



## Daily Compliance Activity Report

Trade Date: 02/04/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	AEO	B	70,784	16.05	n/a	29-Jan	2,831.36	4.0
GRISANTI BROWN & PARTNER	048	AMAT	B	17,040	11.83	n/a	n/a	852.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>SS</b>	<b>20,000</b>	<b>15.03</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	ANN	S	20,000	14.69	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>15,000</b>	<b>33.27</b>	<b>n/a</b>	<b>29-Jan</b>	<b>600.00</b>	<b>4.0</b>
GCORE MANAGEMENT	041	ATVI	S	30,000	10.20	n/a	n/a	1,500.00	5.0
BENCHMARK	025	BBEP	S	5,000	13.52	n/a	n/a	200.00	4.0
ROYCE TRADING	216	BCR	B	500	81.20	n/a	n/a	25.00	5.0
EXIS CAPITAL	044	BKC	B	20,000	17.73	n/a	4-Feb	1,000.00	5.0
SANDLER O'NEILL ASSET	031	BLK	S	5,000	214.35	n/a	3-Feb	250.00	5.0
CATAPULT	040	BLL	S	59,600	50.55	n/a	n/a	2,980.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BYI</b>	<b>S</b>	<b>10,000</b>	<b>38.44</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
ROYCE TRADING	216	BZ	B	21,500	4.95	n/a	n/a	1,075.00	5.0
SMITH MGMT LLC	029	BZ	S	129,803	4.99	n/a	n/a	5,192.12	4.0
EPOCH INV MGMT	030	CAM	S	2,500	38.27	n/a	n/a	75.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	50,000	13.70	n/a	n/a	1,750.00	3.5
THOMAS WEISEL ASSET MGMT	035	CMVT	B	26,799	9.27	n/a	n/a	803.97	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>34.50</b>	<b>n/a</b>	<b>21-Jan</b>	<b>400.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	COL	S	2,900	53.38	n/a	1-Feb	87.00	3.0
EPOCH INV MGMT	030	CPO	S	3,400	30.76	n/a	n/a	102.00	3.0
STELLIAM INV ADV	034	CRR	B	25,000	63.09	n/a	4-Feb	1,250.00	5.0
TRUSTCO/SUNTRUST	040	CRR	S	25,500	63.56	n/a	4-Feb	994.50	3.9
<b>WADDELL AND REED</b>	<b>098</b>	<b>CSCO</b>	<b>B</b>	<b>1,254,200</b>	<b>23.53</b>	<b>n/a</b>	<b>n/a</b>	<b>37,626.00</b>	<b>3.0</b>
MILLENIUM PARTNERS	028	DF	B	62,969	17.95	n/a	n/a	2,518.76	4.0
HARBORWATCH/DIAMBACK	232	DOW	C	25,000	27.16	n/a	2-Feb	1,250.00	5.0
BAIRD INVESTMENT	047	EMR	B	14,425	45.54	n/a	n/a	721.25	5.0
GCORE MANAGEMENT	041	ERTS	B	20,000	16.93	n/a	n/a	1,000.00	5.0
MILLENNIUM-ANDEW	031	ETN	S	18,600	62.09	n/a	26-Jan	1,116.00	6.0
ROYCE TRADING	216	FSS	B	10,000	6.21	n/a	n/a	500.00	5.0
TROUBH PART	067	F	SS	50,000	11.26	n/a	3-Feb	2,500.00	5.0
EPOCH INV MGMT	030	GPC	S	4,700	38.31	n/a	n/a	141.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>S</b>	<b>130,000</b>	<b>19.68</b>	<b>n/a</b>	<b>n/a</b>	<b>5,200.00</b>	<b>4.0</b>
MILLENIUM PARTNERS	028	GPS	B	22,408	19.65	n/a	n/a	896.32	4.0
BAIRD INVESTMENT	047	GS	B	5,600	152.18	n/a	21-Jan	280.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>B</b>	<b>30,000</b>	<b>21.91</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
KENNEDY CAPITAL	046	HWKN	B	25,000	19.90	n/a	n/a	1,000.00	4.0
SCOPUS FUND	041	IFF	SS	1,500	40.56	n/a	25-Jan	75.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	115,000	22.34	n/a	3-Feb	5,750.00	5.0
BAIRD INVESTMENT	047	ITT	S	11,975	48.84	n/a	23-Nov	598.75	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	21,600	18.96	n/a	3-Feb	1,080.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>600</b>	<b>39.02</b>	<b>n/a</b>	<b>n/a</b>	<b>24.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JNY	B	20,000	14.80	n/a	29-Jan	1,000.00	5.0
