



Daily Compliance Activity Report

Trade Date: 07/02/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	60,000	13.75	25-Jun	25-Jun	2,400.00	4.0
BUCK CAPITAL MGMT	001	AVP	SS	20,000	25.88	2-Jun	2-Jun	800.00	4.0
CENTURION PARTNERS	041	AXL	B	10,000	3.18	n/a	10-Jun	300.00	3.0
COUGAR TRADING	044	AXL	B	25,000	3.23	n/a	10-Jun	750.00	3.0
BUCK CAPITAL MGMT	001	BBY	B	10,000	32.37	n/a	27-Jul	400.00	4.0
David Keidan		CIT	B	100000	2.0100	23-Apr	1-Jul	0.00	0.0
David Keidan		CIT	B	100000	2.0100	23-Apr	1-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	CLX	SS	10,000	56.04	15-Jun	15-Jun	400.00	4.0
BUCK CAPITAL MGMT	001	COH	B	30,000	26.01	n/a	22-Apr	1,200.00	4.0
RAIL-SPLITTER	031	CPKI	B	56,500	13.50	29-May	1-Jul	2,825.00	5.0
JP MORGAN VENTURES	046	CWTR	S	30,000	6.35	n/a	n/a	900.00	3.0
STRAUSS ASSET MGMT	040	CYBS	S	10,000	14.53	n/a	n/a	400.00	4.0
CIRCLE T/SES PART	035	DAI	B	5,000	35.31	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	EAT	B	25,000	17.17	n/a	24-Apr	1,000.00	4.0
COLUMBIA PARTNERS	028	EPR	B	2,576	20.25	n/a	n/a	103.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTPOINT/COPIA-ANDREW	031	ESV	B	34,800	34.00	n/a	n/a	1,218.00	3.5
HUNTER GLOBAL INVESTOR	067	GYMB	B	37,500	34.29	21-May	5-Jun	0.00	0.0
TRUST CO OF THE WEST/NY	040	HK	B	104,260	20.75	n/a	n/a	4,170.40	4.0
TRUST CO/COWEN/CALF.	040	HK	B	45,800	20.75	n/a	n/a	1,832.00	4.0
BUCK CAPITAL MGMT	001	HOT	SS	20,000	21.03	n/a	n/a	800.00	4.0
ROTHSCHILD ASSET	040	IDC	S	14,240	23.17	n/a	n/a	640.80	4.5
BALYASNY ASSET MGMT	044	JCG	B	25,000	25.83	n/a	30-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	25.55	n/a	30-Jan	800.00	4.0
DIAMONDBACK CAP MGMT	232	JCG	SS	25,000	25.32	n/a	30-Jan	1,250.00	5.0
T. ROWE PRICE	033	JNPR	B	1,343,300	23.63	n/a	22-Mar	40,299.00	3.0
BUCK CAPITAL MGMT	001	JWN	SS	20,000	19.02	20-Feb	5-Jun	800.00	4.0
DIAMONDBACK CAP MGMT	232	KO	B	35,000	49.37	n/a	n/a	1,750.00	5.0
NEWCASTLE FUNDS	255	KSS	SS	23,500	42.08	8-May	5-Jun	940.00	4.0
TRUST CO/COWEN/CALF.	040	K	B	19,390	46.95	n/a	n/a	969.50	5.0
T. ROWE PRICE	033	LOW	B	572,100	18.72	12-May	18-May	17,163.00	3.0
BUCK CAPITAL MGMT	001	MAR	SS	20,000	20.57	n/a	n/a	800.00	4.0
UBS OCONNOR	031	MS	B	35,000	27.40	11-May	1-Jul	1,050.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	MU	B	64,940	5.03	n/a	n/a	2,597.60	4.0
BUCK CAPITAL MGMT	001	NKE	SS	20,000	51.72	n/a	n/a	800.00	4.0
PENNANT CAP MGMT	029	NSM	SS	300,000	12.40	n/a	n/a	9,000.00	3.0
SENATOR INVESTMENT GROUP	036	OLN	B	66,800	11.67	n/a	20-Jun	2,672.00	4.0
MILLENIUM PARTNERS	028	PH	SS	25,000	42.00	n/a	19-Jun	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	16.59	8-Apr	23-Jun	2,500.00	5.0
SUN AMERICA ASSET MGMT	030	PRGO	S	2,000	27.47	n/a	1-Jul	80.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	35,000	13.88	n/a	n/a	1,400.00	4.0
CATAPULT	040	PTV	B	30,000	21.28	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	27.95	20-Apr	21-May	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	32,100	9.54	n/a	13-Mar	963.00	3.0
