



Daily Compliance Activity Report

Trade Date: 09/09/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LONG OAR GLOBAL INV	040	AA	S	13,500	12.85	n/a	n/a	540.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	15.17	25-Jun	4-Sep	800.00	4.0
KAILIX INV ADV	048	ANR	B	10,000	36.75	n/a	n/a	500.00	5.0
NEWLAND CAPITAL MGT	067	ANW	S	10,000	22.72	n/a	n/a	400.00	4.0
CIRCLE T/SES PART	035	AXL	B	25,000	6.15	19-Aug	2-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	AXL	B	25,000	6.05	19-Aug	2-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	BG	SS	10,000	67.05	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	BHP	SS	15,000	64.51	n/a	n/a	600.00	4.0
VISIUM/BALY HOWARD	038	BIG	SS	20,000	25.51	25-Aug	25-Aug	1,000.00	5.0
CAXTON PART	040	CCE	S	15,267	19.89	n/a	n/a	534.35	3.5
ARCHON CAPITAL	035	CPHD	SS	50,000	13.62	n/a	n/a	1,500.00	3.0
GALT INVESTMENT	041	CROX	S	27,000	7.00	n/a	n/a	1,350.00	5.0
HIGHBRIDGE/MS OLDS	041	EBAY	B	25,823	22.33	n/a	n/a	1,291.15	5.0
STADIA CAPITAL	035	EXPD	SS	6,300	33.68	n/a	n/a	252.00	4.0
BUCK CAPITAL MGMT	001	FL	B	50,000	10.90	27-Aug	27-Aug	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LONG OAR GLOBAL INV	040	F	S	21,500	7.49	27-Aug	2-Sep	645.00	3.0
CATAPULT	040	GDX	B	25,000	45.03	n/a	n/a	1,000.00	4.0
FIRST NY SEC/CHRIS	041	GE	S	50,000	14.93	n/a	n/a	2,500.00	5.0
NEWLAND CAPITAL MGT	067	GNK	S	25,000	21.42	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	GVA	B	29,000	32.75	n/a	n/a	1,160.00	4.0
FRONTPOINT/COPIA-ANDREW	031	HERO	B	290,000	5.05	n/a	n/a	8,700.00	3.0
ELM RIDGE ADVISORS	044	IP	S	169,636	23.41	14-Aug	14-Aug	6,785.44	4.0
RBC CAPITAL MARKETS	040	ITT	SS	20,000	51.28	n/a	31-Jul	800.00	4.0
TROUBH PART	067	IVZ	S	25,000	22.71	6-Aug	9-Sep	1,250.00	5.0
KARSCH CAPITAL	034	IWM	C	95,900	58.47	n/a	n/a	1,918.00	2.0
DIAMONDBACK CAP MGMT	232	KBR	B	25,000	23.41	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	KBR	S	25,000	23.36	n/a	n/a	1,250.00	5.0
NEWLAND CAPITAL MGT	067	KDN	S	6,300	33.80	n/a	n/a	252.00	4.0
CHART WELL ADV	028	KSS	B	43,910	56.45	14-Aug	4-Sep	1,756.40	4.0
SCHOTTENFELD ASSOC	041	KSS	B	20,000	55.80	14-Aug	4-Sep	600.00	3.0
THIRD COAST CAPITAL	035	KSS	B	10,000	55.79	14-Aug	4-Sep	500.00	5.0
THIRD COAST CAPITAL	035	LVS	S	25,000	16.61	14-Aug	26-Aug	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	MAR	SS	49,868	23.59	n/a	n/a	1,994.72	4.0
CIRCLE T/SES PART	035	MPEL	S	25,000	6.75	n/a	26-Aug	1,000.00	4.0
BMO NESBITT BURNS	041	M	SS	50,000	15.99	n/a	4-Sep	2,500.00	5.0
FIRST NY SEC/CHRIS	041	M	B	10,000	15.73	n/a	4-Sep	500.00	5.0
SCHOTTENFELD ASSOC	041	M	B	50,000	15.47	n/a	4-Sep	1,500.00	3.0
SCHOTTENFELD ASSOC	041	M	S	50,000	15.69	n/a	4-Sep	1,500.00	3.0
WEINTRAUB CAPITAL MGT.	040	M	B	100,000	16.00	n/a	4-Sep	4,000.00	4.0
SENATOR INVESTMENT GROUP	036	NTAP	B	25,000	23.64	n/a	n/a	1,000.00	4.0
CENTURION PARTNERS	041	PSS	S	50,000	17.23	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	RAH	B	16,000	64.44	n/a	n/a	640.00	4.0
AVESTA CAP	229	RCL	S	50,000	21.05	31-Jul	8-Sep	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	RL	S	15,000	68.86	6-Aug	6-Aug	600.00	4.0
THE BOSTON COMPANY	039	RL	S	27,510	68.55	6-Aug	6-Aug	1,100.40	4.0
RBC CAPITAL MARKETS	040	RSG	B	28,000	26.52	n/a	n/a	1,120.00	4.0
LAGRANGE CAP ADV	048	RYAAY	S	10,000	29.50	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	SID	SS	50,000	27.28	n/a	n/a	2,000.00	4.0
ARCHON CAPITAL	035	SLW	S	70,000	11.81	n/a	n/a	2,100.00	3.0
PRINCIPLE CAPITAL	040	STX	B	100,000	14.89	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	SUP	B	10,000	14.73	10-Aug	10-Aug	500.00	5.0
KAILIX INV ADV	048	TCK	B	10,000	25.35	n/a	n/a	500.00	5.0
SCOPUS FUND	041	TJX	B	10,000	36.08	28-Jul	4-Sep	500.00	5.0
RBC CAPITAL MARKETS	040	TSN	S	50,000	12.45	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	WDR	SS	50,000	26.35	29-Jul	9-Sep	2,500.00	5.0
KAILIX INV ADV	048	WLT	B	5,000	58.49	n/a	n/a	250.00	5.0
WAGONHOUND/NIC	048	WRC	S	2,733	39.87	28-Jul	2-Sep	109.32	4.0
FIRST INV MGMT CO	029	XLNX	B	5,000	22.95	n/a	n/a	250.00	5.0
TOTAL (Trade Date) :								81,448.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/08	OZ MGMT (OZFFUBS)	040	AXL	S	199,898	5.78	19-Aug	2-Sep	5996.94 3.0
AO,	09/08	OZ MGMT (OZFFCSFB)	040	AXL	S	9,464	5.78	19-Aug	2-Sep	283.92 3.0
AO,	09/08	OZ MGMT (OZFFMS)	040	AXL	S	6,578	5.78	19-Aug	2-Sep	197.34 3.0
AO,	09/08	OZ MGMT (OZFFGS)	040	AXL	S	29,368	5.78	19-Aug	2-Sep	881.04 3.0
AO,	09/08	OZ MGMT (OZFFGS)	040	AXL	S	4,692	5.78	19-Aug	2-Sep	140.76 3.0

TOTAL (AO, CXL, CRT) :	7,500.00
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TOTAL (Trade Date) :	81,448.78
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TOTAL (AO, CXL, CRT) :	7,500.00
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TOTAL (RUN DATE) / NFS:	88,948.78
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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