



Daily Compliance Activity Report

Trade Date: 09/22/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
M&I FUNDS	047	AMG	B	19,054	67.65	3-Aug	18-Sep	762.16	4.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	33.69	3-Jun	21-Sep	800.00	4.0
CIRCLE T/SES PART	035	AN	S	5,000	18.38	3-Aug	5-Aug	200.00	4.0
TRELLUS PARTNERS LP	028	AN	B	20,000	18.38	3-Aug	5-Aug	1,000.00	5.0
KLEINHEINZ CAP PART	031	AUY	B	150,000	11.16	n/a	n/a	7,500.00	5.0
DSG CAPITAL	225	AXL	S	10,000	7.75	18-Sep	18-Sep	500.00	5.0
STELLIAM INV ADV	034	BAC	B	25,000	17.63	11-May	21-Sep	1,250.00	5.0
UBS OCONNOR	031	BEN	SS	125,000	102.43	4-Sep	18-Sep	3,750.00	3.0
SANDLER O'NEILL ASSET	031	BK	S	25,300	29.78	11-May	21-Sep	1,265.00	5.0
MILLENIUM PARTNERS	028	BYD	SS	30,000	12.19	n/a	7-Aug	1,200.00	4.0
TRUSTCO/SUNTRUST	040	CKR	S	32,800	10.89	n/a	n/a	1,279.21	3.9
MACKLOWE ASSET MGMT	041	CLX	B	65,000	60.00	13-Aug	22-Sep	2,600.00	4.0
EXIS CAPITAL	044	COH	SS	5,000	32.84	n/a	29-Jul	250.00	5.0
PARTNER REINSURANCE	033	C	B	50,000	4.65	17-Sep	21-Sep	1,500.00	3.0
SCHOTTENFELD ASSOC	041	C	S	50,000	4.65	17-Sep	21-Sep	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	DECK	B	2,500	82.03	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	DECK	SS	6,000	80.51	n/a	n/a	300.00	5.0
ASCEND PARTNERS	033	FL	B	50,000	11.64	21-Sep	21-Sep	2,500.00	5.0
MILLRACE FUND LP	028	FL	B	10,000	11.33	21-Sep	21-Sep	400.00	4.0
PILOT ADV	038	FL	B	200,000	11.56	21-Sep	21-Sep	8,000.00	4.0
ARCHON CAPITAL	035	FST	B	40,000	19.22	n/a	n/a	1,200.00	3.0
COBALT	041	F	SS	200,000	7.05	27-Aug	2-Sep	6,000.00	3.0
MILLENIUM PARTNERS	028	F	B	50,000	6.99	27-Aug	2-Sep	2,000.00	4.0
ROYCE TRADING	216	GIL	B	47,200	19.50	21-Sep	21-Sep	2,360.00	5.0
EXIS CAPITAL	044	GPS	B	5,000	22.57	n/a	30-Jan	250.00	5.0
TRELLUS PARTNERS LP	028	IP	C	15,000	23.00	16-Sep	16-Sep	750.00	5.0
CASTLEROCK	040	ISRG	B	13,043	246.96	n/a	n/a	521.72	4.0
MERRILL ASSET/BLACKROCK	214	JACK	B	4,000	21.00	n/a	n/a	180.00	4.5
EXIS CAPITAL	044	JCG	S	2,500	37.17	n/a	30-Jan	125.00	5.0
EXIS CAPITAL	044	JWN	B	5,000	32.29	n/a	21-Sep	250.00	5.0
EXIS CAPITAL	044	KEY	S	25,000	6.59	n/a	n/a	1,250.00	5.0
M&I FUNDS	047	LAZ	B	5,741	38.53	n/a	15-Sep	229.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	LOW	S	25,000	21.65	2-Sep	2-Sep	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	10,970	7.31	n/a	5-Aug	548.50	5.0
DAVIDSON KEMPNER ADVISOR	040	LPX	S	30,000	7.59	n/a	5-Aug	1,500.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	1.45	n/a	4-Jan	1,200.00	6.0
BUCK CAPITAL MGMT	001	MAR	B	40,000	27.57	n/a	n/a	1,600.00	4.0
SACL	044	MAR	SS	55,000	27.56	n/a	n/a	2,200.00	4.0
EXIS CAPITAL	044	MCD	SS	5,000	55.95	n/a	9-Sep	250.00	5.0
CAERUS GLOBAL	041	MPXL	S	12,000	7.75	21-Sep	21-Sep	480.00	4.0
CIRCLE T/SES PART	035	MPXL	S	40,000	7.83	21-Sep	21-Sep	1,600.00	4.0
BASIX	033	MTW	B	75,000	10.33	11-Sep	11-Sep	2,250.00	3.0
BUCK CAPITAL MGMT	001	M	B	60,000	18.84	21-Sep	21-Sep	2,400.00	4.0
EGS ASSOCIATES LP	091	M	B	4,500	18.87	21-Sep	21-Sep	270.00	6.0
EXIS CAPITAL	044	M	S	5,000	18.62	21-Sep	21-Sep	250.00	5.0
WEISS PECK	040	M	C	15,300	18.87	21-Sep	21-Sep	765.00	5.0
REICH AND TANG	067	OMG	S	9,000	30.80	n/a	n/a	450.00	5.0
SOUTH POINT CAP	067	PETM	S	150,000	21.67	n/a	n/a	7,500.00	5.0
