



Daily Compliance Activity Report

Trade Date: 10/21/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	AA	S	50,000	14.00	n/a	n/a	2,500.00	5.0
NEWLAND CAPITAL MGT	067	AME	S	20,000	36.70	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	ANR	S	20,000	40.74	n/a	n/a	1,000.00	5.0
STADIA CAPITAL	035	AN	S	13,300	21.08	n/a	19-Oct	532.00	4.0
TRELLUS PARTNERS LP	028	AN	S	20,000	21.22	n/a	19-Oct	1,000.00	5.0
EXIS CAPITAL	044	ARO	SS	5,000	41.86	n/a	9-Oct	250.00	5.0
ROTHSCHILD ASSET	040	AWI	S	18,410	38.35	n/a	n/a	828.45	4.5
NEWLAND CAPITAL MGT	067	AXE	S	20,000	42.42	n/a	6-Oct	800.00	4.0
GLOBAL 56 LLC	060	AXL	B	3,000	6.63	n/a	19-Oct	150.00	5.0
GRUBER MACBAINE	033	BBBY	S	10,000	36.48	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	BEC	B	10,000	69.36	n/a	n/a	400.00	4.0
DIAMONDBACK CAP MGMT	232	BK	C	20,000	28.35	n/a	21-Oct	1,000.00	5.0
NEUBERGER BERMAN	036	BMI	B	12,900	38.79	n/a	n/a	580.50	4.5
SONTERRA CAP	041	BNI	B	20,000	86.12	n/a	n/a	800.00	4.0
BRIGADE CAPITAL MGMT	029	BONT	B	25,000	8.44	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	BWA	S	10,000	32.66	n/a	n/a	400.00	4.0
TRELLUS PARTNERS LP	028	BWA	S	10,000	33.22	n/a	n/a	500.00	5.0
&FNY	035	CAB	B	40,000	14.02	n/a	n/a	1,600.00	4.0
HARBORWATCH/DIAMBACK	232	CAT	SS	15,000	59.66	n/a	21-Oct	750.00	5.0
PIONEER MICHAEL NOLAN	067	CDNS	S	34,000	7.88	n/a	n/a	1,020.00	3.0
NORTHPOINT	030	CEDC	S	14,311	35.00	n/a	n/a	572.44	4.0
STRONG/MARK GRONET	030	CIM	B	200,000	3.80	n/a	n/a	6,000.00	3.0
ADALY INV MGMT	031	COG	B	10,000	40.58	n/a	21-Oct	500.00	5.0
CIRCLE T/SES PART	035	COG	S	15,000	40.61	n/a	21-Oct	600.00	4.0
EXIS CAPITAL	044	COST	B	5,000	58.88	n/a	n/a	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRM	S	100,000	64.21	n/a	n/a	3,000.00	3.0
NEUBERGER BERMAN	036	DAR	B	31,900	7.23	n/a	n/a	957.00	3.0
EXIS CAPITAL	044	DD	B	25,000	34.64	n/a	20-Oct	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	EBAY	S	11,120	25.71	n/a	n/a	556.00	5.0
PAW PARTNERS	045	EBAY	S	10,000	25.17	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	ELS	B	57,930	46.15	n/a	n/a	2,606.85	4.5
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.67	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARBORWATCH/DIAMBACK	232	ETN	SS	10,000	64.88	n/a	20-Oct	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	EXPE	S	100,000	25.84	n/a	n/a	3,000.00	3.0
BULL PATH CAPITAL	044	FII	S	38,261	26.06	n/a	21-Oct	1,913.05	5.0
CARDINAL CAPITAL	044	FMC	B	14,300	55.87	n/a	n/a	715.00	5.0
TRAFELET & COMP.	028	F	B	730,000	7.89	n/a	19-Oct	29,200.00	4.0
OVERLAND PARK CAP	041	GE	S	50,000	15.87	n/a	n/a	2,000.00	4.0
STADIA CAPITAL	035	GILD	S	27,400	45.08	n/a	n/a	1,096.00	4.0
BACKBAY	041	HBHC	B	25,000	36.40	n/a	n/a	1,250.00	5.0
NUMERIC	060	HRS	S	24,000	40.32	n/a	19-Oct	720.00	3.0
NORTHPOINT	030	IPCS	S	20,632	23.87	n/a	n/a	825.28	4.0
NEUBERGER BERMAN	036	IPI	B	7,500	28.41	n/a	n/a	337.50	4.5
