



Daily Compliance Activity Report

Trade Date: 09/16/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	S	20,000	26.10	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	AEO	B	30,000	16.48	25-Jun	4-Sep	1,200.00	4.0
MERRILL ASSET/BLACKROCK	214	ANDE	S	11,300	35.45	n/a	n/a	508.50	4.5
SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	16.90	n/a	30-Jan	2,000.00	4.0
BUCK CAPITAL MGMT	001	AN	B	45,000	18.37	3-Aug	5-Aug	1,800.00	4.0
DSG CAPITAL	225	APC	B	2,000	63.15	n/a	16-Sep	100.00	5.0
WAGONHOUND/NIC	048	ARD	S	1,512	35.48	n/a	n/a	60.48	4.0
ARTX	304	ATHR	B	106,200	27.72	n/a	n/a	5,310.00	5.0
ARTX	304	BARE	S	57,000	11.11	n/a	n/a	2,850.00	5.0
MILLENIUM PARTNERS	028	BBY	SS	37,537	38.37	n/a	27-Jul	1,501.48	4.0
CRAMER ROSENTHAL/SCOTT	012	BCR	S	3,260	81.26	n/a	22-Apr	130.40	4.0
MANNING & NAPIER	034	BEN	S	54,370	99.66	4-Sep	14-Sep	1,631.10	3.0
LONG OAR GLOBAL INV	040	BGC	SS	8,100	40.04	n/a	n/a	324.00	4.0
SCOPUS FUND	041	BKI	S	25,000	11.09	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	BWA	B	30,000	32.70	3-Aug	24-Aug	1,500.00	5.0
GREEN ARROW DOUG	040	CAKE	SS	20,000	19.76	24-Jul	24-Jul	1,000.00	5.0
CATAPULT	040	CAR	S	50,000	13.17	n/a	n/a	2,000.00	4.0
GREEN ARROW DOUG	040	CCL	SS	15,000	33.28	n/a	26-Jan	750.00	5.0
11:11 CAPITAL CORP	046	CEPH	B	55,100	58.19	21-May	16-Sep	2,755.00	5.0
NOMURA CAPITAL	045	CORE	S	6,212	29.11	n/a	n/a	310.60	5.0
PRIMECAP MGMT	048	CPTS	B	1,000	18.53	n/a	n/a	50.00	5.0
MATLIN PATTERSON	046	CPT	B	67,100	40.93	n/a	n/a	2,013.00	3.0
WAGONHOUND/NIC	048	CRZO	B	18,043	26.09	n/a	n/a	721.72	4.0
STADIA CAPITAL	035	CSCO	S	10,000	23.34	n/a	22-Mar	400.00	4.0
BUCK CAPITAL MGMT	001	DDS	B	40,000	14.13	n/a	n/a	1,600.00	4.0
HARBORWATCH/DIAMBACK	232	DHI	S	15,000	13.63	n/a	n/a	750.00	5.0
CIRCLE T/SES PART	035	DRI	S	30,000	35.42	13-Aug	13-Aug	1,200.00	4.0
SCOPUS FUND	041	DTG	B	5,000	25.59	n/a	n/a	250.00	5.0
WAGONHOUND/NIC	048	DVN	B	4,615	68.84	5-Aug	15-Sep	184.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.81	n/a	n/a	600.00	6.0
Õ James Mitchell		FITB	B	900	10.2100	n/a	n/a	0.00	0.0
SENVEST PART	045	FOR	B	9,800	15.43	6-Aug	6-Aug	490.00	5.0
TRELLUS PARTNERS LP	028	F	B	50,000	7.14	27-Aug	2-Sep	1,500.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	39,200	23.31	n/a	10-Jan	1,568.00	4.0
COOPER CREEK PART	028	GCO	B	7,800	23.06	n/a	10-Jan	234.00	3.0
CUMBERLAND	038	HD	B	50,000	27.89	10-Aug	2-Sep	2,000.00	4.0
RBC CAPITAL MARKETS	040	HOTT	SS	18,600	7.02	n/a	30-Jan	744.00	4.0
MOORE CAPITAL	036	IP	SS	125,000	25.09	16-Sep	16-Sep	5,000.00	4.0
TRELLUS PARTNERS LP	028	IP	SS	50,000	24.50	16-Sep	16-Sep	2,500.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	25,000	22.49	6-Aug	15-Sep	1,250.00	5.0
MILLENIUUM PARTNERS	028	JCP	B	18,130	33.02	13-Apr	15-Sep	725.20	4.0
