,000	27.25	n/a	16-Jul	1,600.00	4.0	
EPOCH INV MGMT	030	COP	В	2,800	44.70	n/a	n/a	112.00	4.0	
EGS ASSOCIATES LP	091	CPKI	SS	3,500	16.60	29-May	15-Jul	210.00	6.0	
BUCK CAPITAL MGMT	001	CRI	В	160,000	26.82	n/a	n/a	6,400.00	4.0	
PZENA INV ADV	044	CRL	S	750	31.94	n/a	n/a	26.25	3.5	
RAINIER INV MGMT	035	CXO	S	35,840	30.16	n/a	n/a	1,792.00	5.0	
SLS CAPITAL LLC	224	DAL	В	102,500	6.44	n/a	n/a	3,075.00	3.0	
EPOCH INV MGMT	030	DD	В	4,900	30.12	n/a	21-Jul	196.00	4.0	
KINGDON ASSET MGMT	041	DECK	В	25,000	67.61	n/a	n/a	1,000.00	4.0	
PZENA INV ADV	044	DELL	S	1,675	13.83	n/a	n/a	58.63	3.5	
EPOCH INV MGMT	030	DE	В	2,350	41.93	n/a	17-Jun	94.00	4.0	
COOPER CREEK PART	028	DSW	SS	10,000	12.98	28-Jul	28-Jul	400.00	4.0	
BUCK CAPITAL MGMT	001	GCO	S	96,800	20.33	n/a	10-Jan	3,872.00	4.0	
BUCK CAPITAL MGMT	001	GES	s	20,000	28.70	n/a	n/a	800.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	-
COOPER CREEK PART	028	GPI	SS	10,000	27.31	n/a	29-Apr	400.00	4.0	
SIGMA CAPITAL ASSOCIATES	041	GPS	S	100,000	16.07	n/a	30-Jan	4,000.00	4.0	
PZENA INV ADV	044	HD	S	875	25.25	12-May	20-May	30.63	3.5	
RK CAPTIAL MGMT	045	HEI	SS	5,000	38.46	n/a	n/a	250.00	5.0	
BMO NESBITT BURNS	041	IP	SS	25,000	18.38	21-Jul	21-Jul	1,250.00	5.0	
CAXTON PART	040	IP	S	115,908	18.28	21-Jul	21-Jul	4,056.80	3.5	
BUCK CAPITAL MGMT	001	JCG	В	10,000	28.22	n/a	30-Jan	400.00	4.0	
PZENA INV ADV	044	JCP	S	1,800	28.86	13-Apr	10-Jul	63.00	3.5	
CARLSON CAPITAL	203	JPM	S	52,800	37.95	n/a	20-Jul	2,112.00	4.0	
KENNEDY CAPITAL	046	KPPC	В	100,000	5.26	n/a	n/a	3,000.00	3.0	
MERRILL ASSET/BLACKROCK	214	LF	В	40,000	2.48	n/a	n/a	1,800.00	4.5	
FIRST NEW YORK LEDDY	035	LVLT	В	20,000	1.65	n/a	4-Jan	1,000.00	5.0	
GREEN ARROW CAPITAL	040	LVS	S	30,000	10.82	n/a	14-Jul	1,500.00	5.0	
SAC TRADING/BILLY	044	MA	S	10,000	186.97	n/a	28-Jul	400.00	4.0	
HOLLIS CAPITAL	033	MRK	S	5,000	30.02	n/a	n/a	250.00	5.0	
CATAPULT	040	MYL	В	70,000	13.21	n/a	27-Jul	3,500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BUCK CAPITAL MGMT	001	NTY	В	80,000	35.60	n/a	n/a	3,200.00	4.0
APEX CAPITAL MGMT.	091	NVDA	S	100,000	12.93	n/a	n/a	4,000.00	4.0
MOORE CAPITAL	036	NWL	В	65,000	12.15	n/a	n/a	2,600.00	4.0
BALYASNY ASSET MGMT	044	OMX	В	20,000	7.26	n/a	15-Apr	800.00	4.0
