



Daily Compliance Activity Report

Trade Date: 10/27/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	AA	S	250,000	13.06	n/a	n/a	8,750.01	3.5
SOROS	036	AEO	S	102,500	18.27	n/a	9-Oct	4,100.00	4.0
PAW PARTNERS	045	AKAM	S	50,000	20.95	n/a	n/a	2,500.00	5.0
BALYASNY ASSET MGMT	044	AMG	B	31,000	65.21	n/a	26-Oct	1,550.00	5.0
SANDLER O'NEILL ASSET	031	AMG	B	5,000	64.96	n/a	26-Oct	250.00	5.0
UBS OCONNOR	031	AMG	B	75,000	64.68	n/a	26-Oct	2,250.00	3.0
BUCK CAPITAL MGMT	001	AN	B	20,000	19.12	n/a	19-Oct	800.00	4.0
TRELLUS PARTNERS LP	028	AN	B	30,000	19.33	n/a	19-Oct	1,500.00	5.0
FIRST NY SEC/CHRIS	041	AXL	B	25,000	6.53	n/a	19-Oct	1,000.00	4.0
NEWCASTLE FUNDS	255	AXL	B	50,000	6.58	n/a	19-Oct	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	AXP	S	25,000	36.00	n/a	27-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	BAC	B	3,000	15.18	n/a	26-Oct	120.00	4.0
KLEINHEINZ CAP PART	031	BAC	S	200,000	15.11	n/a	26-Oct	10,000.00	5.0
SANDLER O'NEILL ASSET	031	BEN	B	5,000	106.32	n/a	27-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	BJS	SS	30,000	19.95	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	BYD	B	20,000	9.04	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	BYI	B	80,000	40.65	n/a	n/a	3,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	038	CHS	SS	20,000	12.95	n/a	n/a	800.00	4.0
ADALY INV MGMT	031	COG	B	8,000	42.29	n/a	27-Oct	400.00	5.0
ROSEDALE CAPITAL	046	COG	S	10,000	42.14	n/a	27-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	33.51	n/a	21-Oct	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	COH	S	100,000	33.72	n/a	21-Oct	3,000.00	3.0
KLEINHEINZ CAP PART	031	DIA	SS	150,000	99.29	n/a	n/a	7,500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DTV	C	60,000	25.82	n/a	n/a	3,000.00	5.0
KLEINHEINZ CAP PART	031	EGO	S	150,000	11.35	n/a	n/a	7,500.00	5.0
ROARING BLUE LION MGMT	012	FINL	B	10,000	10.89	n/a	n/a	400.00	4.0
BASIX	033	FL	B	18,000	10.93	n/a	n/a	540.00	3.0
MUHLENKAMP FUND	046	GE	S	100,000	15.00	n/a	n/a	5,000.00	5.0
ROYCE TRADING	216	GTI	S	5,000	14.09	n/a	n/a	250.00	5.0
OZ MGMT	040	IP	B	75,000	22.80	n/a	22-Oct	2,250.00	3.0
TRELLUS PARTNERS LP	028	IP	B	60,000	22.81	n/a	22-Oct	3,000.00	5.0
MATLIN PATTERSON	046	IYR	S	250,000	42.03	n/a	n/a	7,500.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	60,000	32.35	n/a	9-Oct	2,400.00	4.0
LONG OAR GLOBAL INV	040	LAD	S	1,700	11.29	n/a	n/a	68.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORD FDN.	032	LMT	B	25,000	70.87	n/a	22-Oct	1,000.00	4.0
METROPOLITAN CAPITAL	044	LMT	B	5,450	70.45	n/a	22-Oct	272.50	5.0
EPOCH INV MGMT	030	MA	S	1,800	220.53	n/a	27-Oct	54.00	3.0
ROTHSCHILD ASSET	040	MCD	B	12,340	59.12	n/a	23-Oct	555.30	4.5
ROYCE TRADING	216	MEG	S	5,000	10.01	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	MET	B	20,000	35.45	n/a	n/a	1,000.00	5.0
COLUMBIA PARTNERS	028	MFE	S	29,873	43.36	n/a	n/a	1,194.92	4.0
NEWCASTLE FUNDS	255	MS	B	93,500	34.60	n/a	22-Oct	3,740.00	4.0
SOROS	036	M	B	100,000	18.38	n/a	9-Oct	4,000.00	4.0
ROYCE TRADING	216	NPO	S	5,000	22.35	n/a	n/a	250.00	5.0
COUGAR TRADING	044	PAG	S	10,000	16.75	n/a	19-Oct	500.00	5.0
ROYCE TRADING	216	PBY	S	5,000	9.39	n/a	n/a	250.00	5.0
DENVER INST. ADV	046	PRGO	B	55,900	36.98	n/a	26-Oct	2,236.00	4.0
MTB INV ADV	034	PVH	B	6,200	41.77	n/a	n/a	310.00	5.0
PAW PARTNERS	045	REG	S	5,000	35.39	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	RL	B	15,000	75.74	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	RL	B	35,000	75.91	n/a	n/a	1,750.00	5.0
MANNING & NAPIER	034	SEIC	S	20,800	18.05	n/a	n/a	624.00	3.0
MILLENIUM PARTNERS	028	SHAW	B	10,000	28.09	n/a	n/a	600.00	6.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	14,500	106.75	n/a	n/a	725.00	5.0
BUCK CAPITAL MGMT	001	TGT	S	20,000	48.78	n/a	21-Oct	800.00	4.0
EPOCH INV MGMT	030	TJX	B	100,000	39.75	n/a	21-Oct	3,000.00	3.0
LEVEL GLOBAL SHARED ACCT	257	TJX	S	50,000	39.80	n/a	21-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	10.27	n/a	n/a	1,200.00	4.0
HUNTER GLOBAL INVESTOR	067	T	B	477,507	25.55	n/a	n/a	23,875.35	5.0
ROSEDALE CAPITAL	046	VLO	B	20,000	19.68	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	V	S	4,800	73.09	n/a	27-Oct	144.00	3.0
KLEINHEINZ CAP PART	031	WMT	S	25,000	49.83	n/a	23-Oct	1,250.00	5.0
EPOCH INV MGMT	030	WRC	B	100,000	42.53	n/a	2-Oct	3,000.00	3.0
SCOPUS FUND	041	WRC	B	2,800	42.02	n/a	2-Oct	140.00	5.0
COLONIAL FUND LLC	036	WYNN	S	20,000	58.85	n/a	26-Oct	1,000.00	5.0
EXIS CAPITAL	044	WYNN	S	15,000	57.02	n/a	26-Oct	750.00	5.0
TRELLUS PARTNERS LP	028	WYNN	B	10,000	56.98	n/a	26-Oct	500.00	5.0

