



Daily Compliance Activity Report

Trade Date: 12/22/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	ADBE	S	829	37.37	n/a	n/a	24.87	3.0
EXIS CAPITAL	044	AEO	B	5,000	16.53	n/a	4-Dec	250.00	5.0
PLATTE RIVER CAPITAL	240	AES	S	14,595	13.67	n/a	n/a	437.85	3.0
STRONG/MARK GRONET	030	AHPI	B	5,000	5.20	n/a	n/a	150.00	3.0
CUMBERLAND	239	AMKR	S	75,000	7.39	n/a	n/a	3,000.00	4.0
EXIS CAPITAL	044	ANF	SS	10,000	35.37	n/a	4-Dec	500.00	5.0
WEISS PECK	040	ANF	C	5,430	35.50	n/a	4-Dec	271.50	5.0
PLATTE RIVER CAPITAL	240	AN	S	2,031	19.58	n/a	30-Oct	60.93	3.0
PHILADELPHIA FINANCIAL	033	ART	S	1,400	25.90	n/a	18-Dec	56.00	4.0
JP MORGAN VENTURES	046	AXL	S	15,000	8.33	n/a	14-Dec	450.00	3.0
LAGRANGE CAP ADV	048	AXL	S	30,000	8.36	n/a	14-Dec	1,500.00	5.0
THIRD COAST CAPITAL	035	AXL	S	15,000	8.34	n/a	14-Dec	750.00	5.0
WAGONHOUND/NIC	048	AXL	B	64,445	8.36	n/a	14-Dec	1,933.35	3.0
PLATTE RIVER CAPITAL	240	AZO	S	1,712	159.52	n/a	n/a	51.36	3.0
BENCHMARK	025	BBEP	B	5,021	11.18	n/a	n/a	200.84	4.0
PLATTE RIVER CAPITAL	240	BBT	S	13,252	25.77	n/a	n/a	397.56	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	BDX	S	1,352	78.16	n/a	n/a	40.56	3.0
PLATTE RIVER CAPITAL	240	BIIB	S	1,523	52.36	n/a	n/a	45.69	3.0
ROYCE TRADING	216	BIIB	B	4,200	52.41	n/a	n/a	210.00	5.0
RBC CAPITAL MARKETS	040	BUCY	B	10,000	58.20	n/a	22-Dec	400.00	4.0
WAGONHOUND/NIC	048	CAKE	B	5,218	22.31	n/a	21-Dec	208.72	4.0
WEISS PECK	040	CAKE	C	10,540	22.33	n/a	21-Dec	527.00	5.0
PLATTE RIVER CAPITAL	240	CA	S	2,133	22.65	n/a	n/a	63.99	3.0
PLATTE RIVER CAPITAL	240	CCE	S	3,088	20.98	n/a	n/a	92.64	3.0
PIONEER MICHAEL NOLAN	067	CDNS	S	100,000	5.84	n/a	n/a	3,000.00	3.0
TROUBH PART	067	CHK	B	25,000	26.46	n/a	n/a	1,250.00	5.0
CAMBIAR CAP	046	CHTT	S	14,690	93.04	n/a	21-Dec	587.60	4.0
STRONG/MARK GRONET	030	CIM	B	12,000	3.83	n/a	n/a	360.00	3.0
WEISS PECK	040	CMG	C	1,490	90.67	n/a	23-Oct	74.50	5.0
EXIS CAPITAL	044	COH	B	5,000	36.73	n/a	21-Oct	250.00	5.0
EXIS CAPITAL	044	COH	SS	5,000	36.82	n/a	21-Oct	250.00	5.0
PLATTE RIVER CAPITAL	240	CPWR	S	7,304	7.31	n/a	n/a	219.12	3.0
PZENA INV ADV	044	CRL	B	6,775	32.23	n/a	n/a	237.14	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	CSC	S	6,100	56.92	n/a	n/a	183.00	3.0
EXIS CAPITAL	044	DBRN	B	30,000	22.97	n/a	n/a	1,500.00	5.0
PLATTE RIVER CAPITAL	240	DFS	S	14,542	14.68	n/a	17-Dec	436.26	3.0
PLATTE RIVER CAPITAL	240	DHI	S	14,379	11.03	n/a	n/a	431.37	3.0
PLATTE RIVER CAPITAL	240	DOV	S	175	41.47	n/a	n/a	5.25	3.0
