



## Daily Compliance Activity Report

Trade Date: 10/19/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	AAN	S	44,850	27.65	n/a	n/a	2,018.33	4.5
RBC CAPITAL MARKETS	040	AAP	SS	5,000	39.08	n/a	n/a	200.00	4.0
CASTLE ARK	031	AMZN	S	99,420	95.30	n/a	n/a	5,965.20	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AM</b>	<b>S</b>	<b>20,000</b>	<b>22.54</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>20,000</b>	<b>37.27</b>	<b>n/a</b>	<b>9-Oct</b>	<b>800.00</b>	<b>4.0</b>
BNP PARIBAS SEC	040	AN	S	25,000	20.61	n/a	19-Oct	1,000.00	4.0
COLONIAL FUND LLC	036	AN	S	20,000	20.85	n/a	19-Oct	1,000.00	5.0
THIRD COAST CAPITAL	035	AN	B	10,000	20.47	n/a	19-Oct	500.00	5.0
TRELLUS PARTNERS LP	028	AN	S	20,000	20.52	n/a	19-Oct	1,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	AN	B	50,000	20.49	n/a	19-Oct	2,000.00	4.0
WHALE ROCK CAP	030	AN	B	84,500	20.64	n/a	19-Oct	3,380.00	4.0
EXIS CAPITAL	044	ARO	SS	2,500	41.72	n/a	9-Oct	125.00	5.0
COLONIAL FUND LLC	036	AXL	S	10,000	6.27	n/a	19-Oct	300.00	3.0
L.R.BURTSCHY & CO	045	AXL	B	29,208	5.91	n/a	19-Oct	1,752.48	6.0
RBC CAPITAL MARKETS	040	AXL	S	15,000	5.92	n/a	19-Oct	600.00	4.0
CAXTON PART	040	AXP	S	14,141	35.17	n/a	15-Oct	494.95	3.5
&CAX	040	AXP	S	1,050	35.17	n/a	15-Oct	36.75	3.5
RBC CAPITAL MARKETS	040	AZO	SS	2,500	142.92	n/a	n/a	100.00	4.0

