

Daily Compliance Activity Report Trade Date: 11/05/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
NEW JERSEY DIV OF INV.	030	ADSK	S	4,000	25.26	n/a	n/a	120.00	3.0
ADAGE CAPITAL MGMT	030	AEO	В	114,522	15.96	n/a	2-Nov	4,580.88	4.0
JP MORGAN VENTURES	046	AEO	В	20,000	15.78	n/a	2-Nov	1,000.00	5.0
THIRD COAST CAPITAL	035	AEO	S	15,000	15.75	n/a	2-Nov	750.00	5.0
RBC CAPITAL MARKETS	040	ANF	SS	5,000	33.19	n/a	2-Nov	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	В	25,000	34.99	n/a	2-Nov	1,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	В	200,000	33.04	n/a	2-Nov	8,000.00	4.0
RBC CAPITAL MARKETS	040	ARO	В	5,000	34.13	n/a	2-Nov	200.00	4.0
RBC CAPITAL MARKETS	040	AXL	S	40,000	6.87	n/a	2-Nov	1,600.00	4.0
HUNTER GLOBAL INVESTOR	067	AXP	S	50,000	36.60	n/a	4-Nov	2,500.00	5.0
RBC CAPITAL MARKETS	040	BKE	SS	5,000	30.34	n/a	n/a	200.00	4.0
NEW JERSEY DIV OF INV.	030	BK	S	100,000	26.27	n/a	21-Oct	4,000.00	4.0
BAIRD INVESTMENT	047	BUCY	S	8,600	49.82	n/a	26-0ct	430.00	5.0
BALYASNY ASSET MGMT	044	BX	В	25,000	13.65	n/a	n/a	1,250.00	5.0
NEW JERSEY DIV OF INV.	030	CEG	S	20,000	32.49	n/a	n/a	800.00	4.0
NEW JERSEY DIV OF INV.	030	CERN	В	10,000	76.98	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
RBC CAPITAL MARKETS	040	COST	В	5,000	58.19	n/a	n/a	200.00	4.0
TPG-AXON	040	СРВ	С	70,000	32.02	n/a	n/a	3,500.00	5.0
CAXTON PART	040	CSCO	В	15 , 159	23.96	n/a	n/a	530.57	3.5
MARINER/TRICADIA	041	CXW	В	20,000	24.62	n/a	n/a	1,000.00	5.0
AVESTA CAP	229	DIS	В	200,000	28.75	n/a	n/a	8,000.00	4.0
OVERLAND PARK CAP	041	DRI	В	10,500	32.80	n/a	2-0ct	420.00	4.0
RBC CAPITAL MARKETS	040	FL	SS	10,000	10.43	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	FOR	В	25,000	16.24	n/a	5-Nov	1,250.00	5.0
RBC CAPITAL MARKETS	040	FOR	В	40,000	16.51	n/a	5-Nov	1,600.00	4.0
THIRD COAST CAPITAL	035	FOR	В	5,000	16.25	n/a	5-Nov	250.00	5.0
BAIRD INVESTMENT	047	FWLT	В	10,825	31.39	n/a	n/a	541.25	5.0
S.A.C. CAP/ORENSTEIN	044	F	S	250,000	7.37	n/a	4-Nov	10,000.00	4.0
RBC CAPITAL MARKETS	040	GPS	SS	20,000	22.30	n/a	n/a	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GPS	В	25 , 000	22.93	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	GYMB	В	65,000	41.12	n/a	2-Nov	3,250.00	5.0
DAVIDSON INV ADV	035	GYMB	В	32,305	40.95	n/a	2-Nov	1,292.20	4.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	15,000	41.86	n/a	2-Nov	600.00	4.0
