



Daily Compliance Activity Report

Trade Date: 10/19/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 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
f JASON ERIC COHEN	FID	AEG	S	68	8.92	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMT	S	62,541	40.02	n/a	n/a	non-brg	4.0
CASTLE ARK	031	AMZN	S	99,420	95.30	n/a	n/a	5,965.20	6.0
BUCK CAPITAL MGMT	001	AM	S	20,000	22.54	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	37.27	n/a	9-Oct	800.00	4.0
BNP PARIBAS SEC	040	AN	S	25,000	20.61	19-Oct	19-Oct	1,000.00	4.0
COLONIAL FUND LLC	036	AN	S	20,000	20.85	19-Oct	19-Oct	1,000.00	5.0
THIRD COAST CAPITAL	035	AN	B	10,000	20.47	19-Oct	19-Oct	500.00	5.0
TRELLUS PARTNERS LP	028	AN	S	20,000	20.52	19-Oct	19-Oct	1,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	AN	B	50,000	20.49	19-Oct	19-Oct	2,000.00	4.0
WHALE ROCK CAP	030	AN	B	84,500	20.64	19-Oct	19-Oct	3,380.00	4.0
EXIS CAPITAL	044	ARO	SS	2,500	41.72	n/a	9-Oct	125.00	5.0
f NEIL M STRATTON	FID	ATEC	B	1000	4.85	n/a	n/a	0.00	0.0
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

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
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
f KEVIN MICHAEL O'GORM	FID	BCOKX	B	10	3.40	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	BEBE	B	10,000	7.20	n/a	n/a	500.00	5.0
f KAREN F LEDDY	FID	BEE	B	2000	2.72	n/a	n/a	0.00	0.0
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	19-Oct	19-Oct	250.00	5.0
B BUCK CAPITAL MGMT		BONT	B	30,000	8.44	n/a	n/a	non-brg	2.5
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
B BUCK CAPITAL MGMT		CCI	S	25,000	34.20	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	CHS	S	25,000	13.63	n/a	n/a	1,250.00	5.0
f MANNY I KORMAN	FID	CLUB	B	5000	3.41	n/a	n/a	0.00	0.0
CAXTON PART	040	CSCO	S	27,905	24.17	n/a	n/a	976.69	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
&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
f JASON ERIC COHEN	FID	C	S	35	4.63	n/a	16-Oct	0.00	0.0
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
f MICHAEL THOMAS NOLAN	FID	DGP	S	250	25.39	n/a	n/a	0.00	0.0
HOOVER INV. MGMT	033	DY	S	10,549	11.77	n/a	n/a	421.96	4.0
f EDWARD W WHEELER	FID	EXHEE	S	100	3.30	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	FSIXX	S	552000	1.00	n/a	n/a	0.00	0.0
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
B BUCK CAPITAL MGMT		GIII	S	25,000	19.23	n/a	n/a	non-brg	1.0
CAERUS GLOBAL	041	GIL	B	10,000	19.77	n/a	n/a	400.00	4.0
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

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
BUCK CAPITAL MGMT	001	JWN	B	30,000	35.16	n/a	9-Oct	1,200.00	4.0
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
f CHRISTOPHER ROBERT C	FID	KOL	S	100	33.13	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	KOL	S	100	33.13	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	K	S	1000	51.13	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	LEAP	B	10,000	14.12	n/a	n/a	500.00	5.0
f MANNY I KORMAN	FID	LNCR	B	3000	32.38	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.35	n/a	n/a	600.00	6.0
f DAVID GEORGE BUCK	FID	MO	B	1000	18.60	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	MP	B	15,000	6.04	n/a	n/a	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	MSFT	S	20	26.49	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	MS	B	5000	33.37	n/a	15-Oct	0.00	0.0
TRUSTCO/SUNTRUST	040	MTW	S	24,263	11.20	n/a	n/a	946.26	3.9
LISTED ERR	097	NUS	S	37	21.71	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	NVN	B	2900	13.25	n/a	n/a	0.00	0.0
COLONIAL FUND LLC	036	PAG	B	12,500	17.93	19-Oct	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
f DAVID GEORGE BUCK	FID	RIGKT	S	5	1.25	n/a	n/a	0.00	0.0
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
BUCK CAPITAL MGMT	001	RSH	SS	30,000	15.70	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SBAC	S	30,000	31.38	n/a	n/a	non-brg	4.0
PORTER-ORLIN-FELDMAN	044	SHW	B	20,000	63.49	n/a	n/a	600.00	3.0
f CHRISTOPHER ROBERT C	FID	SLV	B	300	17.32	n/a	n/a	0.00	0.0
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
f JASON ERIC COHEN	FID	SPF	S	280	3.42	n/a	n/a	0.00	0.0
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
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
BUCK CAPITAL MGMT	001	TLB	B	40,000	11.16	n/a	n/a	1,600.00	4.0
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
B BUCK CAPITAL MGMT		TWTC	S	50,000	14.75	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
f JASON ERIC COHEN	FID	VTG	B	1050	1.88	n/a	n/a	0.00	0.0
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
TOTAL (Trade Date) :								118,884.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/16	BIXBY LLC	070	BBY	B	20,000	40.65	n/a	n/a	800.00 4.0
AO,CXL	10/15	ROYCE TRADING	216	HWK	S	5,000	15.88	n/a	n/a	250.00 5.0
AO,CRT	10/15	ROYCE TRADING	216	HWK	S	5,000	15.88	n/a	n/a	250.00 5.0
AO,CXL	10/16	ENDEAVOUR CAPITAL	035	LNC	B	85,700	26.33	n/a	n/a	4285.00 5.0
AO,CRT	10/16	ENDEAVOUR CAPITAL	035	LNC	B	59,600	26.33	n/a	n/a	2384.00 4.0
AO,CRT	10/16	ENDEAVOUR CAPITAL	035	LNC	B	26,100	26.33	n/a	n/a	1044.00 4.0
AO,CXL	10/16	NEWCASTLE FUNDS	255	TIN	S	100,000	17.61	n/a	12-Oct	5000.00 5.0
TOTAL (AO, CXL, CRT) :										-5,057.00

TOTAL (Trade Date):	118,884.05
TOTAL (AO, CXL, CRT):	-5,057.00

TOTAL (RUN DATE) / NFS:	113,827.05
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MRI Securities with Trade Activity on 19-Oct.
AN, BLK, PAG

MRI Securities without Trade Activity on 19-Oct.
PRGO, HRS

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 42%

YTD = 21%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)