



Daily Compliance Activity Report

Trade Date: 11/04/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ADBE	B	13,900	34.18	n/a	n/a	556.00	4.0
BNP PARIBAS SEC	040	AEO	S	50,000	18.10	n/a	2-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	165,000	17.96	n/a	2-Nov	6,600.00	4.0
EPOCH INV MGMT	030	AET	B	100,000	28.22	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	34.03	n/a	2-Nov	1,200.00	4.0
NEW JERSEY DIV OF INV.	030	ASEI	B	5,000	68.92	n/a	n/a	150.00	3.0
EXIS CAPITAL	044	ATVI	S	25,000	10.64	n/a	n/a	1,250.00	5.0
NEWCASTLE FUNDS	255	AXL	S	25,000	6.51	n/a	2-Nov	1,000.00	4.0
ROSEDALE CAPITAL	046	AXL	B	25,000	6.58	n/a	2-Nov	1,250.00	5.0
PATTEN & PATTEN	067	BAC	S	800	14.88	n/a	26-Oct	40.00	5.0
METROPOLITAN CAPITAL	044	BBY	S	13,200	39.36	n/a	n/a	660.00	5.0
RBC CAPITAL MARKETS	040	BJ	SS	10,000	35.25	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	BP	B	850	57.76	n/a	n/a	42.50	5.0
RBC CAPITAL MARKETS	040	BUCY	B	10,000	48.57	n/a	26-Oct	400.00	4.0
JP MORGAN VENTURES	046	BWS	S	30,000	10.45	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	CAB	B	25,000	12.74	n/a	n/a	1,250.00	5.0
KENNEDY CAPITAL	046	CBK	B	75,000	6.48	n/a	n/a	2,250.00	3.0
RAMIUS CAP	040	CBT	S	142,000	21.36	n/a	29-Oct	5,680.00	4.0
RBC CAPITAL MARKETS	040	CLF	SS	15,000	36.95	n/a	n/a	600.00	4.0
DIAMONDBACK CAP MGMT	232	CPKI	B	16,000	13.65	n/a	3-Nov	800.00	5.0
ROYCE TRADING	216	CR	S	5,000	28.68	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	CUB	B	5,000	33.80	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	CVC	S	31,200	24.25	n/a	n/a	1,404.00	4.5
BALYASNY ASSET MGMT	044	DBRN	S	20,000	18.52	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	D	B	400	35.25	n/a	n/a	20.00	5.0
WINSLOW CAPITAL	030	EBAY	B	21,800	22.68	n/a	n/a	872.00	4.0
ROTHSCHILD ASSET	040	ELS	B	34,550	46.67	n/a	n/a	1,554.75	4.5
SHEFFIELD ASSET MGMT	031	EOG	S	55,400	85.94	n/a	n/a	2,770.00	5.0
PATTEN & PATTEN	067	EP	S	225	9.76	n/a	n/a	11.25	5.0
WINSLOW CAPITAL	030	EQIX	B	8,800	90.95	n/a	n/a	352.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EWC	B	350	24.85	n/a	n/a	17.50	5.0
WINSLOW CAPITAL	030	FAST	B	12,200	36.02	n/a	n/a	488.00	4.0
WINSLOW CAPITAL	030	GILD	B	19,100	44.17	n/a	n/a	764.00	4.0
PATTEN & PATTEN	067	GLD	B	75	107.38	n/a	n/a	3.75	5.0
SIGMA CAPITAL ASSOCIATES	041	GPS	S	75,000	22.27	n/a	n/a	3,000.00	4.0
DENVER INST. ADV	046	GYMB	B	60,100	43.45	n/a	2-Nov	2,404.00	4.0
EXIS CAPITAL	044	IBB	S	15,000	74.74	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	ILF	S	300	45.24	n/a	n/a	15.00	5.0