CATAPULT	040	ID	В	14,669	5.98	n/a	n/a	586.76	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
MACKLOWE ASSET MGMT	041	IGT	S	50,000	18.53	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	INTC	В	25 , 000	18.89	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	IP	S	50,000	23.47	n/a	28-Oct	2,500.00	5.0
NEW JERSEY DIV OF INV.	030	JAKK	В	20,000	11.87	n/a	n/a	600.00	3.0
NEW JERSEY DIV OF INV.	030	JAVA	S	350,000	8.29	n/a	n/a	10,500.00	3.0
ADAGE CAPITAL MGMT	030	JCP	SS	200,000	30.13	n/a	2-Nov	8,000.00	4.0
RBC CAPITAL MARKETS	040	JCP	SS	5,000	30.55	n/a	2-Nov	200.00	4.0
NEUBERGER BERMAN	036	JNS	S	480,000	13.09	n/a	3-Nov	21,600.00	4.5
BUCK CAPITAL MGMT	001	JWN	В	10,000	32.92	n/a	2-Nov	400.00	4.0
THE BOSTON COMPANY	039	KCP	S	11,000	9.95	n/a	n/a	440.00	4.0
ELM RIDGE ADVISORS	044	KPPC	S	23,900	7.10	n/a	n/a	717.00	3.0
KENNEDY CAPITAL	046	KPPC	В	50,000	7.11	n/a	n/a	1,500.00	3.0
BASCOM HILL PARTNERS LLC	033	KSS	SS	15,000	55.95	n/a	2-Nov	450.00	3.0
BUCK CAPITAL MGMT	001	KSS	В	150,000	54.29	n/a	2-Nov	6,000.00	4.0
JP MORGAN VENTURES	046	KSS	В	20,000	54.28	n/a	2-Nov	1,000.00	5.0
BALYASNY ASSET MGMT	044	LM	С	50,000	30.29	n/a	3-Nov	2,500.00	5.0
SCOPUS FUND	041	LPX	S	80,200	6.17	n/a	4-Nov	4,010.00	5.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
FIRST NEW YORK LEDDY	035	LVLT	S	10,000	1.22	n/a	n/a	600.00	6.0	
DAVIDSON KEMPNER ADVISOR	040	MOT	S	25 , 000	9.28	n/a	n/a	1,250.00	5.0	
ROSEDALE CAPITAL	046	MYL	S	10,000	17.23	n/a	2-Nov	500.00	5.0	
WEISS PECK	040	М	С	4,380	17.18	n/a	2-Nov	219.00	5.0	
COHE & STEERS	091	PCL	S	500,000	32.90	n/a	30-Oct	20,000.00	4.0	
RBC CAPITAL MARKETS	040	POT	S	7 , 500	94.17	n/a	n/a	300.00	4.0	
JP MORGAN VENTURES	046	PVH	S	10,000	41.40	n/a	2-Nov	0.00	0.0	
THOMAS WEISEL ASSET MGMT	035	ROCK	S	6,320	13.65	n/a	n/a	189.60	3.0	
NEW JERSEY DIV OF INV.	030	SANM	В	160,000	8.11	n/a	n/a	4,800.00	3.0	
HOLLIS CAPITAL	033	SII	В	5,000	29.18	n/a	n/a	250.00	5.0	
THIRD COAST CAPITAL	035	SKS	В	40,000	5.64	n/a	n/a	2,000.00	5.0	
BUCK CAPITAL MGMT	001	SKX	S	30,000	22.76	n/a	n/a	1,200.00	4.0	
ADAGE CAPITAL MGMT	030	SMG	SS	30,000	42.83	n/a	n/a	1,200.00	4.0	
NEUBERGER BERMAN	036	SPG	S	10,600	68.55	n/a	n/a	477.00	4.5	
DAVIDSON KEMPNER ADVISOR	040	SPY	С	2,025	106.63	n/a	n/a	101.25	5.0	