PLATTE RIVER CAPITAL	240	DO	S	1,820	100.12	n/a	n/a	54.60	3.0
PLATTE RIVER CAPITAL	240	DTE	S	6,938	43.41	n/a	n/a	208.14	3.0
PLATTE RIVER CAPITAL	240	DVN	S	196	70.98	n/a	17-Dec	5.88	3.0
WAGONHOUND/NIC	048	EAT	S	15,560	15.34	n/a	n/a	622.40	4.0
SENATOR INVESTMENT GROUP	036	EEM	SS	40,900	40.31	n/a	n/a	1,227.00	3.0
PLATTE RIVER CAPITAL	240	EMN	S	1,507	60.37	n/a	n/a	45.21	3.0
FORWARD MGMT	033	EP	S	40,000	10.12	n/a	n/a	2,000.00	5.0
STRONG/MARK GRONET	030	FAC	B	5,000	1.75	n/a	n/a	50.00	1.0
PLATTE RIVER CAPITAL	240	FDO	S	4,075	27.83	n/a	3-Dec	122.25	3.0
LATEFF MGMT	035	FDX	B	350	83.68	n/a	n/a	140.00	40.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	FLR	S	909	43.86	n/a	n/a	27.27	3.0
PLATTE RIVER CAPITAL	240	FLS	S	1,814	97.27	n/a	n/a	54.42	3.0
LATEFF MGMT	035	FL	B	2,500	10.64	n/a	17-Dec	225.00	9.0
LATEFF MGMT	035	FMER	B	3,000	20.38	n/a	n/a	300.00	10.0
PLATTE RIVER CAPITAL	240	FPL	S	2,270	54.07	n/a	n/a	68.10	3.0
EXIS CAPITAL	044	GCO	SS	10,000	26.53	n/a	n/a	500.00	5.0
PLATTE RIVER CAPITAL	240	GD	S	3,125	68.23	n/a	29-Oct	93.75	3.0
EXIS CAPITAL	044	GES	B	5,000	43.20	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	GES	SS	10,000	43.28	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	GPS	S	25,000	21.04	n/a	n/a	1,250.00	5.0
PLATTE RIVER CAPITAL	240	GPS	S	14,595	20.89	n/a	n/a	437.85	3.0
EXIS CAPITAL	044	GYMB	B	5,000	42.55	n/a	4-Dec	250.00	5.0
SCOPUS FUND	041	GYMB	B	15,000	42.68	n/a	4-Dec	750.00	5.0
KEEFE BRUYETTE WOODS A	045	HCBK	S	32,000	13.51	n/a	24-Nov	1,600.00	5.0
PLATTE RIVER CAPITAL	240	HON	S	4,457	39.63	n/a	16-Dec	133.71	3.0
PLATTE RIVER CAPITAL	240	HRB	S	14,067	20.59	n/a	n/a	422.01	3.0
PLATTE RIVER CAPITAL	240	HRL	S	680	37.95	n/a	n/a	20.40	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	HUM	S	38	45.44	n/a	n/a	1.14	3.0
NEWLAND CAPITAL MGT	067	HW	S	15,000	6.09	n/a	n/a	600.00	4.0
PLATTE RIVER CAPITAL	240	IFF	S	3,688	40.73	n/a	23-Nov	110.64	3.0
EXIS CAPITAL	044	JCG	SS	5,000	44.45	n/a	n/a	250.00	5.0
S.A.C. HEALTHCARE BOBBY	044	JNJ	B	10,000	64.69	n/a	n/a	400.00	4.0
CLOVIS CAPITAL	012	JOYG	B	40,000	54.24	n/a	8-Dec	1,600.00	4.0
EXIS CAPITAL	044	JWN	B	5,000	36.65	n/a	4-Dec	250.00	5.0
PLATTE RIVER CAPITAL	240	KMB	S	1,860	64.11	n/a	17-Dec	55.80	3.0
EXIS CAPITAL	044	KSS	B	10,000	54.98	n/a	4-Dec	500.00	5.0
EXIS CAPITAL	044	KSS	S	10,000	55.49	n/a	4-Dec	500.00	5.0
PLATTE RIVER CAPITAL	240	KSS	S	343	55.38	n/a	4-Dec	10.29	3.0
TROUBH PART	067	LEAP	S	23,500	17.97	n/a	n/a	1,175.00	5.0
