



Daily Compliance Activity Report

Trade Date: 10/01/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISCIPLINED GROWTH INV.	030	ADBE	B	100	32.06	n/a	n/a	5.00	5.0
DISCIPLINED GROWTH INV.	030	AKAM	B	100	18.83	n/a	n/a	5.00	5.0
SOUTH POINT CAP	067	AMSC	B	25,000	32.25	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	32.07	n/a	n/a	800.00	4.0
GRANITE CAPITAL	045	AN	B	10,000	17.49	n/a	n/a	500.00	5.0
ARMATURE CAPITAL	041	ARG	B	19,000	47.02	n/a	n/a	760.00	4.0
DISCIPLINED GROWTH INV.	030	ARMH	B	500	6.79	n/a	n/a	25.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	26.29	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	BBY	S	20,000	37.16	n/a	n/a	1,000.00	5.0
METROPOLITAN CAPITAL	044	BWA	B	17,300	28.88	n/a	n/a	865.00	5.0
DISCIPLINED GROWTH INV.	030	CAB	B	100	13.03	n/a	n/a	5.00	5.0
DISCIPLINED GROWTH INV.	030	CAKE	B	200	18.03	n/a	n/a	10.00	5.0
KLEINHEINZ CAP PART	031	CHL	S	50,000	48.05	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	214	CHRS	B	100,000	4.75	n/a	n/a	4,500.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	COH	S	50,000	32.20	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	COST	B	5,000	55.89	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	CVX	S	200	69.36	n/a	n/a	10.00	5.0
ROTHSCHILD ASSET	040	DLX	B	35,742	16.72	n/a	n/a	1,608.45	4.5
PATTEN & PATTEN	067	EP	S	1,000	9.79	n/a	n/a	50.00	5.0
DISCIPLINED GROWTH INV.	030	ETN	B	100	54.90	n/a	n/a	5.00	5.0
SOUTH POINT CAP	067	FAS	SS	20,000	80.30	n/a	n/a	1,000.00	5.0
BASIX	033	FL	B	15,000	11.56	n/a	n/a	450.00	3.0
CONIFER/ISF	025	FL	B	10,000	11.57	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	FL	S	5,000	11.63	n/a	n/a	250.00	5.0
LAGRANGE CAP ADV	048	F	B	10,000	7.10	n/a	1-Oct	500.00	5.0
MILLENIUM PARTNERS	028	GCI	B	23,872	11.77	n/a	n/a	954.88	4.0
ROSEDALE CAPITAL	046	GILD	S	15,000	45.65	n/a	n/a	750.00	5.0
KLEINHEINZ CAP PART	031	GLD	B	150,000	98.62	n/a	n/a	7,500.00	5.0
DISCIPLINED GROWTH INV.	030	GNTX	B	100	13.89	n/a	n/a	5.00	5.0
MILLENIUM PARTNERS	028	GPS	B	13,377	21.00	n/a	n/a	535.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	GPS	B	50,000	21.09	n/a	n/a	2,000.00	4.0
STERLING JOHNSTON	035	GR	S	9,600	53.15	n/a	n/a	384.00	4.0
MILLENIUUM PARTNERS	028	GT	B	17,337	16.21	n/a	n/a	693.48	4.0
NWQ INVESTMENT MGMT CO	048	HCC	B	600	27.40	n/a	n/a	24.00	4.0
MILLENIUUM PARTNERS	028	HD	S	53,372	26.25	n/a	n/a	2,134.88	4.0
PATTEN & PATTEN	067	IAT	S	500	20.19	n/a	n/a	25.00	5.0
GCORE MANAGEMENT	041	INTC	B	25,000	19.21	n/a	n/a	1,250.00	5.0
DISIPLINED GROWTH INV.	030	INTU	B	200	27.94	n/a	n/a	10.00	5.0