	FIRST NEW YORK LEDDY DAVIDSON KEMPNER ADVISOR ROSEDALE CAPITAL WEISS PECK COHE & STEERS RBC CAPITAL MARKETS JP MORGAN VENTURES THOMAS WEISEL ASSET MGMT NEW JERSEY DIV OF INV. HOLLIS CAPITAL THIRD COAST CAPITAL BUCK CAPITAL MGMT ADAGE CAPITAL MGMT NEUBERGER BERMAN	FIRST NEW YORK LEDDY 035 DAVIDSON KEMPNER ADVISOR 040 ROSEDALE CAPITAL 046 WEISS PECK 040 COHE & STEERS 091 RBC CAPITAL MARKETS 040 JP MORGAN VENTURES 046 THOMAS WEISEL ASSET MGMT 035 NEW JERSEY DIV OF INV. 030 HOLLIS CAPITAL 033 THIRD COAST CAPITAL 035 BUCK CAPITAL MGMT 001 ADAGE CAPITAL MGMT 030 NEUBERGER BERMAN 036	FIRST NEW YORK LEDDY 035 LVLT DAVIDSON KEMPNER ADVISOR 040 MOT ROSEDALE CAPITAL 046 MYL WEISS PECK 040 M COHE & STEERS 091 PCL RBC CAPITAL MARKETS 040 POT JP MORGAN VENTURES 046 PVH THOMAS WEISEL ASSET MGMT 035 ROCK NEW JERSEY DIV OF INV. 030 SANM HOLLIS CAPITAL 033 SII THIRD COAST CAPITAL 035 SKS BUCK CAPITAL MGMT 001 SKX ADAGE CAPITAL MGMT 030 SMG NEUBERGER BERMAN 036 SPG	FIRST NEW YORK LEDDY 035 LVLT S DAVIDSON KEMPNER ADVISOR 040 MOT S ROSEDALE CAPITAL 046 MYL S WEISS PECK 040 M C COHE & STEERS 091 PCL S RBC CAPITAL MARKETS 040 POT S JP MORGAN VENTURES 046 PVH S THOMAS WEISEL ASSET MGMT 035 ROCK S NEW JERSEY DIV OF INV. 030 SANM B HOLLIS CAPITAL 033 SII B THIRD COAST CAPITAL 035 SKS B BUCK CAPITAL MGMT 001 SKX S ADAGE CAPITAL MGMT 030 SMG SS NEUBERGER BERMAN 036 SPG S	FIRST NEW YORK LEDDY 035 LVLT S 10,000 DAVIDSON KEMPNER ADVISOR 040 MOT S 25,000 ROSEDALE CAPITAL 046 MYL S 10,000 WEISS PECK 040 M C 4,380 COHE & STEERS 091 PCL S 500,000 RBC CAPITAL MARKETS 040 POT S 7,500 JP MORGAN VENTURES 046 PVH S 10,000 THOMAS WEISEL ASSET MGMT 035 ROCK S 6,320 NEW JERSEY DIV OF INV. 030 SANM B 160,000 HOLLIS CAPITAL 033 SII B 5,000 THIRD COAST CAPITAL 035 SKS B 40,000 BUCK CAPITAL MGMT 030 SMG SS 30,000 NEUBERGER BERMAN 036 SPG S 10,600	TIRST NEW YORK LEDDY 035 LVLT S 10,000 1.22 DAVIDSON KEMPNER ADVISOR 040 MOT S 25,000 9.28 ROSEDALE CAPITAL 046 MYL S 10,000 17.23 WEISS PECK 040 M C 4,380 17.18 COHE & STEERS 091 PCL S 500,000 32.90 RBC CAPITAL MARKETS 040 POT S 7,500 94.17 JP MORGAN VENTURES 046 PVH S 10,000 41.40 THOMAS WEISEL ASSET MGMT 035 ROCK S 6,320 13.65 NEW JERSEY DIV OF INV. 030 SANM B 160,000 8.11 HOLLIS CAPITAL 033 SII B 5,000 29.18 THIRD COAST CAPITAL 035 SKS B 40,000 5.64 BUCK CAPITAL MGMT 030 SMG SS 30,000 42.83 NEUBERGER BERMAN 036 SPG S 10,600 68.55	FIRST NEW YORK LEDDY 