



## Daily Compliance Activity Report

Trade Date: 11/05/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	ADSK	S	4,000	25.26	n/a	n/a	120.00	3.0
ADAGE CAPITAL MGMT	030	AEO	B	114,522	15.96	n/a	2-Nov	4,580.88	4.0
JP MORGAN VENTURES	046	AEO	B	20,000	15.78	n/a	2-Nov	1,000.00	5.0
THIRD COAST CAPITAL	035	AEO	S	15,000	15.75	n/a	2-Nov	750.00	5.0
RBC CAPITAL MARKETS	040	ANF	SS	5,000	33.19	n/a	2-Nov	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	34.99	n/a	2-Nov	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>200,000</b>	<b>33.04</b>	<b>n/a</b>	<b>2-Nov</b>	<b>8,000.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ARO	B	5,000	34.13	n/a	2-Nov	200.00	4.0
RBC CAPITAL MARKETS	040	AXL	S	40,000	6.87	n/a	2-Nov	1,600.00	4.0
HUNTER GLOBAL INVESTOR	067	AXP	S	50,000	36.60	n/a	4-Nov	2,500.00	5.0
RBC CAPITAL MARKETS	040	BKE	SS	5,000	30.34	n/a	n/a	200.00	4.0
NEW JERSEY DIV OF INV.	030	BK	S	100,000	26.27	n/a	21-Oct	4,000.00	4.0
BAIRD INVESTMENT	047	BUCY	S	8,600	49.82	n/a	26-Oct	430.00	5.0
BALYASNY ASSET MGMT	044	BX	B	25,000	13.65	n/a	n/a	1,250.00	5.0
NEW JERSEY DIV OF INV.	030	CEG	S	20,000	32.49	n/a	n/a	800.00	4.0
NEW JERSEY DIV OF INV.	030	CERN	B	10,000	76.98	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	COST	B	5,000	58.19	n/a	n/a	200.00	4.0
TPG-AXON	040	CPB	C	70,000	32.02	n/a	n/a	3,500.00	5.0
CAXTON PART	040	CSCO	B	15,159	23.96	n/a	n/a	530.57	3.5
MARINER/TRICADIA	041	CXW	B	20,000	24.62	n/a	n/a	1,000.00	5.0
AVESTA CAP	229	DIS	B	200,000	28.75	n/a	n/a	8,000.00	4.0
OVERLAND PARK CAP	041	DRI	B	10,500	32.80	n/a	2-Oct	420.00	4.0
RBC CAPITAL MARKETS	040	FL	SS	10,000	10.43	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	FOR	B	25,000	16.24	n/a	5-Nov	1,250.00	5.0
RBC CAPITAL MARKETS	040	FOR	B	40,000	16.51	n/a	5-Nov	1,600.00	4.0
THIRD COAST CAPITAL	035	FOR	B	5,000	16.25	n/a	5-Nov	250.00	5.0
BAIRD INVESTMENT	047	FWLT	B	10,825	31.39	n/a	n/a	541.25	5.0
S.A.C. CAP/ORENSTEIN	044	F	S	250,000	7.37	n/a	4-Nov	10,000.00	4.0
RBC CAPITAL MARKETS	040	GPS	SS	20,000	22.30	n/a	n/a	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	25,000	22.93	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	GYMB	B	65,000	41.12	n/a	2-Nov	3,250.00	5.0
DAVIDSON INV ADV	035	GYMB	B	32,305	40.95	n/a	2-Nov	1,292.20	4.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	15,000	41.86	n/a	2-Nov	600.00	4.0
CATAPULT	040	ID	B	14,669	5.98	n/a	n/a	586.76	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACKLOWE ASSET MGMT	041	IGT	S	50,000	18.53	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	INTC	B	25,000	18.89	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	IP	S	50,000	23.47	n/a	28-Oct	2,500.00	5.0
NEW JERSEY DIV OF INV.	030	JAKK	B	20,000	11.87	n/a	n/a	600.00	3.0
NEW JERSEY DIV OF INV.	030	JAVA	S	350,000	8.29	n/a	n/a	10,500.00	3.0
ADAGE CAPITAL MGMT	030	JCP	SS	200,000	30.13	n/a	2-Nov	8,000.00	4.0
RBC CAPITAL MARKETS	040	JCP	SS	5,000	30.55	n/a	2-Nov	200.00	4.0
NEUBERGER BERMAN	036	JNS	S	480,000	13.09	n/a	3-Nov	21,600.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>10,000</b>	<b>32.92</b>	<b>n/a</b>	<b>2-Nov</b>	<b>400.00</b>	<b>4.0</b>
THE BOSTON COMPANY	039	KCP	S	11,000	9.95	n/a	n/a	440.00	4.0
ELM RIDGE ADVISORS	044	KPPC	S	23,900	7.10	n/a	n/a	717.00	3.0
KENNEDY CAPITAL	046	KPPC	B	50,000	7.11	n/a	n/a	1,500.00	3.0
