



Daily Compliance Activity Report

Trade Date: 10/16/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	AA	B	20,000	14.07	n/a	n/a	600.00	3.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	50,000	19.58	n/a	9-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	AM	S	20,000	22.68	n/a	n/a	800.00	4.0
NEWLAND CAPITAL MGT	067	AOS	B	10,000	41.89	n/a	16-Oct	400.00	4.0
CASTLEROCK	040	APC	B	115,262	66.17	n/a	9-Oct	4,610.48	4.0
EXIS CAPITAL	044	ARO	B	5,000	41.50	n/a	9-Oct	250.00	5.0
LAGRANGE CAP ADV	048	AXL	B	15,000	6.35	n/a	n/a	750.00	5.0
TROUBH PART	067	AXL	B	25,000	6.24	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	26.24	n/a	n/a	400.00	4.0
PORTER-ORLIN-FELDMAN	044	BAC	SS	300,000	17.31	n/a	15-Oct	9,000.00	3.0
TROUBH PART	067	BAC	S	75,000	17.22	n/a	15-Oct	3,750.00	5.0
ROYCE TRADING	216	CMC	S	10,000	18.30	n/a	n/a	500.00	5.0
ROYCE TRADING	216	CR	S	3,000	27.20	n/a	n/a	150.00	5.0
ROYCE TRADING	216	CTB	S	10,000	16.93	n/a	n/a	500.00	5.0
HOOVER INV. MGMT	033	CY	S	238,500	9.46	n/a	n/a	9,540.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLONIAL FUND LLC	036	C	B	25,000	4.64	n/a	16-Oct	750.00	3.0
TROUBH PART	067	C	S	100,000	4.59	n/a	16-Oct	5,000.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	15.48	n/a	15-Oct	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	DHR	S	72,000	68.98	n/a	n/a	3,600.00	5.0
ROYCE TRADING	216	EVR	S	2,500	32.50	n/a	n/a	125.00	5.0
SACC-SCHWARTZ	044	FCX	B	20,400	75.81	n/a	n/a	816.00	4.0
JP MORGAN VENTURES	046	FL	B	30,000	11.81	n/a	n/a	1,500.00	5.0
OZ MGMT	040	FL	B	125,000	12.08	n/a	n/a	3,750.00	3.0
PILOT ADV	038	FL	B	100,000	12.03	n/a	n/a	3,000.00	3.0
ROYCE TRADING	216	FOE	S	5,000	8.43	n/a	n/a	250.00	5.0
ROYCE TRADING	216	FOH	S	5,000	1.87	n/a	n/a	150.00	3.0
ROYCE TRADING	216	FUL	S	5,000	22.44	n/a	n/a	250.00	5.0
SMITH MGMT LLC	029	F	B	500,000	7.45	n/a	1-Oct	15,000.00	3.0
ROYCE TRADING	216	GCO	S	5,000	26.20	n/a	n/a	250.00	5.0
ROYCE TRADING	216	GDP	S	5,000	29.68	n/a	n/a	250.00	5.0
KLEINHEINZ CAP PART	031	GLD	SS	100,000	103.53	n/a	n/a	5,000.00	5.0
PRINCIPLE CAPITAL	040	GME	S	75,000	27.72	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	GRB	S	5,000	5.69	n/a	n/a	250.00	5.0
ROYCE TRADING	216	GTI	S	10,000	14.75	n/a	n/a	500.00	5.0
ROYCE TRADING	216	GY	S	5,000	7.05	n/a	n/a	250.00	5.0
HARVEST MGMT	039	HOTT	B	25,000	8.83	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	HOT	B	30,000	34.55	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	100,000	34.34	n/a	9-Oct	4,000.00	4.0
MILLENIUM PARTNERS	028	KR	B	56,000	24.09	n/a	n/a	2,240.00	4.0
ENDEAVOUR CAPITAL	035	LNC	B	85,700	26.33	n/a	n/a	4,285.00	5.0
BMO NESBITT BURNS	041	M	SS	25,000	19.94	n/a	9-Oct	1,250.00	5.0
ROYCE TRADING	216	NPO	S	7,000	23.10	n/a	n/a	350.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	42,300	21.44	n/a	n/a	1,480.50	3.5
LISTED ERR	035	NUS	B	37	21.44	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	PBR	B	50,000	49.91	n/a	n/a	2,500.00	5.0
BACKBAY	041	PKG	SS	50,000	21.99	n/a	12-Oct	2,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	PKG	SS	100,000	22.00	n/a	12-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	43.24	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	RTN	S	15,191	46.54	n/a	n/a	531.69	3.5
EXIS CAPITAL	044	SKS	B	10,000	6.28	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	SKS	S	25,000	6.40	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	SLE	B	20,000	11.08	n/a	n/a	800.00	4.0
FRONTIER	039	SMTC	B	100,000	16.41	n/a	n/a	4,000.00	4.0
PORTER-ORLIN-FELDMAN	044	SPF	SS	50,000	3.51	n/a	n/a	1,500.00	3.0
NEWCASTLE FUNDS	255	TIN	S	200,000	17.61	n/a	12-Oct	9,000.00	4.1
EXIS CAPITAL	044	TJX	B	5,000	37.84	n/a	9-Oct	250.00	5.0
ST OF MICHIAN	047	T	B	200,000	25.69	n/a	n/a	6,000.00	3.0
BUCK CAPITAL MGMT	001	UA	SS	20,000	29.85	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	UPS	B	35,000	56.97	n/a	n/a	1,750.00	5.0
G WEISS /SASHA	070	WFC	C	50,000	30.10	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	1,500	42.70	n/a	2-Oct	60.00	4.0
ROTHSCHILD ASSET	040	WRC	B	24,460	42.73	n/a	2-Oct	1,100.70	4.5
EXIS CAPITAL	044	XRT	SS	15,000	36.35	n/a	n/a	750.00	5.0