NWQ INVESTMENT MGMT CO	048	IPI	B	1,900	22.79	n/a	n/a	76.00	4.0
MILLENIUUM PARTNERS	028	IP	B	25,000	22.39	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	40,000	34.38	n/a	n/a	1,600.00	4.0
PATTEN & PATTEN	067	JNJ	S	500	60.11	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	15,000	56.14	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	KSS	B	5,000	55.66	n/a	n/a	200.00	4.0
ROTHSCHILD ASSET	040	LEG	B	18,800	18.59	n/a	n/a	846.00	4.5
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.29	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PENN CAPITAL	243	LVS	B	15,500	15.74	n/a	n/a	620.00	4.0
PATTEN & PATTEN	067	MMM	S	300	73.00	n/a	n/a	15.00	5.0
BASIX	033	MTW	B	35,000	8.80	n/a	n/a	1,050.00	3.0
MILLENIUM PARTNERS	028	M	B	15,955	17.60	n/a	n/a	638.20	4.0
BUCK CAPITAL MGMT	001	NKE	SS	150,000	63.70	n/a	n/a	6,000.00	4.0
DISIPLINED GROWTH INV.	030	OTEX	B	100	36.48	n/a	n/a	5.00	5.0
COUGAR TRADING	044	PAG	S	15,000	16.52	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	PHO	S	1,000	16.24	n/a	n/a	50.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	19.50	n/a	n/a	1,500.00	5.0
NWQ INVESTMENT MGMT CO	048	PKG	B	1,500	19.47	n/a	n/a	60.00	4.0
SCOPUS FUND	041	PKG	S	20,076	19.54	n/a	n/a	1,003.80	5.0
TRUSTCO/SUNTRUST	040	PKG	S	14,700	20.01	n/a	n/a	573.30	3.9
BUCK CAPITAL MGMT	001	PVH	B	10,000	42.65	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PVH	S	5,000	41.98	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	PWR	S	800	21.30	n/a	n/a	40.00	5.0
SENATOR INVESTMENT GROUP	036	RHI	SS	50,000	24.23	n/a	n/a	1,500.00	3.0
NEWLAND CAPITAL MGT	067	RRR	B	9,600	6.92	n/a	n/a	288.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	048	RS	B	1,200	41.50	n/a	n/a	48.00	4.0
CATAPULT	040	SFD	B	75,000	12.89	n/a	n/a	0.00	0.0
ROYAL CAPITAL MGMT	039	SFD	S	200,000	13.06	n/a	n/a	10,000.00	5.0
PATTEN & PATTEN	067	SLB	S	200	57.73	n/a	n/a	10.00	5.0
SACF	044	SPY	SS	72,000	103.48	n/a	n/a	2,880.00	4.0
SANDLER O'NEILL ASSET	031	STT	B	25,000	50.82	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	SVU	B	10,000	14.79	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	SWN	S	200	40.78	n/a	n/a	10.00	5.0
SCOPIA CAPITAL	048	SYMC	B	31,294	16.33	n/a	n/a	1,251.76	4.0
MILLENIUM PARTNERS	028	TGT	B	6,070	46.19	n/a	n/a	242.80	4.0
NWQ INVESTMENT MGMT CO	048	THG	B	1,100	41.67	n/a	n/a	44.00	4.0
NWQ INVESTMENT MGMT CO	048	TIN	B	3,500	15.84	n/a	n/a	140.00	4.0
DISCIPLINED GROWTH INV.	030	TJX	B	150	36.79	n/a	n/a	7.50	5.0
PORTER-ORLIN-FELDMAN	044	TLT	B	25,000	99.66	n/a	n/a	750.00	3.0
