



Daily Compliance Activity Report

Trade Date: 08/25/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	039	ABT	B	65,799	46.24	n/a	22-Apr	1,973.97	3.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	33.09	3-Jun	14-Aug	400.00	4.0
BALYASNY ASSET MGMT	044	AN	SS	20,000	19.59	3-Aug	5-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	30,000	40.60	n/a	21-Aug	1,200.00	4.0
T. ROWE PRICE	033	BEN	B	89,400	95.27	30-Jul	24-Aug	3,576.00	4.0
EMERSON CAPITAL	048	BG	SS	3,700	66.54	n/a	n/a	148.00	4.0
RDK CAPITAL MGMT	034	COST	B	35,000	49.72	n/a	27-Jul	1,400.00	4.0
COUGAR TRADING	044	DLTR	SS	10,000	47.88	n/a	24-Aug	500.00	5.0
L.R.BURTSCHY & CO	045	DLTR	SS	10,000	48.00	n/a	24-Aug	600.00	6.0
COUGAR TRADING	044	DSW	SS	10,000	13.97	28-Jul	24-Aug	500.00	5.0
L.R.BURTSCHY & CO	045	DSW	SS	20,000	13.90	28-Jul	24-Aug	1,200.00	6.0
MERRILL ASSET/BLACKROCK	214	EPAY	S	2,000	11.99	n/a	n/a	90.00	4.5
BALYASNY ASSET MGMT	044	ETH	SS	50,000	15.37	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	FL	B	308,600	10.30	27-Apr	21-Aug	11,144.00	3.7
BUCK CAPITAL MGMT	001	GCO	S	20,000	20.10	n/a	10-Jan	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	60,000	31.87	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	HD	B	42,816	27.15	10-Aug	19-Aug	1,712.64	4.0
BMO NESBITT BURNS	041	IP	SS	50,000	21.35	14-Aug	14-Aug	2,500.00	5.0
SCOPUS FUND	041	IP	S	85,300	21.32	14-Aug	14-Aug	4,265.00	5.0
JETSTREAM GLOBAL FUND LP	065	JPM	S	80,000	44.02	7-Aug	17-Aug	4,000.00	5.0
MERRILL ASSET/BLACKROCK	214	KMB	B	3,100	59.66	27-Jul	27-Jul	139.50	4.5
BUCK CAPITAL MGMT	001	LL	S	10,000	22.19	n/a	n/a	400.00	4.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.23	n/a	4-Jan	600.00	6.0
TROUBH PART	067	MGM	S	50,000	8.65	n/a	4-Aug	2,500.00	5.0
MERRILL ASSET/BLACKROCK	214	MOSY	S	500	2.37	n/a	n/a	22.50	4.5
BRANDWINE	028	MS	B	114,900	30.41	11-May	23-Jul	4,596.00	4.0
CASTLEROCK	040	MTB	SS	19,042	61.24	n/a	n/a	761.68	4.0
THIRD POINT MGMT	044	MTB	C	25,000	61.13	n/a	n/a	1,000.00	4.0
CUMBERLAND	038	M	B	50,000	16.15	n/a	13-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	OC	B	18,011	23.64	n/a	n/a	720.44	4.0
PARTNER REINSURANCE	033	ODP	B	40,450	5.39	n/a	27-Jul	1,213.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	PETM	SS	25,000	20.02	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	150,000	19.77	21-Jul	21-Jul	7,500.00	5.0
JMP ASSET MGMT	210	PSS	SS	12,000	14.07	n/a	n/a	600.00	5.0
BUCK CAPITAL MGMT	001	RL	S	10,000	67.71	6-Aug	6-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	15.57	n/a	13-Mar	1,600.00	4.0
EMERSON CAPITAL	048	SPLS	B	8,000	21.80	n/a	27-Jul	320.00	4.0
TROUBH PART	067	TGT	SS	25,000	46.61	19-Aug	19-Aug	1,250.00	5.0
JETSTREAM GLOBAL FUND LP	065	TIN	S	100,000	17.07	14-Aug	14-Aug	5,000.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	10,000	36.63	28-Jul	19-Aug	400.00	4.0
ARMATURE CAPITAL	041	TS	SS	20,000	29.88	n/a	n/a	800.00	4.0
SCOPUS FUND	041	UFS	S	50,000	31.33	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	214	UN	B	6,500	28.04	n/a	n/a	292.50	4.5
BUCK CAPITAL MGMT	001	WRC	S	30,000	39.64	28-Jul	12-Aug	1,200.00	4.0
EMERSON CAPITAL	048	WRC	S	3,000	40.04	28-Jul	12-Aug	120.00	4.0
JMP ASSET MGMT	210	WSM	B	4,000	15.40	n/a	n/a	200.00	5.0
JMP ASSET MGMT	210	ZAGG	S	7,400	5.45	n/a	n/a	370.00	5.0

TOTAL (Trade Date):

79,665.73

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/24	ARAGON GLOBAL (ARAGGS)	041	AAP	SS	8,175	42.69	n/a	n/a	408.75 5.0
AO,	08/24	ASCEND PARTNERS (ASCEDBAB)	033	DELL	B	3,728	14.78	n/a	n/a	186.40 5.0
AO,	08/24	ASCEND PARTNERS (ASCECITI)	033	DELL	B	2,476	14.78	n/a	n/a	123.80 5.0
AO,	08/24	ASCEND PARTNERS (ASCEMSPB)	033	DELL	B	11,362	14.78	n/a	n/a	568.10 5.0
AO,	08/24	ASCEND PARTNERS (ASCEBNPC)	033	DELL	B	2,434	14.78	n/a	n/a	121.70 5.0
AO,CXL	08/21	BUCK CAPITAL MGMT (BUCKGILAGX)	001	NP	S	14,790	11.55	11-Aug	11-Aug	591.60 4.0
AO,CRT	08/21	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	NP	S	14,790	11.55	11-Aug	11-Aug	591.60 4.0
AO,CXL	08/24	SCOPUS FUND (SCOPBANC O)	041	UFS	S	23,025	30.89	n/a	n/a	1151.25 5.0
AO,CRT	08/24	SCOPUS FUND (SCOPBANC O)	041	UFS	S	5,250	30.89	n/a	n/a	262.50 5.0
AO,CXL	08/24	SCOPUS FUND (SCOPUBS)	041	UFS	S	1,975	30.89	n/a	n/a	98.75 5.0
AO,CRT	08/24	SCOPUS FUND (SCOPUBS)	041	UFS	S	19,750	30.89	n/a	n/a	987.50 5.0
TOTAL (AO, CXL, CRT) :										1,408.75
TOTAL (Trade Date) :									79,665.73	
TOTAL (AO, CXL, CRT) :									1,408.75	
TOTAL (RUN DATE) / NFS:									81,074.48	

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