

Daily Compliance Activity Report Trade Date: 08/20/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.			
BUCK CAPITAL MGMT	001	AEO	В	66,700	14.15	25-Jun	7-Aug	2,668.00	4.0			
SIGMA CAPITAL ASSOCIATES	041	AEO	SS	100,000	14.11	25-Jun	7-Aug	4,000.00	4.0			
RBC CAPITAL MARKETS	040	AES	SS	25,000	13.93	n/a	n/a	1,000.00	4.0			
BUCK CAPITAL MGMT	001	ARO	В	26,700	35.27	n/a	7-Aug	1,068.00	4.0			
RBC CAPITAL MARKETS	040	ARO	В	10,000	35.25	n/a	7-Aug	400.00	4.0			
COUGAR TRADING	044	AXL	В	20,000	6.61	19-Aug	19-Aug	800.00	4.0			
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HUNTER GLOBAL INVESTOR	067	BA	В	90,700	44.15	n/a	20-Aug	4,535.00	5.0			
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BUCK CAPITAL MGMT	001	BBY	В	50,000	36.61	n/a	27-Jul	2,000.00	4.0			
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RBC CAPITAL MARKETS	040	ВЈ	В	10,000	31.74	n/a	27-Jul	400.00	4.0			
	010	БО	Б	10,000	51.71	117 G	27 041	100.00	1.0			
GREEN ARROW DOUG	040	CCE	SS	15,000	19.91	n/a	n/a	750.00	5.0			
ORDEN ARROW DOOG	040	CCL	55	13,000	10.01	11/ 4	11/ 4	730.00	3.0			
RBC CAPITAL MARKETS	040	CHK	В	50,000	23.46	n/a	n/a	2,000.00	4.0			
RDC CAPITAL MARKETS	040	CHK	Ь	30,000	23.40	II/ a	11/ a	2,000.00	4.0			
RBC CAPITAL MARKETS	040	CPN	В	125,000	12.10	n/a	n/a	5,000.00	4.0			
RDC CAPITAL MARKETS	040	CPN	Ь	125,000	12.10	II/ d	II/ d	5,000.00	4.0			
NOMIDA CADITAT	0.45	C	C	300 000	4 40	/ -	17 7	6 000 00	2.0			
NOMURA CAPITAL	045	С	S	300,000	4.48	n/a	17-Aug	6,000.00				
OZ MGMT	040	С	SS	1,000,000	4.23	n/a	17-Aug	30,000.00	3.0			
LISTED ERR	099	C	В	1,000,000	4.23	n/a	17-Aug	0.00	0.0			
LISTED ERR	099	С	S	1,000,000	4.23	n/a	17-Aug	0.00	0.0			
BUCK CAPITAL MGMT	001	DKS	SS	30,000	22.71	17-Aug	17-Aug	1,200.00	4.0			

