



Daily Compliance Activity Report

Trade Date: 08/28/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	214	AEIS	B	10,000	10.83	n/a	n/a	450.00	4.5
BUCK CAPITAL MGMT	001	AEO	B	40,000	13.87	25-Jun	27-Aug	1,600.00	4.0
LAGRANGE CAP ADV	048	AER	S	10,000	8.95	n/a	n/a	500.00	5.0
TYEE/TYGH	035	AMG	B	48,665	65.80	3-Aug	26-Aug	1,946.60	4.0
MERRILL ASSET/BLACKROCK	214	ANDE	S	42,400	32.67	n/a	n/a	1,908.00	4.5
BUCK CAPITAL MGMT	001	ANF	S	20,000	33.53	3-Jun	27-Aug	800.00	4.0
MERRILL ASSET/BLACKROCK	214	ATO	S	2,600	27.38	n/a	n/a	117.00	4.5
LAGRANGE CAP ADV	048	AXL	S	21,600	6.60	19-Aug	19-Aug	1,080.00	5.0
MILLRACE FUND LP	028	AXL	S	22,000	6.56	19-Aug	19-Aug	660.00	3.0
SCHOTTENFELD ASSOC	041	AXL	B	30,000	6.38	19-Aug	19-Aug	900.00	3.0
ASCEND PARTNERS	033	BJ	B	16,259	32.82	n/a	27-Jul	812.95	5.0
PATTEN & PATTEN	067	BP	B	500	52.27	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	BWA	B	15,000	28.53	3-Aug	24-Aug	600.00	4.0
LEVIN CAPITAL STRATEGIES	012	BWA	S	65,586	28.72	3-Aug	24-Aug	2,623.44	4.0
BUCK CAPITAL MGMT	001	COH	S	30,000	29.40	n/a	29-Jul	1,200.00	4.0
PILOT ADV	038	CQB	S	61,600	15.39	n/a	n/a	2,464.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	CTCM	SS	10,000	13.99	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	CVC	SS	10,000	22.28	n/a	4-Jan	500.00	5.0
MERRILL ASSET/BLACKROCK	214	CVG	S	20,000	11.18	n/a	n/a	900.00	4.5
PRINCIPLE CAPITAL	040	CVLT	S	95,576	18.32	n/a	n/a	2,867.28	3.0
ARCHON CAPITAL	035	DAR	S	5,000	7.21	n/a	n/a	150.00	3.0
PATTEN & PATTEN	067	D	B	300	33.11	n/a	n/a	15.00	5.0
MERRILL ASSET/BLACKROCK	214	EPAY	S	2,000	11.84	n/a	n/a	90.00	4.5
BUCK CAPITAL MGMT	001	FL	B	500,000	11.06	27-Aug	27-Aug	20,000.00	4.0
THIRD COAST CAPITAL	035	FL	B	15,000	10.93	27-Aug	27-Aug	750.00	5.0
BTIG/KDI ADV	039	FOR	B	2,789	14.10	6-Aug	6-Aug	139.45	5.0
COLONIAL FUND LLC	036	F	B	50,000	7.74	27-Aug	27-Aug	1,500.00	3.0
TRELLUS PARTNERS LP	028	F	B	50,000	7.76	27-Aug	27-Aug	1,500.00	3.0
LAGRANGE CAP ADV	048	GE	B	10,000	14.15	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	GMR	B	5,000	8.10	n/a	n/a	250.00	5.0
LAGRANGE CAP ADV	048	HUN	SS	30,000	8.20	n/a	n/a	1,500.00	5.0
MERRILL ASSET/BLACKROCK	214	INFA	S	10,000	18.06	n/a	n/a	450.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	JBT	B	28,328	17.38	n/a	n/a	1,274.77	4.5
BUCK CAPITAL MGMT	001	JCG	S	10,000	35.02	n/a	30-Jan	400.00	4.0
PATTEN & PATTEN	067	LAZ	S	325	38.30	n/a	30-Jul	16.25	5.0
JMP ASSET MGMT	210	LULU	S	650	20.50	n/a	n/a	32.50	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.20	n/a	4-Jan	600.00	6.0
APEX CAPITAL MGMT.	091	LVS	SS	100,000	14.67	14-Aug	26-Aug	4,000.00	4.0
PATTEN & PATTEN	067	MA	B	150	206.15	30-Jul	26-Aug	7.50	5.0
PATTEN & PATTEN	067	MS	B	250	29.75	11-May	23-Jul	12.50	5.0
LAGRANGE CAP ADV	048	MVG	S	2,550	4.65	n/a	n/a	127.50	5.0
BUCK CAPITAL MGMT	001	MW	B	122,015	26.22	n/a	n/a	4,880.60	4.0
BUCK CAPITAL MGMT	001	M	B	50,000	15.66	n/a	27-Aug	2,000.00	4.0
