



Daily Compliance Activity Report

Trade Date: 11/25/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	048	ACGY	B	1,400	14.99	n/a	n/a	42.00	3.0
NWQ INVESTMENT MGMT CO	048	AHL	B	1,500	26.27	n/a	n/a	45.00	3.0
NWQ INVESTMENT MGMT CO	048	AIN	B	1,700	19.44	n/a	n/a	51.00	3.0
LAGRANGE CAP ADV	048	ALV	SS	5,000	40.50	n/a	21-Oct	250.00	5.0
STRAUSS ASSET MGMT	040	AMZN	B	5,000	133.09	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	ANF	B	2,500	40.76	n/a	16-Nov	125.00	5.0
EXIS CAPITAL	044	ANF	S	5,000	40.23	n/a	16-Nov	250.00	5.0
EXIS CAPITAL	044	ARO	B	7,500	31.74	n/a	6-Nov	375.00	5.0
EXIS CAPITAL	044	ARO	S	9,600	31.10	n/a	6-Nov	480.00	5.0
LEVEL GLOBAL SHARED ACCT	257	ARO	B	250,000	31.31	n/a	6-Nov	7,500.00	3.0
NWQ INVESTMENT MGMT CO	048	BBG	B	900	29.16	n/a	n/a	27.00	3.0
NWQ INVESTMENT MGMT CO	048	BDC	B	1,300	23.45	n/a	n/a	39.00	3.0
NWQ INVESTMENT MGMT CO	048	BGC	B	200	31.25	n/a	n/a	6.00	3.0
NWQ INVESTMENT MGMT CO	048	BKI	B	1,500	9.81	n/a	n/a	45.00	3.0
NWQ INVESTMENT MGMT CO	048	BOBE	B	1,500	26.10	n/a	n/a	45.00	3.0
NWQ INVESTMENT MGMT CO	048	CASY	B	1,000	31.36	n/a	n/a	30.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	CMC	B	20,700	16.17	n/a	n/a	1,035.00	5.0
NWQ INVESTMENT MGMT CO	048	COHR	B	1,500	26.62	n/a	n/a	45.00	3.0
EXIS CAPITAL	044	COH	SS	5,000	35.61	n/a	21-Oct	250.00	5.0
CASTLEROCK	040	CRK	B	140,401	38.05	n/a	n/a	5,616.04	4.0
EXIS CAPITAL	044	CSCO	S	25,000	23.74	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	CVGI	B	1,400	5.33	n/a	n/a	42.00	3.0
EXIS CAPITAL	044	DBRN	B	5,000	22.40	n/a	n/a	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	EAT	S	50,000	13.83	n/a	n/a	1,500.00	3.0
TROOB CAPITAL	067	ETFC	B	150,000	1.62	n/a	n/a	4,500.00	3.0
LISTED ERR	099	ETFC	B	34,600	1.63	n/a	n/a	0.00	0.0
LISTED ERR	099	ETFC	S	34,600	1.62	n/a	n/a	0.00	0.0
CUMBERLAND	239	EXH	B	5,000	21.60	n/a	2-Nov	200.00	4.0
NWQ INVESTMENT MGMT CO	048	FMR	B	1,600	13.35	n/a	n/a	48.00	3.0
EXIS CAPITAL	044	FOSL	SS	2,500	32.20	n/a	n/a	125.00	5.0
SCOPUS FUND	041	FO	S	10,000	39.49	n/a	n/a	500.00	5.0
BERMAN CAPITAL MGMT	046	F	B	25,000	8.79	n/a	4-Nov	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	50,000	26.54	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	GCO	SS	2,500	26.56	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	GES	B	7,500	37.13	n/a	n/a	375.00	5.0
COOPER CREEK PART	028	GYMB	B	13,400	41.04	n/a	19-Nov	670.00	5.0
EXIS CAPITAL	044	GYMB	B	2,500	41.08	n/a	19-Nov	125.00	5.0
EXIS CAPITAL	044	JCG	S	11,397	43.57	n/a	n/a	569.85	5.0
THE JAY GOLDMAN	028	JCP	B	15,000	30.00	n/a	16-Nov	600.00	4.0
SANDLER O'NEILL ASSET	031	JPM	B	50,000	42.27	n/a	24-Nov	2,500.00	5.0
EXIS CAPITAL	044	JWN	B	2,500	33.95	n/a	13-Nov	125.00	5.0
MILLENNIUM-ANDEW	031	KNX	SS	35,000	17.12	n/a	n/a	2,100.00	6.0
EXIS CAPITAL	044	KSS	B	5,000	54.09	n/a	13-Nov	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	KSS	B	125,000	55.10	n/a	13-Nov	3,750.00	3.0
THE JAY GOLDMAN	028	KSS	B	15,000	54.00	n/a	13-Nov	600.00	4.0
NWQ INVESTMENT MGMT CO	048	LECO	B	700	51.88	n/a	n/a	21.00	3.0
LEVEL GLOBAL SHARED ACCT	257	LVS	B	35,400	15.94	n/a	11-Nov	1,062.00	3.0
NWQ INVESTMENT MGMT CO	048	MIDD	B	400	45.85	n/a	11-Nov	12.00	3.0
WELLS/STRONG LEDDY	035	MI	B	17,000	5.64	n/a	n/a	510.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	MMM	S	10,000	77.58	n/a	22-Oct	500.00	5.0
T. ROWE PRICE	033	MWV	S	80,200	27.18	n/a	16-Nov	3,208.00	4.0
BUCK CAPITAL MGMT	001	M	B	20,000	17.57	n/a	12-Nov	800.00	4.0