MILLENIUUM PARTNERS	028	JWN	S	38,070	31.36	n/a	4-Sep	1,522.80	4.0
RBC CAPITAL MARKETS	040	JWN	SS	20,000	31.32	n/a	4-Sep	800.00	4.0
Õ James Mitchell		KEY	B	1800	6.6700	n/a	n/a	0.00	0.0
MILLENIUUM PARTNERS	028	KSS	B	10,920	54.75	14-Aug	4-Sep	436.80	4.0
RBC CAPITAL MARKETS	040	K	S	25,000	48.60	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KEEFE BRUYETTE WOODS A	045	LM	B	29,200	31.43	3-Aug	14-Sep	1,460.00	5.0
CAERUS GLOBAL	041	LOW	B	20,000	21.65	2-Sep	2-Sep	800.00	4.0
TRELLUS PARTNERS LP	028	LPX	SS	10,000	7.61	n/a	5-Aug	300.00	3.0
STADIA CAPITAL	035	MON	SS	10,000	79.86	n/a	11-Sep	400.00	4.0
KEEFE BRUYETTE WOODS A	045	MS	B	28,300	28.92	11-May	15-Sep	1,415.00	5.0
CATAPULT	040	NKE	SS	20,000	57.18	n/a	n/a	800.00	4.0
THIRD COAST CAPITAL	035	NUAN	B	15,000	14.54	n/a	n/a	750.00	5.0
RBC CAPITAL MARKETS	040	PNRA	B	5,000	56.67	30-Jul	30-Jul	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	PVH	S	25,000	42.25	8-Sep	8-Sep	1,000.00	4.0
GREEN ARROW DOUG	040	RCL	S	15,000	24.19	31-Jul	8-Sep	750.00	5.0
Õ James Mitchell		RF	B	2000	24.0000	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	10,000	72.96	6-Aug	6-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	RVI	B	20,000	5.07	n/a	n/a	600.00	3.0
HOLDEN CAPITAL MGMT	035	SKT	B	46,000	40.71	n/a	n/a	2,300.00	5.0
Õ James Mitchell		STI	B	400	24.0000	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	SUP	S	10,000	15.49	10-Aug	10-Aug	500.00	5.0
CASTLEROCK	040	SVR	B	62,579	19.29	n/a	n/a	2,503.16	4.0
CRAMER ROSENTHAL/SCOTT	012	TMO	S	9,650	45.60	n/a	n/a	386.00	4.0
BALYASNY ASSET MGMT	044	TROW	B	100,000	45.51	n/a	14-Sep	5,000.00	5.0
KACELA CAPITAL	034	TROW	B	15,000	45.55	n/a	14-Sep	600.00	4.0
SONTERRA CAP	041	TRW	SS	10,000	18.89	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	30,000	8.48	n/a	30-Jan	900.00	3.0
EXIS CAPITAL	044	URBN	SS	5,000	30.60	n/a	30-Jan	250.00	5.0
MILLENIUM PARTNERS	028	URBN	B	46,709	31.08	n/a	30-Jan	1,868.36	4.0
THIRD COAST CAPITAL	035	WFR	B	30,000	18.32	n/a	n/a	1,500.00	5.0
STADIA CAPITAL	035	WLP	S	10,300	54.39	n/a	n/a	412.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	17,448	43.38	15-Sep	15-Sep	697.92	4.0
THE JAY GOLDMAN	034	WY	B	10,000	39.41	n/a	3-Aug	400.00	4.0
MERRILL ASSET/BLACKROCK	214	XRX	S	57,400	9.55	n/a	n/a	2,583.00	4.5
TOTAL (Trade Date):								84,497.12	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/15	HIGHBRIDGE CAP (HIBCUBSNEW)	041	AAP	B	28,000	39.39	n/a	n/a	1400.00 5.0
AO,CRT	09/15	HIGHBRIDGE CAP (HIBCUBSNEW)	041	AAP	B	28,000	39.39	n/a	n/a	1120.00 4.0

TOTAL (AO, CXL, CRT) :	-280.00
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TOTAL (Trade Date) :	84,497.12
TOTAL (AO, CXL, CRT) :	-280.00

TOTAL (RUN DATE) / NFS:	84,217.12
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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