



## Daily Compliance Activity Report

Trade Date: 09/04/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STELLIAM INV ADV	034	AMAT	B	25,000	13.30	n/a	n/a	1,250.00	5.0
GREEN ARROW DOUG	040	AVP	S	15,000	30.35	3-Aug	3-Aug	750.00	5.0
LAGRANGE CAP ADV	048	AXL	B	10,000	5.73	19-Aug	2-Sep	500.00	5.0
STADIA CAPITAL	035	BEN	B	14,900	92.81	4-Sep	4-Sep	596.00	4.0
GREEN ARROW DOUG	040	BYD	SS	25,000	9.60	n/a	7-Aug	1,250.00	5.0
GREEN ARROW DOUG	040	DECK	S	5,000	63.14	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DPZ</b>	<b>B</b>	<b>20,000</b>	<b>8.03</b>	<b>n/a</b>	<b>24-Apr</b>	<b>600.00</b>	<b>3.0</b>
LAGRANGE CAP ADV	048	DTG	SS	20,000	21.13	n/a	n/a	1,000.00	5.0
UBS OCONNOR	031	FII	B	40,000	25.19	3-Aug	2-Sep	1,200.00	3.0
PILOT ADV	038	FL	B	50,000	10.73	27-Aug	27-Aug	2,000.00	4.0
EMERSON CAPITAL MGMT	048	GE	SS	7,000	13.83	n/a	n/a	280.00	4.0
SCOPUS FUND	041	GE	B	100,000	13.44	n/a	n/a	5,000.00	5.0
ARMATURE CAPITAL	041	IP	S	1,000	22.47	14-Aug	14-Aug	40.00	4.0
BAIRD INVESTMENT	047	IVZ	B	28,050	21.12	6-Aug	4-Sep	1,402.50	5.0
TROUBH PART	067	IVZ	B	25,000	21.49	6-Aug	4-Sep	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	JAH	S	10,000	23.99	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	LVS	S	25,000	14.61	14-Aug	26-Aug	1,250.00	5.0
CATAPULT	040	MMM	SS	25,000	71.15	7-Aug	7-Aug	1,250.00	5.0
TRUSTCO/SUNTRUST	040	MTW	B	167,592	6.82	n/a	7-Aug	6,536.07	3.9
T. ROWE PRICE	033	NWL	S	123,400	13.97	n/a	n/a	4,936.00	4.0
HIGHBRIDGE CAPITAL	038	RAI	SS	4,346	45.91	n/a	n/a	217.30	5.0
LAGRANGE CAP ADV	048	SFI	B	35,800	2.02	n/a	n/a	1,074.00	3.0
LAGRANGE CAP ADV	048	SHLD	B	2,000	62.40	n/a	n/a	100.00	5.0
ARMATURE CAPITAL	041	SOA	S	5,000	11.73	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	25,000	21.32	n/a	27-Jul	1,000.00	4.0
DALTON GREINER	012	SSI	S	23,500	12.55	n/a	4-Sep	1,175.00	5.0
TRUSTCO/SUNTRUST	040	SSI	S	31,700	12.49	n/a	4-Sep	1,236.31	3.9
PRINCIPLE CAPITAL	040	SVNT	B	30,000	14.64	n/a	n/a	900.00	3.0
TROUBH PART	067	TGT	SS	25,000	46.99	3-Sep	3-Sep	1,250.00	5.0
BMO NESBITT BURNS	041	UFS	B	25,000	35.15	n/a	n/a	1,250.00	5.0
LAGRANGE CAP ADV	048	UFS	SS	5,000	35.18	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	VAL	S	20,000	26.20	n/a	n/a	1,000.00	5.0
SCHOTTENFELD ASSOC	041	WY	S	1,700	37.15	n/a	3-Aug	51.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>WY</b>	<b>S</b>	<b>2</b>	<b>36.64</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
MILLENIU PARTNERS	028	XHB	SS	26,000	15.03	n/a	n/a	1,040.00	4.0
MILLENIU PARTNERS	028	XLP	SS	13,000	24.82	n/a	n/a	520.00	4.0
<b>TOTAL (Trade Date):</b>								<b>43,104.18</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/03	PENN CAPITAL (PENNFINANC)	243	AMG	B	25	62.93	3-Aug	2-Sep	1.00 4.0
AO,	09/03	PENN CAPITAL (PENNFINANC)	243	AMG	B	25	62.93	3-Aug	2-Sep	1.00 4.0
AO,CXL	09/03	PENN CAPITAL (PENNHAWVEB)	243	AMG	B	275	62.93	3-Aug	2-Sep	11.00 4.0
AO,	09/03	PENN CAPITAL (PENNHAWVEB)	243	AMG	B	275	62.93	3-Aug	2-Sep	11.00 4.0
AO,CXL	09/03	PENN CAPITAL (PENNHAWMPT)	243	AMG	B	1,835	62.93	3-Aug	2-Sep	73.40 4.0
AO,	09/03	PENN CAPITAL (PENNHAWMPT)	243	AMG	B	1,835	62.93	3-Aug	2-Sep	73.40 4.0
AO,CXL	09/03	PENN CAPITAL (PENNALASKA)	243	AMG	B	130	62.93	3-Aug	2-Sep	54.16 41.7
AO,CXL	09/03	SOUTH POINT CAP (SOPOFIDO)	067	DTV	B	250,000	24.52	n/a	4-Jan	7500.00 3.0
AO,CRT	09/03	SOUTH POINT CAP (SOPOFIDO)	067	DTV	B	250,000	24.52	n/a	4-Jan	12500.00 5.0
AO,CXL	09/03	FARALLON CAP MGMT (FARABULK F)	040	JAVA	S	585,900	9.13	n/a	n/a	23436.00 4.0
AO,CRT	09/03	FARALLON CAP MGMT (FARABULK F)	040	JAVA	S	585,900	9.13	n/a	n/a	11718.00 2.0
AO,CXL	09/03	BUCK CAPITAL MGMT (BUCKJPMBS)	001	TLB	SS	18,000	6.41	n/a	30-Jan	720.00 4.0
AO,CRT	09/03	BUCK CAPITAL MGMT (BUCKJPMBS)	001	TLB	SS	18,000	6.41	n/a	30-Jan	540.00 3.0
AO,CXL	09/03	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	SS	2,000	6.41	n/a	30-Jan	80.00 4.0
AO,CRT	09/03	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	SS	2,000	6.41	n/a	30-Jan	60.00 3.0
AO,	09/03	LISTED ERR (LISTED ERR)	099	WY	B	2	36.49	n/a	3-Aug	0.00 0.0
AO,CXL	09/03	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	WY	B	173,802	36.49	n/a	3-Aug	6952.08 4.0
AO,CRT	09/03	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	WY	B	173,800	36.49	n/a	3-Aug	6952.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-6,972.24</b>

TOTAL (Trade Date):	43,104.18
TOTAL (AO, CXL, CRT):	-6,972.24

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>36,131.94</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