



## Daily Compliance Activity Report

Trade Date: 07/24/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROBX	033	ABT	S	53,900	44.69	n/a	22-Apr	2,156.00	4.0
COUGAR TRADING	044	AEO	SS	20,000	14.70	25-Jun	10-Jul	1,000.00	5.0
BALYASNY ASSET MGMT	044	AMG	S	15,000	62.68	5-Jun	21-Jul	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>30,000</b>	<b>27.88</b>	<b>3-Jun</b>	<b>10-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
HARVEST MGMT	039	BBBY	S	10,000	34.83	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>B</b>	<b>30,000</b>	<b>22.71</b>	<b>28-May</b>	<b>6-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
ARMATURE CAPITAL	041	BWA	B	25,000	35.91	10-Jun	16-Jul	1,000.00	4.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>CAKE</b>	<b>B</b>	<b>3,500</b>	<b>17.92</b>	<b>24-Jul</b>	<b>24-Jul</b>	<b>210.00</b>	<b>6.0</b>
NEWCASTLE FUNDS	255	CAKE	SS	30,000	18.55	24-Jul	24-Jul	1,200.00	4.0
EPOCH INV MGMT	030	CMCSK	S	10,100	13.64	n/a	n/a	404.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COF</b>	<b>S</b>	<b>30,000</b>	<b>30.18</b>	<b>15-May</b>	<b>24-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	COP	S	2,200	44.00	n/a	n/a	88.00	4.0
EPOCH INV MGMT	030	DD	S	3,800	30.10	n/a	21-Jul	152.00	4.0
EPOCH INV MGMT	030	DE	S	1,800	41.56	n/a	17-Jun	72.00	4.0
EPOCH INV MGMT	030	DHR	S	2,050	60.91	n/a	n/a	82.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DO	S	1,450	91.45	n/a	n/a	58.00	4.0
EPOCH INV MGMT	030	DVA	S	4,250	49.27	n/a	n/a	170.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>SS</b>	<b>20,000</b>	<b>35.08</b>	<b>5-May</b>	<b>5-May</b>	<b>800.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	ERTS	S	4,300	21.33	n/a	n/a	172.00	4.0
EPOCH INV MGMT	030	ETR	S	850	79.46	n/a	n/a	34.00	4.0
EPOCH INV MGMT	030	FISV	S	3,100	49.28	n/a	n/a	124.00	4.0
DIAMONDBACK CAP MGMT	232	FITB	B	25,000	8.32	n/a	n/a	1,250.00	5.0
TRELLUS PARTNERS LP	028	GNTX	SS	10,000	14.55	10-Jun	23-Jul	500.00	5.0
COUGAR TRADING	044	GYMB	B	5,000	39.10	21-May	10-Jul	250.00	5.0
RK CAPTIAL MGMT	045	HEI	SS	7,800	38.94	n/a	n/a	390.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOG</b>	<b>SS</b>	<b>20,000</b>	<b>21.69</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	IP	B	60,000	18.44	21-Jul	21-Jul	3,000.00	5.0
CHARTER OAK	033	IR	S	100,000	26.71	n/a	1-Jul	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>20,000</b>	<b>28.82</b>	<b>n/a</b>	<b>30-Jan</b>	<b>800.00</b>	<b>4.0</b>
NEWCASTLE FUNDS	255	JCP	B	40,000	29.55	13-Apr	10-Jul	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JWN	B	5,000	25.57	20-Feb	10-Jul	250.00	5.0
JP MORGAN VENTURES	046	LTD	B	25,000	12.56	n/a	30-Jan	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MGM</b>	<b>B</b>	<b>68,248</b>	<b>7.32</b>	<b>n/a</b>	<b>8-Jul</b>	<b>2,047.44</b>	<b>3.0</b>
CIRCLE T/SES PART	035	MPXL	B	25,000	5.28	n/a	14-Jul	750.00	3.0
CONIFER/ISF	025	MSFT	B	14,900	23.30	n/a	3-Apr	745.00	5.0
SIGMA CAPITAL ASSOCIATES	041	MSFT	B	60,000	23.32	n/a	3-Apr	2,400.00	4.0