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
SENVEST PART	045	DSW	В	3,100	12.88	28-Jul	3-Aug	93.00	3.0
RBC CAPITAL MARKETS	040	EIX	В	25 , 000	32.35	n/a	29-Jun	1,000.00	4.0
DECADE CAPITAL PARTNERS	040	ELY	S	50,000	6.46	n/a	n/a	1,500.00	3.0
DECADE CAPITAL PARTNERS	040	ENR	S	9,000	66.93	29-Jul	29-Jul	360.00	4.0
RBC CAPITAL MARKETS	040	EOG	S	20,000	73.92	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	EQR	В	10,000	27.08	n/a	n/a	500.00	5.0
TOKIO MARINE ASSET MGMT	045	ESRX	S	5 , 500	68.63	n/a	n/a	220.00	4.0
RBC CAPITAL MARKETS	040	EXC	В	50,000	49.43	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	FL	SS	50,000	11.27	27-Apr	17-Aug	2,000.00	4.0
RBC CAPITAL MARKETS	040	FPL	S	45,000	57.15	n/a	n/a	1,800.00	4.0
BMO NESBITT BURNS	041	F	В	50,000	7.67	3-Aug	10-Aug	2,500.00	5.0
ROSEDALE CAPITAL	046	GLW	В	10,000	15.82	27-Jul	27-Jul	500.00	5.0
STELLIAM INV ADV	034	GME	В	20,000	23.10	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	040	GPS	В	25,000	18.90	n/a	30-Jan	1,000.00	4.0
STERLING JOHNSTON	035	GYMB	S	15,000	44.11	6-Aug	20-Aug	600.00	4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
GREEN ARROW DOUG	040	HGG	S	15,000	17.53	n/a	n/a	750.00	5.0	
GREEN ARROW DOUG	040	НОТ	SS	10,000	29.45	n/a	n/a	500.00	5.0	
CASTLE ARK	031	ICE	В	129 , 765	93.54	n/a	n/a	7,785.90	6.0	
STADIA CAPITAL	035	INTC	S	31,500	18.60	n/a	n/a	1,260.00	4.0	
HUNTER GLOBAL INVESTOR	067	IYR	В	114,500	38.74	n/a	n/a	3,435.00	3.0	
FIRST NEW YORK LEDDY	035	LVLT	S	10,000	1.18	n/a	4-Jan	600.00	6.0	
PIONEER MICHAEL NOLAN	067	LXK	S	1,300	17.20	n/a	n/a	39.00	3.0	
STELLIAM INV ADV	034	MAR	SS	4,148	23.80	n/a	n/a	207.40	5.0	
RBC CAPITAL MARKETS	040	MGM	В	80,000	8.63	n/a	4-Aug	3,200.00	4.0	
RBC CAPITAL MARKETS	040	NDN	В	15,000	13.00	n/a	6-Aug	600.00	4.0	
BUCK CAPITAL MGMT	001	NP	s	210	11.32	11-Aug	11-Aug	8.40	4.0	
TOKIO MARINE ASSET MGMT	045	NTRS	S	19,600	60.77	22-Apr	23-Jul	784.00	4.0	
RBC CAPITAL MARKETS	040	ORB	В	20,000	13.88	n/a	n/a	800.00	4.0	
RBC CAPITAL MARKETS	040	OXY	В	20,000	72.36	n/a	n/a	800.00	4.0	
HUNTER GLOBAL INVESTOR	067	0	В	20,000	24.05	n/a	n/a	1,000.00	5.0	
	GREEN ARROW DOUG GREEN ARROW DOUG CASTLE ARK STADIA CAPITAL HUNTER GLOBAL INVESTOR FIRST NEW YORK LEDDY PIONEER MICHAEL NOLAN STELLIAM INV ADV RBC CAPITAL MARKETS RBC CAPITAL MARKETS BUCK CAPITAL MGMT TOKIO MARINE ASSET MGMT RBC CAPITAL MARKETS RBC CAPITAL MARKETS	GREEN ARROW DOUG 040 GREEN ARROW DOUG 040 CASTLE ARK 031 STADIA CAPITAL 035 HUNTER GLOBAL INVESTOR 067 FIRST NEW YORK LEDDY 035 PIONEER MICHAEL NOLAN 067 STELLIAM INV ADV 034 RBC CAPITAL MARKETS 040 BUCK CAPITAL MARKETS 040 BUCK CAPITAL MGMT 001 TOKIO MARINE ASSET MGMT 045 RBC CAPITAL MARKETS 040 RBC CAPITAL MARKETS 040 RBC CAPITAL MARKETS 040	GREEN ARROW DOUG 040 HGG GREEN ARROW DOUG 040 HOT CASTLE ARK 031 ICE STADIA CAPITAL 035 INTC HUNTER GLOBAL INVESTOR 067 IYR FIRST NEW YORK LEDDY 035 LVLT PIONEER MICHAEL NOLAN 067 LXK STELLIAM INV ADV 034 MAR RBC CAPITAL MARKETS 040 MGM RBC CAPITAL MARKETS 040 NDN BUCK CAPITAL MGMT 001 NP TOKIO MARINE ASSET MGMT 045 NTRS RBC CAPITAL MARKETS 040 ORB RBC CAPITAL MARKETS 040 ORB	GREEN ARROW DOUG 040 HGG S GREEN ARROW DOUG 040 HOT SS CASTLE ARK 031 ICE B STADIA CAPITAL 035 INTC S HUNTER GLOBAL INVESTOR 067 IYR B FIRST NEW YORK LEDDY 035 LVLT S PIONEER MICHAEL NOLAN 067 LXK S STELLIAM INV ADV 034 MAR SS RBC CAPITAL MARKETS 040 MGM B RBC CAPITAL MARKETS 040 NDN B BUCK CAPITAL MGMT 001 NP S TOKIO MARINE ASSET MGMT 045 NTRS S RBC CAPITAL MARKETS 040 ORB B RBC CAPITAL MARKETS 040 ORB B RBC CAPITAL MARKETS 040 OXY B	GREEN ARROW DOUG 040 HGG S 15,000 GREEN ARROW DOUG 040 HOT SS 10,000 CASTLE ARK 031 ICE B 129,765 STADIA CAPITAL 035 INTC S 31,500 HUNTER GLOBAL INVESTOR 067 IYR B 114,500 FIRST NEW YORK LEDDY 035 LVLT S 10,000 PIONEER MICHAEL NOLAN 067 LXK S 1,300 STELLIAM INV ADV 034 MAR SS 4,148 RBC CAPITAL MARKETS 040 MGM B 80,000 RBC CAPITAL MARKETS 040 NDN B 15,000 BUCK CAPITAL MGMT 001 NP S 210 TOKIO MARINE ASSET MGMT 045 NTRS S 19,600 RBC CAPITAL MARKETS 040 ORB B 20,000 RBC CAPITAL MARKETS 040 ORB B 20,000	GREEN ARROW DOUG 040 HGG S 15,000 17.53 GREEN ARROW DOUG 040 HOT SS 10,000 29.45 CASTLE ARK 031 ICE B 129,765 93.54 STADIA CAPITAL 035 INTC S 31,500 18.60 HUNTER GLOBAL INVESTOR 067 IYR B 114,500 38.74 FIRST NEW YORK LEDDY 035 LVLT S 10,000 1.18 PIONEER MICHAEL NOLAN 067 LXK S 1,300 17.20 STELLIAM INV ADV 034 MAR SS 4,148 23.80 RBC CAPITAL MARKETS 