

Daily Compliance Activity Report Trade Date: 10/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					101			TIEIDE (IO	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
TRUST CO/COWEN/CALF.	040	AA	В	159,905	14.25	n/a	n/a	6,396.20	4.0
BUCK CAPITAL MGMT	001	AEO	s	50,000	19.26	n/a	9-0ct	2,000.00	4.0
FRIESS MGMT	033	AEO	В	192,600	19.06	n/a	9-0ct	7,704.00	4.0
NORTHPOINT	030	AMT	S	1,100	39.80	n/a	n/a	44.00	4.0
NEUBERGER BERMAN	036	APH	В	20,250	40.78	n/a	n/a	911.25	4.5
RAINIER INV MGMT	035	BAX	В	247,540	54.95	n/a	n/a	9,901.60	4.0
RAINIER INV MGMT	035	BRY	В	46,050	29.71	n/a	n/a	2,302.50	5.0
CAXTON PART	040	BYI	В	15,000	43.00	n/a	n/a	525.01	3.5
NORTHPOINT	030	CMS	S	14,200	13.68	n/a	n/a	568.00	4.0
DIAMONDBACK CAP MGMT	232	COF	В	25,000	37.16	n/a	15-Oct	1,250.00	5.0
STERLING JOHNSTON	035	CRI	В	20,000	28.49	n/a	n/a	800.00	4.0
STADIA CAPITAL	035	DECK	В	10,000	88.35	n/a	n/a	400.00	4.0
COOPER CREEK PART	028	DKS	В	15,000	25.44	n/a	15-0ct	750.00	5.0
MILLENIUM PARTNERS	028	DKS	В	13,500	25.55	n/a	15-Oct	540.00	4.0
DIAMONDBACK CAP MGMT	232	DOW	S	55,000	26.89	n/a	n/a	2,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	S/Shr.
BNP PARIBAS SEC	040	DVN	В	20,000	71.40	n/a	9-0ct	800.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	В	20,000	1.75	n/a	n/a	1,200.00	6.0
NEUBERGER BERMAN	036	EXPD	S	8,850	34.68	n/a	n/a	398.25	4.5
SOUTH POINT CAP	067	FAS	SS	7,000	91.45	n/a	n/a	350.00	5.0
ROARING BLUE LION MGMT	012	FL	В	27 , 000	11.84	n/a	n/a	1,080.00	4.0
ROYCE TRADING	216	FUL	S	700	22.56	n/a	n/a	35.00	5.0
GREEN ARROW DOUG	040	GCA	S	45 , 000	7.13	n/a	n/a	2,250.00	5.0
BUCK CAPITAL MGMT	001	GE	s	1,400	16.58	n/a	n/a	56.00	4.0
FIRST NY SEC/CHRIS	041	GE	В	50,000	16.61	n/a	n/a	2,000.00	4.0
ROYCE TRADING	216	GPI	S	3,000	32.25	n/a	14-Oct	150.00	5.0
ROYCE TRADING	216	GTI	S	5,000	14.93	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	GYMB	В	5,000	46.80	n/a	9-0ct	250.00	5.0
ROYCE TRADING	216	HAR	S	2,500	37.01	n/a	n/a	125.00	5.0
FRIESS MGMT	033	НСВК	S	492,600	13.24	n/a	15-Oct	19,704.00	4.0
NEUBERGER BERMAN	036	HGG	В	36,500	19.43	n/a	n/a	1,642.50	4.5
PENNANT CAP MGMT	029	HOLX	В	170,000	16.85	n/a	n/a	5,100.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
CRAMER ROSENTHAL/SCOTT	012	HON	S	250 , 875	37.38	n/a	n/a	10,035.00	4.0
HARVEST MGMT	039	HOTT	В	20,000	8.83	n/a	n/a	1,000.00	5.0
ROYCE TRADING	216	HWK	S	5,000	15.88	n/a	n/a	250.00	5.0
ROYCE TRADING	216	HXL	S	5,000	11.69	n/a	n/a	250.00	5.0
SAXON WOODS ADVISORS	038	JNJ	S	140,400	60.49	n/a	n/a	5,616.00	4.0
DSG CAPITAL	225	JNS	В	30,000	15.25	n/a	7-0ct	1,500.00	5.0
BNP PARIBAS SEC	040	JOYG	В	10,000	51.92	n/a	n/a	400.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	В	25,000	40.99	n/a	15-Oct	1,250.00	5.0
STADIA CAPITAL	035	LRCX	В	6,200	36.90	n/a	n/a	248.00	4.0
JP MORGAN VENTURES	046	MAT	В	30,000	19.33	n/a	n/a	1,500.00	5.0
SUN AMERICA ASSET MGMT	030	MGLN	В	6,400	29.60	n/a	n/a	256.00	4.0
DIAMONDBACK CAP MGMT	232	MS	С	15,000	32.66	n/a	15-Oct	750.00	5.0
EXIS CAPITAL	044	М	В	5,000	20.79	n/a	9-0ct	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	В	64,000	21.24	n/a	n/a	2,240.00	3.5
PORTER-ORLIN-FELDMAN	044	OIH	В	30,000	129.06	n/a	n/a	900.00	3.0
