



## Daily Compliance Activity Report

Trade Date: 09/11/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
EPOCH INV MGMT	030	AAPL	B	9,760	171.97	n/a	n/a	292.80 3.0
BALYASNY ASSET MGMT	044	AB	B	50,000	25.11	31-Jul	9-Sep	2,500.00 5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>70,000</b>	<b>15.66</b>	<b>25-Jun</b>	<b>4-Sep</b>	<b>2,800.00 4.0</b>
COUGAR TRADING	044	AEO	B	20,000	15.48	25-Jun	4-Sep	1,000.00 5.0
GREEN ARROW DOUG	040	AEO	B	25,000	16.11	25-Jun	4-Sep	1,250.00 5.0
SCHOTTENFELD ASSOC	041	AEO	B	2,700	15.44	25-Jun	4-Sep	81.00 3.0
SCHOTTENFELD ASSOC	041	AEO	S	2,700	15.78	25-Jun	4-Sep	81.00 3.0
THE JAY GOLDMAN	034	AEO	S	15,000	16.20	25-Jun	4-Sep	600.00 4.0
TRELLUS PARTNERS LP	028	AEO	B	14,200	15.75	25-Jun	4-Sep	710.00 5.0
SACJ	039	AEO	B	25,000	15.80	25-Jun	4-Sep	1,000.00 4.0
CATAPULT	040	ALV	B	17,000	34.29	10-Jun	22-Jul	680.00 4.0
PRIMECAP MGMT	048	AMGN	B	7,000	58.64	n/a	26-Jan	350.00 5.0
M&I FUNDS	047	AMG	B	23,812	66.74	3-Aug	9-Sep	952.48 4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	30.99	3-Jun	4-Sep	2,000.00 4.0
TRELLUS PARTNERS LP	028	AN	B	50,000	18.08	3-Aug	5-Aug	2,500.00 5.0
PILOT ROCK	028	AU	S	47,442	42.95	n/a	n/a	1,897.68 4.0
LAGRANGE CAP ADV	048	AXL	S	30,000	7.90	19-Aug	2-Sep	1,500.00 5.0
MILLRACE FUND LP	028	AXL	S	20,000	7.81	19-Aug	2-Sep	600.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	AXL	B	50,000	7.85	19-Aug	2-Sep	1,500.00	3.0
TRELLUS PARTNERS LP	028	AXL	S	75,000	7.72	19-Aug	2-Sep	2,250.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>AXL</b>	<b>B</b>	<b>2,100</b>	<b>7.85</b>	<b>19-Aug</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	AXP	S	9,158	34.18	n/a	10-Sep	320.54	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>S</b>	<b>20,000</b>	<b>25.77</b>	<b>25-Aug</b>	<b>10-Sep</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	BRCM	S	20,000	30.22	n/a	n/a	1,000.00	5.0
CATAPULT	040	BWA	B	29,500	34.42	3-Aug	24-Aug	1,180.00	4.0
COOPER CREEK PART	028	BWA	SS	2,600	34.20	3-Aug	24-Aug	104.00	4.0
GREEN ARROW DOUG	040	CCL	SS	15,000	32.82	n/a	26-Jan	750.00	5.0
CHART WELL ADV	028	COH	B	331,655	31.52	n/a	29-Jul	13,266.20	4.0
PILOT ROCK	028	COV	B	104,400	41.63	n/a	n/a	4,176.00	4.0
EPOCH INV MGMT	030	DVA	S	31,764	54.15	n/a	n/a	952.92	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>B</b>	<b>20,000</b>	<b>34.57</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>800.00</b>	<b>4.0</b>
PILOT ROCK	028	FITB	SS	100,000	9.78	n/a	n/a	4,000.00	4.0
TRELLUS PARTNERS LP	028	F	B	50,000	7.42	27-Aug	2-Sep	1,500.00	3.0
LONG OAR GLOBAL INV	040	GT	S	8,600	17.24	n/a	n/a	344.00	4.0
FRONTPOINT/COPIA-ANDREW	031	HK	S	74,600	24.34	n/a	n/a	2,611.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT/COPIA-ANDREW	031	HLX	B	3,000	14.19	n/a	n/a	105.00	3.5
STADIA CAPITAL	035	HLX	B	43,000	14.19	n/a	n/a	1,505.00	3.5
OZ MGMT	040	IMA	S	187,545	39.93	n/a	n/a	5,626.35	3.0
BMO NESBITT BURNS	041	IP	SS	75,000	23.82	14-Aug	14-Aug	3,750.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	SS	252,000	23.67	14-Aug	14-Aug	12,600.00	5.0
MILLENIUM PARTNERS	028	IP	S	15,000	23.62	14-Aug	14-Aug	600.00	4.0
SCHOTTENFELD ASSOC	041	IP	B	20,000	23.56	14-Aug	14-Aug	600.00	3.0
SCHOTTENFELD ASSOC	041	IP	SS	25,000	23.88	14-Aug	14-Aug	750.00	3.0
SCOPUS FUND	041	IP	SS	102,000	23.70	14-Aug	14-Aug	5,100.00	5.0
BALYASNY ASSET MGMT	044	JNS	S	35,000	13.61	16-Jul	9-Sep	1,750.00	5.0
M&I FUNDS	047	LAZ	B	33,931	38.89	n/a	30-Jul	1,357.24	4.0
EXIS CAPITAL	044	LNC	S	20,000	25.10	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAR</b>	<b>B</b>	<b>20,000</b>	<b>24.65</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
