



Daily Compliance Activity Report

Trade Date: 12/11/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DENVER INST. ADV	046	AEO	B	17,200	16.27	n/a	4-Dec	688.00	4.0
SCOGGIN CAP	039	AGU	SS	33,000	63.27	n/a	n/a	990.00	3.0
HARBORWATCH/DIAMBACK	232	AKS	SS	20,000	20.43	n/a	n/a	1,000.00	5.0
PLATTE RIVER CAPITAL	240	AMR	B	20,000	7.64	n/a	n/a	800.00	4.0
AVESTA CAP	229	AVP	B	50,000	33.70	n/a	7-Dec	2,000.00	4.0
DC CAPITAL	044	AXL	S	20,000	7.12	n/a	2-Nov	1,000.00	5.0
GLOBAL 56 LLC	060	AXL	B	2,500	7.05	n/a	2-Nov	125.00	5.0
HIGHFIELDS CAP MGMT	039	AXP	S	150,000	40.46	n/a	9-Dec	6,000.00	4.0
HARBORWATCH/DIAMBACK	232	BA	B	20,000	55.51	n/a	11-Dec	1,000.00	5.0
ST OF MICHIAN	047	BEN	S	75,000	108.22	n/a	10-Dec	2,250.00	3.0
PLATTE RIVER CAPITAL	240	BP	S	13,000	56.39	n/a	n/a	520.00	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	35.94	n/a	21-Oct	400.00	4.0
JMP ASSET MGMT	210	CY	SS	15,000	10.42	n/a	n/a	750.00	5.0
MASTERS CAPITAL MANAGE	091	DAL	B	27,600	10.51	n/a	n/a	1,104.00	4.0
HARBORWATCH/DIAMBACK	232	DOW	SS	30,000	26.15	n/a	18-Nov	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PERSHING SQUARE	029	EMC	S	332,300	16.67	n/a	n/a	13,292.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.65	n/a	n/a	1,200.00	6.0
RAINIER INV MGMT	035	FST	S	24,180	20.03	n/a	n/a	1,209.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	24.62	n/a	n/a	800.00	4.0
ST OF MICHIAN	047	GS	B	30,000	166.58	n/a	18-Nov	900.00	3.0
ROYCE TRADING	216	IPI	B	3,500	30.39	n/a	n/a	175.00	5.0
ST OF MICHIAN	047	IVZ	B	105,000	21.48	n/a	10-Dec	3,150.00	3.0
WAGONHOUND/NIC	048	IVZ	S	59,810	21.30	n/a	10-Dec	2,392.40	4.0
EXIS CAPITAL	044	JNJ	S	20,000	64.81	n/a	n/a	1,000.00	5.0
DENVER INST. ADV	046	JOSB	B	2,000	39.70	n/a	n/a	80.00	4.0
KARSCH CAPITAL	034	JPM	B	126,800	41.16	n/a	4-Dec	3,804.00	3.0
PARTNER REINSURANCE	033	KEY	S	152,100	6.07	n/a	n/a	6,084.00	4.0
ROYCE TRADING	216	KMT	B	4,500	24.35	n/a	18-Nov	225.00	5.0
CAPITAL GROWTH MGMT.	241	MA	S	50,000	244.48	n/a	11-Dec	2,500.00	5.0
SANDLER CAPITAL	226	MMM	B	70,000	80.83	n/a	11-Dec	4,200.00	6.0
CAERUS GLOBAL	041	MPXL	S	25,000	3.83	n/a	18-Nov	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	M	B	80,000	16.47	n/a	4-Dec	3,200.00	4.0
COUGAR TRADING	044	M	B	15,000	16.30	n/a	4-Dec	750.00	5.0
EGS ASSOCIATES LP	091	M	B	4,000	16.35	n/a	4-Dec	240.00	6.0
FIRST NY SEC/CHRIS	041	M	B	15,000	16.76	n/a	4-Dec	750.00	5.0
PHILADELPHIA FINANCIAL	033	OZM	B	40,353	13.41	n/a	10-Dec	1,614.12	4.0
TRELLUS PARTNERS LP	028	PAG	B	40,000	16.01	n/a	2-Nov	2,000.00	5.0
GEORGE WEISS	034	PFE	S	125,000	18.36	n/a	n/a	5,000.00	4.0
RBC CAPITAL MARKETS	040	PKG	S	25,000	21.80	n/a	22-Oct	1,000.00	4.0
WAGONHOUND/NIC	048	PLCE	B	4,995	29.07	n/a	11-Dec	199.80	4.0
FIRST NEW YORK NICK	029	Q	S	30,000	4.09	n/a	n/a	1,500.00	5.0
CHART WELL ADV	028	RA	B	53,397	13.50	n/a	n/a	2,135.88	4.0
BMO NESBITT BURNS	041	RX	B	5,000	19.94	n/a	n/a	350.00	7.0
APEX CAPITAL MGMT.	091	SBUX	C	250,000	22.38	n/a	6-Nov	10,000.00	4.0
T. ROWE PRICE	033	SHW	B	48,700	62.70	n/a	9-Nov	1,948.00	4.0
ARCHON PARTNERS	032	SIG	SS	10,000	25.02	n/a	n/a	300.00	3.0
JP MORGAN VENTURES	046	SPY	SS	15,000	110.89	n/a	n/a	750.00	5.0
CASTLE ARK	031	SWN	B	203,230	41.78	n/a	4-Dec	12,193.80	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	TBI	B	4,000	13.76	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	100,000	46.52	n/a	3-Dec	4,000.00	4.0
ARMATURE CAPITAL	041	TIN	SS	25,000	20.10	n/a	22-Oct	1,000.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	200,000	8.26	n/a	n/a	6,000.00	3.0
PARTNER REINSURANCE	033	VTR	B	2,450	43.69	n/a	n/a	98.00	4.0
PARTNER REINSURANCE	033	WFC	B	71,950	25.33	n/a	9-Dec	2,878.00	4.0
PARTNER REINSURANCE	033	WFT	S	36,850	15.84	n/a	n/a	1,474.00	4.0
PARTNER REINSURANCE	033	WMB	B	9,000	19.61	n/a	n/a	360.00	4.0
PARTNER REINSURANCE	033	WM	B	6,300	33.22	n/a	n/a	252.00	4.0
ROYCE TRADING	216	WRC	B	3,000	42.68	n/a	5-Nov	150.00	5.0
PARTNER REINSURANCE	033	WU	B	10,800	19.12	n/a	n/a	432.00	4.0
PARTNER REINSURANCE	033	WY	B	2,000	41.91	n/a	2-Nov	80.00	4.0
JP MORGAN VENTURES	046	XRT	B	20,000	35.22	n/a	n/a	1,000.00	5.0
PARTNER REINSURANCE	033	X	B	100	46.89	n/a	n/a	4.00	4.0