	CRAMER ROSENTHAL/SCOTT HARVEST MGMT ROYCE TRADING ROYCE TRADING SAXON WOODS ADVISORS DSG CAPITAL BNP PARIBAS SEC SANDLER O'NEILL ASSET STADIA CAPITAL JP MORGAN VENTURES SUN AMERICA ASSET MGMT DIAMONDBACK CAP MGMT EXIS CAPITAL SYSTEMATIC FINANCIAL MGT	CRAMER ROSENTHAL/SCOTT 012 HARVEST MGMT 039 ROYCE TRADING 216 ROYCE TRADING 216 SAXON WOODS ADVISORS 038 DSG CAPITAL 225 BNP PARIBAS SEC 040 SANDLER O'NEILL ASSET 031 STADIA CAPITAL 035 JP MORGAN VENTURES 046 SUN AMERICA ASSET MGMT 030 DIAMONDBACK CAP MGMT 232 EXIS CAPITAL 044 SYSTEMATIC FINANCIAL MGT 035	CRAMER ROSENTHAL/SCOTT 012 HON HARVEST MGMT 039 HOTT ROYCE TRADING 216 HWK ROYCE TRADING 216 HXL SAXON WOODS ADVISORS 038 JNJ DSG CAPITAL 225 JNS BNP PARIBAS SEC 040 JOYG SANDLER O'NEILL ASSET 031 LAZ STADIA CAPITAL 035 LRCX JP MORGAN VENTURES 046 MAT SUN AMERICA ASSET MGMT 030 MGLN DIAMONDBACK CAP MGMT 232 MS EXIS CAPITAL 044 M SYSTEMATIC FINANCIAL MGT 035 NUS	CRAMER ROSENTHAL/SCOTT 012 HON S HARVEST MGMT 039 HOTT B ROYCE TRADING 216 HWK S ROYCE TRADING 216 HXL S SAXON WOODS ADVISORS 038 JNJ S DSG CAPITAL 225 JNS B BNP PARIBAS SEC 040 JOYG B SANDLER O'NEILL ASSET 031 LAZ B STADIA CAPITAL 035 LRCX B JP MORGAN VENTURES 046 MAT B SUN AMERICA ASSET MGMT 030 MGLN B DIAMONDBACK CAP MGMT 232 MS C EXIS CAPITAL 044 M B SYSTEMATIC FINANCIAL MGT 035 NUS B	CRAMER ROSENTHAL/SCOTT 012 HON S 250,875 HARVEST MGMT 039 HOTT B 20,000 ROYCE TRADING 216 HWK S 5,000 ROYCE TRADING 216 HXL S 5,000 SAXON WOODS ADVISORS 038 JNJ S 140,400 DSG CAPITAL 225 JNS B 30,000 BNP PARIBAS SEC 040 JOYG B 10,000 SANDLER O'NEILL ASSET 031 LAZ B 25,000 STADIA CAPITAL 035 LRCX B 6,200 JP MORGAN VENTURES 046 MAT B 30,000 SUN AMERICA ASSET MGMT 030 MGLN B 6,400 DIAMONDBACK CAP MGMT 232 MS C 15,000 EXIS CAPITAL 044 M B 5,000 SYSTEMATIC FINANCIAL MGT 035 NUS B 64,000	CRAMER ROSENTHAL/SCOTT 012 HON S 250,875 37.38 HARVEST MGMT 039 HOTT B 20,000 8.83 ROYCE TRADING 216 HWK S 5,000 15.88 ROYCE TRADING 216 HXL S 5,000 11.69 SAXON WOODS ADVISORS 038 JNJ S 140,400 60.49 DSG CAPITAL 225 JNS B 30,000 15.25 BNF PARIBAS SEC 040 JOYG B 10,000 51.92 SANDLER O'NEILL ASSET 031 LAZ B 25,000 40.99 STADIA CAPITAL 035 LRCX B 6,200 36.90 JP MORGAN VENTURES 046 MAT B 30,000 19.33 SUN AMERICA ASSET MGMT 030 MGLN B 6,400 29.60 DIAMONDBACK CAP MGMT 232 MS C 15,000 32.66 EXIS CAPITAL 044 M B 5,000 20.79 SYSTEMATIC FINANCIAL MGT 035 NUS B 64,000 21.24	CRAMER ROSENTHAL/SCOTT 012 HON S 250,875 37.38 n/a HARVEST MGMT 039 HOTT B 20,000 8.883 n/a ROYCE TRADING 216 HWK S 5,000 15.88 n/a ROYCE TRADING 216 HXL S 5,000 11.69 n/a SAXON WOODS ADVISORS 038 JNJ S 140,400 60.49 n/a DSG CAPITAL 225 JNS B 30,000 15.25 n/a BNP PARIBAS SEC 040 JOYG B 10,000 51.92 n/a SANDLER O'NEILL ASSET 031 LAZ B 25,000 40.99 n/a STADIA CAPITAL 035 LRCX B 6,200 36.90 n/a JP MORGAN VENTURES 046 MAT B 30,000 19.33 n/a SUN AMERICA ASSET MGMT 030 MGLN B 6,400 29.60 n/a DIAMONDBACK CAP MGMT 232 MS C 15,000 32.66 n/a EXIS CAPITAL 044 M B 5,000 20.79 n/a SYSTEMATIC FINANCIAL MGT 035 NUS B 64,000 21.24 n/a	CRAMER ROSENTHAL/SCOTT 012 HON S 250,875 37.38 n/a n/a HARVEST MGMT 039 HOTT B 20,000 8.83 n/a n/a ROYCE TRADING 216 HWK S 5,000 15.88 n/a n/a ROYCE TRADING 216 HXL S 5,000 11.69 n/a n/a SAXON WOODS ADVISORS 038 JNJ S 140,400 60.49 n/a n/a DSG CAPITAL 225 JNS B 30,000 15.25 n/a 7-Oct BNP PARIBAS SEC 040 JOYG B 10,000 51.92 n/a n/a SANDLER O'NEILL ASSET 031 LAZ B 25,000 40.99 n/a 15-Oct STADIA CAPITAL 035 LRCX B 6,200 36.90 n/a n/a JP MORGAN VENTURES 046 MAT B 30,000 19.33 n/a n/a SUN AMERICA ASSET MGMT 030 MGIN B 6,400 29.60 n/a n/a DIAMONDBACK CAP MGMT 232 MS C 15,000 32.66 n/a 15-Oct EXIS CAPITAL 044 M B 5,000 20.79 n/a 9-Oct SYSTEMATIC FINANCIAL MGT 035 NUS B 64,000 21.24 n/a n/a	CRAMER ROSENTHAL/SCOTT 012 HON S 250,875 37.38

