



Daily Compliance Activity Report

Trade Date: 10/05/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ROCK	028	ABX	B	100,000	37.10	n/a	n/a	4,000.00	4.0
EXIS CAPITAL	044	AEO	S	5,000	16.40	n/a	5-Oct	250.00	5.0
WEISS PECK	040	AEO	B	7,040	16.46	n/a	5-Oct	352.00	5.0
STRONG/MARK GRONET	030	AHPI	S	25,000	4.91	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	ANF	S	300,000	30.45	n/a	5-Oct	12,000.00	4.0
EXIS CAPITAL	044	ANF	B	5,000	30.42	n/a	5-Oct	250.00	5.0
HOLLIS CAPITAL	033	AVAV	B	6,000	27.15	n/a	n/a	300.00	5.0
MERRILL ASSET/BLACKROCK	214	AVGO	B	19,300	16.26	n/a	n/a	868.50	4.5
CIRCLE T/SES PART	035	AXL	S	25,000	6.50	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	AXL	S	25,000	6.64	n/a	n/a	1,000.00	4.0
EXIS CAPITAL	044	BBY	B	10,000	37.10	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	BKE	B	2,500	33.20	n/a	n/a	125.00	5.0
COOPER CREEK PART	028	BWS	B	1,700	8.04	n/a	n/a	51.00	3.0
WELLS/STRONG LEDDY	035	CBK	S	13,500	6.45	n/a	n/a	405.00	3.0
BARCLEYS CAP (OLD LEHM)	041	CBL	B	90,000	9.16	n/a	n/a	3,600.00	4.0
WELLS/STRONG LEDDY	035	CHRS	S	2,600	4.95	n/a	n/a	78.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WELLS/STRONG LEDDY	035	CTRN	S	10,200	28.35	n/a	n/a	408.00	4.0
WELLS/STRONG LEDDY	035	CWTR	S	24,700	8.35	n/a	n/a	741.00	3.0
PARTNER REINSURANCE	033	DISH	S	18,100	19.20	n/a	n/a	724.00	4.0
MATRIX ASSET ADV.	036	DNB	B	5,300	73.43	n/a	n/a	212.00	4.0
GREEN ARROW DOUG	040	DRI	SS	25,000	33.76	n/a	2-Oct	1,250.00	5.0
NEUBERGER BERMAN	036	ECHO	S	75,000	14.00	n/a	n/a	3,375.00	4.5
SCOPUS FUND	041	EL	B	25,000	36.62	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.74	n/a	n/a	1,200.00	6.0
EPOCH INV MGMT	030	FII	B	199,400	25.84	n/a	2-Oct	5,982.00	3.0
HIGHBRIDGE CAP	041	FNF	B	35,972	15.71	n/a	n/a	1,438.88	4.0
BUCK CAPITAL MGMT	001	GME	B	20,000	25.69	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	GPS	B	30,000	21.15	n/a	n/a	1,500.00	5.0
HIGHBRIDGE CAP	041	GS	B	5,234	185.43	n/a	n/a	209.36	4.0
BUCK CAPITAL MGMT	001	HOT	B	40,000	30.36	n/a	n/a	1,600.00	4.0
BMO NESBITT BURNS	041	IP	B	25,000	21.64	n/a	2-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/MARK GRONET	030	ITP	B	25,000	2.27	n/a	n/a	500.00	2.0
SANDLER O'NEILL ASSET	031	IVZ	B	24,900	22.81	n/a	2-Oct	1,245.00	5.0
EXIS CAPITAL	044	JWN	S	5,000	30.84	n/a	5-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	KCP	S	52,755	9.00	n/a	n/a	1,582.65	3.0
EXIS CAPITAL	044	KSS	B	2,500	55.48	n/a	5-Oct	125.00	5.0
RBC CAPITAL MARKETS	040	KSS	SS	5,000	55.39	n/a	5-Oct	200.00	4.0
SCHOTTENFELD ASSOC	041	LMT	S	20,000	75.09	n/a	5-Oct	600.00	3.0
DSM CAPITAL PARTNERS	032	MCD	B	6,700	56.95	n/a	2-Oct	335.00	5.0
SIGMA CAPITAL ASSOCIATES	041	MCD	SS	25,000	56.75	n/a	2-Oct	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	MS	C	10,000	29.73	n/a	2-Oct	500.00	5.0
CHARTER OAK	033	MTW	S	100,000	9.19	n/a	n/a	4,000.00	4.0
T. ROWE PRICE	033	MWV	S	44,100	22.24	n/a	n/a	1,764.00	4.0
BUCK CAPITAL MGMT	001	M	B	120,000	18.19	n/a	5-Oct	4,800.00	4.0
EXIS CAPITAL	044	M	S	15,000	18.10	n/a	5-Oct	750.00	5.0
UNITED STATES PENSION	032	NKE	B	50,000	62.69	n/a	n/a	2,500.00	5.0
KLEINHEINZ CAP PART	031	NOK	B	200,000	14.13	n/a	n/a	10,000.00	5.0
EXIS CAPITAL	044	NSC	B	30,000	43.92	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	NTRS	B	24,900	56.69	n/a	n/a	1,245.00	5.0
EXIS CAPITAL	044	NWY	S	16,000	4.86	n/a	n/a	800.00	5.0
CATAPULT	040	NXY	SS	50,000	21.10	n/a	n/a	2,500.00	5.0
STRONG/MARK GRONET	030	NYNY	S	20,000	2.80	n/a	n/a	400.00	2.0
STELLIAM INV ADV	034	ORCL	B	25,000	20.21	n/a	n/a	1,250.00	5.0
NEWLAND CAPITAL MGT	067	OSK	S	25,000	31.18	n/a	n/a	1,000.00	4.0
STRONG/MARK GRONET	030	OUTD	S	15,000	6.63	n/a	n/a	450.00	3.0
KARSCH CAPITAL	034	PFE	B	600,000	16.34	n/a	n/a	18,000.00	3.0
JP MORGAN VENTURES	046	PG	B	10,000	56.13	n/a	n/a	500.00	5.0
IRIDIAN ASSET MGMT.	036	PKG	B	105,330	19.79	n/a	2-Oct	5,266.50	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	41.57	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	PVH	SS	2,500	41.85	n/a	n/a	125.00	5.0
KLEINHEINZ CAP PART	031	RJET	B	30,000	8.58	n/a	n/a	1,500.00	5.0