MARINER/TRICADIA	041	OUTD	В	800	7.03	n/a	n/a	40.00	5.0
MARINER/TRICADIA	041	OUTD	S	800	7.10	n/a	n/a	40.00	5.0
MERRILL ASSET/BLACKROCK	214	PLCE	В	5,300	29.71	19-Mar	10-Jul	238.50	4.5
BUCK CAPITAL MGMT	001	PSS	s	30,000	15.61	n/a	n/a	1,200.00	4.0
BAIRD INVESTMENT	256	PVH	S	17,425	34.94	28-Jul	28-Jul	871.25	5.0
THE JAY GOLDMAN	034	PVH	SS	10,000	34.66	28-Jul	28-Jul	400.00	4.0
FIRST NEW YORK NICK	029	Q	В	30,000	4.06	n/a	n/a	1,500.00	5.0
GREEN ARROW CAPITAL	040	RCL	S	15,000	15.79	22-Apr	24-Apr	750.00	5.0
BUCK CAPITAL MGMT	001	RL	S	10,000	60.89	28-Jul	28-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	60,000	13.62	n/a	13-Mar	2,400.00	4.0
MERRILL ASSET/BLACKROCK	214	SMBL	В	50,000	5.81	n/a	n/a	2,250.00	4.5
MERRILL ASSET/BLACKROCK	214	TEX	В	7,000	14.26	n/a	24-Jul	315.00	4.5
	BUCK CAPITAL MGMT APEX CAPITAL MGMT. MOORE CAPITAL BALYASNY ASSET MGMT MARINER/TRICADIA MARINER/TRICADIA MERRILL ASSET/BLACKROCK BUCK CAPITAL MGMT BAIRD INVESTMENT THE JAY GOLDMAN FIRST NEW YORK NICK GREEN ARROW CAPITAL BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT MERRILL ASSET/BLACKROCK	BUCK CAPITAL MGMT. APEX CAPITAL MGMT. MOORE CAPITAL BALYASNY ASSET MGMT MARINER/TRICADIA MARINER/TRICADIA MERRILL ASSET/BLACKROCK BUCK CAPITAL MGMT BAIRD INVESTMENT THE JAY GOLDMAN FIRST NEW YORK NICK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT O01 MERRILL ASSET/BLACKROCK 214	BUCK CAPITAL MGMT 001 NTY APEX CAPITAL MGMT. 091 NVDA MOORE CAPITAL 036 NWL BALYASNY ASSET MGMT 044 OMX MARINER/TRICADIA 041 OUTD MARINER/TRICADIA 041 OUTD MERRILL ASSET/BLACKROCK 214 PLCE BUCK CAPITAL MGMT 001 PSS BAIRD INVESTMENT 256 PVH THE JAY GOLDMAN 034 PVH FIRST NEW YORK NICK 029 Q GREEN ARROW CAPITAL 040 RCL BUCK CAPITAL MGMT 001 RL BUCK CAPITAL MGMT 001 SKX MERRILL ASSET/BLACKROCK 214 SMBL	BUCK CAPITAL MGMT APEX CAPITAL MGMT. MOORE CAPITAL BALYASNY ASSET MGMT MARINER/TRICADIA MARINER/TRICADIA MARINER/TRICADIA MERRILL ASSET/BLACKROCK BUCK CAPITAL MGMT THE JAY GOLDMAN FIRST NEW YORK NICK DUCK CAPITAL MGMT BUCK CAPITAL MGMT OUTD S S GREEN ARROW CAPITAL OUTD B BUCK CAPITAL BUCK	BUCK CAPITAL MGMT 001 NTY B 80,000 APEX CAPITAL MGMT. 091 NVDA S 100,000 MOORE CAPITAL 036 NWL B 65,000 BALYASNY ASSET MGMT 044 OMX B 20,000 MARINER/TRICADIA 041 OUTD B 800 