CAXTON PART	040	MS	S	9,160	28.88	11-May	11-Sep	320.60	3.5
CHARTER OAK	033	MTW	B	200,000	8.95	11-Sep	11-Sep	8,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NKE</b>	<b>B</b>	<b>20,000</b>	<b>55.11</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
TROUBH PART	067	NUE	S	25,000	47.00	n/a	n/a	1,250.00	5.0
PILOT ROCK	028	PAAS	S	57,900	23.29	n/a	n/a	2,316.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	PKG	B	47,000	21.15	21-Jul	21-Jul	1,880.00	4.0
LATEFF MGMT	035	PRGO	S	600	31.11	18-Aug	11-Sep	150.00	25.0
OZ MGMT	040	QCOM	S	65,000	46.45	n/a	n/a	1,950.00	3.0
RBC CAPITAL MARKETS	040	RAH	S	33,000	64.34	n/a	n/a	1,320.00	4.0
GALT INVESTMENT	041	SCSS	S	50,000	4.30	n/a	n/a	2,500.00	5.0
PZENA INV ADV	044	SKX	B	10,684	17.67	n/a	13-Mar	373.94	3.5
EPOCH INV MGMT	030	SLGN	S	35,829	49.01	n/a	n/a	1,074.87	3.0
TROUBH PART	067	SLM	S	25,000	9.19	12-Aug	9-Sep	1,250.00	5.0
EXIS CAPITAL	044	SPW	B	5,000	63.52	n/a	n/a	250.00	5.0
SONTERRA CAP	041	TEN	SS	15,000	16.22	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	47.89	3-Sep	3-Sep	800.00	4.0
GREEN ARROW DOUG	040	TGT	S	25,000	48.02	3-Sep	3-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	TLB	SS	20,000	8.51	n/a	30-Jan	800.00	4.0
MASTERS CAPITAL MANAGE	091	TLB	B	50,000	8.49	n/a	30-Jan	2,000.00	4.0
MISSOURI VALLEY PART	046	TRV	S	26,265	48.46	n/a	n/a	1,313.25	5.0
STRAUSS ASSET MGMT	040	VOCS	SS	5,000	19.76	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	V	B	7,970	72.10	n/a	9-Sep	239.10	3.0
JETSTREAM GLOBAL FUND LP	065	V	S	10,100	72.02	n/a	9-Sep	505.00	5.0
PHILADELPHIA FINANCIAL	033	WDR	B	25,000	26.01	29-Jul	9-Sep	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>25,000</b>	<b>41.37</b>	<b>28-Jul</b>	<b>2-Sep</b>	<b>1,000.00</b>	<b>4.0</b>
GLOBAL 56 LLC	060	WRES	S	2,500	2.82	n/a	n/a	75.00	3.0
CAXTON PART	040	WY	B	300,656	37.70	n/a	3-Aug	10,522.97	3.5
CSFB GLOBAL PROPRIETARY	041	WY	B	75,000	37.56	n/a	3-Aug	3,750.00	5.0
MILLENIUM PARTNERS	028	WY	B	15,000	37.16	n/a	3-Aug	600.00	4.0
OZ MGMT	040	WY	B	28,770	37.78	n/a	3-Aug	863.10	3.0
SCOPUS FUND	041	WY	B	35,000	37.65	n/a	3-Aug	1,750.00	5.0
TRELLUS PARTNERS LP	028	WY	B	27,400	36.74	n/a	3-Aug	1,370.00	5.0
WEINTRAUB CAPITAL MGT.	040	WY	B	26,200	36.80	n/a	3-Aug	1,048.00	4.0
FRONTPOINT/COPIA-ANDREW	031	XCO	S	31,300	16.61	n/a	n/a	1,095.50	3.5
MATLIN PATTERSON	046	XRT	B	20,000	33.20	n/a	n/a	600.00	3.0
EXIS CAPITAL	044	ZQK	B	5,000	2.70	n/a	4-Sep	250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>147,010.54</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/10	EXIS CAPITAL (EXISOPUSGS)	044	BRCM	B	7,400	29.95	n/a	n/a	370.00 5.0
AO,CXL	09/10	EXIS CAPITAL (EXISRBC)	044	BRCM	B	20,000	29.95	n/a	n/a	1000.00 5.0
AO,CRT	09/10	EXIS CAPITAL (EXISRBC)	044	BRCM	B	12,600	29.95	n/a	n/a	630.00 5.0
<b>AO,CRT</b>	<b>09/10</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>KR</b>	<b>S</b>	<b>33</b>	<b>21.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,	09/10	EXIS CAPITAL (EXISOPUSGS)	044	MET	S	5,500	37.59	n/a	n/a	275.00 5.0
AO,CXL	09/10	EXIS CAPITAL (EXISRBC)	044	MET	S	15,000	37.59	n/a	n/a	750.00 5.0
AO,CRT	09/10	EXIS CAPITAL (EXISRBC)	044	MET	S	9,500	37.59	n/a	n/a	475.00 5.0
CRT	09/11	SONTERRA CAP (SONTMSBULK)	041	TEN	SS	15,000	16.22	n/a	n/a	600.00 4.0

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**TOTAL (AO, CXL, CRT) :** **600.00**

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**TOTAL (Trade Date) :** **147,010.54****TOTAL (AO, CXL, CRT) :** **600.00**

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**TOTAL (RUN DATE) / NFS :** **147,610.54**

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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