

Daily Compliance Activity Report Trade Date: 11/06/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
BUCK CAPITAL MGMT	001	ANF	s	120,000	34.83	n/a	6-Nov	4,800.00	4.0
APEX CAPITAL MGMT.	091	ARO	В	45,000	33.38	n/a	6-Nov	1,800.00	4.0
EXIS CAPITAL	044	ARO	В	25,000	33.60	n/a	6-Nov	1,250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	AXL	В	100,000	6.69	n/a	2-Nov	5,000.00	5.0
NEWCASTLE FUNDS	255	AXL	S	25,000	6.82	n/a	2-Nov	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	BAC	S	100,000	14.92	n/a	26-0ct	5,000.00	5.0
JP MORGAN VENTURES	046	BAC	S	200,000	14.94	n/a	26-Oct	6,000.00	3.0
RBC CAPITAL MARKETS	040	BWA	В	20,000	31.58	n/a	6-Nov	800.00	4.0
RWC PARTNERS LTD	067	BWA	В	15,100	31.85	n/a	6-Nov	453.00	3.0
HOLLIS CAPITAL	033	CBS	В	10,000	12.54	n/a	n/a	500.00	5.0
CUMBERLAND	239	СНК	В	5,000	24.93	n/a	n/a	200.00	4.0
CADIAN CAPITAL	067	CHS	SS	50,000	12.20	n/a	n/a	2,000.00	4.0
ROSEDALE CAPITAL	046	COG	В	10,000	40.02	n/a	2-Nov	500.00	5.0
BASIX	033	FL	S	23,000	10.49	n/a	n/a	690.00	3.0
RBC CAPITAL MARKETS	040	FOR	В	10,000	16.59	n/a	5-Nov	400.00	4.0
ROSEDALE CAPITAL	046	F	В	20,000	7.37	n/a	4-Nov	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
BUCK CAPITAL MGMT SIGMA CAPITAL ASSOCIATES	001 041	GPS GPS	s B	25,000 25,000	22.85 23.00	n/a n/a	n/a n/a	1,000.00 1,000.00	4.0 4.0
BUCK CAPITAL MGMT	001	HBI	S	20,000	24.76	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	HD	SS	10,000	25.93	n/a	n/a	400.00	4.0
RWC PARTNERS LTD	067	HUBG	В	90,300	26.64	n/a	n/a	2,709.00	3.0
EXIS CAPITAL	044	INTC	В	25,000	19.03	n/a	n/a	1,250.00	5.0
SENATOR INVESTMENT GROUP	036	IYR	SS	20,000	40.66	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	JNS	S	145,400	13.10	n/a	3-Nov	6,543.00	4.5
DIAMONDBACK CAP MGMT	232	JPM	В	25,000	43.12	n/a	15-Oct	1,250.00	5.0
THE BOSTON COMPANY	039	KCP	S	11,900	9.90	n/a	n/a	476.00	4.0
DIAMONDBACK CAP MGMT	232	KEY	S	150,000	5.75	n/a	n/a	7,500.00	5.0
PRINCIPLE CAPITAL	040	LAMR	SS	50,000	29.08	n/a	n/a	1,500.00	3.0
SUN AMERICA ASSET MGMT	030	LMT	В	61,300	72.80	n/a	22-0ct	2,452.00	4.0
BUCK CAPITAL MGMT	001	LOW	SS	10,000	20.54	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	MCD	В	71,600	61.38	n/a	5-Nov	2,864.00	4.0
ROSEDALE CAPITAL	046	MRK	В	10,000	32.48	n/a	n/a	500.00	5.0
	BUCK CAPITAL MGMT SIGMA CAPITAL ASSOCIATES BUCK CAPITAL MGMT BUCK CAPITAL MGMT RWC PARTNERS LTD EXIS CAPITAL SENATOR INVESTMENT GROUP NEUBERGER BERMAN DIAMONDBACK CAP MGMT THE BOSTON COMPANY DIAMONDBACK CAP MGMT PRINCIPLE CAPITAL SUN AMERICA ASSET MGMT BUCK CAPITAL MGMT SUN AMERICA ASSET MGMT	BUCK CAPITAL MGMT 001 SIGMA CAPITAL ASSOCIATES 041 BUCK CAPITAL MGMT 001 BUCK CAPITAL MGMT 001 RWC PARTNERS LTD 067 EXIS CAPITAL 044 SENATOR INVESTMENT GROUP 036 NEUBERGER BERMAN 036 DIAMONDBACK CAP MGMT 232 THE BOSTON COMPANY 039 DIAMONDBACK CAP MGMT 232 PRINCIPLE CAPITAL 040 SUN AMERICA ASSET MGMT 030 BUCK CAPITAL MGMT 030 SUN AMERICA ASSET MGMT 030	BUCK CAPITAL MGMT 001 GPS SIGMA CAPITAL ASSOCIATES 041 GPS BUCK CAPITAL MGMT 001 HBI BUCK CAPITAL