035 LVLT S 10,000 1.22 n/a DAVIDSON KEMPNER ADVISOR 040 MOT S 25,000 9.28 n/a ROSEDALE CAPITAL 046 MYL S 10,000 17.23 n/a WEISS PECK 040 M C 4,380 17.18 n/a COHE & STEERS 091 PCL S 500,000 32.90 n/a RBC CAPITAL MARKETS 040 POT S 7,500 94.17 n/a JP MORGAN VENTURES 046 PVH S 10,000 41.40 n/a THOMAS WEISEL ASSET MGMT 035 ROCK S 6,320 13.65 n/a NEW JERSEY DIV OF INV. 030 SANM B 160,000 8.11 n/a HOLLIS CAPITAL 033 SII B 5,000 29.18 n/a THIRD COAST CAPITAL 035 SKS B 40,000 5.64 n/a BUCK CAPITAL MGMT 001 SKX S 30,000 42.83 n/a NEUBERGER BERMAN 036 SPG S 10,600 68.55 n/a	FIRST NEW YORK LEDDY 035 LVLT S 10,000 1.22 n/a n/a DAVIDSON KEMPNER ADVISOR 040 MOT S 25,000 9.28 n/a n/a ROSEDALE CAPITAL 046 MYL S 10,000 17.23 n/a 2-Nov WEISS FECK 040 M C 4,380 17.18 n/a 2-Nov COHE & STEERS 091 PCL S 500,000 32.90 n/a 30-Oct REC CAPITAL MARKETS 040 POT S 7,500 94.17 n/a n/a JP MORGAN VENTURES 046 PVH S 10,000 41.40 n/a 2-Nov THOMAS WEISEL ASSET MGMT 035 ROCK S 6,320 13.65 n/a n/a NEW JERSEY DIV OF INV. 030 SANM B 160,000 8.11 n/a n/a HOLLIS CAPITAL 033 SII B 5,000 29.18 n/a n/a THIRD COAST CAPITAL 035 SKS B 40,000 5.64 n/a n/a BUCK CAPITAL MGMT 001 SKX S 30,000 22.76 n/a n/a ADAGE CAPITAL MGMT 030 SMG SS 30,000 42.83 n/a n/a NEUBERGER BERMAN 036 SPG S 10,600 68.55 n/a n/a	FIRST NEW YORK LEDDY 035 LVLT S 10,000 1.22 n/a n/a 600.00 DAVIDSON KEMPNER ADVISOR 040 MOT S 25,000 9.28 n/a n/a 1,250.00 ROSEDALE CAPITAL 046 MYL S 10,000 17.23 n/a 2-Nov 500.00 WEISS PECK 040 M C 4,380 17.18 n/a 2-Nov 219.00 COHE & STEERS 091 PCL S 500,000 32.90 n/a 30-Oct 20,000.00 RBC CAPITAL MARKETS 040 POT S 7,500 94.17 n/a n/a 300.00 JP MORGAN VENTURES 046 PVH S 10,000 41.40 n/a 2-Nov 0.00 THOMAS WEISEL ASSET MGMT 035 ROCK S 6,320 13.65 n/a n/a 189.60 NEW JERSEY DIV OF INV. 030 SANM B 160,000 8.11 n/a n/a 2-Nov 0.00 HOLLIS CAPITAL 033 SII B 5,000 29.18 n/a n/a 2.50.00 THIRD COAST CAPITAL 035 SKS B 40,000 5.64 n/a n/a 2,000.00 BUCK CAPITAL MGMT 030 SMG SS 30,000 42.83 n/a n/a 1,200.00 NEUBERGER BERMAN 036 SPG S 10,600 68.55 n/a n/a n/a 477.00	FIRST NEW YORK LEDDY 035 LVLT 5 10,000 1.22 n/a n/a 600.00 6.0 DAVIDSON KEMPNER ADVISOR 040 MOT 8 25,000 9.28 n/a n/a 1,250.00 5.0 ROSEDALE CAPITAL 046 MYL 8 10,000 17.23 n/a 2-Nov 500.00 5.0 WEISS PECK 040 M C 4,380 17.18 n/a 2-Nov 219.00 5.0 COHE 6 STEERS 091 PCL 8 500,000 32.90 