TOTAL (Trade Date):

134,239.37

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/15	FRIESS MGMT (FRISJLP)	033	AEO	B	5,900	19.06	n/a	9-Oct	236.00 4.0
AO,	10/15	FRIESS MGMT (FRISJLP)	033	AEO	B	5,900	19.06	n/a	9-Oct	236.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISPHS)	033	AEO	B	3,100	19.06	n/a	9-Oct	124.00 4.0
AO,	10/15	FRIESS MGMT (FRISPHS)	033	AEO	B	3,100	19.06	n/a	9-Oct	124.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISPHPP)	033	AEO	B	1,000	19.06	n/a	9-Oct	40.00 4.0
AO,	10/15	FRIESS MGMT (FRISPHPP)	033	AEO	B	1,000	19.06	n/a	9-Oct	40.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISIHP)	033	AEO	B	4,200	19.06	n/a	9-Oct	168.00 4.0
AO,	10/15	FRIESS MGMT (FRISIHP)	033	AEO	B	4,200	19.06	n/a	9-Oct	168.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISATK)	033	AEO	B	3,200	19.06	n/a	9-Oct	128.00 4.0
AO,	10/15	FRIESS MGMT (FRISATK)	033	AEO	B	3,200	19.06	n/a	9-Oct	128.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISMEG)	033	AEO	B	1,200	19.06	n/a	9-Oct	48.00 4.0
AO,	10/15	FRIESS MGMT (FRISMEG)	033	AEO	B	1,200	19.06	n/a	9-Oct	48.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISEPA)	033	AEO	B	16,900	19.06	n/a	9-Oct	676.00 4.0
AO,	10/15	FRIESS MGMT (FRISEPA)	033	AEO	B	16,900	19.06	n/a	9-Oct	676.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISLANC)	033	AEO	B	5,100	19.06	n/a	9-Oct	204.00 4.0
AO,	10/15	FRIESS MGMT (FRISLANC)	033	AEO	B	5,100	19.06	n/a	9-Oct	204.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISNCCOUN)	033	AEO	B	900	19.06	n/a	9-Oct	36.00 4.0
AO,	10/15	FRIESS MGMT (FRISNCCOUN)	033	AEO	B	900	19.06	n/a	9-Oct	36.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISLIRR)	033	AEO	B	2,700	19.06	n/a	9-Oct	108.00 4.0
AO,	10/15	FRIESS MGMT (FRISLIRR)	033	AEO	B	2,700	19.06	n/a	9-Oct	108.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISCTA)	033	AEO	B	3,300	19.06	n/a	9-Oct	132.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISHEWMID)	033	AEO	B	700	19.06	n/a	9-Oct	28.00 4.0
AO,	10/15	FRIESS MGMT (FRISCTA)	033	AEO	B	3,300	19.06	n/a	9-Oct	132.00 4.0
AO,	10/15	FRIESS MGMT (FRISHEWMID)	033	AEO	B	700	19.06	n/a	9-Oct	28.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISMARSH)	033	AEO	B	9,900	19.06	n/a	9-Oct	396.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISMOLL)	033	AEO	B	2,200	19.06	n/a	9-Oct	88.00 4.0
AO,	10/15	FRIESS MGMT (FRISMARSH)	033	AEO	B	9,900	19.06	n/a	9-Oct	396.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/15	FRIESS MGMT (FRISMOLL)	033	AEO	B	2,200	19.06	n/a	9-Oct	88.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISWINTER)	033	AEO	B	800	19.06	n/a	9-Oct	32.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISVNSP)	033	AEO	B	400	19.06	n/a	9-Oct	16.00 4.0
AO,	10/15	FRIESS MGMT (FRISWINTER)	033	AEO	B	800	19.06	n/a	9-Oct	32.00 4.0
AO,	10/15	FRIESS MGMT (FRISVNSP)	033	AEO	B	400	19.06	n/a	9-Oct	16.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISGUNP)	033	AEO	B	5,500	19.06	n/a	9-Oct	220.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISNHRP)	033	AEO	B	500	19.06	n/a	9-Oct	20.00 4.0