040 MGM B 80,000 8.63 RBC CAPITAL MARKETS 040 NDN B 15,000 13.00 BUCK CAPITAL MGMT 001 NP S 210 11.32 TOKIO MARINE ASSET MGMT 045 NTRS S 19,600 60.77 RBC CAPITAL MARKETS 040 ORB B 20,000 13.88 RBC CAPITAL MARKETS 040 ORB B 20,000 72.36	GREEN ARROW DOUG 040 HGG S 15,000 17.53 n/a GREEN ARROW DOUG 040 HOT SS 10,000 29.45 n/a CASTLE ARK 031 ICE B 129,765 93.54 n/a STADIA CAPITAL 035 INTC S 31,500 18.60 n/a HUNTER GLOBAL INVESTOR 067 IYR B 114,500 38.74 n/a FIRST NEW YORK LEDDY 035 LVLT S 10,000 1.18 n/a PIONEER MICHAEL NOLAN 067 LXK S 1,300 17.20 n/a STELLIAM INV ADV 034 MAR SS 4,148 23.80 n/a REC CAPITAL MARKETS 040 MGM B 80,000 8.63 n/a REC CAPITAL MARKETS 040 NDN B 15,000 13.00 n/a BUCK CAPITAL MGMT 001 NP S 210 11.32 11-Aug TOKIO MARINE ASSET MGMT 045 NTRS S 19,600 60.77 22-Apr REC CAPITAL MARKETS 040 ORB B 20,000 72.36 n/a REC CAPITAL MARKETS 040 OXY B 20,000 72.36 n/a	GREEN ARROW DOUG 040 HGG S 15,000 17.53 n/a n/a GREEN ARROW DOUG 040 HOT SS 10,000 29.45 n/a n/a CASTLE ARK 031 ICE B 129,765 93.54 n/a n/a STADIA CAPITAL 035 INTC S 31,500 18.60 n/a n/a HUNTER GLOBAL INVESTOR 067 IYR B 114,500 38.74 n/a n/a FIRST NEW YORK LEDDY 035 LVLT S 10,000 1.18 n/a 4-Jan PIONEER MICHAEL NOLAN 067 LXK S 1,300 17.20 n/a n/a STELLIAM INV ADV 034 MAR SS 4,148 23.80 n/a n/a REC CAPITAL MARKETS 040 MGM B 80,000 8.63 n/a 4-Aug REC CAPITAL MARKETS 040 NDN B 15,000 13.00 n/a 6-Aug BUCK CAPITAL MGMT 001 NP S 210 11.32 11-Aug 11-Aug TOKIO MARINE ASSET MGMT 045 NTRS S 19,600 60.77 22-Apr 23-Jul REC CAPITAL MARKETS 040 ORB B 20,000 72.36 n/a n/a	GREEN ARROW DOUG 040 HGG S 15,000 17.53 n/a n/a 750.00 GREEN ARROW DOUG 040 HOT SS 10,000 29.45 n/a n/a 500.00 CASTLE ARK 031 ICE B 129,765 93.54 n/a n/a 7,785.90 STADIA CAPITAL 035 INTC S 31,500 18.60 n/a n/a 1,260.00 HUNTER CLOBAL INVESTOR 067 IYR B 114,500 38.74 n/a n/a 3,435.00 FIRST NEW YORK LEDDY 035 LVLT S 10,000 1.18 n/a 4-Jan 600.00 PIONEER MICHAEL NOLAN 067 LXK S 1,300 17.20 n/a n/a 39.00 STELLIAM INV ADV 034 MAR SS 4,148 23.80 n/a n/a 207.40 RBC CAPITAL MARKETS 040 MGM B 80,000 8.63 n/a 4-Aug 3,200.00 RBC CAPITAL MARKETS 040 NDN B 15,000 13.00 n/a 6-Aug 600.00 BUCK CAPITAL MARKETS 040 NTR S 19,600 60.77 22-Apr 23-Jul 784.00 RBC CAPITAL MARKETS 040 ORB B 20,000 13.88 n/a n/a 800.00 RBC CAPITAL MARKETS 040 ORB B 20,000 13.88 n/a n/a 800.00	GREEN ARROW DOUG 040 HGG 5 15,000 17.53 n/a n/a 750.00 5.0 GREEN ARROW DOUG 040 HOT 5S 10,000 29.45 n/a n/a 500.00 5.0 CASTLE ARK 031 ICE B 129,765 93.54 n/a n/a n/a 7,785.90 6.0 STADIA CAPITAL 035 INTC S 51,500 18.60 n/a n/a 1,260.00 4.0 HUNTER GLOBAL INVESTOR 067 IYR B 114,500 38.74 n/a n/a n/a 3,435.00 3.0 FIRST NEW YORK LEDDY 035 LVLT 5 10,000 1.18 n/a 4-Jan 600.00 6.0 PIONEER MICHAEL NOLAN 067 LXK 5 1,300 17.20 n/a n/a n/a 39.00 3.0 STELLIAM INV ADV 034 MAR SS 4,148 23.80 n/a n/a 207.40 5.0 RBC CAPITAL MARKETS 040 MGM B 80,000 8.63 n/a 4-Aug 3,200.00 4.0 BUCK CAPITAL MARKETS 040 NDN B 15,000 13.00 n/a 6-Aug 600.00 4.0 BUCK CAPITAL MARKETS 040 NTRS S 19,600 60.77 22-Apr 23-Jul 784.00 4.0 BUCK CAPITAL MARKETS 040 ORB B 20,000 13.88 n/a n/a n/a 800.00 4.0 BEC CAPITAL MARKETS 040 ORB B 20,000 72.36 n/a n/a 800.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
RAMIUS CAP	040	PFCB	В	30,500	30.20	22-Jul	22-Jul	1,220.00	4.0	
GCORE MANAGEMENT	252	PFE	В	10,000	16.28	n/a	31-Mar	400.00	4.0	
ENDEAVOUR CAPITAL	035	PFG	В	165,000	25.78	n/a	n/a	8,250.00	5.0	
TOKIO MARINE ASSET M	GMT 045	PG	S	6,900	52.87	3-Aug	19-Aug	276.00	4.0	
MORTAR ROCK	033	PLCE	SS	5,000	30.73	n/a	20-Aug	200.00	4.0	
POINT BLANK CAPITAL	028	PLCE	В	5,000	30.11	n/a	20-Aug	250.00	5.0	
POINT BLANK CAPITAL	028	PLCE	SS	5,000	30.82	n/a	20-Aug	250.00	5.0	
SCHOTTENFELD ASSOC	041	PLCE	В	20,000	30.06	n/a	20-Aug	600.00	3.0	
THIRD COAST CAPITAL	035	PLCE	SS	10,000	30.40	n/a	20-Aug	500.00	5.0	
ACK ASSET	028	PRGO	В	23,000	28.50	18-Aug	18-Aug	920.00	4.0	
HUNTER GLOBAL INVEST	OR 067	PSA	В	10,000	68.29	n/a	n/a	500.00	5.0	
BUCK CAPITAL MGMT	001	PSS	S	40,000	14.32	n/a	n/a	1,600.00	4.0	
STADIA CAPITAL	035	QCOM	В	46,600	47.10	n/a	n/a	1,864.00	4.0	
GREEN ARROW DOUG	040	RCL	SS	10,000	18.99	31-Jul	31-Jul	500.00	5.0	
GREEN ARROW DOUG	040	RCL	S	20,000	18.83	31-Jul	31-Jul	1,000.00	5.0	
RBC CAPITAL MARKETS	040	RRC	SS	20,000	49.76	n/a	3-Aug	800.00	4.0	
GREEN ARROW DOUG	040	SHLD	SS	5,000	65.24	n/a	n/a	250.00	5.0	
TROUBH PART	067	SLM	В	75 , 000	8.47	12-Aug	12-Aug	3,750.00	5.0	