EXIS CAPITAL	044	M	S	5,000	17.40	n/a	12-Nov	250.00	5.0
EXIS CAPITAL	044	NKE	B	5,000	65.20	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	NKE	SS	7,500	65.72	n/a	n/a	375.00	5.0
NWQ INVESTMENT MGMT CO	048	PACW	B	1,100	18.39	n/a	n/a	33.00	3.0
MAIRS AND POWER INV	030	PFE	S	20,000	18.28	n/a	n/a	1,000.00	5.0
NWQ INVESTMENT MGMT CO	048	PKG	B	600	20.00	n/a	22-Oct	18.00	3.0
LAGRANGE CAP ADV	048	PSS	SS	100	20.90	n/a	n/a	5.00	5.0
EXIS CAPITAL	044	PVH	SS	20,000	41.87	n/a	20-Nov	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	44,400	41.75	n/a	20-Nov	1,554.01	3.5
NWQ INVESTMENT MGMT CO	048	PVTB	B	700	10.18	n/a	n/a	21.00	3.0
CASTLEROCK	040	PXD	B	181,159	42.75	n/a	4-Nov	7,246.36	4.0
NWQ INVESTMENT MGMT CO	048	RGLD	B	800	54.68	n/a	n/a	24.00	3.0
NWQ INVESTMENT MGMT CO	048	ROCK	B	400	14.91	n/a	n/a	12.00	3.0
NWQ INVESTMENT MGMT CO	048	SFG	B	700	37.98	n/a	n/a	21.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	048	SM	B	1,400	31.95	n/a	n/a	42.00	3.0
EXIS CAPITAL	044	SSO	B	5,000	37.78	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	SSO	SS	5,000	37.83	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	70,000	47.82	n/a	18-Nov	2,800.00	4.0
NWQ INVESTMENT MGMT CO	048	THG	B	500	42.48	n/a	n/a	15.00	3.0
NWQ INVESTMENT MGMT CO	048	THS	B	300	35.74	n/a	n/a	9.00	3.0
NWQ INVESTMENT MGMT CO	048	TIN	B	600	17.99	n/a	22-Oct	18.00	3.0
TRELLUS PARTNERS LP	028	TIN	S	50,000	18.09	n/a	22-Oct	2,500.00	5.0
ROTHSCHILD ASSET	040	TKR	B	50,000	25.39	n/a	n/a	2,250.00	4.5
BERMAN CAPITAL MGMT	046	TWB	S	15,000	10.48	n/a	n/a	450.00	3.0
EXIS CAPITAL	044	URBN	SS	10,000	32.20	n/a	n/a	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	VMED	S	191,797	16.51	n/a	n/a	5,753.91	3.0
FIRST INV MGMT CO	029	WDC	S	10,000	38.01	n/a	n/a	500.00	5.0
MILLENNIUM-ANDEW	031	WERN	SS	35,000	18.61	n/a	n/a	2,100.00	6.0
EXIS CAPITAL	044	WRC	SS	2,500	42.35	n/a	5-Nov	125.00	5.0
EXIS CAPITAL	044	XLE	B	30,000	58.03	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	XRT	B	10,000	35.64	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	XRT	SS	10,000	35.22	n/a	n/a	500.00	5.0
COBALT	041	XTO	B	50,000	42.33	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	ZQK	B	10,000	1.80	n/a	n/a	500.00	5.0
TOTAL (Trade Date) :								80,396.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/24	SCOPUS FUND (SCOPGS)	041	DE	B	8,066	52.32	n/a	n/a	403.30 5.0
AO,CRT	11/24	SCOPUS FUND (SCOPGS)	041	DE	B	8,056	52.32	n/a	n/a	402.80 5.0
AO,CXL	11/24	SCOPUS FUND (SCOPUBS)	041	DE	B	34,334	52.32	n/a	n/a	1716.70 5.0
AO,CRT	11/24	SCOPUS FUND (SCOPUBS)	041	DE	B	34,344	52.32	n/a	n/a	1717.20 5.0
AO,CXL	11/24	JP MORGAN VENTURES (JPMVJPM)	046	FL	B	30,000	9.85	n/a	23-Nov	1200.00 4.0
AO,CRT	11/24	JP MORGAN VENTURES (JPMVJPM)	046	FL	B	30,000	9.85	n/a	23-Nov	1500.00 5.0
CRT	11/25	MILLENNIUM-ANDEW (MILAMSMART)	031	KNX	SS	35,000	17.12	n/a	n/a	2100.00 6.0
AO,CXL	11/24	STRAUSS ASSET MGMT (STRAJEFUS)	040	SNEN	S	35,000	1.85	n/a	n/a	1050.00 3.0
AO,CRT	11/24	STRAUSS ASSET MGMT (STRAJEFUS)	040	SNEN	S	35,000	1.85	n/a	n/a	700.00 2.0
AO,	11/24	PARTNER REINSURANCE (PARRPUSCEQ)	033	XTO	S	13,450	41.63	n/a	n/a	538.00 4.0
AO,	11/24	PARTNER REINSURANCE (PARRPELCEQ)	033	XTO	S	3,550	41.63	n/a	n/a	142.00 4.0

TOTAL (AO, CXL, CRT) :**2,730.00**

TOTAL (Trade Date):

80,396.17

TOTAL (AO, CXL, CRT):

2,730.00

TOTAL (RUN DATE) / NFS:**83,126.17**

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