AO,	10/15	FRIESS MGMT (FRISGUNP)	033	AEO	B	5,500	19.06	n/a	9-Oct	220.00 4.0
AO,	10/15	FRIESS MGMT (FRISNHRP)	033	AEO	B	500	19.06	n/a	9-Oct	20.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISLONGWO)	033	AEO	B	9,600	19.06	n/a	9-Oct	384.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISDMBA)	033	AEO	B	2,200	19.06	n/a	9-Oct	88.00 4.0
AO,	10/15	FRIESS MGMT (FRISLONGWO)	033	AEO	B	9,600	19.06	n/a	9-Oct	384.00 4.0
AO,	10/15	FRIESS MGMT (FRISDMBA)	033	AEO	B	2,200	19.06	n/a	9-Oct	88.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISBRANDY)	033	AEO	B	66,300	19.06	n/a	9-Oct	2652.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISVNS)	033	AEO	B	2,100	19.06	n/a	9-Oct	84.00 4.0
AO,	10/15	FRIESS MGMT (FRISBRANDY)	033	AEO	B	66,300	19.06	n/a	9-Oct	2652.00 4.0
AO,	10/15	FRIESS MGMT (FRISVNS)	033	AEO	B	2,100	19.06	n/a	9-Oct	84.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISCATH)	033	AEO	B	1,000	19.06	n/a	9-Oct	40.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISVAOP)	033	AEO	B	1,500	19.06	n/a	9-Oct	60.00 4.0
AO,	10/15	FRIESS MGMT (FRISCATH)	033	AEO	B	1,000	19.06	n/a	9-Oct	40.00 4.0
AO,	10/15	FRIESS MGMT (FRISVAOP)	033	AEO	B	1,500	19.06	n/a	9-Oct	60.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISCORN)	033	AEO	B	4,600	19.06	n/a	9-Oct	184.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISKAMN)	033	AEO	B	2,500	19.06	n/a	9-Oct	100.00 4.0
AO,	10/15	FRIESS MGMT (FRISCORN)	033	AEO	B	4,600	19.06	n/a	9-Oct	184.00 4.0
AO,	10/15	FRIESS MGMT (FRISKAMN)	033	AEO	B	2,500	19.06	n/a	9-Oct	100.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISLIR 2)	033	AEO	B	2,800	19.06	n/a	9-Oct	112.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISUCAN)	033	AEO	B	2,700	19.06	n/a	9-Oct	108.00 4.0
AO,	10/15	FRIESS MGMT (FRISLIR 2)	033	AEO	B	2,800	19.06	n/a	9-Oct	112.00 4.0
AO,	10/15	FRIESS MGMT (FRISUCAN)	033	AEO	B	2,700	19.06	n/a	9-Oct	108.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISIHG)	033	AEO	B	3,100	19.06	n/a	9-Oct	124.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/15	FRIESS MGMT (FRISSAMAC)	033	AEO	B	400	19.06	n/a	9-Oct	16.00 4.0
AO,	10/15	FRIESS MGMT (FRISIHG)	033	AEO	B	3,100	19.06	n/a	9-Oct	124.00 4.0
AO,	10/15	FRIESS MGMT (FRISSAMAC)	033	AEO	B	400	19.06	n/a	9-Oct	16.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISUDEAC)	033	AEO	B	2,200	19.06	n/a	9-Oct	88.00 4.0
AO,	10/15	FRIESS MGMT (FRISUDEAC)	033	AEO	B	2,200	19.06	n/a	9-Oct	88.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISFE)	033	AEO	B	4,200	19.06	n/a	9-Oct	168.00 4.0
AO,	10/15	FRIESS MGMT (FRISFE)	033	AEO	B	4,200	19.06	n/a	9-Oct	168.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISAZNUS)	033	AEO	B	6,900	19.06	n/a	9-Oct	276.00 4.0
AO,	10/15	FRIESS MGMT (FRISAZNUS)	033	AEO	B	6,900	19.06	n/a	9-Oct	276.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISNCFCL)	033	AEO	B	1,100	19.06	n/a	9-Oct	44.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISTELC)	033	AEO	B	1,800	19.06	n/a	9-Oct	72.00 4.0
