



## Daily Compliance Activity Report

Trade Date: 11/30/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	AEO	S	10,000	15.30	n/a	25-Nov	500.00	5.0
MACKLOWE ASSET MGMT	041	AEO	S	55,000	15.33	n/a	25-Nov	2,200.00	4.0
BAIRD INVESTMENT	047	AGN	B	1,200	58.01	n/a	30-Nov	60.00	5.0
BAIRD INVESTMENT	047	AKAM	S	367	23.58	n/a	n/a	18.35	5.0
BAIRD INVESTMENT	047	ALTR	S	464	20.79	n/a	n/a	23.20	5.0
SANDLER O'NEILL ASSET	031	AMG	B	10,000	64.65	n/a	24-Nov	500.00	5.0
RBC CAPITAL MARKETS	040	AMR	B	50,000	5.87	n/a	n/a	2,000.00	4.0
CADIAN CAPITAL	067	ANF	B	75,000	40.11	n/a	16-Nov	3,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	ANN	C	25,000	14.26	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	ANR	S	50,000	37.02	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	047	ARG	S	182	46.20	n/a	29-Oct	9.10	5.0
BAIRD INVESTMENT	047	ATR	S	398	35.55	n/a	n/a	19.90	5.0
BAIRD INVESTMENT	047	BAX	B	1,700	54.74	n/a	n/a	85.00	5.0
WELLS/STRONG LEDDY	035	BEBE	S	5,500	5.42	n/a	n/a	165.00	3.0
PAW PARTNERS	045	BECN	SS	10,000	15.33	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	25,000	27.24	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	BMV	S	6,600	25.41	n/a	n/a	330.00	5.0
BAIRD INVESTMENT	047	BSX	B	11,025	8.31	n/a	n/a	551.25	5.0
TRELLUS PARTNERS LP	028	BWA	B	29,000	29.99	n/a	9-Nov	1,450.00	5.0
BAIRD INVESTMENT	047	BWLD	S	207	39.70	n/a	n/a	10.35	5.0
AVESTA CAP	229	CAL	B	200,000	14.23	n/a	n/a	8,000.00	4.0
BAIRD INVESTMENT	047	CAM	S	267	37.44	n/a	n/a	13.35	5.0
BAIRD INVESTMENT	047	CHD	S	157	59.00	n/a	4-Nov	7.85	5.0
WELLS/STRONG LEDDY	035	CHRS	S	16,800	4.75	n/a	n/a	504.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>34.79</b>	<b>n/a</b>	<b>21-Oct</b>	<b>400.00</b>	<b>4.0</b>
WELLS/STRONG LEDDY	035	COLB	S	1,000	14.31	n/a	n/a	40.00	4.0
MORTAR ROCK	033	COV	S	5,000	46.71	n/a	n/a	200.00	4.0
CASTLEROCK	040	CRK	B	51,394	38.07	n/a	n/a	2,055.76	4.0
BAIRD INVESTMENT	047	CRM	S	142	62.08	n/a	n/a	7.10	5.0
WELLS/STRONG LEDDY	035	CTRN	S	2,200	27.00	n/a	n/a	88.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	CVGI	B	990	5.28	n/a	n/a	29.70	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CVS</b>	<b>S</b>	<b>50,000</b>	<b>31.00</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
WELLS/STRONG LEDDY	035	CWTR	S	9,300	4.31	n/a	n/a	279.00	3.0
LEVIN CAPITAL STRATEGIES	012	DCP	B	25,000	14.20	n/a	n/a	1,000.00	4.0
AVESTA CAP	229	DD	B	100,000	34.41	n/a	5-Nov	4,000.00	4.0
JP MORGAN VENTURES	046	DELL	S	2,700	14.19	n/a	n/a	135.00	5.0
BAIRD INVESTMENT	047	DLB	S	210	44.34	n/a	n/a	10.50	5.0
OVERLAND PARK CAP	041	EAT	S	32,100	13.73	n/a	n/a	1,284.00	4.0
BAIRD INVESTMENT	047	ECL	S	203	44.48	n/a	27-Oct	10.15	5.0
BAIRD INVESTMENT	047	ESRX	B	1,025	85.41	n/a	n/a	51.25	5.0
BAIRD INVESTMENT	047	EV	S	285	29.32	n/a	24-Nov	14.25	5.0
CUMBERLAND	239	EXH	B	2,000	21.00	n/a	2-Nov	80.00	4.0
BAIRD INVESTMENT	047	FFIV	S	248	47.04	n/a	n/a	12.40	5.0
JP MORGAN VENTURES	046	FRX	S	6,400	30.56	n/a	30-Nov	320.00	5.0
NEUBERGER BERMAN	036	FR	S	97,300	4.37	n/a	n/a	1,946.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	F	B	50,000	8.77	n/a	30-Nov	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>9,200</b>	<b>26.16</b>	<b>n/a</b>	<b>n/a</b>	<b>368.00</b>	<b>4.0</b>
BAIRD INVESTMENT	047	GDP	S	367	22.37	n/a	n/a	18.35	5.0
BAIRD INVESTMENT	047	GILD	B	2,250	46.07	n/a	n/a	112.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GME</b>	<b>S</b>	<b>30,000</b>	<b>24.30</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
BAIRD INVESTMENT	047	GPN	S	169	50.88	n/a	n/a	8.45	5.0
LEVEL GLOBAL SHARED ACCT	257	GPS	S	100,000	21.72	n/a	n/a	3,000.00	3.0
FARALLON CAP MGMT	040	HD	B	185,000	26.99	n/a	18-Nov	7,400.00	4.0
WELLS/STRONG LEDDY	035	HELE	S	1,400	20.21	n/a	n/a	56.00	4.0
MORTAR ROCK	033	HOLX	B	25,000	14.45	n/a	n/a	1,000.00	4.0
BAIRD INVESTMENT	047	HSC	S	365	30.77	n/a	23-Nov	18.25	5.0
BAIRD INVESTMENT	047	ICLR	S	449	22.50	n/a	n/a	22.45	5.0
THE JAY GOLDMAN	028	JCP	B	20,000	28.88	n/a	16-Nov	800.00	4.0