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ROTHSCHILD ASSET	040	ORB	S	7,640	14.70	n/a	n/a	343.80	4.5
NEWLAND CAPITAL MGT	067	OSK	S	5,000	33.56	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	PAG	S	20,000	17.27	n/a	n/a	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	PEP	S	25,000	62.16	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	PKG	SS	25,000	22.05	n/a	12-Oct	1,250.00	5.0
FIRST NEW YORK NICK	029	Q	S	40,000	3.69	n/a	n/a	2,000.00	5.0
SCOPUS FUND	041	RKT	S	7,944	49.58	n/a	n/a	397.20	5.0
DELTEC ASSET MGMT.	040	RRR	В	40,000	7.71	n/a	n/a	1,600.00	4.0
KLEINHEINZ CAP PART	031	RTH	В	25,000	92.41	n/a	n/a	1,250.00	5.0
PENNANT CAP MGMT	029	RVBD	В	50,000	24.27	n/a	n/a	1,500.00	3.0
KENNEDY CAPITAL	046	SOA	S	35,906	12.50	n/a	n/a	1,436.24	4.0
MACKLOWE ASSET MGMT	041	SWY	В	40,000	22.50	n/a	n/a	1,600.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	291,342	50.24	n/a	9-0ct	11,653.68	4.0
ROYCE TRADING	216	TIN	S	5,000	17.70	n/a	12-0ct	250.00	5.0
SCHOTTENFELD ASSOC	041	TIN	В	30,000	17.85	n/a	12-Oct	900.00	3.0
SCOPUS FUND	041	TIN	S	10,000	17.76	n/a	12-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
BALYASNY ASSET MGMT	044	TROW	В	20,000	47.72	n/a	6-0ct	1,000.00	5.0	
BNP PARIBAS SEC	040	TSN	В	5,000	11.96	n/a	n/a	200.00	4.0	
DSG CAPITAL	225	TYC	В	3,000	35.51	n/a	12-0ct	150.00	5.0	
ST OF MICHIAN	047	T	В	160,000	25.82	n/a	n/a	4,800.00	3.0	
EXIS CAPITAL	044	UAUA	S	25,000	7.81	n/a	n/a	1,250.00	5.0	
NEUBERGER BERMAN	036	UTHR	S	7,000	45.00	n/a	n/a	315.00	4.5	
SOUTH POINT CAP	067	UYG	SS	55,000	6.34	n/a	n/a	2,750.00	5.0	
DSG CAPITAL	225	WBC	В	5,000	22.37	n/a	n/a	250.00	5.0	
OVERLAND PARK CAP	041	WEN	В	24,500	4.61	n/a	2-0ct	980.00	4.0	
ROYCE TRADING	216	WFR	В	10,000	15.70	n/a	n/a	500.00	5.0	
BALYASNY ASSET MGMT	044	WL	В	25,000	15.35	n/a	n/a	1,250.00	5.0	
BUCK CAPITAL MGMT	001	WRC	s	10,000	43.70	n/a	2-0ct	400.00	4.0	
BALYASNY ASSET MGMT	044	WYNN	С	25 , 000	65.50	n/a	8-0ct	1,250.00	5.0	
BMO NESBITT BURNS	041	WY	SS	50,000	39.83	n/a	12-0ct	2,500.00	5.0	
WEINTRAUB CAPITAL MGT.	040	WY	S	100,000	39.50	n/a	12-Oct	4,000.00	4.0	
BUCK CAPITAL MGMT	001	хом	s	1,940	72.39	n/a	n/a	77.60	4.0	