BMO NESBITT BURNS	041	TIN	B	25,000	12.98	5-Jun	5-Jun	1,250.00	5.0
CATAPULT	040	TIN	B	30,000	12.96	5-Jun	5-Jun	1,500.00	5.0
FIRST NY SEC/CHRIS	041	TIN	B	25,000	12.82	5-Jun	5-Jun	1,250.00	5.0
SCHOTTENFELD ASSOC	041	TIN	B	30,000	13.05	5-Jun	5-Jun	900.00	3.0
SCOPUS FUND	041	TIN	B	25,000	13.04	5-Jun	5-Jun	1,250.00	5.0
CIRCLE T/SES PART	035	TM	B	7,500	73.84	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	035	TM	SS	5,000	73.89	n/a	n/a	200.00	4.0
COUGAR TRADING	044	WRC	B	5,000	33.00	13-May	13-May	250.00	5.0
JP MORGAN VENTURES	046	WRC	SS	20,000	32.21	13-May	13-May	1,000.00	5.0
CATAPULT	040	YHOO	B	110,000	15.03	n/a	n/a	5,500.00	5.0
TOTAL (Trade Date) :								124,373.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/01	MELLON/BANK OF NEW YORK (BONE002)	046	AIG	S	10,000	17.77	n/a	n/a	500.00 5.0
AO,	07/01	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	BLK	B	20,000	175.05	12-Jun	2-Jul	1000.00 5.0
AO,	07/01	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	BLK	B	7,500	174.27	12-Jun	2-Jul	300.00 4.0
AO,CXL	07/01	METROPOLITAN CAPITAL (METRHARTZ)	044	BWA	SS	4,200	34.87	10-Jun	10-Jun	0.00 0.0
AO,	07/01	METROPOLITAN CAPITAL (METRHARTZ)	044	BWA	SS	4,200	34.87	10-Jun	10-Jun	210.00 5.0
AO,CXL	07/01	METROPOLITAN CAPITAL (METRDEUTSC)	044	BWA	SS	800	34.87	10-Jun	10-Jun	0.00 0.0
AO,	07/01	METROPOLITAN CAPITAL (METRDEUTSC)	044	BWA	SS	800	34.87	10-Jun	10-Jun	40.00 5.0
AO,CXL	07/01	METROPOLITAN CAPITAL (METRGS BUL)	044	BWA	SS	6,900	34.87	10-Jun	10-Jun	0.00 0.0
AO,	07/01	METROPOLITAN CAPITAL (METRGS BUL)	044	BWA	SS	6,900	34.87	10-Jun	10-Jun	345.00 5.0
AO,CXL	07/01	METROPOLITAN CAPITAL (METRSPEAR)	044	BWA	SS	700	34.87	10-Jun	10-Jun	0.00 0.0
AO,	07/01	METROPOLITAN CAPITAL (METRSPEAR)	044	BWA	SS	700	34.87	10-Jun	10-Jun	35.00 5.0
AO,CXL	07/01	HOLDEN CAPITAL MGMT (HOLCJPM)	035	MPEL	SS	100,000	4.59	n/a	23-Jun	5000.00 5.0
AO,CRT	07/01	HOLDEN CAPITAL MGMT (HOLCMS)	035	MPEL	SS	100,000	4.59	n/a	23-Jun	5000.00 5.0
AO,	06/30	BALYASNY ASSET MGMT (BALYGS)	044	PLCE	B	6,700	26.42	19-Mar	5-Jun	335.00 5.0
AO,	06/30	BALYASNY ASSET MGMT (BALYGS)	044	PLCE	B	68,300	26.42	19-Mar	5-Jun	3415.00 5.0
AO,CXL	06/30	BALYASNY ASSET MGMT (BALY)	044	PLCE	B	31,700	26.42	19-Mar	5-Jun	1585.00 5.0
AO,CXL	06/30	BALYASNY ASSET MGMT (BALY)	044	PLCE	B	3,400	26.42	19-Mar	5-Jun	170.00 5.0
AO,CXL	06/30	BALYASNY ASSET MGMT (BALY)	044	PLCE	B	33,900	26.42	19-Mar	5-Jun	1695.00 5.0
AO,CXL	06/30	BALYASNY ASSET MGMT (BALY)	044	PLCE	B	6,000	26.42	19-Mar	5-Jun	300.00 5.0
AO,	07/01	WHITE PINE CAPITAL (WPIN0002)	030	TLT	SS	250	93.65	n/a	n/a	12.50 5.0
TOTAL (AO, CXL, CRT) :										2,442.50

TOTAL (Trade Date):	124,373.34
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TOTAL (RUN DATE) / NFS:	126,815.84
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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