GREEN ARROW DOUG	040	SKS	S	25,000	6.42	n/a	n/a	1,250.00	5.0
CUMBERLAND	038	SMH	B	25,000	24.55	n/a	n/a	1,000.00	4.0
HIGHBRIDGE CAP	041	SPG	S	8,327	67.75	n/a	n/a	333.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	STLD	B	11,178	15.01	n/a	n/a	447.12	4.0
HIGHBRIDGE CAP	041	STT	B	10,280	52.10	n/a	n/a	411.20	4.0
RBC CAPITAL MARKETS	040	TGT	B	5,000	46.66	n/a	n/a	200.00	4.0
STRONG/MARK GRONET	030	TIER	S	17,000	8.65	n/a	n/a	510.00	3.0
NEWCASTLE FUNDS	255	TIN	B	45,000	16.64	n/a	2-Oct	1,800.00	4.0
AVESTA CAP	229	TJX	S	50,000	37.18	n/a	5-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	50,000	9.02	n/a	n/a	1,500.00	3.0
HIGHBRIDGE CAP	041	USB	B	58,798	21.58	n/a	n/a	2,351.92	4.0
HIGHBRIDGE CAP	041	VNO	S	9,252	62.06	n/a	n/a	370.08	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	42.17	n/a	2-Oct	400.00	4.0
SCHOTTENFELD ASSOC	041	WY	B	25,000	35.34	n/a	n/a	750.00	3.0
HIGHBRIDGE CAP	041	X	SS	18,299	42.15	n/a	n/a	731.96	4.0
NEWLAND CAPITAL MGT	067	ZOLT	B	25,000	10.26	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date):								127,613.25	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/02	ROTHSCHILD ASSET (ROTH930)	040	DLX	B	19	16.28	n/a	n/a	0.86 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH356)	040	DLX	B	359	16.28	n/a	n/a	16.16 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH355)	040	DLX	B	415	16.28	n/a	n/a	18.68 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH476)	040	DLX	B	222	16.28	n/a	n/a	9.99 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH359)	040	DLX	B	8,543	16.28	n/a	n/a	384.44 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH362)	040	DLX	B	864	16.28	n/a	n/a	38.88 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH3631)	040	DLX	B	338	16.28	n/a	n/a	15.21 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH332)	040	DLX	B	180	16.28	n/a	n/a	8.10 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH315)	040	DLX	B	334	16.28	n/a	n/a	15.03 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH310)	040	DLX	B	240	16.28	n/a	n/a	10.80 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH467)	040	DLX	B	141	16.28	n/a	n/a	6.35 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH464)	040	DLX	B	650	16.28	n/a	n/a	29.25 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH469)	040	DLX	B	5,870	16.28	n/a	n/a	264.15 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH466)	040	DLX	B	2,160	16.28	n/a	n/a	97.20 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH452)	040	DLX	B	321	16.28	n/a	n/a	14.45 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH000300)	040	DLX	B	659	16.28	n/a	n/a	29.66 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH345)	040	DLX	B	248	16.28	n/a	n/a	11.16 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH3721)	040	DLX	B	197	16.28	n/a	n/a	8.87 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH3021)	040	DLX	B	1,741	16.28	n/a	n/a	78.35 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH369)	040	DLX	B	483	16.28	n/a	n/a	21.74 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH322)	040	DLX	B	817	16.28	n/a	n/a	36.77 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH302)	040	DLX	B	1,027	16.28	n/a	n/a	46.22 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH329)	040	DLX	B	368	16.28	n/a	n/a	16.56 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH368)	040	DLX	B	116	16.28	n/a	n/a	5.22 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH367)	040	DLX	B	411	16.28	n/a	n/a	18.50 4.5
AO,CXL	10/01	BUCK CAPITAL MGMT (BUCKGILAGX)	001	NKE	SS	150,000	63.70	n/a	n/a	6000.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	NKE	SS	150,000	63.70	n/a	n/a	6000.00 4.0
AO,CXL	10/02	SCHOTTENFELD ASSOC (SCHOGROUP)	041	TIN	S	10,000	16.13	n/a	2-Oct	300.00 3.0
AO,CRT	10/02	SCHOTTENFELD ASSOC (SCHOGROUP)	041	TIN	S	10,000	16.13	n/a	2-Oct	400.00 4.0
TOTAL (AO, CXL, CRT) :										1,302.60

TOTAL (Trade Date) :	127,613.25
TOTAL (AO, CXL, CRT) :	1,302.60

TOTAL (RUN DATE) / NFS :	128,915.85
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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