PLATTE RIVER CAPITAL	240	ITW	B	10,000	47.12	n/a	21-Oct	400.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	50,000	22.14	n/a	3-Nov	2,500.00	5.0
NEW JERSEY DIV OF INV.	030	JAKK	B	20,000	12.30	n/a	n/a	600.00	3.0
RBC CAPITAL MARKETS	040	JCP	SS	45,000	32.76	n/a	2-Nov	1,800.00	4.0
NEW JERSEY DIV OF INV.	030	JJSF	B	10,000	39.48	n/a	n/a	300.00	3.0
NEUBERGER BERMAN	036	JKHY	S	45,000	23.01	n/a	n/a	2,025.00	4.5
HUNTER GLOBAL INVESTOR	067	JPM	S	50,000	43.50	n/a	15-Oct	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	B	30,000	32.86	n/a	2-Nov	1,200.00	4.0
JP MORGAN VENTURES	046	JWN	S	60,000	32.72	n/a	2-Nov	3,000.00	5.0
AVESTA CAP	229	KFT	SS	100,000	26.64	n/a	n/a	4,000.00	4.0
THIRD COAST CAPITAL	035	KSS	S	10,000	57.07	n/a	2-Nov	500.00	5.0
PENN CAPITAL	243	LM	S	12,465	29.50	n/a	3-Nov	498.60	4.0
CAPITAL GROWTH MGMT.	241	MA	S	30,000	226.73	n/a	3-Nov	1,500.00	5.0
JP MORGAN VENTURES	046	MCD	B	10,000	60.71	n/a	23-Oct	500.00	5.0
NEW JERSEY DIV OF INV.	030	METR	B	10,000	11.48	n/a	n/a	300.00	3.0
PATTEN & PATTEN	067	MOT	B	200	9.03	n/a	n/a	10.00	5.0
ISLE RIDGE PARTNERS	041	M	B	65,000	17.77	n/a	2-Nov	2,600.00	4.0
PENN CAPITAL	243	NTLS	S	12,392	15.70	n/a	n/a	495.68	4.0
RBC CAPITAL MARKETS	040	ODFL	B	5,000	24.39	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	ORLY	B	11,300	37.79	n/a	n/a	452.00	4.0
SANDLER O'NEILL ASSET	031	PBCT	B	25,000	15.83	n/a	27-Oct	1,250.00	5.0
WINSLOW CAPITAL	030	PCLN	B	6,900	167.05	n/a	n/a	276.00	4.0
NEUBERGER BERMAN	036	PII	B	55,700	42.69	n/a	n/a	2,506.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PENN CAPITAL	243	PLD	S	19,021	12.11	n/a	n/a	760.84	4.0
DIAMONDBACK CAP MGMT	232	PNK	B	25,000	8.54	n/a	n/a	1,250.00	5.0
PENN CAPITAL	243	PPDI	S	12,192	21.17	n/a	n/a	487.68	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	41.07	n/a	2-Nov	400.00	4.0
FIRST NEW YORK NICK	029	Q	S	10,000	3.52	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	RCL	B	85,800	20.65	n/a	n/a	3,861.00	4.5
PENN CAPITAL	243	RGC	S	11,105	12.66	n/a	n/a	444.20	4.0
PATTEN & PATTEN	067	RIMM	S	110	57.75	n/a	n/a	5.50	5.0
BUCK CAPITAL MGMT	001	RL	S	10,000	76.41	n/a	4-Nov	400.00	4.0
COLUMBIA PARTNERS	028	RL	C	7,475	76.98	n/a	4-Nov	299.00	4.0
NEW JERSEY DIV OF INV.	030	ROVI	B	20,000	27.83	n/a	n/a	600.00	3.0
JP MORGAN VENTURES	046	SGMS	B	15,000	14.96	n/a	n/a	750.00	5.0
NEW JERSEY DIV OF INV.	030	SHAW	B	20,000	26.10	n/a	n/a	600.00	3.0
NEW JERSEY DIV OF INV.	030	STEC	B	150,000	15.79	n/a	n/a	4,500.00	3.0