DISCIPLINED GROWTH INV.	030	TRMB	B	100	23.40	n/a	n/a	5.00	5.0
MAIRS AND POWER INV	030	TRV	S	20,000	49.21	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	23.52	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	UNM	S	1,000	20.65	n/a	n/a	50.00	5.0
PAW PARTNERS	041	URBN	S	12,000	29.38	n/a	n/a	600.00	5.0
SOUTH POINT CAP	067	UYG	SS	70,000	5.80	n/a	n/a	3,500.00	5.0
NWQ INVESTMENT MGMT CO	048	WAL	B	21,300	5.92	n/a	n/a	639.00	3.0
SCOPIA CAPITAL	048	WCG	B	27,715	25.33	n/a	n/a	1,108.60	4.0
LISTED ERR	099	WCG	B	35	25.33	n/a	n/a	0.00	0.0
LISTED ERR	099	WCG	S	35	25.23	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	WMT	B	5,000	49.20	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	WMT	B	17,500	49.33	n/a	n/a	875.00	5.0
CATAPULT	040	WU	B	50,000	18.61	n/a	n/a	2,000.00	4.0
PENN CAPITAL	243	WYNN	SS	3,630	67.42	n/a	n/a	145.20	4.0
PATTEN & PATTEN	067	XBI	S	200	52.29	n/a	n/a	10.00	5.0
PILOT ROCK	028	ZION	B	46,253	16.71	n/a	n/a	1,850.12	4.0
TOTAL (Trade Date) :								84,572.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/30	EXIS CAPITAL (EXISOPUSGS)	044	AMR	S	9,200	7.87	n/a	n/a	0.00	0.0
AO,	09/30	EXIS CAPITAL (EXISOPUSGS)	044	AMR	S	9,200	7.87	n/a	n/a	460.00	5.0
AO,CXL	09/30	EXIS CAPITAL (EXISRBC)	044	AMR	S	15,800	7.87	n/a	n/a	0.00	0.0
AO,	09/30	EXIS CAPITAL (EXISRBC)	044	AMR	S	15,800	7.87	n/a	n/a	790.00	5.0
AO,CXL	09/30	CLOVIS CAPITAL (CLOVGOLDMA)	012	CAT	SS	100,000	50.78	n/a	n/a	4000.00	4.0
AO,CRT	09/30	CLOVIS CAPITAL (CLOVGOLDMA)	012	CAT	SS	100,000	50.78	n/a	n/a	5000.00	5.0
AO,CXL	09/30	NEWLAND CAPITAL MGT (NEWLGS)	067	ENTG	S	25,000	4.93	n/a	n/a	1000.00	4.0
AO,CRT	09/30	NEWLAND CAPITAL MGT (NEWLGS)	067	ENTG	S	25,000	4.93	n/a	n/a	750.00	3.0
AO,	09/30	PARTNER REINSURANCE (PARRPUSDEQ)	033	FL	B	25,000	11.91	n/a	n/a	1000.00	4.0
AO,CXL	09/30	PARTNER REINSURANCE (PARRPELCEQ)	033	FL	B	32,700	11.91	n/a	n/a	1308.00	4.0
AO,	09/30	PARTNER REINSURANCE (PARRPELCEQ)	033	FL	B	7,700	11.91	n/a	n/a	308.00	4.0
AO,CXL	09/30	CLOVIS CAPITAL (CLOVGOLDMA)	012	IWM	B	250,000	59.85	n/a	n/a	10000.00	4.0
AO,CRT	09/30	CLOVIS CAPITAL (CLOVGOLDMA)	012	IWM	B	250,000	59.85	n/a	n/a	10750.00	4.3
CRT	10/01	CATAPULT (CATADEUTCH)	040	SFD	B	75,000	12.89	n/a	n/a	0.00	0.0
AO,CXL	09/30	NEWLAND CAPITAL MGT (NEWLGS)	067	TWI	B	15,000	8.98	n/a	n/a	600.00	4.0
AO,CRT	09/30	NEWLAND CAPITAL MGT (NEWLGS)	067	TWI	B	15,000	8.98	n/a	n/a	450.00	3.0
TOTAL (AO, CXL, CRT) :										2,600.00	

TOTAL (Trade Date) :

84,572.05

TOTAL (AO, CXL, CRT):

2,600.00

TOTAL (RUN DATE) / NFS:

87,172.05

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