



# Daily Compliance Activity Report

Trade Date: 05/21/2009

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	20,000	13.50	20-Apr	8-May	800.00	4.0
THOMSON HORSTMAN BRYANT	040	AEO	S	10,000	13.87	20-Apr	8-May	500.00	5.0
SAXON WOODS ADVISORS	038	APD	S	83,400	61.36	n/a	22-Apr	3,336.00	4.0
CANTILLON CAPITAL	040	AVP	S	489,000	24.44	25-Feb	6-May	19,560.00	4.0
NOMURA CAPITAL	045	BAC	B	20,500	11.37	11-May	19-May	1,025.00	5.0
DIAMONDBACK CAP MGMT	232	BBT	C	5,000	21.11	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	60.44	11-May	19-May	500.00	5.0
S.A.C. HEALTHCARE BOBBY	044	BMJ	B	25,000	20.69	n/a	n/a	1,000.00	4.0
JMP ASSET MGMT	210	CHIC	S	15,000	9.60	n/a	n/a	600.00	4.0
REINHART & MAHONEY	031	CRM	S	14,770	39.60	n/a	n/a	738.50	5.0
BUCK CAPITAL MGMT	001	CVS	S	20,000	29.38	n/a	n/a	800.00	4.0
DIAMONDBACK CAP MGMT	232	DKS	S	50,000	17.94	27-Apr	20-May	2,500.00	5.0
LISTED ERR	099	DKS	B	11,800	17.82	27-Apr	20-May	0.00	0.0
REINHART & MAHONEY	031	DRI	S	17,130	33.36	19-Mar	19-Mar	856.50	5.0
BALYASNY ASSET MGMT	044	FII	SS	25,000	22.19	24-Apr	19-May	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	GIL	SS	5,000	15.92	11-Dec	14-May	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOT</b>	<b>SS</b>	<b>30,000</b>	<b>21.30</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	IFF	S	16,875	30.50	21-Jan	30-Apr	675.00	4.0
FRED ALGER MGMT	035	INTC	B	66,050	15.41	n/a	n/a	2,642.00	4.0
CROSS CAPITAL	028	IVZ	B	83,100	14.59	11-May	20-May	4,155.00	5.0
TYEE/TYGH	035	IVZ	B	49,000	14.42	11-May	20-May	1,960.00	4.0
SIGMA CAP BOBBY	044	JNJ	SS	25,000	54.76	n/a	22-Apr	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>S</b>	<b>50,000</b>	<b>8.65</b>	<b>n/a</b>	<b>30-Apr</b>	<b>1,500.00</b>	<b>3.0</b>
BALYASNY ASSET MGMT	044	JPM	SS	80,000	34.41	16-Jan	20-May	4,000.00	5.0
COUGAR TRADING	044	JWN	B	5,000	20.90	20-Feb	15-May	250.00	5.0
M&I FUNDS	256	KG	B	20,337	8.65	n/a	19-May	610.11	3.0
BALYASNY ASSET MGMT	044	LAZ	C	15,000	26.75	n/a	19-May	750.00	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	27.42	n/a	19-May	1,250.00	5.0
MILLENIUM PARTNERS	028	LII	B	25,000	29.56	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>S</b>	<b>62,000</b>	<b>11.79</b>	<b>n/a</b>	<b>30-Jan</b>	<b>2,480.00</b>	<b>4.0</b>
CENTURION PARTNERS	041	LTD	B	30,000	12.04	n/a	30-Jan	1,500.00	5.0
BALYASNY ASSET MGMT	044	MLM	C	4,000	80.08	n/a	n/a	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	035	MSFT	B	50,350	20.16	n/a	3-Apr	2,014.00	4.0
ROSEDALE CAPITAL	046	MSFT	S	25,000	19.63	n/a	3-Apr	1,250.00	5.0
COUGAR TRADING	044	PLCE	SS	5,000	34.01	19-Mar	21-May	250.00	5.0
THIRD COAST CAPITAL	035	PLCE	SS	10,000	34.02	19-Mar	21-May	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>50,000</b>	<b>27.20</b>	<b>20-Apr</b>	<b>21-May</b>	<b>2,000.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	RL	C	25,000	49.26	n/a	16-Apr	1,250.00	5.0
BENCHMARK	028	SLM	B	5,000	6.49	23-Apr	20-May	200.00	4.0
LAGRANGE CAP ADV	048	SLM	S	10,000	6.52	23-Apr	20-May	500.00	5.0
BAIRD INVESTMENT	256	SWN	S	24,753	39.80	27-Feb	28-Apr	1,237.65	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>S</b>	<b>100,000</b>	<b>42.10</b>	<b>25-Feb</b>	<b>20-May</b>	<b>4,000.00</b>	<b>4.0</b>
STADIA CAPITAL	035	TGT	B	25,500	43.22	25-Feb	20-May	1,020.00	4.0
TRUST CO/COWEN/CALF.	040	THC	S	713,385	3.29	n/a	5-May	21,401.55	3.0
COOPER CREEK PART	028	TIN	SS	15,000	11.64	n/a	22-Apr	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	10,000	11.81	n/a	22-Apr	500.00	5.0
MERRILL ASSET	032	TYC	S	10,900	25.76	1-May	1-May	490.50	4.5
SUFFOLK CAPITAL MGMT	040	T	S	380,000	23.75	n/a	4-Jan	15,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>UA</b>	<b>SS</b>	<b>20,000</b>	<b>20.96</b>	<b>29-Apr</b>	<b>29-Apr</b>	<b>800.00</b>	<b>4.0</b>
SERENGETI MGMT	030	WCG	B	75,000	18.99	n/a	n/a	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	WMS	C	20,000	31.38	n/a	n/a	1,000.00	5.0
ASCEND PARTNERS	033	WRC	B	15,200	27.21	13-May	13-May	760.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>55,000</b>	<b>27.19</b>	<b>13-May</b>	<b>13-May</b>	<b>2,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	WRC	B	10,000	27.00	13-May	13-May	500.00	5.0
S.A.C. CAP/ORENSTEIN	044	XLB	B	150,000	26.26	n/a	n/a	6,000.00	4.0
METROPOLITAN CAPITAL	044	XRT	SS	33,300	26.38	n/a	n/a	1,332.00	4.0
<b>TOTAL (Trade Date):</b>								<b>128,293.81</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/20	GRUSS CAPITAL (GRUS)	045	IP	B	3,000	15.27	n/a	1-May	90.00 3.0
AO,CRT	05/20	GRUSS CAPITAL (GRUS)	045	IP	B	3,000	15.27	n/a	1-May	150.00 5.0
AO,CXL	05/20	MADISON ST PARTNERS LLC (MADIGS)	046	IVZ	B	30,000	14.66	11-May	20-May	900.00 3.0
AO,CRT	05/20	MADISON ST PARTNERS LLC (MADIGS)	046	IVZ	B	30,000	14.66	11-May	20-May	1500.00 5.0
AO,CXL	05/20	&SCH (&SCHOASSOC)	041	TIN	SS	20,000	11.93	n/a	22-Apr	600.00 3.0
AO,CRT	05/20	SCHOTTENFELD ASSOC (SCHOASSOC)	041	TIN	SS	20,000	11.93	n/a	22-Apr	600.00 3.0

---

**TOTAL (AO, CXL, CRT) :****660.00**

---

---

**TOTAL (Trade Date) :****128,293.81****TOTAL (AO, CXL, CRT) :****660.00**

---

**TOTAL (RUN DATE) / NFS :****128,953.81**

---

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