EXIS CAPITAL	044	PLCE	B	5,000	29.69	n/a	4-Sep	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	39,800	43.09	21-Sep	21-Sep	1,393.07	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLOW CREEK	033	QCOR	B	10,000	5.45	n/a	n/a	300.00	3.0
FIRST NEW YORK NICK	029	Q	B	50,000	3.53	n/a	n/a	2,500.00	5.0
BALYASNY ASSET MGMT	044	RL	C	30,000	78.05	21-Sep	21-Sep	1,500.00	5.0
JMP ASSET MGMT	210	RRR	B	9,800	7.98	17-Sep	17-Sep	392.00	4.0
MERRILL ASSET/BLACKROCK	214	TEX	B	20,000	19.56	n/a	24-Jul	900.00	4.5
EXIS CAPITAL	044	TGT	S	15,000	48.40	3-Sep	22-Sep	750.00	5.0
EXIS CAPITAL	044	TJX	SS	5,000	38.36	21-Sep	21-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	8.48	n/a	30-Jan	600.00	3.0
SAXON WOODS ADVISORS	038	UPS	B	29,800	58.59	n/a	n/a	1,192.00	4.0
JP MORGAN VENTURES	046	WMT	S	40,000	51.09	11-May	13-Aug	2,000.00	5.0
MATLIN PATTERSON	046	WNR	B	100,000	7.81	n/a	n/a	3,000.00	3.0
SCOPUS FUND	041	WY	B	32,500	39.04	n/a	3-Aug	1,625.00	5.0
TOTAL (Trade Date):								92,963.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/21	EXIS CAPITAL (EXISOPUSGS)	044	CDE	S	3,700	19.51	n/a	n/a	185.00 5.0
AO,CXL	09/21	EXIS CAPITAL (EXISRBC)	044	CDE	S	6,300	19.51	n/a	n/a	315.00 5.0
AO,	09/21	PERMIAN/BAYPIONT (PERMGS)	028	CDE	S	23,000	19.51	n/a	n/a	920.00 4.0
AO,CXL	09/21	EXIS CAPITAL (EXISOPUSGS)	044	DECK	SS	5,500	79.69	n/a	n/a	192.50 3.5
AO,CRT	09/21	EXIS CAPITAL (EXISOPUSGS)	044	DECK	SS	5,500	79.69	n/a	n/a	275.00 5.0
AO,CXL	09/21	EXIS CAPITAL (EXISRBC)	044	DECK	SS	9,500	79.69	n/a	n/a	332.50 3.5
AO,CRT	09/21	EXIS CAPITAL (EXISRBC)	044	DECK	SS	9,500	79.69	n/a	n/a	475.00 5.0
AO,CXL	09/21	EXIS CAPITAL (EXISOPUSGS)	044	KSS	SS	900	54.76	21-Sep	21-Sep	0.27 0.0
AO,CRT	09/21	EXIS CAPITAL (EXISOPUSGS)	044	KSS	SS	900	54.76	21-Sep	21-Sep	45.00 5.0
AO,CXL	09/21	EXIS CAPITAL (EXISRBC)	044	KSS	SS	1,600	54.76	21-Sep	21-Sep	0.48 0.0
AO,CRT	09/21	EXIS CAPITAL (EXISRBC)	044	KSS	SS	1,600	54.76	21-Sep	21-Sep	80.00 5.0
AO,CRT	09/21	SCHOTTENFELD ASSOC (SCHOGROUP)	041	M	S	10,000	18.07	21-Sep	21-Sep	300.00 3.0
AO,CXL	09/21	SCHOTTENFELD ASSOC (SCHOUSE)	041	M	S	10,000	18.07	21-Sep	21-Sep	300.00 3.0
AO,CRT	09/21	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	B	20,000	3.47	n/a	n/a	1000.00 5.0
AO,CXL	09/21	FIRST NEW YORK NICK (FNYNGS)	029	Q	B	20,000	3.47	n/a	n/a	1000.00 5.0
AO,CXL	09/21	HARVEST MGMT (HARVGSCO)	039	RRR	B	10,800	8.00	17-Sep	17-Sep	432.00 4.0
AO,CRT	09/21	JMP ASSET MGMT (JMPABOABA)	210	RRR	B	10,800	8.00	17-Sep	17-Sep	432.00 4.0
AO,CRT	09/21	SACL (SACLLEE)	044	RX	B	50,000	15.51	n/a	n/a	2000.00 4.0
AO,CXL	09/21	SAC TRADIN/BINDER (SACBBINDER)	044	RX	B	50,000	15.51	n/a	n/a	2000.00 4.0
AO,CRT	09/21	SACL (SACLLEE)	044	SNDK	S	50,000	23.01	n/a	n/a	2000.00 4.0
AO,CXL	09/21	SAC TRADIN/BINDER (SACBBINDER)	044	SNDK	S	50,000	23.01	n/a	n/a	2000.00 4.0
AO,CXL	09/21	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	WEN	S	100,000	5.15	n/a	6-Aug	4000.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	09/21	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	WEN	S	100,000	5.15	n/a 6-Aug 3000.00	3.0

TOTAL (AO, CXL, CRT) :									-230.75
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TOTAL (Trade Date) :									92,963.30
TOTAL (AO, CXL, CRT) :									-230.75

TOTAL (RUN DATE) / NFS :									92,732.55
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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