RBC CAPITAL MARKETS	040	IPI	B	10,000	28.54	n/a	n/a	400.00	4.0
DIAMONDBACK CAP MGMT	232	JEF	C	20,000	27.55	n/a	n/a	1,000.00	5.0
LISTED ERR	099	JNJ	S	20,000	60.50	n/a	n/a	0.00	0.0
LISTED ERR	099	JNY	B	8,700	18.63	n/a	21-Oct	0.00	0.0
LISTED ERR	099	JNY	S	8,700	18.73	n/a	21-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	JOE	B	23,300	28.15	n/a	n/a	1,165.00	5.0
SCOPUS FUND	041	JOE	S	15,000	28.99	n/a	n/a	750.00	5.0
CAXTON PART	040	JPM	B	15,002	46.36	n/a	15-Oct	525.08	3.5
S.A.C.HABER/BOBBY	044	JPM	B	50,000	46.37	n/a	15-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	80,000	35.08	n/a	9-Oct	3,200.00	4.0
IRIDIAN ASSET MGMT.	036	KMB	S	8,410	60.12	n/a	n/a	420.50	5.0
NUMERIC	060	LIZ	B	40,000	7.38	n/a	7-Oct	1,200.00	3.0
CR INTRINIC INVESTMENT	044	LLY	B	10,000	34.27	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	LNCR	S	13,286	32.58	n/a	n/a	531.44	4.0
GEORGE WEISS	034	LPX	SS	100,000	6.42	n/a	12-Oct	3,000.00	3.0
MILLENIUM PARTNERS	028	LPX	B	30,000	6.75	n/a	12-Oct	1,200.00	4.0
SCOPUS FUND	041	LPX	SS	50,000	6.62	n/a	12-Oct	2,500.00	5.0
NEUBERGER BERMAN	036	LXU	B	8,400	13.91	n/a	n/a	378.00	4.5
BACKBAY	041	MI	SS	50,000	6.47	n/a	n/a	2,500.00	5.0
BALYASNY ASSET MGMT	044	MMM	B	20,000	77.20	n/a	n/a	1,000.00	5.0
ST OF MICHIAN	047	MON	B	100,000	75.30	n/a	20-Oct	2,000.00	2.0
KLEINHEINZ CAP PART	031	MSFT	B	250,000	26.57	n/a	n/a	12,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	MSM	C	37,717	48.23	n/a	n/a	1,131.51	3.0
BUCK CAPITAL MGMT	001	M	S	20,000	18.86	n/a	9-Oct	800.00	4.0
EXIS CAPITAL	044	M	B	5,000	19.10	n/a	9-Oct	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	100,000	23.60	n/a	n/a	3,500.00	3.5
CR INTRINIC INVESTMENT	044	NVS	SS	25,000	51.93	n/a	n/a	1,000.00	4.0
NEWLAND CAPITAL MGT	067	PENN	S	7,500	28.55	n/a	n/a	300.00	4.0
ENTRUST CAPITAL	040	PFCB	SS	62,300	31.69	n/a	21-Oct	3,115.00	5.0
NEUBERGER BERMAN	036	PICO	B	13,300	34.95	n/a	n/a	598.50	4.5
CAXTON PART	040	PM	S	60,832	50.92	n/a	n/a	2,129.20	3.5
BALYASNY ASSET MGMT	044	PSUN	B	50,000	7.00	n/a	n/a	2,000.00	4.0
KENNEDY CAPITAL	046	PSUN	S	280,000	7.01	n/a	n/a	8,400.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	43.27	n/a	n/a	1,200.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	B	12,290	41.86	n/a	n/a	614.50	5.0
NEWLAND CAPITAL MGT	067	QQQQ	SS	25,000	43.11	n/a	n/a	1,000.00	4.0
NORTHPOINT	030	RADS	S	6,383	10.20	n/a	n/a	255.32	4.0
BUCK CAPITAL MGMT	001	RL	S	10,000	78.43	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	ROST	B	5,000	46.00	n/a	n/a	250.00	5.0
NORTHPOINT	030	ROVI	S	11,316	29.08	n/a	n/a	452.64	4.0
EXIS CAPITAL	044	SKS	B	5,000	6.40	n/a	n/a	250.00	5.0
APEX CAPITAL MGMT.	091	SNE	SS	100,000	29.37	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	SPR	B	25,000	17.63	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	SPR	S	25,000	17.32	n/a	n/a	1,250.00	5.0