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
RBC CAPITAL MARKETS	040	SO	S	20,000	31.33	n/a	n/a	800.00	4.0	
RBC CAPITAL MARKETS	040	SPR	В	41,320	13.49	n/a	n/a	1,652.80	4.0	
TOKIO MARINE ASSET MGMT	045	TGT	S	8,100	45.20	19-Aug	19-Aug	324.00	4.0	
BMO NESBITT BURNS	041	TIN	SS	70,200	16.27	14-Aug	14-Aug	3,510.00	5.0	
POINT BLANK CAPITAL	028	TWI	S	10,000	9.41	n/a	n/a	500.00	5.0	
OZ MGMT	040	UBS	S	262,600	16.19	n/a	n/a	7,878.00	3.0	
PIONEER MICHAEL NOLAN	067	UEPS	S	12,170	17.46	n/a	n/a	365.10	3.0	
ROTHSCHILD ASSET	040	WDC	S	20,880	32.70	n/a	n/a	939.60	4.5	
M&I FUNDS	047	WDR	В	17,923	27.02	29-Jul	19-Aug	716.92	4.0	
GREEN ARROW DOUG	040	WHR	S	15,000	59.76	n/a	n/a	750.00	5.0	
GREEN ARROW DOUG	040	WMS	SS	10,000	41.37	n/a	n/a	500.00	5.0	
RBC CAPITAL MARKETS	040	WMT	В	10,000	51.52	11-May	13-Aug	400.00	4.0	
BUCK CAPITAL MGMT	001	WRC	s	20,000	38.61	28-Jul	12-Aug	800.00	4.0	
TOKIO MARINE ASSET MGMT	045	WR	S	27,200	20.06	n/a	n/a	1,088.00	4.0	
RBC CAPITAL MARKETS	040	XOM	В	30,000	68.29	n/a	n/a	1,200.00	4.0	