MARINER/TRICADIA 041 OUTD S 800 MERRILL ASSET/BLACKROCK 214 PLCE B 5,300 BUCK CAPITAL MGMT 001 PSS S 30,000 BAIRD INVESTMENT 256 PVH S 17,425 THE JAY GOLDMAN 034 PVH SS 10,000 FIRST NEW YORK NICK 029 Q B 30,000 GREEN ARROW CAPITAL 040 RCL S 15,000 BUCK CAPITAL MGMT 001 RL S 10,000 BUCK CAPITAL MGMT 001 SKX S 60,000 MERRILL ASSET/BLACKROCK 214 SMBL B 50,000	BUCK CAPITAL MGMT 001 NTY B 80,000 35.60 APEX CAPITAL MGMT. 091 NVDA S 100,000 12.93 MOORE CAPITAL 036 NWL B 65,000 12.15 BALYASNY ASSET MGMT 044 OMX B 20,000 7.26 MARINER/TRICADIA 041 OUTD B 800 7.03 MARINER/TRICADIA 041 OUTD S 800 7.10 MERRILL ASSET/BLACKROCK 214 PLCE B 5,300 29.71 BUCK CAPITAL MGMT 001 PSS S 30,000 15.61 BAIRD INVESTMENT 256 PVH S 17,425 34.94 THE JAY GOLDMAN 034 PVH SS 10,000 34.66 FIRST NEW YORK NICK 029 Q B 30,000 4.06 GREEN ARROW CAPITAL 040 RCL S 15,000 15.79 BUCK CAPITAL MGMT 001 RL S 10,000 60.89 BUCK CAPITAL MGMT 001 SKX S 60,000 13.62 MERRILL ASSET/BLACKROCK 214 SMBL B 50,000 5.81	BUCK CAPITAL MGMT 001 NTY B 80,000 35.60 n/a APEX CAPITAL MGMT. 091 NVDA S 100,000 12.93 n/a MOORE CAPITAL 036 NWL B 65,000 12.15 n/a BALYASNY ASSET MGMT 044 OMX B 20,000 7.26 n/a MARINER/TRICADIA 041 OUTD B 800 7.03 n/a MARINER/TRICADIA 041 OUTD S 800 7.10 n/a MERRILL ASSET/BLACKROCK 214 PLCE B 5,300 29.71 19-Mar BUCK CAPITAL MGMT 001 PSS S 30,000 15.61 n/a BAIRD INVESTMENT 256 PVH S 17,425 34.94 28-Jul THE JAY GOLDMAN 034 PVH SS 10,000 34.66 28-Jul FIRST NEW YORK NICK 029 Q B 30,000 4.06 n/a GREEN ARROW CAPITAL 040 RCL S 15,000 15.79 22-Apr BUCK CAPITAL MGMT 001 RL S 10,000 60.89 28-Jul BUCK CAPITAL MGMT 001 SKX S 60,000 13.62 n/a MERRILL ASSET/BLACKROCK 214 SMBL B 50,000 5.81 n/a	BUCK CAPITAL MGMT 001 NTY B 80,000 35.60 n/a n/a APEX CAPITAL MGMT. 091 NVDA S 100,000 12.93 n/a n/a MOORE CAPITAL MGMT. 096 NWL B 65,000 12.15 n/a n/a BALYASNY ASSET MGMT 044 OMX B 20,000 7.26 n/a 15-Apr MARINER/TRICADIA 041 OUTD B 800 7.03 n/a n/a MARINER/TRICADIA 041 OUTD S 800 7.10 n/a n/a MERRILL ASSET/BLACKROCK 214 PLCE B 5,300 29.71 19-Mar 10-Jul BUCK CAPITAL MGMT 001 PSS S 30,000 15.61 n/a n/a BAIRD INVESTMENT 256 PVH S 17,425 34.94 28-Jul 28-Jul THE JAY GOLDMAN 034 PVH 38 10,000 34.66 28-Jul 28-Jul FIRST NEW YORK NICK 029 Q B 30,000 