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EXIS CAPITAL	044	BEBE	B	10,000	7.20	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	BJ	S	23,900	37.65	n/a	n/a	956.00	4.0
SANDLER O'NEILL ASSET	031	BLK	SS	5,000	232.66	n/a	19-Oct	250.00	5.0
JP MORGAN VENTURES	046	BWS	B	30,000	11.38	n/a	n/a	1,500.00	5.0
HOLLIS CAPITAL	033	CBS	B	5,000	13.69	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	CHS	S	25,000	13.63	n/a	n/a	1,250.00	5.0
CAXTON PART	040	CSCO	S	27,905	24.17	n/a	n/a	976.69	3.5
&CAX	040	CSCO	S	2,075	24.17	n/a	n/a	72.63	3.5
MARINER/TRICADIA	041	CXW	S	25,000	25.28	n/a	n/a	1,250.00	5.0
SCHOTTENFELD ASSOC	041	C	S	50,000	4.60	n/a	16-Oct	1,500.00	3.0
ROYCE TRADING	216	DDS	S	10,000	15.07	n/a	n/a	500.00	5.0
HOOVER INV. MGMT	033	DY	S	10,549	11.77	n/a	n/a	421.96	4.0
ROYCE TRADING	216	FUL	S	2,500	22.83	n/a	n/a	125.00	5.0
ROYCE TRADING	216	GCO	S	5,000	26.59	n/a	n/a	250.00	5.0
DIAMONDBACK CAP MGMT	232	GE	S	50,000	16.01	n/a	n/a	2,500.00	5.0
CAERUS GLOBAL	041	GIL	B	10,000	19.77	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	GIL	B	10,000	19.76	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	GLD	S	700,000	103.06	n/a	n/a	35,000.00	5.0
COVEY CAPITAL	029	GMCR	S	5,000	76.61	n/a	n/a	250.00	5.0
CIRCLE T/SES PART	035	GME	B	10,000	28.21	n/a	n/a	400.00	4.0
ROYCE TRADING	216	GTI	B	4,000	14.10	n/a	n/a	200.00	5.0
CAMBIAR CAP	046	HON	B	192,820	38.29	n/a	n/a	7,712.80	4.0
ELM RIDGE ADVISORS	044	IP	S	167,800	24.23	n/a	12-Oct	6,712.00	4.0
TRELLUS PARTNERS LP	028	IP	SS	75,000	24.67	n/a	12-Oct	3,750.00	5.0
SOUTH POINT CAP	067	IWM	B	50,000	62.31	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>30,000</b>	<b>35.16</b>	<b>n/a</b>	<b>9-Oct</b>	<b>1,200.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JWN	S	2,500	36.03	n/a	9-Oct	125.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JWN	B	25,000	35.14	n/a	9-Oct	1,000.00	4.0
ROSEDALE CAPITAL	046	LEAP	B	10,000	14.12	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.35	n/a	n/a	600.00	6.0
CAERUS GLOBAL	041	MPCL	B	15,000	6.04	n/a	n/a	600.00	4.0
TRUSTCO/SUNTRUST	040	MTW	S	24,263	11.20	n/a	n/a	946.26	3.9
<b>LISTED ERR</b>	<b>097</b>	<b>NUS</b>	<b>S</b>	<b>37</b>	<b>21.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLONIAL FUND LLC	036	PAG	B	12,500	17.93	n/a	19-Oct	625.00	5.0
PAW PARTNERS	045	PSS	B	10,500	21.24	n/a	n/a	525.00	5.0
KENNEDY CAPITAL	046	PSUN	S	1,100	7.00	n/a	n/a	33.00	3.0
EXIS CAPITAL	044	PVH	SS	2,500	43.31	n/a	n/a	125.00	5.0
ROYCE TRADING	216	RAS	B	2,500	2.25	n/a	n/a	75.00	3.0
SCOPUS FUND	041	RKT	S	4,515	49.42	n/a	n/a	225.75	5.0
CAERUS GLOBAL	041	RL	B	2,000	78.91	n/a	n/a	80.00	4.0
EXIS CAPITAL	044	ROST	B	10,000	46.51	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RSH</b>	<b>SS</b>	<b>30,000</b>	<b>15.70</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
PORTER-ORLIN-FELDMAN	044	SHW	B	20,000	63.49	n/a	n/a	600.00	3.0
FRONTIER	039	SMTC	B	75,000	16.79	n/a	n/a	3,000.00	4.0
CATAPULT	040	SM	S	25,000	37.12	n/a	n/a	1,250.00	5.0
SOUTH POINT CAP	067	SPY	B	25,000	109.94	n/a	n/a	1,250.00	5.0
GARDNER LEWIS ASSET MGMT	028	TEN	C	28,945	14.89	n/a	n/a	1,447.25	5.0
DELTEC ASSET MGMT.	040	TEX	S	24,500	23.79	n/a	n/a	1,225.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	TGT	S	10,000	50.45	n/a	9-Oct	500.00	5.0
ROYCE TRADING	216	TIN	S	5,000	17.76	n/a	12-Oct	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>B</b>	<b>40,000</b>	<b>11.16</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
ROYCE TRADING	216	TRN	S	5,000	18.31	n/a	n/a	250.00	5.0
ROYCE TRADING	216	TWB	S	5,000	8.84	n/a	n/a	250.00	5.0
T. ROWE PRICE	033	UFS	S	89,800	44.28	n/a	n/a	3,592.00	4.0
ROYCE TRADING	216	UTR	B	10,600	21.51	n/a	n/a	530.00	5.0
SCOGGIN CAP	039	VIAB	S	25,000	28.96	n/a	n/a	1,000.00	4.0
ROYCE TRADING	216	VSH	B	10,000	7.25	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	WFT	S	20,000	20.05	n/a	n/a	1,000.00	5.0
LONG OAR GLOBAL INV	040	X	SS	12,000	43.23	n/a	n/a	480.00	4.0
<b>TOTAL (Trade Date):</b>								<b>118,884.05</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/19	BNP PARIBAS SEC (BNPPMAIN)	040	AN	S	25,000	20.61	n/a	19-Oct	1000.00 4.0
AO,	10/16	BIXBY LLC (BIXBJPMORG)	070	BBY	B	20,000	40.65	n/a	n/a	800.00 4.0
AO,CXL	10/15	ROYCE TRADING (ROYC59)	216	HWK	S	3,800	15.88	n/a	n/a	190.00 5.0
AO,CXL	10/15	ROYCE TRADING (ROYC33)	216	HWK	S	1,200	15.88	n/a	n/a	60.00 5.0
AO,	10/15	ROYCE TRADING (ROYC33)	216	HWK	S	5,000	15.88	n/a	n/a	250.00 5.0
AO,CRT	10/16	ENDEAVOUR CAPITAL (ENDEBONYBS)	035	LNC	B	59,600	26.33	n/a	n/a	2384.00 4.0
AO,CXL	10/16	ENDEAVOUR CAPITAL (ENDEBOABNP)	035	LNC	B	85,700	26.33	n/a	n/a	4285.00 5.0
AO,CRT	10/16	ENDEAVOUR CAPITAL (ENDEBOABNP)	035	LNC	B	26,100	26.33	n/a	n/a	1044.00 4.0
<b>CRT</b>	<b>10/19</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>097</b>	<b>NUS</b>	<b>S</b>	<b>37</b>	<b>21.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CXL	10/16	NEWCASTLE FUNDS (NEWCML7277)	255	TIN	S	100,000	17.61	n/a	12-Oct	5000.00 5.0

**TOTAL (AO, CXL, CRT) :****-4,057.00**

TOTAL (Trade Date) :

118,884.05

TOTAL (AO, CXL, CRT) :

-4,057.00

**TOTAL (RUN DATE) / NFS:****114,827.05**

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