TOTAL (Trade Date): 144,018.12

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CXL	08/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ВЈ	В	20,000	31.74	n/a	27-Jul	0.00	0.0
AO, CRT	08/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BJ	В	20,000	31.74	n/a	27-Jul	800.00	4.0
AO,	08/19	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	В	15,000	29.85	3-Aug	5-Aug	750.00	5.0
AO,	08/19	OZ MGMT (OZFFCSFB)	040	С	С	18,929	4.16	n/a	17-Aug	189.29	1.0
AO,	08/19	OZ MGMT (OZFFMS)	040	С	С	399,791	4.16	n/a	17-Aug	3997.91	1.0
AO,	08/19	OZ MGMT (OZFFMS)	040	С	С	13,156	4.16	n/a	17-Aug	131.56	1.0
AO,	08/19	OZ MGMT (OZFFGS)	040	С	С	58 , 739	4.16	n/a	17-Aug	587.39	1.0
AO,	08/19	OZ MGMT (OZFFGS)	040	С	С	9,385	4.16	n/a	17-Aug	93.85	1.0
AO, CRT	08/19	METROPOLITAN CAPITAL (METRHARTZ)	044	DRE	В	1,800	10.46	n/a	n/a	90.00	5.0
AO,CXL	08/19	METROPOLITAN CAPITAL (METRSPEAR)	044	DRE	В	1,800	10.46	n/a	n/a	90.00	5.0
CRT	08/20	SENVEST PART (SENVGS)	045	DSW	В	3,100	12.88	28-Jul	3-Aug	93.00	3.0
AO,CXL	08/19	SCOPUS FUND (SCOPBANC O)	041	TEN	SS	2,016	16.48	n/a	n/a	100.80	5.0
AO,CXL	08/19	SCOPUS FUND (SCOPBANC O)	041	TEN	SS	7,584	16.48	n/a	n/a	379.20	5.0
AO,CXL	08/19	SCOPUS FUND (SCOPBANC O)	041	TEN	SS	1,470	16.43	n/a	n/a	73.50	5.0
AO, CRT	08/19	SCOPUS FUND (SCOPBANC O)	041	TEN	SS	3,486	16.46	n/a	n/a	174.30	5.0
AO,CXL	08/19	SCOPUS FUND (SCOPUBS)	041	TEN	SS	5,530	16.43	n/a	n/a	276.50	5.0
AO, CRT	08/19	SCOPUS FUND (SCOPUBS)	041	TEN	SS	13,114	16.46	n/a	n/a	655.70	5.0

TOTAL (AO, CXL, CRT): 6,643.00

TOTAL (Trade Date): 144,018.12

TOTAL (AO, CXL, CRT): 6,643.00

TOTAL (RUN DATE) / NFS: 150,661.12

Legend:

O: 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