DIAMONDBACK CAP MGMT	232	MS	B	25,000	28.20	11-May	23-Jul	1,250.00	5.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	27.80	11-May	23-Jul	2,500.00	5.0
ROSEDALE CAPITAL	046	PFE	S	30,000	16.15	n/a	31-Mar	1,500.00	5.0
HOOVER INV. MGMT	033	PLCM	S	35,500	23.82	n/a	22-Mar	1,420.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>60,000</b>	<b>15.86</b>	<b>n/a</b>	<b>n/a</b>	<b>2,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	PVH	B	5,000	33.64	20-Apr	21-May	250.00	5.0
COUGAR TRADING	044	RL	B	5,000	61.25	25-Jun	25-Jun	250.00	5.0
NEUBERGER BERMAN	036	SCHW	B	214,470	16.62	n/a	n/a	9,651.15	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>13.49</b>	<b>n/a</b>	<b>13-Mar</b>	<b>800.00</b>	<b>4.0</b>
NEWCASTLE FUNDS	255	UTX	S	50,000	52.68	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASEY CAPITAL	067	WRC	S	3,000	36.31	13-May	13-May	150.00	5.0
COUGAR TRADING	044	WRC	B	5,000	36.20	13-May	13-May	250.00	5.0
JMP ASSET MGMT	210	ZAGG	S	6,000	7.31	n/a	n/a	300.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>56,325.59</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/23	PATTEN & PATTEN (PATTMERR)	067	BAC	S	900	12.46	11-May	20-Jul	45.00 5.0
AO,CRT	07/23	PATTEN & PATTEN (PATTSCHWAB)	067	BAC	S	900	12.46	11-May	20-Jul	45.00 5.0
AO,	07/23	SCOGGIN CAP (SCOGJPMBS)	039	BMS	S	5,000	27.00	n/a	n/a	250.00 5.0
AO,CXL	07/23	CONIFER/ISF (CONIISFRIP)	025	COO	B	3,571	25.90	n/a	n/a	178.55 5.0
AO,CRT	07/23	WILLOW CREEK (WILLMAIN4C)	033	COO	B	3,571	25.90	n/a	n/a	142.84 4.0
AO,CXL	07/23	DC CAPITAL (DCCAGOLDMA)	044	JPM	S	50,000	37.30	n/a	20-Jul	2500.00 5.0
AO,CRT	07/23	DC CAPITAL (DCCAGOLDMA)	044	JPM	S	50,000	37.30	n/a	20-Jul	2000.00 4.0
AO,CXL	07/23	CONIFER/ISF (CONIISFRIP)	025	LRN	B	4,434	19.59	n/a	n/a	221.70 5.0
AO,CRT	07/23	WILLOW CREEK (WILLMAIN4C)	033	LRN	B	4,434	19.59	n/a	n/a	177.36 4.0
<b>AO,CXL</b>	<b>07/22</b>	<b>BUCK CAPITAL MGMT (BUCKJPMBS)</b>	<b>001</b>	<b>LVS</b>	<b>S</b>	<b>44,700</b>	<b>10.02</b>	<b>n/a</b>	<b>14-Jul</b>	<b>1788.00 4.0</b>
<b>AO,CRT</b>	<b>07/22</b>	<b>BUCK CAPITAL MGMT (BUCKJPMBS)</b>	<b>001</b>	<b>LVS</b>	<b>S</b>	<b>44,700</b>	<b>10.02</b>	<b>n/a</b>	<b>14-Jul</b>	<b>1341.00 3.0</b>
AO,CXL	07/23	CONIFER/ISF (CONIISFRIP)	025	OC	B	3,730	17.17	n/a	n/a	186.50 5.0
AO,CRT	07/23	WILLOW CREEK (WILLMAIN4C)	033	OC	B	3,730	17.17	n/a	n/a	149.20 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI292628)	048	TIN	S	1,200	14.54	23-Jul	23-Jul	48.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI292628)	048	TIN	S	1,200	14.54	23-Jul	23-Jul	48.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI294329)	048	TIN	S	5,700	14.54	23-Jul	23-Jul	228.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI294329)	048	TIN	S	5,700	14.54	23-Jul	23-Jul	228.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI292706)	048	TIN	S	300	14.54	23-Jul	23-Jul	12.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI292706)	048	TIN	S	300	14.54	23-Jul	23-Jul	12.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI250084)	048	TIN	S	2,900	14.54	23-Jul	23-Jul	116.