MGMT 001 HD RWC PARTNERS LTD 067 HUBG EXIS CAPITAL 044 INTC SENATOR INVESTMENT GROUP 036 IYR NEUBERGER BERMAN 036 JNS DIAMONDBACK CAP MGMT 232 JPM THE BOSTON COMPANY 039 KCP DIAMONDBACK CAP MGMT 232 KEY PRINCIPLE CAPITAL 040 LAMR SUN AMERICA ASSET MGMT 030 LMT BUCK CAPITAL MGMT 030 MCD	BUCK CAPITAL MGMT SIGMA CAPITAL ASSOCIATES 041 GPS B BUCK CAPITAL MGMT O01 HBI S BUCK CAPITAL MGMT O01 HD SS RWC PARTNERS LTD O67 HUBG B EXIS CAPITAL O44 INTC B SENATOR INVESTMENT GROUP 036 IYR SS NEUBERGER BERMAN O36 JNS S DIAMONDBACK CAP MGMT 232 JPM B THE BOSTON COMPANY O39 KCP S DIAMONDBACK CAP MGMT 232 KEY S PRINCIPLE CAPITAL O40 LAMR SS SUN AMERICA ASSET MGMT O01 LOW SS SUN AMERICA ASSET MGMT O01 LOW SS	BUCK CAPITAL MGMT 001 GPS S 25,000 SIGMA CAPITAL ASSOCIATES 041 GPS B 25,000 BUCK CAPITAL MGMT 001 HBI S 20,000 BUCK CAPITAL MGMT 001 HD SS 10,000 RWC PARTNERS LTD 067 HUBG B 90,300 EXIS CAPITAL 044 INTC B 25,000 SENATOR INVESTMENT GROUP 036 IYR SS 20,000 NEUBERGER BERMAN 036 JNS S 145,400 DIAMONDBACK CAP MGMT 232 JPM B 25,000 THE BOSTON COMPANY 039 KCP S 11,900 DIAMONDBACK CAP MGMT 232 KEY S 150,000 PRINCIPLE CAPITAL 040 LAMR SS 50,000 SUN AMERICA ASSET MGMT 030 LMT B 61,300 BUCK CAPITAL MGMT 001 LOW SS 10,000	BUCK CAPITAL MGMT 001 GPS B 25,000 22.85 SIGMA CAPITAL ASSOCIATES 041 GPS B 25,000 23.00 BUCK CAPITAL MGMT 001 HBI S 20,000 24.76 BUCK CAPITAL MGMT 001 HD SS 10,000 25.93 RWC PARTNERS LTD 067 HUBG B 90,300 26.64 EXIS CAPITAL 044 INTC B 25,000 19.03 SENATOR INVESTMENT GROUP 036 IYR SS 20,000 40.66 NEUBERGER BERMAN 036 JNS S 145,400 13.10 DIAMONDBACK CAP MGMT 232 JPM B 25,000 43.12 THE BOSTON COMPANY 039 KCP S 11,900 9.90 DIAMONDBACK CAP MGMT 232 KEY S 150,000 5.75 PRINCIPLE CAPITAL 040 LAMR SS 50,000 29.08 SUN AMERICA ASSET MGMT 030 LMT B 61,300 72.80 BUCK CAPITAL MGMT 001 LOW SS 10,000 20.54 SUN AMERICA ASSET MGMT 030 MCD B 71,600 61.38	BUCK CAPITAL MGMT 001 GPS B 25,000 22.85 n/a SIGMA CAPITAL ASSOCIATES 041 GPS B 25,000 23.00 n/a BUCK CAPITAL MGMT 001 HBI S 20,000 24.76 n/a BUCK CAPITAL MGMT 001 HD SS 10,000 25.93 n/a RWC PARTNERS LTD 067 HUBG B 90,300 26.64 n/a EXIS CAPITAL 044 INTC B 25,000 19.03 n/a SENATOR INVESTMENT GROUP 036 IYR SS 20,000 40.66 n/a NEUBERGER BERMAN 036 JNS S 145,400 13.10 n/a DIAMONDBACK CAP MGMT 232 JPM B 25,000 43.12 n/a THE BOSTON COMPANY 039 KCP S 11,900 9.90 n/a DIAMONDBACK CAP MGMT 232 KEY S 150,000 5.75 n/a PRINCIPLE CAPITAL 040 LAMR SS 50,000 29.08 n/a SUN AMERICA ASSET MGMT 030 LMT B 61,300 72.80 n/a BUCK CAPITAL MGMT 001 LOW SS 10,000 20.54 n/a SUN AMERICA ASSET MGMT 030 MCD B 71,600 61.38 n/a	BUCK CAPITAL MGMT 001 GPS S 25,000 22.85 n/a n/a n/a SIGMA CAPITAL ASSOCIATES 041 GPS B 25,000 23.00 n/a n/a n/a BUCK CAPITAL MGMT 001 HBI S 20,000 24.76 n/a n/a BUCK CAPITAL MGMT 001 HD SS 10,000 25.93 n/a n/a n/a RWC PARTNERS LTD 067 HUBG B 90,300 26.64 n/a n/a n/a EXIS CAPITAL 044 INIC B 25,000 19.03 n/a n/a n/a SENATOR INVESTMENT GROUP 036 IYR SS 20,000 40.66 n/a n/a n/a NEUBERGER BERMAN 