NEUBERGER BERMAN	036	SXCI	B	40,600	49.70	n/a	n/a	1,827.00	4.5
PARTNER REINSURANCE	033	TGT	S	8,450	49.54	n/a	3-Nov	338.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	TGT	B	5,000	49.62	n/a	3-Nov	200.00	4.0
PATTEN & PATTEN	067	TXN	S	50	23.69	n/a	n/a	2.50	5.0
T. ROWE PRICE	033	UFS	S	89,900	46.52	n/a	n/a	3,596.00	4.0
COOKBIELER	028	UMPQ	B	24,000	9.86	n/a	n/a	960.00	4.0
RBC CAPITAL MARKETS	040	VALE	B	20,000	27.20	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	VFC	S	10,000	71.59	n/a	27-Oct	500.00	5.0
RBC CAPITAL MARKETS	040	WMT	B	5,000	50.00	n/a	3-Nov	200.00	4.0
EGS ASSOCIATES LP	091	WRC	B	5,000	41.64	n/a	2-Nov	300.00	6.0
PATTEN & PATTEN	067	XOM	S	675	71.44	n/a	n/a	33.75	5.0
TPG-AXON	040	XRT	C	87,591	34.64	n/a	n/a	4,379.55	5.0
KLEINHEINZ CAP PART	031	YHOO	B	75,000	15.80	n/a	n/a	3,750.00	5.0
TOTAL (Trade Date) :								107,663.55	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/03	NEW JERSEY DIV OF INV. (NEWJ4340)	030	ASEI	B	15,000	68.24	n/a	n/a	450.00 3.0
AO,CRT	11/03	NEW JERSEY DIV OF INV. (NEWJ5140)	030	ASEI	B	15,000	68.24	n/a	n/a	450.00 3.0
AO,CXL	11/03	BULL PATH CAPITAL (BULLLUBOC)	044	FIG	B	7,000	4.24	n/a	n/a	0.00 0.0
AO,CRT	11/03	BULL PATH CAPITAL (BULLLUBOC)	044	FIG	B	7,000	4.24	n/a	n/a	350.00 5.0
AO,	11/03	DAVIDSON KEMPNER ADVISOR (DAVISB)	040	GDX	SS	5,000	46.05	n/a	n/a	250.00 5.0
AO,CXL	11/02	RAINIER INV MGMT (RAINWIMMID)	035	ITC	B	400	44.65	n/a	n/a	20.00 5.0
AO,	11/02	RAINIER INV MGMT (RAINMASONS)	035	ITC	B	400	44.65	n/a	n/a	20.00 5.0
AO,CXL	10/28	SENATOR INVESTMENT GROUP (SENAGS)	036	IYR	SS	13,500	39.73	n/a	n/a	405.00 3.0
AO,CRT	10/28	SENATOR INVESTMENT GROUP (SENAGS)	036	IYR	SS	13,500	39.73	n/a	n/a	540.00 4.0
AO,	11/03	APEX CAPITAL MGMT. (APEXFIDO)	091	MNTA	B	22,900	9.08	n/a	n/a	687.00 3.0
AO,	11/03	APEX CAPITAL MGMT. (APEXMORGAN)	091	MNTA	B	42,100	9.08	n/a	n/a	1263.00 3.0
AO,CRT	11/03	NEW JERSEY DIV OF INV. (NEWJ4340)	030	RGC	S	10,000	12.65	n/a	n/a	400.00 4.0
AO,CXL	11/03	NEW JERSEY DIV OF INV. (NEWJ5140)	030	RGC	S	10,000	12.65	n/a	n/a	300.00 3.0
AO,CXL	11/03	HUNTER GLOBAL INVESTOR (HUNTMS P)	067	WHR	SS	25,000	71.85	n/a	n/a	750.00 3.0
AO,CRT	11/03	HUNTER GLOBAL INVESTOR (HUNTMS P)	067	WHR	SS	25,000	71.85	n/a	n/a	1250.00 5.0
TOTAL (AO, CXL, CRT) :										3,285.00

TOTAL (Trade Date):	107,663.55
TOTAL (AO, CXL, CRT):	3,285.00

TOTAL (RUN DATE) / NFS:	110,948.55
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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