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI250084)	048	TIN	S	2,900	14.54	23-Jul	23-Jul	116.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI260147)	048	TIN	S	1,500	14.54	23-Jul	23-Jul	60.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI260147)	048	TIN	S	1,500	14.54	23-Jul	23-Jul	60.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI294113)	048	TIN	S	3,800	14.54	23-Jul	23-Jul	152.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI294113)	048	TIN	S	3,800	14.54	23-Jul	23-Jul	152.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI294155)	048	TIN	S	3,600	14.54	23-Jul	23-Jul	144.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI294155)	048	TIN	S	3,600	14.54	23-Jul	23-Jul	144.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI293633)	048	TIN	S	1,800	14.54	23-Jul	23-Jul	72.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI293633)	048	TIN	S	1,800	14.54	23-Jul	23-Jul	72.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI291637)	048	TIN	S	500	14.54	23-Jul	23-Jul	20.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI291637)	048	TIN	S	500	14.54	23-Jul	23-Jul	20.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI291880)	048	TIN	S	17,600	14.54	23-Jul	23-Jul	704.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI291880)	048	TIN	S	17,600	14.54	23-Jul	23-Jul	704.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI293078)	048	TIN	S	600	14.54	23-Jul	23-Jul	24.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI293078)	048	TIN	S	600	14.54	23-Jul	23-Jul	24.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI260144)	048	TIN	S	6,300	14.54	23-Jul	23-Jul	252.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI260144)	048	TIN	S	6,300	14.54	23-Jul	23-Jul	252.00 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI294173)	048	TIN	S	930	14.54	23-Jul	23-Jul	37.20 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI294173)	048	TIN	S	930	14.54	23-Jul	23-Jul	37.20 4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO (NWQI294761)	048	TIN	S	4,200	14.54	23-Jul	23-Jul	168.00 4.0
AO,	07/23	NWQ INVESTMENT MGMT CO (NWQI294761)	048	TIN	S	4,200	14.54	23-Jul	23-Jul	168.00 4.0
AO,CXL	07/23	THIRD COAST CAPITAL (3CAPPBOA)	035	TLB	B	35,000	4.37	n/a	30-Jan	1750.00 5.0
AO,CRT	07/23	THIRD COAST CAPITAL (3CAPPBOA)	035	TLB	B	35,000	4.37	n/a	30-Jan	1050.00 3.0
AO,CXL	07/23	CONIFER/ISF (CONIISFRIP)	025	TXT	B	3,182	11.27	n/a	n/a	159.10 5.0
AO,CRT	07/23	WILLOW CREEK (WILLMAIN4C)	033	TXT	B	3,182	11.27	n/a	n/a	127.28 4.0
AO,CXL	07/23	MILLENIUUM PARTNERS (MILPINTREG)	028	WMT	B	43,000	49.19	11-May	6-Jul	1720.00 4.0
AO,CRT	07/23	MILLENIUUM PARTNERS (MILPUSE)	028	WMT	B	43,000	49.19	11-May	6-Jul	1720.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>-1,546.17</b>
TOTAL (Trade Date) :									56,325.59
TOTAL (AO, CXL, CRT) :									-1,546.17
<b>TOTAL (RUN DATE) / NFS :</b>									<b>54,779.42</b>

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