TOTAL (Trade Date):

123,998.00

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/10	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	100,000	7.19	n/a	2-Nov	5000.00 5.0
AO,CRT	12/10	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	100,000	7.19	n/a	2-Nov	3000.00 3.0
AO,	12/10	COLUMBUS CIRCLE (COLC3060)	036	EQIX	B	40	101.50	n/a	n/a	1.60 4.0
AO,	12/10	WEISS PECK (PECKSIMTSC)	040	FL	B	4,400	9.70	n/a	23-Nov	0.00 0.0
AO,CXL	12/10	WEISS PECK (PECKSIMT)	040	FL	B	4,400	9.70	n/a	23-Nov	176.00 4.0
AO,CXL	12/10	EXIS CAPITAL (EXISOPUSGS)	044	GES	SS	1,900	43.25	n/a	n/a	0.00 0.0
AO,CRT	12/10	EXIS CAPITAL (EXISOPUSGS)	044	GES	SS	1,900	43.25	n/a	n/a	95.00 5.0
AO,CRT	12/09	ST OF MICHIAN (MICHMER9)	047	MGA	S	67,900	47.52	n/a	n/a	2037.00 3.0
AO,CXL	12/09	ST OF MICHIAN (MICHMEX3)	047	MGA	S	67,900	47.52	n/a	n/a	2037.00 3.0
AO,CRT	12/10	LISTED ERR (LISTED ERR)	099	NOK	B	25,000	12.68	n/a	n/a	0.00 0.0
AO,	12/10	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	OZM	B	21,000	12.73	n/a	10-Dec	840.00 4.0
AO,CXL	12/10	FIRST NEW YORK LEDDY (FNYS)	035	Q	B	10,000	4.13	n/a	n/a	600.00 6.0
AO,CRT	12/10	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	B	10,000	4.13	n/a	n/a	500.00 5.0
AO,CXL	12/10	EXIS CAPITAL (EXISDEUTC)	044	SSO	SS	10,000	37.41	n/a	n/a	500.00 5.0
AO,CRT	12/10	EXIS CAPITAL (EXISDEUTC)	044	SSO	SS	6,200	37.41	n/a	n/a	310.00 5.0
AO,	12/10	EXIS CAPITAL (EXISOPUSGS)	044	SSO	SS	3,800	37.41	n/a	n/a	190.00 5.0
AO,CRT	12/09	ST OF MICHIAN (MICHMER9)	047	SWY	S	390,600	20.97	n/a	n/a	11718.00 3.0
AO,CXL	12/09	ST OF MICHIAN (MICHMEX3)	047	SWY	S	390,600	20.97	n/a	n/a	11718.00 3.0
AO,CRT	12/09	ST OF MICHIAN (MICHMER9)	047	TD	S	85,000	61.16	n/a	n/a	2550.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	12/09	ST OF MICHIAN (MICHMEX3)	047	TD	S	85,000	61.16	n/a	n/a 2550.00 3.0

TOTAL (AO, CXL, CRT) :								-1,339.40	
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TOTAL (Trade Date) :								123,998.00	
TOTAL (AO, CXL, CRT) :								-1,339.40	

TOTAL (RUN DATE) / NFS :								122,658.60	
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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