



Daily Compliance Activity Report

Trade Date: 09/21/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ABT	B	16,500	46.30	n/a	22-Apr	495.00	3.0
PAW PARTNERS	041	ADSK	SS	5,000	23.90	n/a	n/a	250.00	5.0
CASTLE ARK	031	AEO	B	206,490	16.88	21-Sep	21-Sep	12,389.40	6.0
BUCK CAPITAL MGMT	001	ANF	B	100,000	33.22	3-Jun	21-Sep	4,000.00	4.0
EXIS CAPITAL	044	ANF	B	2,500	33.14	3-Jun	21-Sep	125.00	5.0
RBC CAPITAL MARKETS	040	ANF	SS	21,000	33.12	3-Jun	21-Sep	840.00	4.0
EXIS CAPITAL	044	ATVI	S	45,000	12.31	n/a	n/a	2,250.00	5.0
PLATTE RIVER CAPITAL	240	AVY	S	20,000	34.92	31-Aug	17-Sep	800.00	4.0
MERRILL ASSET/BLACKROCK	214	AXE	S	48,800	40.24	16-Sep	16-Sep	2,196.00	4.5
COOPER CREEK PART	028	AXL	S	20,000	7.29	18-Sep	18-Sep	600.00	3.0
DSG CAPITAL	225	AXL	S	10,000	7.42	18-Sep	18-Sep	500.00	5.0
LAGRANGE CAP ADV	048	AXL	B	3,800	7.28	18-Sep	18-Sep	190.00	5.0
BUCK CAPITAL MGMT	001	AZO	SS	20,000	153.63	n/a	n/a	800.00	4.0
FORD FDN.	032	BIIB	S	12,000	51.06	n/a	n/a	600.00	5.0
EXIS CAPITAL	044	CDE	S	10,000	19.51	n/a	n/a	500.00	5.0
IRIDIAN ASSET MGMT.	036	CMCSA	S	74,000	17.17	n/a	4-Jan	3,700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSG CAPITAL	225	COG	S	1,800	36.78	n/a	15-Sep	90.00	5.0
LEVEL GLOBAL SHARED ACCT	257	COH	B	100,000	33.45	n/a	29-Jul	3,000.00	3.0
RBC CAPITAL MARKETS	040	COST	B	30,000	58.49	n/a	27-Jul	1,200.00	4.0
EXIS CAPITAL	044	DECK	SS	15,000	79.69	n/a	n/a	525.00	3.5
MERRILL ASSET/BLACKROCK	214	EPAY	S	4,000	13.04	n/a	n/a	180.00	4.5
PERMIAN/BAYPIONT	028	FAF	S	30,000	32.69	n/a	n/a	1,200.00	4.0
LISTED ERR	099	FAX	B	300	6.19	n/a	n/a	0.00	0.0
LISTED ERR	099	FAX	S	300	6.18	n/a	n/a	0.00	0.0
SOUTH POINT CAP	067	FAZ	B	35,000	20.74	n/a	n/a	1,750.00	5.0
VISIUM/BALY BOBBY	044	FISV	B	15,000	49.27	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	FL	B	30,000	11.36	21-Sep	21-Sep	1,200.00	4.0
EGS ASSOCIATES LP	091	FL	B	4,600	11.34	21-Sep	21-Sep	276.00	6.0
MILLRACE FUND LP	028	FL	B	30,000	11.44	21-Sep	21-Sep	1,200.00	4.0
NORTHPOINT	030	FL	B	14,600	11.25	21-Sep	21-Sep	584.00	4.0
GREEN ARROW DOUG	040	GE	SS	30,000	16.60	n/a	n/a	900.00	3.0
ASCEND PARTNERS	033	GIL	B	20,300	19.64	21-Sep	21-Sep	1,015.00	5.0
ROYCE TRADING	216	GIL	B	2,800	19.50	21-Sep	21-Sep	140.00	5.0
DIAMONDBACK CAP MGMT	232	GR	B	16,000	55.33	5-Jun	23-Jul	800.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	GYMB	B	5,000	49.60	21-Sep	21-Sep	250.00	5.0
GREEN ARROW DOUG	040	HANS	S	7,000	36.02	n/a	n/a	210.00	3.0