TOTAL (Trade Date):

144,149.08

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/26	VISIUM/BALY HOWARD (VISHJPM)	038	BKC	B	40,000	17.89	n/a	27-Oct	2000.00 5.0
AO,	10/26	VISIUM/BALY HOWARD (VISHMS)	038	BKC	B	40,000	17.89	n/a	27-Oct	2000.00 5.0
CRT	10/27	ADALY INV MGMT (ADALSTREGI)	031	COG	B	5,000	42.29	n/a	27-Oct	250.00 5.0
AO,	10/22	EPOCH INV MGMT (EPOCMILLED)	030	LMT	B	10	71.62	n/a	22-Oct	0.30 3.0
AO,CXL	10/22	EPOCH INV MGMT (EPOCMILLER)	030	LMT	B	10	71.62	n/a	22-Oct	0.30 3.0
AO,CXL	10/26	PATTEN & PATTEN (PATTFSG BA)	067	PFE	S	2,772	17.12	n/a	n/a	138.60 5.0
AO,CRT	10/26	PATTEN & PATTEN (PATTMERR)	067	PFE	S	2,772	17.12	n/a	n/a	138.60 5.0
AO,	10/26	MANNING & NAPIER (MANNJS5200)	034	SEIC	S	99,662	18.12	n/a	n/a	2989.86 3.0
AO,	10/26	MANNING & NAPIER (MANNEQ3068)	034	SEIC	S	4,300	18.12	n/a	n/a	129.00 3.0
AO,	10/26	MANNING & NAPIER (MANNGR5130)	034	SEIC	S	990	18.12	n/a	n/a	29.70 3.0
AO,	10/26	MANNING & NAPIER (MANNCD2387)	034	SEIC	S	580	18.12	n/a	n/a	17.40 3.0
AO,	10/26	MANNING & NAPIER (MANNEQ7362)	034	SEIC	S	36,730	18.12	n/a	n/a	1101.90 3.0
AO,	10/26	MANNING & NAPIER (MANNGR6433)	034	SEIC	S	1,190	18.12	n/a	n/a	35.70 3.0
AO,	10/26	MANNING & NAPIER (MANNCD2656)	034	SEIC	S	8,780	18.12	n/a	n/a	263.40 3.0
AO,	10/26	MANNING & NAPIER (MANNCD6450)	034	SEIC	S	19,140	18.12	n/a	n/a	574.20 3.0
AO,	10/26	MANNING & NAPIER (MANNCD6455)	034	SEIC	S	19,030	18.12	n/a	n/a	570.90 3.0
AO,	10/26	MANNING & NAPIER (MANNCD6453)	034	SEIC	S	1,440	18.12	n/a	n/a	43.20 3.0
AO,	10/26	MANNING & NAPIER (MANNCD6451)	034	SEIC	S	7,590	18.12	n/a	n/a	227.70 3.0
AO,	10/26	MANNING & NAPIER (MANNJS8913)	034	SEIC	S	5,810	18.12	n/a	n/a	174.30 3.0
AO,	10/26	MANNING & NAPIER (MANNEQ2200)	034	SEIC	S	14,640	18.12	n/a	n/a	439.20 3.0
TOTAL (AO, CXL, CRT) :										6,846.46

TOTAL (Trade Date):	144,149.08
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TOTAL (RUN DATE) / NFS:	150,995.54
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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