AO,	10/15	FRIESS MGMT (FRISTELC)	033	AEO	B	1,800	19.06	n/a	9-Oct	72.00 4.0
AO,	10/15	FRIESS MGMT (FRISPSD)	033	AEO	B	1,100	19.06	n/a	9-Oct	44.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISHAM)	033	AEO	B	2,600	19.06	n/a	9-Oct	104.00 4.0
AO,	10/15	FRIESS MGMT (FRISHAM)	033	AEO	B	2,600	19.06	n/a	9-Oct	104.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISTEAMNY)	033	AEO	B	1,800	19.06	n/a	9-Oct	72.00 4.0
AO,	10/15	FRIESS MGMT (FRISTEAMNY)	033	AEO	B	1,800	19.06	n/a	9-Oct	72.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISOCE)	033	AEO	B	600	19.06	n/a	9-Oct	24.00 4.0
AO,	10/15	FRIESS MGMT (FRISOCE)	033	AEO	B	600	19.06	n/a	9-Oct	24.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISMUFD)	033	AEO	B	1,500	19.06	n/a	9-Oct	60.00 4.0
AO,	10/15	FRIESS MGMT (FRISMUFD)	033	AEO	B	1,500	19.06	n/a	9-Oct	60.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISMU)	033	AEO	B	1,200	19.06	n/a	9-Oct	48.00 4.0
AO,	10/15	FRIESS MGMT (FRISMU)	033	AEO	B	1,200	19.06	n/a	9-Oct	48.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISLGH)	033	AEO	B	1,500	19.06	n/a	9-Oct	60.00 4.0
AO,	10/15	FRIESS MGMT (FRISLGH)	033	AEO	B	1,500	19.06	n/a	9-Oct	60.00 4.0
AO,CXL	10/15	FRIESS MGMT (FRISNAMB)	033	AEO	B	900	19.06	n/a	9-Oct	36.00 4.0
AO,	10/15	FRIESS MGMT (FRISNAMB)	033	AEO	B	900	19.06	n/a	9-Oct	36.00 4.0
AO,CXL	10/13	PAULSON & CO INC (PAULBS)	041	AGU	SS	37,100	51.83	n/a	n/a	1113.00 3.0
AO,CRT	10/13	PAULSON & CO INC (PAULDEUTSH)	041	AGU	SS	37,100	51.83	n/a	n/a	1113.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/14	FORD FDN. (FORDMAIN)	032	CEPH	B	45,000	54.28	n/a	15-Oct	2250.00	5.0
AO,CRT	10/14	FORD FDN. (FORDMAIN)	032	CEPH	B	45,000	54.28	n/a	15-Oct	1800.00	4.0
AO,CXL	10/13	PAULSON & CO INC (PAULBS)	041	CF	B	20,000	89.06	n/a	n/a	600.00	3.0
AO,CRT	10/13	PAULSON & CO INC (PAULDEUTSH)	041	CF	B	20,000	89.06	n/a	n/a	600.00	3.0
AO,CXL	10/15	COOPER CREEK PART (COOPGS)	028	DKS	B	15,000	25.44	n/a	15-Oct	750.00	5.0
AO,CRT	10/15	COOPER CREEK PART (COOPGS)	028	DKS	B	15,000	25.44	n/a	15-Oct	600.00	4.0
AO,CXL	10/15	HARVEST MGMT (HARVGSCO)	039	HOTT	B	20,000	8.83	n/a	n/a	1000.00	5.0
AO,CRT	10/15	HARVEST MGMT (HARVGSCO)	039	HOTT	B	20,000	8.83	n/a	n/a	600.00	3.0
AO,CXL	10/14	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	MMM	B	131,500	76.51	n/a	n/a	5260.00	4.0
AO,CRT	10/14	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	MMM	B	131,500	76.51	n/a	n/a	6575.00	5.0
AO,CXL	10/15	SOUTH POINT CAP (SOPOFIDO)	067	UYG	SS	55,000	6.34	n/a	n/a	2750.00	5.0
AO,CRT	10/15	SOUTH POINT CAP (SOPOFIDO)	067	UYG	SS	55,000	6.34	n/a	n/a	2200.00	4.0

TOTAL (AO, CXL, CRT) :	-235.00
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TOTAL (Trade Date) :	134,239.37
TOTAL (AO, CXL, CRT) :	-235.00

TOTAL (RUN DATE) / NFS :	134,004.37
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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