JP MORGAN VENTURES	046	HBI	S	20,000	22.49	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	214	HBI	S	60,000	22.40	n/a	n/a	2,700.00	4.5
MILLENIUM PARTNERS	028	IP	B	15,000	22.25	16-Sep	16-Sep	600.00	4.0
NORTHPOINT	030	JAH	S	12,500	26.46	n/a	n/a	500.00	4.0
EXIS CAPITAL	044	JCG	B	10,000	36.10	n/a	30-Jan	500.00	5.0
HUNTER GLOBAL INVESTOR	067	JCI	S	114,000	26.24	15-Sep	15-Sep	5,700.00	5.0
SCOPUS FUND	041	JCP	B	18,000	33.43	13-Apr	21-Sep	900.00	5.0
RBC CAPITAL MARKETS	040	JWN	B	20,000	31.79	n/a	21-Sep	800.00	4.0
EXIS CAPITAL	044	KSS	SS	2,500	54.76	21-Sep	21-Sep	0.75	0.0
RBC CAPITAL MARKETS	040	KSS	SS	25,000	55.60	21-Sep	21-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	KSS	S	10,000	55.14	21-Sep	21-Sep	400.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	2,800	36.43	n/a	15-Sep	140.00	5.0
GREEN ARROW DOUG	040	LECO	B	6,000	49.74	n/a	n/a	180.00	3.0
MERRILL ASSET/BLACKROCK	214	LLTC	S	19,100	26.96	n/a	n/a	859.50	4.5
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	1.43	n/a	4-Jan	1,200.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	035	LVS	S	20,000	19.10	14-Sep	14-Sep	800.00	4.0
MERRILL ASSET/BLACKROCK	214	MOSY	S	500	2.51	n/a	n/a	22.50	4.5
GREEN ARROW DOUG	040	MWV	B	5,000	22.44	n/a	29-Jul	150.00	3.0
EXIS CAPITAL	044	M	B	5,000	17.59	21-Sep	21-Sep	250.00	5.0
FIRST NY SEC/CHRIS	041	M	B	15,000	17.96	21-Sep	21-Sep	750.00	5.0
SCHOTTENFELD ASSOC	041	M	S	17,500	18.15	21-Sep	21-Sep	525.00	3.0
SCOPUS FUND	041	M	B	10,000	17.96	21-Sep	21-Sep	500.00	5.0
EXIS CAPITAL	044	NKE	B	10,000	58.48	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	OI	B	3,100	36.49	n/a	n/a	93.00	3.0
GREEN ARROW DOUG	040	PEP	B	3,000	59.00	n/a	n/a	90.00	3.0
FRONTIER	039	PER	S	319,872	29.56	n/a	n/a	12,794.88	4.0
FRAN	039	PER	S	18,000	29.56	n/a	n/a	720.00	4.0
SOUTH POINT CAP	067	PETM	S	100,000	21.20	n/a	n/a	5,000.00	5.0
CADIAN CAPITAL	067	PVH	S	100,000	43.45	21-Sep	21-Sep	4,000.00	4.0
WILLOW CREEK	033	QCOR	B	10,000	6.02	n/a	n/a	400.00	4.0
FIRST NEW YORK NICK	029	Q	B	20,000	3.47	n/a	n/a	1,000.00	5.0
GREEN ARROW DOUG	040	RAH	S	3,000	59.61	n/a	n/a	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	RCL	S	100,000	23.01	31-Jul	8-Sep	3,000.00	3.0
GREEN ARROW DOUG	040	RECN	SS	200	18.00	n/a	n/a	6.00	3.0
DSG CAPITAL	225	RRC	S	1,400	49.95	21-Sep	21-Sep	70.00	5.0
HARVEST MGMT	039	RRR	B	10,800	8.00	17-Sep	17-Sep	432.00	4.0
SAC TRADIN/BINDER	044	RX	B	50,000	15.51	n/a	n/a	2,000.00	4.0
GREEN ARROW DOUG	040	SAH	S	25,000	9.55	n/a	6-Apr	1,250.00	5.0
SOUTH POINT CAP	067	SKF	B	26,000	24.95	n/a	n/a	1,300.00	5.0
