



## Daily Compliance Activity Report

Trade Date: 12/28/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STRONG/WELLS CAP ANN F	047	ALTR	S	183,000	22.79	n/a	n/a	7,320.00	4.0
MERRILL ASSET/BLACKROCK	214	AME	B	6,500	39.00	n/a	n/a	292.50	4.5
PZENA INV ADV	044	CAH	S	10,900	32.68	n/a	n/a	381.65	3.5
GREEN ARROW DOUG	040	CBI	B	10,000	20.67	n/a	n/a	500.00	5.0
<b>Õ Sasha Murray</b>		<b>C</b>	<b>S</b>	<b>700</b>	<b>3.3300</b>	<b>n/a</b>	<b>17-Dec</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	DBA	B	20,000	26.39	n/a	n/a	1,000.00	5.0
DAVIDSON INV ADV	035	DHI	B	25,140	10.97	n/a	n/a	1,005.60	4.0
<b>Õ Sasha Murray</b>		<b>ESLR</b>	<b>S</b>	<b>1000</b>	<b>1.6400</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	GME	B	6,500	22.31	n/a	n/a	325.00	5.0
PROSPECTOR PARTNERS LLC	036	GPK	S	25,000	3.55	n/a	n/a	1,000.00	4.0
PZENA INV ADV	044	HHS	B	2,600	10.85	n/a	n/a	91.05	3.5
STRONG/MARK GRONET	030	ITPOF	B	46,975	2.55	n/a	n/a	939.50	2.0
PZENA INV ADV	044	KFT	B	208,400	27.40	n/a	n/a	7,294.10	3.5
MORGAN BANK /JPM	070	KSS	B	81,754	55.22	n/a	4-Dec	2,452.62	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LL	S	10,000	28.22	n/a	n/a	400.00	4.0
OHIO PERS	047	LXK	B	23,300	25.94	n/a	n/a	699.00	3.0
DAVIDSON INV ADV	035	MHP	S	17,160	33.70	n/a	n/a	686.40	4.0
TROUBH PART	067	MOT	S	25,000	7.72	n/a	n/a	1,250.00	5.0
Õ Sasha Murray		MSFT	S	200	30.9400	n/a	n/a	0.00	0.0
PZENA INV ADV	044	MTSC	B	5,295	28.49	n/a	n/a	185.33	3.5
SCOPUS FUND	041	M	S	125,000	17.93	n/a	4-Dec	6,250.00	5.0
MAIRS AND POWER INV	030	PFE	S	20,000	18.59	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	PIR	S	20,000	5.42	n/a	n/a	600.00	3.0
MILLRACE FUND LP	028	SBUX	SS	8,100	23.84	n/a	6-Nov	324.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	28.67	n/a	n/a	800.00	4.0
GREEN ARROW DOUG	040	SLGN	S	5,000	58.85	n/a	n/a	250.00	5.0
STRONG/MARK GRONET	030	SMMX	B	1,770	4.78	n/a	n/a	53.10	3.0
TRUST CO OF THE WEST/NY	040	SNV	B	27,200	2.11	n/a	n/a	816.00	3.0
TRUST CO/COWEN/CALF.	040	SNV	B	72,890	2.11	n/a	n/a	2,186.70	3.0
STRONG/MARK GRONET	030	STEC	S	137,500	16.63	n/a	n/a	5,500.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	UNS	S	10,000	32.62	n/a	n/a	400.00	4.0
RAINIER INV MGMT	035	VMI	S	11,910	81.52	n/a	n/a	595.50	5.0
Õ Sasha Murray		VSTNQ	S	100	0.0210	n/a	n/a	0.00	0.0
Õ Sasha Murray		VSTNQ	S	1400	0.0210	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	ZINC	S	13,900	12.89	n/a	n/a	556.00	4.0
<b>TOTAL (Trade Date):</b>								<b>45,154.05</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/24	EXIS CAPITAL (EXISDEUTC)	044	TJX	SS	3,100	36.95	n/a	4-Dec	155.00 5.0
AO,	12/24	EXIS CAPITAL (EXISOPUSGS)	044	TJX	SS	1,900	36.95	n/a	4-Dec	95.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>250.00</b>
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TOTAL (Trade Date) :	45,154.05
TOTAL (AO, CXL, CRT) :	250.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>45,404.05</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