TOTAL (Trade Date): 147,481.83

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	10/14	FRIESS MGMT (FRISHEW)	033	AEO	В	600	19.07	n/a	9-0ct	24.00	4.0
AO,	10/14	FRIESS MGMT (FRISHEWMID)	033	AEO	В	600	19.07	n/a	9-0ct	24.00	4.0
AO, CRT	10/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	FO	В	3,100	43.62	n/a	n/a	124.00	4.0
AO,	10/14	BUCK CAPITAL MGMT (BUCKJPMBS)	001	FO	В	26,900	43.62	n/a	n/a	1076.00	4.0
AO, CXL	10/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	FO	В	30,000	43.62	n/a	n/a	1200.00	4.0
AO,CXL	10/14	EXIS CAPITAL (EXISOPUSGS)	044	JCG	SS	3,100	38.36	n/a	n/a	155.00	5.0
AO,CRT	10/14	EXIS CAPITAL (EXISRBC)	044	JCG	SS	3,100	38.36	n/a	n/a	155.00	5.0
AO,	10/09	G WEISS /SASHA (WESSDBDMG)	070	WBC	В	8,000	23.61	n/a	n/a	320.00	4.0
AO,CXL	10/09	G WEISS /SASHA (WESSUBSSAS)	070	WBC	В	8,000	23.61	n/a	n/a	320.00	4.0

TOTAL	(AO, CXL,	CRT):	0.00

TOTAL (RUN DATE) / NFS:	147,481.83
TOTAL (AO, CXL, CRT):	0.00
TOTAL (Trade Date):	147,481.83

Legend:

O: 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