



## Daily Compliance Activity Report

Trade Date: 07/21/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER CAPITAL	038	ACI	SS	140,000	16.25	n/a	n/a	8,400.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>20,000</b>	<b>14.21</b>	<b>25-Jun</b>	<b>10-Jul</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	S	20,000	14.37	25-Jun	10-Jul	1,000.00	5.0
MORTAR ROCK	033	ALV	B	5,000	34.09	10-Jun	16-Jul	200.00	4.0
BALYASNY ASSET MGMT	044	AMG	S	15,000	62.15	5-Jun	21-Jul	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>140,000</b>	<b>26.27</b>	<b>3-Jun</b>	<b>10-Jul</b>	<b>5,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	SS	10,000	37.50	n/a	10-Jul	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AVP</b>	<b>B</b>	<b>105,000</b>	<b>29.41</b>	<b>2-Jun</b>	<b>2-Jun</b>	<b>4,200.00</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	AXL	B	6,700	1.36	n/a	9-Jul	201.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>S</b>	<b>20,000</b>	<b>36.35</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	BHP	SS	10,000	58.76	n/a	n/a	400.00	4.0
CATAPULT	040	BJS	SS	25,000	14.21	n/a	n/a	1,250.00	5.0
PHILADELPHIA FINANCIAL	033	BLK	S	7,445	180.43	21-Jul	21-Jul	297.80	4.0
NORTHPOINT	030	BRCD	B	41,750	8.64	n/a	n/a	1,252.50	3.0
CATAPULT	040	CAKE	S	45,000	17.52	29-May	21-Jul	1,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STRONG/MARK GRONET	030	CMO	S	5,000	13.20	n/a	n/a	200.00	4.0
COUGAR TRADING	044	COH	B	5,000	27.22	n/a	16-Jul	250.00	5.0
STRONG/MARK GRONET	030	DAL	B	50,000	5.99	n/a	n/a	1,500.00	3.0
JMP ASSET MGMT	210	DPZ	B	7,100	8.33	n/a	24-Apr	284.00	4.0
THE BOSTON COMPANY	039	EL	S	6,430	34.11	5-May	5-May	257.20	4.0
REICH AND TANG	067	ESL	B	3,800	28.08	n/a	n/a	190.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>ESL</b>	<b>S</b>	<b>200</b>	<b>28.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REICH AND TANG	067	ETH	B	16,000	11.82	n/a	n/a	800.00	5.0
PHILADELPHIA FINANCIAL	033	EV	C	19,209	25.70	19-May	21-Jul	768.36	4.0
STRONG/MARK GRONET	030	FST	B	24,400	14.14	n/a	n/a	976.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>15.15</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
CATAPULT	040	HERO	SS	100,000	3.84	n/a	n/a	4,000.00	4.0
CATAPULT	040	HLX	B	20,000	11.51	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	040	INT	SS	7,500	40.86	n/a	n/a	300.00	4.0
BNP PARIBAS SEC	040	IP	B	25,000	17.62	21-Jul	21-Jul	1,000.00	4.0
ELM RIDGE ADVISORS	044	IP	S	286,300	17.61	21-Jul	21-Jul	11,452.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	IP	S	15,000	17.53	21-Jul	21-Jul	750.00	5.0
RBC CAPITAL MARKETS	040	IP	B	20,000	17.25	21-Jul	21-Jul	800.00	4.0
LISTED ERR	099	IP	B	20,000	17.42	21-Jul	21-Jul	0.00	0.0
LISTED ERR	099	IP	S	20,000	17.25	21-Jul	21-Jul	0.00	0.0
BASIX	033	IR	B	48,000	23.15	n/a	1-Jul	1,440.00	3.0
BASIX	033	LM	B	42,000	25.82	25-Jun	21-Jul	1,260.00	3.0
KEEFE BRUYETTE WOODS A	045	LM	SS	6,700	26.38	25-Jun	21-Jul	335.00	5.0
SCOPUS FUND	041	MMM	S	70,000	64.36	4-Jun	4-Jun	3,500.00	5.0
RBC CAPITAL MARKETS	040	MON	S	10,000	80.59	n/a	26-Jun	400.00	4.0
JENNISON	032	MSFT	B	26,700	24.75	n/a	3-Apr	987.90	3.7
COUGAR TRADING	044	M	SS	5,000	12.46	n/a	10-Jul	250.00	5.0
CATAPULT	040	PEP	S	20,000	55.90	n/a	n/a	800.00	4.0
SCOPUS FUND	041	PKG	S	39,000	20.09	21-Jul	21-Jul	1,950.00	5.0
OZ MGMT	040	POT	SS	50,261	90.86	n/a	n/a	1,507.83	3.0
BUCK CAPITAL MGMT	001	PSS	S	50,000	14.41	n/a	n/a	2,000.00	4.0
REICH AND TANG	067	PSS	B	13,000	14.50	n/a	n/a	650.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	31.74	20-Apr	21-May	800.00	4.0
JMP ASSET MGMT	210	RHI	SS	6,000	23.36	n/a	n/a	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	20,000	56.22	25-Jun	25-Jun	800.00	4.0
REICH AND TANG	067	RRD	B	10,500	12.56	n/a	n/a	525.00	5.0