THIRD COAST CAPITAL	035	SPR	B	15,000	17.64	n/a	n/a	750.00	5.0
HARBORWATCH/DIAMBACK	232	STLD	SS	25,000	15.56	n/a	n/a	1,250.00	5.0
TRELLUS PARTNERS LP	028	SUP	B	26,800	14.43	n/a	n/a	1,340.00	5.0
BUCK CAPITAL MGMT	001	SVU	SS	50,000	16.96	n/a	n/a	2,000.00	4.0
CR INTRINIC INVESTMENT	044	SYK	SS	50,000	48.97	n/a	n/a	2,000.00	4.0
CR INTRINIC INVESTMENT	044	TEVA	S	600	51.70	n/a	19-Oct	24.00	4.0
CR INTRINIC INVESTMENT	044	TFX	SS	20,000	51.02	n/a	n/a	800.00	4.0
ACK ASSET	028	TIN	B	25,000	17.51	n/a	12-Oct	750.00	3.0
BACKBAY	041	TIN	B	50,000	17.48	n/a	12-Oct	2,500.00	5.0
DSG CAPITAL	225	TIN	B	30,000	17.37	n/a	12-Oct	1,500.00	5.0
NEWCASTLE FUNDS	255	TIN	S	80,500	17.35	n/a	12-Oct	3,220.00	4.0
OZ MGMT	040	TIN	B	50,000	17.34	n/a	12-Oct	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHOTTENFELD ASSOC	041	TIN	B	25,000	17.44	n/a	12-Oct	750.00	3.0
SCOPUS FUND	041	TIN	B	35,000	17.56	n/a	12-Oct	1,750.00	5.0
TRELLUS PARTNERS LP	028	TIN	B	80,000	17.41	n/a	12-Oct	4,000.00	5.0
NORTHPOINT	030	TITN	S	14,792	13.01	n/a	n/a	591.68	4.0
EPOCH INV MGMT	030	TJX	B	300,000	39.71	n/a	21-Oct	9,000.00	3.0
EXIS CAPITAL	044	TJX	S	5,000	39.80	n/a	21-Oct	250.00	5.0
BASIX	033	TRW	B	13,400	18.28	n/a	n/a	402.00	3.0
NEWLAND CAPITAL MGT	067	TRW	S	15,000	18.38	n/a	n/a	600.00	4.0
IRIDIAN ASSET MGMT.	036	T	S	21,910	26.10	n/a	n/a	1,095.50	5.0
CAXTON PART	040	UNP	S	68,655	64.72	n/a	n/a	2,402.96	3.5
RWC PARTNERS LTD	067	URBN	S	174,900	32.66	n/a	n/a	5,247.00	3.0
EXIS CAPITAL	044	VMW	B	10,000	44.93	n/a	n/a	500.00	5.0
NEWLAND CAPITAL MGT	067	WGOV	S	15,000	26.46	n/a	n/a	600.00	4.0
JP MORGAN VENTURES	046	WMT	S	20,000	50.85	n/a	21-Oct	1,000.00	5.0
SANDLER CAPITAL	038	WMT	B	60,000	51.53	n/a	21-Oct	3,600.00	6.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	44.48	n/a	2-Oct	800.00	4.0
EXIS CAPITAL	044	WRC	SS	2,500	44.75	n/a	2-Oct	125.00	5.0
NORTHPOINT	030	WWW	S	4,472	7.56	n/a	n/a	134.16	3.0
LEVEL GLOBAL SHARED ACCT	257	XRT	SS	100,000	35.57	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	YHOO	B	250,000	17.94	n/a	n/a	12,500.00	5.0
TOTAL (Trade Date):							211,809.06		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/21	GLOBAL 56 LLC (GLOBJEFF)	060	AXL	B	3,000	6.63	n/a	19-Oct	150.00 5.0
AO,CRT	10/20	MILLRACE FUND LP (MILRGS)	028	CPKI	B	5,000	14.21	n/a	8-Oct	200.00 4.0
AO,CXL	10/20	MILLRACE FUND LP (MILRGS)	028	CPKI	B	5,000	14.21	n/a	8-Oct	150.00 3.0
AO,CRT	10/20	SCOPUS FUND (SCOPGS)	041	IP	B	12,654	24.38	n/a	12-Oct	632.70 5.0
AO,CXL	10/20	SCOPUS FUND (SCOPUBS)	041	IP	B	54,946	24.38	n/a	12-Oct	2747.30 5.0
AO,CRT	10/20	SCOPUS FUND (SCOPUBS)	041	IP	B	53,946	24.38	n/a	12-Oct	2697.30 5.0
AO,CXL	10/20	SCOPUS FUND (SCOPGS)	041	IP	B	11,654	24.38	n/a	12-Oct	582.70 5.0

TOTAL (AO, CXL, CRT) :**200.00**

TOTAL (Trade Date) :

211,809.06

TOTAL (AO, CXL, CRT) :

200.00

TOTAL (RUN DATE) / NFS :**212,009.06**

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