



## Daily Compliance Activity Report

Trade Date: 11/27/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ANF	B	37,000	40.53	n/a	16-Nov	1,480.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	31.64	n/a	6-Nov	1,200.00	4.0
BUCK CAPITAL MGMT	001	BYI	B	10,000	42.55	n/a	n/a	400.00	4.0
LIEBAU ASSET	048	CAT	S	1,000	57.60	n/a	21-Oct	50.00	5.0
LIER	048	CAT	S	10,000	57.60	n/a	21-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	COH	B	10,000	35.15	n/a	21-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	10,000	22.01	n/a	n/a	400.00	4.0
CASTLEROCK	040	CRK	B	83,538	37.87	n/a	n/a	3,341.52	4.0
BERMAN CAPITAL MGMT	046	CWTR	B	5,000	4.49	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	26.46	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GPS	B	68,000	22.09	n/a	n/a	2,720.00	4.0
DAVIDSON KEMPNER ADVISOR	040	HES	B	5,000	57.93	n/a	n/a	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	JNJ	B	75,000	62.99	n/a	n/a	3,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	KSS	B	98,000	54.53	n/a	13-Nov	3,920.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	90,000	17.11	n/a	n/a	3,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	M	B	20,000	17.19	n/a	12-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	PIR	B	20,000	4.08	n/a	n/a	400.00	2.0
BUCK CAPITAL MGMT	001	RL	B	5,000	77.93	n/a	4-Nov	200.00	4.0
BERMAN CAPITAL MGMT	046	SPY	S	20,000	109.84	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	47.25	n/a	18-Nov	400.00	4.0
ROTHSCHILD ASSET	040	TKR	B	48,044	24.94	n/a	n/a	2,162.04	4.5
BUCK CAPITAL MGMT	001	TLB	B	50,000	7.02	n/a	n/a	1,500.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>27,873.56</b>		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	------	--------	-----	--------	-------	--------------	-------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (Trade Date):									27,873.56
---------------------	--	--	--	--	--	--	--	--	-----------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									27,873.56
-------------------------	--	--	--	--	--	--	--	--	-----------

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