MERRILL ASSET/BLACKROCK	214	JNY	B	11,400	14.75	n/a	29-Jan	456.00	4.0
TRUSTCO/SUNTRUST	040	JNY	B	71,000	14.76	n/a	29-Jan	2,769.00	3.9
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>10,000</b>	<b>36.01</b>	<b>n/a</b>	<b>29-Jan</b>	<b>400.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	JWN	S	20,000	35.29	n/a	29-Jan	1,000.00	5.0
PILOT ROCK	028	JWN	B	50,000	36.54	n/a	29-Jan	2,000.00	4.0
RBC CAPITAL MARKETS	040	JWN	S	10,000	35.42	n/a	29-Jan	400.00	4.0
THE JAY GOLDMAN	028	JWN	S	20,000	35.63	n/a	29-Jan	800.00	4.0
BMO NESBITT BURNS	041	KG	B	10,000	11.74	n/a	1-Feb	700.00	7.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>50.61</b>	<b>n/a</b>	<b>29-Jan</b>	<b>400.00</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	KSS	B	44,875	50.59	n/a	29-Jan	1,346.25	3.0
SANDLER O'NEILL ASSET	031	LAZ	B	40,000	37.65	n/a	4-Feb	2,000.00	5.0
HARBORWATCH/DIAMBACK	232	LEN	B	50,000	15.75	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	LLL	S	18,230	84.63	n/a	n/a	729.20	4.0
NEUBERGER BERMAN	036	LNC	B	21,600	24.28	n/a	n/a	864.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>S</b>	<b>30,000</b>	<b>20.15</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
ISLE RIDGE PARTNERS	041	LULU	SS	22,500	27.82	n/a	n/a	900.00	4.0
KADE	036	MGM	B	15,000	11.16	n/a	6-Nov	750.00	5.0
DELTEC ASSET MGMT.	040	MTW	B	7,980	11.36	n/a	12-Jan	399.00	5.0
MILLENIUUM PARTNERS	028	M	B	22,508	16.69	n/a	29-Jan	900.32	4.0
RBC CAPITAL MARKETS	040	M	B	10,000	16.61	n/a	29-Jan	400.00	4.0
THIRD COAST CAPITAL	035	NDN	B	15,000	13.86	n/a	4-Feb	750.00	5.0
EPOCH INV MGMT	030	NYX	S	6,300	23.25	n/a	n/a	189.00	3.0
TYEE/TYGH	035	OMX	B	50,000	13.89	n/a	n/a	2,000.00	4.0
MERRILL ASSET/BLACKROCK	214	PAG	B	84,400	14.63	n/a	22-Jan	3,376.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	242	PAG	S	28,400	14.95	n/a	22-Jan	1,136.00	4.0
BRAZOS	031	PCX	S	116,700	14.58	n/a	n/a	3,501.00	3.0
BASIX	033	PKG	B	10,000	21.16	n/a	26-Jan	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	80,000	21.42	n/a	26-Jan	4,000.00	5.0
MERRILL ASSET/BLACKROCK	214	PLCE	S	4,500	35.75	n/a	29-Jan	180.00	4.0
CATAPULT	040	POT	S	20,000	101.50	n/a	n/a	1,000.00	5.0
MILLENNIUM-ANDEW	031	PWR	S	30,000	17.74	n/a	n/a	1,800.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>20,000</b>	<b>77.32</b>	<b>n/a</b>	<b>4-Feb</b>	<b>800.00</b>	<b>4.0</b>
RAMIUS CAP	040	RYN	S	42,150	41.06	n/a	27-Jan	1,686.00	4.0
S.A.C. HEALTHCARE BOBBY	044	SHPGY	B	5,000	59.53	n/a	1-Feb	175.00	3.5
OVERLAND PARK CAP	041	SKS	B	20,000	6.58	n/a	n/a	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SLE</b>	<b>B</b>	<b>30,000</b>	<b>12.52</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	TGT	B	10,000	48.70	n/a	4-Feb	400.00	4.0
AAD CAPITAL	048	TIN	B	30,700	17.00	n/a	4-Feb	921.00	3.0
GRISANTI BROWN & PARTNER	048	TIN	B	8,500	17.10	n/a	4-Feb	425.00	5.0
IRIDIAN ASSET MGMT.	036	TIN	B	35,370	17.16	n/a	4-Feb	1,768.50	5.0
SLS CAPITAL LLC	224	TIN	S	123,500	16.88	n/a	4-Feb	4,940.00	4.0