4.06 n/a n/a GREEN ARROW CAPITAL MGMT 040 RCL S 15,000 15.79 22-Apr 24-Apr BUCK CAPITAL MGMT 001 RL S 10,000 60.89 28-Jul 28-Jul BUCK CAPITAL MGMT 001 SKX S 60,000 13.62 n/a 13-Mar MERRILL ASSET/BLACKROCK 214 SMBL B 50,000 5.81 n/a n/a	BUCK CAPITAL MGMT 001 NTY B 80,000 35.60 n/a n/a 3,200.00 APEX CAPITAL MGMT. 091 NVDA S 100,000 12.93 n/a n/a 4,000.00 MOORE CAPITAL 036 NWL B 65,000 12.15 n/a n/a 2,600.00 BALYASNY ASSET MGMT 044 OMX B 20,000 7.26 n/a 15-Apr 800.00 MARINER/TRICADIA 041 OUTD B 800 7.03 n/a n/a 40.00 MARINER/TRICADIA 041 OUTD S 800 7.10 n/a n/a 40.00 MERRILL ASSET/BLACKROCK 214 PLCE B 5,300 29.71 19-Mar 10-Jul 238.50 BUCK CAPITAL MGMT 001 PSS S 30,000 15.61 n/a n/a 1,200.00 BAIRD INVESTMENT 256 PVH S 17,425 34.94 28-Jul 28-Jul 871.25 THE JAY GOLDMAN 034 PVH SS 10,000 34.66 28-Jul 28-Jul 400.00 FIRST NEW YORK NICK 029 Q B 30,000 4.06 n/a n/a 1,500.00 GREEN ARROW CAPITAL MGMT 001 RL S 15,000 15.79 22-Apr 24-Apr 750.00 BUCK CAPITAL MGMT 001 RL S 10,000 60.89 28-Jul 28-Jul 400.00 BUCK CAPITAL MGMT 001 SKX S 60,000 13.62 n/a 13-Mar 2,400.00 MERRILL ASSET/BLACKROCK 214 SMBL B 50,000 5.81 n/a n/a 2,250.00

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BMO NESBITT BURNS	041	TIN	SS	25,000	15.71	23-Jul	23-Jul	1,250.00 5.0
BUCK CAPITAL MGMT	001	TLB	В	30,000	5.27	n/a	30-Jan	900.00 3.0
MAIRS AND POWER INV	030	VAL	S	20,000	24.42	n/a	n/a	1,000.00 5.0
KACELA CAPITAL	034	V	S	10,000	67.62	n/a	28-Jul	400.00 4.0
JP MORGAN VENTURES	046	WMT	S	30,000	48.84	11-May	6-Jul	1,500.00 5.0
WEISS PECK	040	WYNN	SS	5,800	46.43	n/a	14-Jul	290.00 5.0
BMO NESBITT BURNS	041	WY	SS	25,000	34.63	n/a	20-Jul	1,250.00 5.0

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	07/27	MILLENIUM PARTNERS (MILPINTREG)	028	FNF	S	40,000	13.52	n/a	n/a	1600.00	4.0
AO,CXL	07/27	MILLENIUM PARTNERS (MILPUSE)	028	FNF	S	40,000	13.52	n/a	n/a	1600.00	4.0
AO, CRT	07/27	REINHART & MAHONEY (REINTURERQ)	031	JPM	В	15	38.12	n/a	20-Jul	0.75	5.0
AO,CXL	07/27	REINHART & MAHONEY (REINTURERB)	031	JPM	В	15	38.12	n/a	20-Jul	0.75	5.0
AO,	07/27	HIGHFIELDS CAP MGMT (HIGFCSFB)	039	MGM	S	125,000	7.85	n/a	8-Jul	5000.00	4.0
TOTAL	(AO, (CXL, CRT):							5,	000.00	

88,403.81 5,000.00

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