KARSCH CAPITAL	034	SGP	B	110,875	26.51	n/a	n/a	3,326.25	3.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	25,000	20.91	n/a	27-Jul	1,000.00	4.0
CATAPULT	040	SPN	B	50,000	18.11	n/a	n/a	2,500.00	5.0
SACC-SCHWARTZ	044	SPY	B	50,000	94.65	n/a	n/a	2,000.00	4.0
REICH AND TANG	067	SUG	B	7,000	18.85	n/a	n/a	350.00	5.0
CATAPULT	040	SYK	B	25,000	39.44	n/a	n/a	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	TGT	B	208,300	39.62	10-Jul	10-Jul	8,332.00	4.0
MILLENIUM PARTNERS	028	TIN	S	20,000	14.91	21-Jul	21-Jul	1,000.00	5.0
CATAPULT	040	TSN	S	50,000	11.50	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	VALE	B	19,976	19.05	n/a	n/a	799.04	4.0
HIGHBRIDGE/MS OLDS	041	VFC	SS	33,439	60.33	n/a	n/a	1,337.56	4.0
CAVU CAP ADV	028	VSEA	B	30,000	28.86	n/a	n/a	1,500.00	5.0
CAVU CAP ADV	028	WFT	B	50,000	18.93	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WRC	S	20,000	34.60	13-May	13-May	800.00	4.0
BUCK CAPITAL MGMT	001	WWW	SS	10,000	22.83	n/a	13-Mar	400.00	4.0
TOTAL (Trade Date):								99,379.44	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/20	ARAGON GLOBAL (ARAGGS)	041	AAPL	S	9,112	153.23	n/a	n/a	455.60 5.0
AO,	07/20	SOLARIS INV MGMT (SOLA93)	029	AEO	B	200	14.47	25-Jun	10-Jul	10.00 5.0
AO,CXL	07/20	SOLARIS INV MGMT (SOLA933)	029	AEO	B	200	14.47	25-Jun	10-Jul	10.00 5.0
AO,	07/20	ROTHSCHILD ASSET (ROTH500110)	040	BIO	S	420	71.49	n/a	n/a	18.90 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH500100)	040	BIO	S	110	71.49	n/a	n/a	4.95 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH344)	040	BIO	S	90	71.49	n/a	n/a	4.05 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH000331)	040	BIO	S	220	71.49	n/a	n/a	9.90 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH347)	040	BIO	S	20	71.49	n/a	n/a	0.90 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH346)	040	BIO	S	90	71.49	n/a	n/a	4.05 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH309)	040	BIO	S	2,090	71.49	n/a	n/a	94.05 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH306)	040	BIO	S	150	71.49	n/a	n/a	6.75 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH396)	040	BIO	S	1,640	71.49	n/a	n/a	73.80 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH304)	040	BIO	S	680	71.49	n/a	n/a	30.60 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH500150)	040	BIO	S	110	71.49	n/a	n/a	4.95 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH500140)	040	BIO	S	80	71.49	n/a	n/a	3.60 4.5
AO,	07/20	ROTHSCHILD ASSET (ROTH500130)	040	BIO	S	220	71.49	n/a	n/a	9.90 4.5
AO,CRT	07/20	MILLENIUM PARTNERS (MILPINTREG)	028	DRI	S	25,000	34.01	19-Mar	15-Jul	1000.00 4.0
AO,CXL	07/20	MILLENIUM PARTNERS (MILPUSE)	028	DRI	S	25,000	34.01	19-Mar	15-Jul	1000.00 4.0
AO,CXL	07/20	IRONBOUND CAPITAL (IROBGs)	012	EXH	B	150,000	16.73	27-May	1-Jul	6000.00 4.0
AO,CRT	07/20	IRONBOUND CAPITAL (IROBGs)	012	EXH	B	150,000	16.73	27-May	1-Jul	4500.00 3.0
<b>CRT</b>	<b>07/21</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>IP</b>	<b>B</b>	<b>20,000</b>	<b>17.42</b>	<b>21-Jul</b>	<b>21-Jul</b>	<b>0.00 0.0</b>
AO,	07/20	ARAGON GLOBAL (ARAGGS)	041	UNP	B	1,472	58.56	n/a	n/a	73.60 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/20	ARAGON GLOBAL (ARAGGS)	041	UNP	B	11,000	58.00	n/a	n/a	550.00 5.0
AO,CXL	07/20	JP MORGAN VENTURES (JPMVJPM)	046	WEN	S	40,000	4.47	n/a	10-Jul	1600.00 4.0
AO,CRT	07/20	JP MORGAN VENTURES (JPMVJPM)	046	WEN	S	40,000	4.47	n/a	10-Jul	1200.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-554.40</b>
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TOTAL (Trade Date):	99,379.44
TOTAL (AO, CXL, CRT):	-554.40

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>98,825.04</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