COUGAR TRADING	044	TM	SS	2,500	71.71	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORD FDN.	032	TRV	S	7,500	50.58	n/a	n/a	300.00	4.0
CRAMER ROSENTHAL/SCOTT	012	TSN	S	61,600	14.01	n/a	n/a	2,464.00	4.0
RAMIUS CAP	040	TTC	SS	35,700	38.79	n/a	n/a	1,428.00	4.0
PZENA INV ADV	044	UBS	B	12,800	13.13	n/a	n/a	448.02	3.5
KENNEDY CAPITAL	046	UIS	B	30,000	33.95	n/a	n/a	1,200.00	4.0
GRISANTI BROWN & PARTNER	048	VLO	B	4,050	18.16	n/a	n/a	202.50	5.0
EPOCH INV MGMT	030	V	S	4,700	85.22	n/a	4-Feb	141.00	3.0
EPOCH INV MGMT	030	WAB	S	3,550	37.24	n/a	n/a	106.50	3.0
MILLENIUM KOZLOW	028	WFMI	SS	5,000	27.62	n/a	n/a	200.00	4.0
GRISANTI BROWN & PARTNER	048	WFT	B	7,700	15.27	n/a	n/a	385.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WHR	B	32,800	79.96	n/a	n/a	984.00	3.0
ISLE RIDGE PARTNERS	041	WMT	B	28,642	53.33	n/a	1-Feb	1,145.68	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	53.35	n/a	1-Feb	875.00	3.5
EPOCH INV MGMT	030	WRC	B	60,150	39.06	n/a	28-Jan	1,804.50	3.0
EXIS CAPITAL	044	XLV	S	20,000	31.15	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	XOM	S	4,100	65.54	n/a	n/a	123.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	YUM	B	10,000	34.13	n/a	3-Feb	400.00	4.0
EXIS CAPITAL	044	ZQK	B	25,000	2.02	n/a	18-Dec	1,250.00	5.0
<b>TOTAL (Trade Date):</b>								<b>155,488.50</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/03	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	CRDN	B	26,762	19.74	n/a	n/a	1338.10 5.0
AO,CRT	02/03	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	CRDN	B	26,800	19.74	n/a	n/a	1340.00 5.0
AO,	02/03	ROYCE TRADING (ROYC279)	216	DLTR	B	100	50.79	n/a	4-Feb	5.00 5.0
AO,	02/03	ROYCE TRADING (ROYC269)	216	DLTR	B	200	50.79	n/a	4-Feb	10.00 5.0
AO,CXL	02/03	SIGMA CAP BOBBY (SIBEBOBBY)	044	ITT	SS	25,000	50.31	n/a	23-Nov	1000.00 4.0
AO,CRT	02/03	SIGMA CAP BOBBY (SIBEBOBBY)	044	ITT	SS	25,000	50.31	n/a	23-Nov	875.00 3.5
AO,CRT	02/02	LAGRANGE CAP ADV (LAGRJJEFF)	048	PAG	B	10,000	14.31	n/a	22-Jan	500.00 5.0
AO,CXL	02/02	LAGRANGE CAP ADV (LAGRUBSPB)	048	PAG	B	10,000	14.31	n/a	22-Jan	500.00 5.0
AO,CXL	02/01	SCOPUS FUND (SCOPGS)	041	PKG	B	4,102	22.22	n/a	26-Jan	205.10 5.0
AO,CRT	02/01	SCOPUS FUND (SCOPGS)	041	PKG	B	8,334	22.22	n/a	26-Jan	416.70 5.0
AO,CXL	02/01	SCOPUS FUND (SCOPUBS)	041	PKG	B	42,198	22.22	n/a	26-Jan	2109.90 5.0
AO,CRT	02/01	SCOPUS FUND (SCOPUBS)	041	PKG	B	37,966	22.22	n/a	26-Jan	1898.30 5.0
AO,CXL	02/02	STANDARD PACIFIC CAPITAL (SPACJPMORG)	040	SKS	B	100,000	6.76	n/a	n/a	4000.00 4.0
AO,CRT	02/02	STANDARD PACIFIC CAPITAL (SPACUBS)	040	SKS	B	100,000	6.76	n/a	n/a	4000.00 4.0
AO,CXL	02/03	SIGMA CAP BOBBY (SIBEBOBBY)	044	TWX	B	25,000	28.10	n/a	n/a	1000.00 4.0
AO,CRT	02/03	SIGMA CAP BOBBY (SIBEBOBBY)	044	TWX	B	25,000	28.10	n/a	n/a	875.00 3.5
AO,CRT	02/03	HIGHBRIDGE CAP (HIBCCSFB)	041	YHOO	B	195,649	15.44	n/a	n/a	7825.96 4.0
AO,CXL	02/03	HIGHBRIDGE CAP (HIBCUBSNEW)	041	YHOO	B	195,649	15.44	n/a	n/a	7825.96 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-233.10</b>



TOTAL (Trade Date):	155,488.50
TOTAL (AO, CXL, CRT):	-233.10

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>155,255.40</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