BAIRD INVESTMENT	047	LAMR	S	470	27.35	n/a	n/a	23.50	5.0
BAIRD INVESTMENT	047	LIFE	S	156	49.57	n/a	n/a	7.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	LKQX	S	556	17.08	n/a	n/a	27.80	5.0
PHILADELPHIA FINANCIAL	033	LM	C	15,000	28.07	n/a	17-Nov	600.00	4.0
MACKLOWE ASSET MGMT	041	LOW	S	75,000	21.72	n/a	16-Nov	3,000.00	4.0
BALYASNY ASSET MGMT	044	LTD	B	50,000	16.52	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	047	MDAS	S	724	22.70	n/a	n/a	36.20	5.0
PZENA INV ADV	044	MSFT	S	102,175	29.26	n/a	n/a	3,576.18	3.5
COLUMBUS CIRCLE	036	MYGN	S	4,673	23.36	n/a	n/a	186.92	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>500,000</b>	<b>16.38</b>	<b>n/a</b>	<b>12-Nov</b>	<b>20,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	M	S	15,000	16.35	n/a	12-Nov	750.00	5.0
KACELA CAPITAL	034	M	SS	50,000	16.01	n/a	12-Nov	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	M	C	20,000	16.77	n/a	12-Nov	800.00	4.0
MILLENIUM PARTNERS	028	M	S	100,000	16.03	n/a	12-Nov	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>10,000</b>	<b>3.86</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
WELLS/STRONG LEDDY	035	NWY	S	19,200	3.79	n/a	n/a	576.00	3.0
BAIRD INVESTMENT	047	OII	S	202	54.06	n/a	n/a	10.10	5.0
BAIRD INVESTMENT	047	PAYX	S	1,138	31.13	n/a	n/a	56.90	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>40.30</b>	<b>n/a</b>	<b>20-Nov</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>10,000</b>	<b>76.40</b>	<b>n/a</b>	<b>4-Nov</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	ROP	S	200	51.47	n/a	n/a	10.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>22.30</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
MORTAR ROCK	033	S	S	50,000	3.70	n/a	n/a	2,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	TGT	B	100,000	47.04	n/a	18-Nov	3,000.00	3.0
RBC CAPITAL MARKETS	040	TGT	B	125,000	46.54	n/a	18-Nov	5,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TIF</b>	<b>S</b>	<b>50,000</b>	<b>42.12</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
ELM RIDGE ADVISORS	044	TIN	S	4,900	17.85	n/a	22-Oct	196.00	4.0
TRELLUS PARTNERS LP	044	TIN	S	20,000	17.80	n/a	22-Oct	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>S</b>	<b>20,000</b>	<b>38.35</b>	<b>n/a</b>	<b>18-Nov</b>	<b>800.00</b>	<b>4.0</b>
BAIRD INVESTMENT	047	TMO	B	1,425	47.11	n/a	n/a	71.25	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>TMO</b>	<b>B</b>	<b>25</b>	<b>47.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>TMO</b>	<b>S</b>	<b>25</b>	<b>47.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	TSCO	S	242	46.01	n/a	n/a	12.10	5.0
BAIRD INVESTMENT	047	URBN	S	251	30.86	n/a	n/a	12.55	5.0
BAIRD INVESTMENT	047	VSEA	S	318	29.22	n/a	n/a	15.90	5.0
BAIRD INVESTMENT	047	WAB	S	236	38.27	n/a	n/a	11.80	5.0
WELLS/STRONG LEDDY	035	WTSLA	S	6,700	2.89	n/a	n/a	134.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	091	WY	B	120,295	37.95	n/a	2-Nov	4,811.80	4.0
T. ROWE PRICE	033	WY	B	59,000	38.36	n/a	2-Nov	2,360.00	4.0
TOTAL (Trade Date):								116,801.26	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/27	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BYI	B	10,000	42.55	n/a	n/a	400.00 4.0
AO,	11/27	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BYI	B	15,000	42.37	n/a	n/a	600.00 4.0
AO,CXL	11/25	COOPER CREEK PART (COOPGS)	028	GYMB	B	13,400	41.04	n/a	19-Nov	670.00 5.0
AO,CRT	11/25	COOPER CREEK PART (COOPGS)	028	GYMB	B	13,400	41.04	n/a	19-Nov	536.00 4.0
AO,	11/27	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	IEO	SS	4,000	50.22	n/a	n/a	200.00 5.0
AO,CXL	11/27	BERMAN CAPITAL MGMT (BERMMS)	046	SPY	S	20,000	109.84	n/a	n/a	600.00 3.0
AO,CRT	11/27	BERMAN CAPITAL MGMT (BERMMS)	046	SPY	S	30,000	109.84	n/a	n/a	900.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>566.00</b>

TOTAL (Trade Date) :	116,801.26
TOTAL (AO, CXL, CRT) :	566.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>117,367.26</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