



Daily Compliance Activity Report

Trade Date: 09/08/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAIL-SPLITTER	031	AB	S	7,400	22.79	31-Jul	2-Sep	370.00	5.0
DIAMONDBACK CAP MGMT	232	ANR	B	10,000	36.08	n/a	n/a	500.00	5.0
KAILIX INV ADV	048	ANR	S	5,000	36.27	n/a	n/a	250.00	5.0
KAILIX INV ADV	048	CAL	S	10,000	13.63	n/a	n/a	500.00	5.0
KAILIX INV ADV	048	DAL	S	15,000	7.33	n/a	n/a	750.00	5.0
FIRST NY SEC/CHRIS	041	DAN	B	25,000	5.03	n/a	n/a	1,250.00	5.0
RDK CAPITAL MGMT	034	DELL	S	25,000	15.74	n/a	n/a	1,000.00	4.0
TRELLUS PARTNERS LP	028	F	B	25,000	7.37	27-Aug	2-Sep	750.00	3.0
GREEN ARROW DOUG	040	GE	B	25,000	14.48	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	HOG	B	40,000	24.54	n/a	n/a	1,600.00	4.0
MFP INVESTORS	032	HOG	B	100,000	24.62	n/a	n/a	5,000.00	5.0
FIRST INV MGMT CO	029	HRB	B	34,300	16.80	n/a	n/a	1,715.00	5.0
MELLON/BANK OF NEW YORK	046	INTC	S	80,080	19.78	n/a	n/a	4,004.00	5.0
SYSTEMATIC FINANCIAL MGT	035	IR	B	110,000	31.76	13-Aug	13-Aug	3,850.01	3.5
BALYASNY ASSET MGMT	044	IVZ	B	50,000	22.35	6-Aug	8-Sep	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	067	JPM	B	25,000	42.61	7-Aug	17-Aug	1,250.00	5.0
JP MORGAN VENTURES	046	KR	B	20,000	21.94	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	55.06	14-Aug	4-Sep	1,200.00	4.0
PRIMECAP MGMT	048	LMNX	B	4,900	15.15	n/a	n/a	245.00	5.0
PARTNER REINSURANCE	033	MCD	S	12,450	56.23	n/a	8-Sep	498.00	4.0
RDK CAPITAL MGMT	034	MCD	B	25,000	56.14	n/a	8-Sep	1,000.00	4.0
RDK CAPITAL MGMT	034	MOT	S	24,350	7.92	n/a	n/a	974.00	4.0
CIRCLE T/SES PART	035	MPXL	S	60,000	6.64	n/a	26-Aug	2,400.00	4.0
IRONBOUND CAPITAL	012	MRO	S	200,000	31.58	n/a	n/a	6,000.00	3.0
PROSPECTOR PARTNERS LLC	036	MWV	S	10,000	21.85	n/a	29-Jul	400.00	4.0
FORD FDN.	032	MYL	S	50,000	14.59	n/a	8-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	M	B	40,000	15.50	n/a	4-Sep	1,600.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	11.36	11-Aug	11-Aug	400.00	4.0
DIAMONDBACK CAP MGMT	232	OI	B	25,000	36.00	n/a	n/a	1,250.00	5.0
LATEFF MGMT	035	PRGO	S	2,000	30.26	18-Aug	8-Sep	320.00	16.0
ASCEND PARTNERS	033	PVH	B	28,900	40.29	8-Sep	8-Sep	1,445.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PVH	B	10,000	40.34	8-Sep	8-Sep	500.00	5.0
MELLON/BANK OF NEW YORK	046	QCOM	S	118,654	45.87	n/a	n/a	5,932.70	5.0
MELLON/BANK OF NEW YORK	046	RIMM	B	89,370	79.11	n/a	n/a	4,468.50	5.0
THE BOSTON COMPANY	039	RL	S	29,420	67.97	6-Aug	6-Aug	1,176.80	4.0
ARMATURE CAPITAL	041	SOA	B	5,000	11.32	n/a	n/a	200.00	4.0
ARCHON CAPITAL	035	SOLF	SS	50,000	6.17	n/a	n/a	1,500.00	3.0
DALTON GREINER	012	SSI	S	10,600	12.32	n/a	4-Sep	530.00	5.0
GREEN ARROW DOUG	040	SWY	S	25,000	19.73	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	70,000	47.42	3-Sep	3-Sep	2,800.00	4.0
FIRST INV MGMT CO	029	UNH	B	8,000	28.10	n/a	n/a	400.00	5.0
LISTED ERR	099	UNH	B	2,000	28.10	n/a	n/a	0.00	0.0
LISTED ERR	099	UNH	S	2,000	27.97	n/a	n/a	0.00	0.0
SCHOTTENFELD ASSOC	041	WY	S	13,300	36.79	n/a	3-Aug	399.00	3.0
HIGHFIELDS CAP MGMT	039	XOM	B	150,000	70.59	n/a	n/a	6,000.00	4.0
TOTAL (Trade Date) :								72,928.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/04	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	RAI	SS	4,346	45.91	n/a	n/a	217.30	5.0
AO,CRT	09/04	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	RAI	SS	4,346	45.91	n/a	n/a	173.84	4.0
AO,	09/03	EVERCORE WEALTH MGMT (EVERMAIN)	012	TBT	B	500	46.08	n/a	n/a	25.00	5.0
AO,CRT	09/04	MILLENIUM PARTNERS (MILPINTREG)	028	XHB	SS	26,000	15.03	n/a	n/a	1040.00	4.0
AO,CXL	09/04	MILLENIUM PARTNERS (MILPUSE)	028	XHB	SS	26,000	15.03	n/a	n/a	1040.00	4.0
AO,CRT	09/04	MILLENIUM PARTNERS (MILPINTREG)	028	XLP	SS	13,000	24.82	n/a	n/a	520.00	4.0
AO,CXL	09/04	MILLENIUM PARTNERS (MILPUSE)	028	XLP	SS	13,000	24.82	n/a	n/a	520.00	4.0
TOTAL (AO, CXL, CRT) :										-18.46	

TOTAL (Trade Date):	72,928.01
TOTAL (AO, CXL, CRT):	-18.46

TOTAL (RUN DATE) / NFS:	72,909.55
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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