METROPOLITAN CAPITAL	044	SKS	B	11,200	7.20	n/a	n/a	448.00	4.0
SAC TRADIN/BINDER	044	SNDK	S	50,000	23.01	n/a	n/a	2,000.00	4.0
DSG CAPITAL	225	SWN	S	1,500	42.87	n/a	15-Sep	75.00	5.0
MERRILL ASSET/BLACKROCK	214	TEX	B	13,800	18.82	n/a	24-Jul	621.00	4.5
BUCK CAPITAL MGMT	001	TGT	B	50,000	49.03	3-Sep	3-Sep	2,000.00	4.0
MERRILL ASSET/BLACKROCK	214	TIBX	S	50,000	9.35	n/a	3-Apr	2,250.00	4.5
EXIS CAPITAL	044	TIF	SS	5,000	38.38	n/a	30-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	40,000	8.33	n/a	30-Jan	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	214	URBN	S	33,300	31.29	n/a	30-Jan	1,498.50	4.5
EXIS CAPITAL	044	VLCM	B	21,200	16.81	n/a	n/a	1,060.00	5.0
WEINTRAUB CAPITAL MGT.	040	WEN	S	100,000	5.15	n/a	6-Aug	4,000.00	4.0
EXIS CAPITAL	044	WRC	B	2,500	44.07	21-Sep	21-Sep	125.00	5.0
AVESTA CAP	229	YUM	SS	50,000	34.25	n/a	15-Jul	2,000.00	4.0
TOTAL (Trade Date):								115,256.53	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/18	MILLENIU PARTNERS (MILPUSE)	028	BYD	SS	50,000	12.69	n/a	7-Aug	2000.00 4.0
AO,CRT	09/18	MILLENIU PARTNERS (MILPINTREG)	028	BYD	SS	50,000	12.69	n/a	7-Aug	2000.00 4.0
AO,CRT	09/18	SCHOTTENFELD ASSOC (SCHOGROUP)	041	C	S	100,000	4.44	17-Sep	21-Sep	3000.00 3.0
AO,CXL	09/18	SCHOTTENFELD ASSOC (SCHOUSE)	041	C	S	100,000	4.44	17-Sep	21-Sep	3000.00 3.0
AO,CXL	09/18	DAVIDSON INV ADV (DADAMAIN)	035	DFS	S	80,360	15.95	17-Sep	17-Sep	3214.40 4.0
AO,	09/18	DAVIDSON INV ADV (DADAMAIN)	035	DFS	S	80,360	15.95	17-Sep	17-Sep	3214.40 4.0
AO,CXL	09/18	HIGHBRIDGE CAP (HIBCCSFB)	041	HBAN	S	130,000	4.33	n/a	n/a	5200.00 4.0
AO,CRT	09/18	HIGHBRIDGE CAP (HIBCUBSNEW)	041	HBAN	S	130,000	4.33	n/a	n/a	2600.00 2.0
AO,	09/18	TRAFELET & COMP. (TRAFMORGAN)	028	HBAN	S	250,000	4.28	n/a	n/a	7500.00 3.0
CRT	09/21	SCHOTTENFELD ASSOC (SCHOGROUP)	041	M	S	7,500	18.15	21-Sep	21-Sep	225.00 3.0
AO,CXL	09/17	SENATOR INVESTMENT GROUP (SENAMS)	036	OLN	S	15,000	17.66	n/a	20-Jun	600.00 4.0
AO,CRT	09/17	SENATOR INVESTMENT GROUP (SENAGS)	036	OLN	S	7,800	17.66	n/a	20-Jun	312.00 4.0
AO,	09/17	SENATOR INVESTMENT GROUP (SENAGS)	036	OLN	S	7,200	17.66	n/a	20-Jun	288.00 4.0
AO,CRT	09/18	MILLENIU PARTNERS (MILPINTREG)	028	REG	B	50,000	41.08	n/a	n/a	2000.00 4.0
AO,CXL	09/18	MILLENIU PARTNERS (MILPUSE)	028	REG	B	50,000	41.08	n/a	n/a	2000.00 4.0
TOTAL (AO, CXL, CRT) :										5,125.00

TOTAL (Trade Date):	115,256.53
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TOTAL (RUN DATE) / NFS:

120,381.53

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