n/a 30-Oct 20,000.00 4.0 RBC CAPITAL MARKETS 040 POT 8 7,500 94.17 n/a n/a n/a 300.00 4.0 JP MORGAN VENTURES 046 PVH 8 10,000 41.40 n/a 2-Nov 0.00 0.0 THOMAS WEISEL ASSET MGMT 035 ROCK 8 6,320 13.65 n/a n/a 189.60 3.0 NEW JERSEY DIV OF INV. 030 SANM B 160,000 8.11 n/a n/a 189.60 3.0 HOLLIS CAPITAL MGMT 033 SII B 5,000 29.18 n/a n/a 2.000.00 5.0 BUCK CAPITAL MGMT 031 SKX 8 30,000 22.76 n/a n/a n/a 1,200.00 4.0 BUCK CAPITAL MGMT 033 SMC 8S 30,000 42.83 n/a n/a n/a 1,200.00 4.0 NEUBERGER BERMAN 036 SPG 8 10,600 68.55 n/a n/a n/a 4.77.00 4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
NEW JERSEY DIV OF INV.	030	STEC	В	50,000	14.40	n/a	n/a	1,500.00	3.0
SANDLER O'NEILL ASSET	031	STT	В	25,000	41.15	n/a	23-Oct	1,250.00	5.0
RBC CAPITAL MARKETS	040	TGT	В	5,000	49.06	n/a	5-Nov	200.00	4.0
THIRD COAST CAPITAL	035	TGT	В	4,000	49.29	n/a	5-Nov	200.00	5.0
BMO NESBITT BURNS	041	TIN	В	25 , 000	15.90	n/a	22-Oct	1,250.00	5.0
TPG-AXON	040	TWC	В	300,000	40.43	n/a	n/a	15,000.00	5.0
SUN AMERICA ASSET MGMT	030	T	В	30,000	25.91	n/a	n/a	1,200.00	4.0
NEW JERSEY DIV OF INV.	030	UNH	S	100,000	28.03	n/a	n/a	4,000.00	4.0
THE BOSTON COMPANY	039	URBN	S	130,860	31.55	n/a	n/a	5,234.40	4.0
THIRD COAST CAPITAL	035	URBN	В	10,000	30.87	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	VNO	S	13,100	61.02	n/a	n/a	589.50	4.5
WAGONHOUND/NIC	048	WBC	В	5 , 675	23.53	n/a	29-Oct	227.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	41.62	n/a	5-Nov	2,000.00	4.0
GRUSS CAPITAL	045	WSM	В	20,000	19.13	n/a	n/a	600.00	3.0
PAW PARTNERS	045	YHOO	В	20,000	15.89	n/a	n/a	1,000.00	5.0

TOTAL (Trade Date): 193,656.41

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	11/04	ROSEDALE CAPITAL (ROSEGS)	046	AXL	В	25,000	6.58	n/a	2-Nov	1250.00	5.0
AO,CRT	11/04	ROSEDALE CAPITAL (ROSEGS)	046	AXL	В	25,000	6.58	n/a	2-Nov	1000.00	4.0
AO,CRT	11/04	WINSLOW CAPITAL (WINS124)	030	GILD	В	500	44.17	n/a	n/a	20.00	4.0
AO,CXL	11/04	WINSLOW CAPITAL (WINS41)	030	GILD	В	500	44.17	n/a	n/a	20.00	4.0
AO,CXL	11/03	NEW JERSEY DIV OF INV. (NEWJ4340)	030	RGC	S	10,000	12.65	n/a	n/a	400.00	4.0
AO, CRT	11/03	NEW JERSEY DIV OF INV. (NEWJ4340)	030	RGC	S	10,000	12.65	n/a	n/a	300.00	3.0

TOTAL (AO, CAL, CAT).	330.00
TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	193,656.41 -350.00

Legend:

O: 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