036 JNS S 145,400 13.10 n/a 3-Nov DIAMONDBACK CAP MGMT 232 JPM B 25,000 43.12 n/a 15-Oct THE BOSTON COMPANY 039 KCP S 11,900 9.90 n/a n/a n/a DIAMONDBACK CAP MGMT 232 KEY S 150,000 5.75 n/a n/a SUM AMERICA ASSET MGMT 030 LMT B 61,300 72.80 n/a 22-Oct BUCK CAPITAL MGMT 030 MCD B 71,600 61.38 n/a 5-Nov	BUCK CAPITAL MGMT 001 GPS B 25,000 22.85 n/a n/a 1,000.00 SIGNA CAPITAL ASSOCIATES 041 GPS B 25,000 23.00 n/a n/a n/a 1,000.00 DBUCK CAPITAL MGMT 001 HBI S 20,000 24.76 n/a n/a 800.00 DBUCK CAPITAL MGMT 001 HD SS 10,000 25.93 n/a n/a n/a 400.00 DBUCK CAPITAL MGMT 001 HD SS 10,000 25.93 n/a n/a n/a 400.00 DBUCK CAPITAL MGMT 001 HD SS 20,000 26.64 n/a n/a n/a 2,709.00 DBUCK CAPITAL MGMT 044 TNTC B 25,000 19.03 n/a n/a n/a 1,250.00 SENATOR INVESTMENT GROUP 036 IYR SS 20,000 40.66 n/a n/a 800.00 DBUCK CAPITAL 232 JPM B 25,000 13.10 n/a 3-Nov 6,543.00 DIAMONDBACK CAP MGMT 232 JPM B 25,000 43.12 n/a 15-Oct 1,250.00 DIAMONDBACK CAP MGMT 232 KEY S 11,900 9.90 n/a n/a n/a 476.00 DIAMONDBACK CAP MGMT 232 KEY S 150,000 5.75 n/a n/a n/a 7,500.00 DIAMONDBACK CAP MGMT 232 KEY S 50,000 29.08 n/a n/a 1,500.00 SUN AMERICA ASSET MGMT 030 LMT B 61,300 72.80 n/a 22-Oct 2,452.00 SUN AMERICA ASSET MGMT 031 LOW SS 10,000 20.54 n/a n/a 400.00 SUN AMERICA ASSET MGMT 030 MCD B 71,600 61.38 n/a 5-Nov 2,864.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
COHE & STEERS	091	PCL	s	174,594	32.72	n/a	30-Oct	6,983.76	4.0
DARUMA ASSET MGMT INC	034	PFS	В	63,200	10.53	n/a	n/a	3,160.00	5.0
ROTHSCHILD ASSET	040	PFS	S	24,725	10.50	n/a	n/a	1,112.66	4.5
THE BOSTON COMPANY	039	PLCE	В	110,350	35.23	n/a	6-Nov	4,414.00	4.0
PZENA INV ADV	044	POR	В	19,475	19.01	n/a	n/a	681.64	3.5
BUCK CAPITAL MGMT	001	PSS	В	50,000	19.83	n/a	n/a	2,000.00	4.0
WHALE ROCK CAP	030	QID	S	560,172	22.40	n/a	n/a	22,406.88	4.0
PIONEER MICHAEL NOLAN	067	SAPE	В	14,939	7.51	n/a	n/a	448.17	3.0
RBC CAPITAL MARKETS	040	SBUX	S	5,000	20.47	n/a	6-Nov	200.00	4.0
FARALLON CAP MGMT	040	SCHW	В	190,000	17.05	n/a	n/a	5,700.00	3.0
WHALE ROCK CAP	030	SDS	S	162,986	38.88	n/a	n/a	6,519.44	4.0
BUCK CAPITAL MGMT	001	SKX	s	20,000	22.51	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	SUP	В	23,171	13.93	n/a	n/a	1,158.55	5.0
ENTRUST CAPITAL	040	SUP	В	18,754	13.88	n/a	n/a	937.70	5.0
TRELLUS PARTNERS LP	028	SUP	В	6,670	13.52	n/a	n/a	333.50	5.0
WAGONHOUND/NIC	048	TGT	В	10,301	49.54	n/a	5-Nov	412.04	4.0
BUCK CAPITAL MGMT	001	TJX	S	10,000	38.27	n/a	6-Nov	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
EXIS CAPITAL	044	TJX	В	40,000	38.24	n/a	6-Nov	2,000.00	5.0
MATRIX ASSET ADV.	036	VLO	В	5,000	17.33	n/a	n/a	150.00	3.0

TOTAL (Trade Date): 122,455.34

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
•		JP MORGAN VENTURES (JPMVJPM) JP MORGAN VENTURES (JPMVJPM)		PVH PVH	S S	10,000	41.40	n/a n/a	2-Nov 2-Nov	0.00	0.0
TOTAL	(AO,	CXL, CRT):								400.00	

TOTAL (RUN DATE) / NFS:	122,855.34
TOTAL (AO, CXL, CRT):	400.00
TOTAL (Trade Date):	122,455.34

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