BASCOM HILL PARTNERS LLC	033	KSS	SS	15,000	55.95	n/a	2-Nov	450.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>150,000</b>	<b>54.29</b>	<b>n/a</b>	<b>2-Nov</b>	<b>6,000.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	KSS	B	20,000	54.28	n/a	2-Nov	1,000.00	5.0
BALYASNY ASSET MGMT	044	LM	C	50,000	30.29	n/a	3-Nov	2,500.00	5.0
SCOPUS FUND	041	LPX	S	80,200	6.17	n/a	4-Nov	4,010.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.22	n/a	n/a	600.00	6.0
DAVIDSON KEMPNER ADVISOR	040	MOT	S	25,000	9.28	n/a	n/a	1,250.00	5.0
ROSEDALE CAPITAL	046	MYL	S	10,000	17.23	n/a	2-Nov	500.00	5.0
WEISS PECK	040	M	C	4,380	17.18	n/a	2-Nov	219.00	5.0
<b>COHE &amp; STEERS</b>	<b>091</b>	<b>PCL</b>	<b>S</b>	<b>500,000</b>	<b>32.90</b>	<b>n/a</b>	<b>30-Oct</b>	<b>20,000.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	POT	S	7,500	94.17	n/a	n/a	300.00	4.0
JP MORGAN VENTURES	046	PVH	S	10,000	41.40	n/a	2-Nov	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	ROCK	S	6,320	13.65	n/a	n/a	189.60	3.0
NEW JERSEY DIV OF INV.	030	SANM	B	160,000	8.11	n/a	n/a	4,800.00	3.0
HOLLIS CAPITAL	033	SII	B	5,000	29.18	n/a	n/a	250.00	5.0
THIRD COAST CAPITAL	035	SKS	B	40,000	5.64	n/a	n/a	2,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>30,000</b>	<b>22.76</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
ADAGE CAPITAL MGMT	030	SMG	SS	30,000	42.83	n/a	n/a	1,200.00	4.0
NEUBERGER BERMAN	036	SPG	S	10,600	68.55	n/a	n/a	477.00	4.5
DAVIDSON KEMPNER ADVISOR	040	SPY	C	2,025	106.63	n/a	n/a	101.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	STEC	B	50,000	14.40	n/a	n/a	1,500.00	3.0
SANDLER O'NEILL ASSET	031	STT	B	25,000	41.15	n/a	23-Oct	1,250.00	5.0
RBC CAPITAL MARKETS	040	TGT	B	5,000	49.06	n/a	5-Nov	200.00	4.0
THIRD COAST CAPITAL	035	TGT	B	4,000	49.29	n/a	5-Nov	200.00	5.0
BMO NESBITT BURNS	041	TIN	B	25,000	15.90	n/a	22-Oct	1,250.00	5.0
TPG-AXON	040	TWC	B	300,000	40.43	n/a	n/a	15,000.00	5.0
SUN AMERICA ASSET MGMT	030	T	B	30,000	25.91	n/a	n/a	1,200.00	4.0
NEW JERSEY DIV OF INV.	030	UNH	S	100,000	28.03	n/a	n/a	4,000.00	4.0
THE BOSTON COMPANY	039	URBN	S	130,860	31.55	n/a	n/a	5,234.40	4.0
THIRD COAST CAPITAL	035	URBN	B	10,000	30.87	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	VNO	S	13,100	61.02	n/a	n/a	589.50	4.5
WAGONHOUND/NIC	048	WBC	B	5,675	23.53	n/a	29-Oct	227.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	41.62	n/a	5-Nov	2,000.00	4.0
GRUSS CAPITAL	045	WSM	B	20,000	19.13	n/a	n/a	600.00	3.0
PAW PARTNERS	045	YHOO	B	20,000	15.89	n/a	n/a	1,000.00	5.0

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**TOTAL (Trade Date):**

**193,656.41**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/04	ROSEDALE CAPITAL (ROSEGS)	046	AXL	B	25,000	6.58	n/a	2-Nov	1250.00 5.0
AO,CRT	11/04	ROSEDALE CAPITAL (ROSEGS)	046	AXL	B	25,000	6.58	n/a	2-Nov	1000.00 4.0
AO,CRT	11/04	WINSLOW CAPITAL (WINS124)	030	GILD	B	500	44.17	n/a	n/a	20.00 4.0
AO,CXL	11/04	WINSLOW CAPITAL (WINS41)	030	GILD	B	500	44.17	n/a	n/a	20.00 4.0
AO,CXL	11/03	NEW JERSEY DIV OF INV. (NEWJ4340)	030	RGC	S	10,000	12.65	n/a	n/a	400.00 4.0
AO,CRT	11/03	NEW JERSEY DIV OF INV. (NEWJ4340)	030	RGC	S	10,000	12.65	n/a	n/a	300.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-350.00</b>
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TOTAL (Trade Date) :	193,656.41
TOTAL (AO, CXL, CRT) :	-350.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>193,306.41</b>
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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