MERRILL ASSET/BLACKROCK	214	NOVL	S	52,000	4.42	n/a	n/a	2,340.00	4.5
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	20.61	21-Jul	21-Jul	1,500.00	5.0
LAGRANGE CAP ADV	048	POOL	SS	100	24.99	n/a	n/a	5.00	5.0
LAGRANGE CAP ADV	048	QQQQ	B	20,000	40.20	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	10,000	69.14	6-Aug	6-Aug	400.00	4.0
PATTEN & PATTEN	067	SE	S	1,500	18.97	n/a	n/a	75.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	50,000	17.10	n/a	13-Mar	2,000.00	4.0
CUMBERLAND	038	SPY	SS	30,000	103.45	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	SSI	SS	10,000	14.08	n/a	27-Aug	400.00	4.0
PILOT ADV	038	STLD	B	43,000	17.07	n/a	n/a	1,720.00	4.0
CAVU CAP ADV	028	STX	B	150,000	14.03	n/a	n/a	7,500.00	5.0
PATTEN & PATTEN	067	SWN	S	250	38.57	n/a	28-Aug	12.50	5.0
BUCK CAPITAL MGMT	001	TGT	B	100,000	47.44	19-Aug	19-Aug	2,000.00	2.7
BUCK CAPITAL MGMT	001	TGT	SS	50,000	47.15	19-Aug	19-Aug	0.00	0.0
LAGRANGE CAP ADV	048	TIF	SS	5,000	36.69	n/a	30-Jan	250.00	5.0
SCOPUS FUND	041	TPX	B	63,800	15.00	n/a	n/a	3,190.00	5.0
TRUSTCO/SUNTRUST	040	TPX	B	26,495	15.01	n/a	n/a	1,033.30	3.9
LAGRANGE CAP ADV	048	TXT	SS	10,000	15.71	n/a	n/a	500.00	5.0
HOLLIS CAPITAL	033	UFS	SS	8,000	35.49	n/a	n/a	400.00	5.0
LAGRANGE CAP ADV	048	UFS	SS	10,000	35.49	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	V	S	600	69.48	n/a	26-Aug	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATLIN PATTERSON	046	WHR	B	50,000	65.41	n/a	n/a	1,500.00	3.0
JMP ASSET MGMT	210	WSM	S	5,000	19.00	n/a	n/a	250.00	5.0
LAGRANGE CAP ADV	048	YHOO	B	20,000	14.91	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date) :								91,456.14	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/26	CAVU CAP ADV (CAVUMAN CS)	028	DELL	B	25,000	14.65	n/a	n/a	1250.00 5.0
AO,CRT	08/26	CAVU CAP ADV (CAVUCREDIS)	028	DELL	B	25,000	14.65	n/a	n/a	1250.00 5.0
AO,CXL	08/26	KACELA CAPITAL (KACEGS)	034	DRI	B	25,000	33.81	13-Aug	13-Aug	1250.00 5.0
AO,CRT	08/26	KACELA CAPITAL (KACEGS)	034	DRI	B	25,000	33.81	13-Aug	13-Aug	1000.00 4.0
AO,CXL	08/26	CAVU CAP ADV (CAVUMAN CS)	028	FCS	B	35,000	9.81	n/a	n/a	1750.00 5.0
AO,CRT	08/26	CAVU CAP ADV (CAVUCREDIS)	028	FCS	B	35,000	9.81	n/a	n/a	1750.00 5.0
AO,	08/27	PARTNER REINSURANCE (PARRPUSDEQ)	033	FL	B	55,600	10.60	27-Aug	27-Aug	2224.00 4.0
AO,	08/27	PARTNER REINSURANCE (PARRPELCEQ)	033	FL	B	4,400	10.60	27-Aug	27-Aug	176.00 4.0
AO,CXL	08/26	CAVU CAP ADV (CAVUMAN CS)	028	STX	SS	20,000	12.13	n/a	n/a	1000.00 5.0
AO,CRT	08/26	CAVU CAP ADV (CAVUCREDIS)	028	STX	SS	20,000	12.13	n/a	n/a	1000.00 5.0

TOTAL (AO, CXL, CRT) :	2,150.00
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TOTAL (Trade Date):	91,456.14
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TOTAL (AO, CXL, CRT):	2,150.00
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TOTAL (RUN DATE) / NFS:	93,606.14
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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