TROUBH PART	067	LEA	S	10,000	68.40	n/a	n/a	500.00	5.0
PLATTE RIVER CAPITAL	240	LO	S	287	78.97	n/a	n/a	8.61	3.0
PLATTE RIVER CAPITAL	240	LTD	S	9,544	19.79	n/a	n/a	286.32	3.0
PLATTE RIVER CAPITAL	240	MCD	S	3,380	62.98	n/a	8-Dec	101.40	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	MCK	S	6,769	62.96	n/a	n/a	203.07	3.0
WHITE PINE CAPITAL	030	MMR	S	11,950	7.59	n/a	n/a	597.50	5.0
PLATTE RIVER CAPITAL	240	MON	S	816	81.29	n/a	9-Dec	24.48	3.0
PLATTE RIVER CAPITAL	240	MO	S	20,640	19.88	n/a	n/a	619.20	3.0
PZENA INV ADV	044	MSFT	S	25,950	30.75	n/a	n/a	908.28	3.5
EGS ASSOCIATES LP	091	M	B	5,000	17.33	n/a	4-Dec	300.00	6.0
EXIS CAPITAL	044	M	B	10,000	17.51	n/a	4-Dec	500.00	5.0
CASTLEROCK	040	OTEX	SS	34,565	38.42	n/a	n/a	1,382.60	4.0
PLATTE RIVER CAPITAL	240	PBI	S	10,969	22.90	n/a	n/a	329.07	3.0
JMP ASSET MGMT	210	PSEC	B	10,000	11.98	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	PVH	B	10,000	40.58	n/a	22-Dec	500.00	5.0
EXIS CAPITAL	044	PVH	SS	10,000	40.36	n/a	22-Dec	500.00	5.0
MORGAN BANK /JPM	070	RCL	B	5,000	26.15	n/a	n/a	150.00	3.0
EXIS CAPITAL	044	RL	B	5,000	80.97	n/a	4-Nov	250.00	5.0
EXIS CAPITAL	044	RL	S	5,000	81.20	n/a	4-Nov	250.00	5.0
EXIS CAPITAL	044	ROST	B	10,000	42.89	n/a	n/a	500.00	5.0
STRONG/MARK GRONET	030	SMMX	B	3,000	4.59	n/a	n/a	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	SVU	S	5,725	12.81	n/a	n/a	286.25	5.0
WAGONHOUND/NIC	048	TEX	S	25,728	21.18	n/a	23-Oct	1,029.12	4.0
EXIS CAPITAL	044	TIF	S	3,550	43.85	n/a	n/a	177.50	5.0
ASCEND PARTNERS	033	TJX	B	30,584	36.97	n/a	4-Dec	1,529.20	5.0
LISTED ERR	099	TJX	B	44,416	36.96	n/a	4-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	12,000	41.92	n/a	22-Dec	480.00	4.0
EMERSON CAPITAL MGMT	048	WRC	B	8,600	41.92	n/a	22-Dec	344.00	4.0
EXIS CAPITAL	044	WRC	B	25,000	41.93	n/a	22-Dec	1,250.00	5.0
EXIS CAPITAL	044	WRC	SS	25,000	41.86	n/a	22-Dec	1,250.00	5.0
WHITE PINE CAPITAL	030	WTI	B	7,775	11.65	n/a	n/a	388.75	5.0
T. ROWE PRICE	033	WY	B	35,800	43.50	n/a	15-Dec	1,432.00	4.0
CATAPULT	040	YHOO	B	25,000	15.96	n/a	n/a	1,000.00	4.0
ARCHON CAPITAL	035	ZIXI	B	25,000	1.66	n/a	n/a	750.00	3.0
EXIS CAPITAL	044	ZUMZ	SS	25,000	12.64	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):								56,885.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/21	EXIS CAPITAL (EXISDEUTC)	044	AEO	S	12,400	16.39	n/a	4-Dec	620.00 5.0
AO,CXL	12/21	EXIS CAPITAL (EXISRBC)	044	AEO	S	12,400	16.39	n/a	4-Dec	620.00 5.0
CRT	12/22	CUMBERLAND (CUMBMS04)	239	AMKR	S	75,000	7.39	n/a	n/a	3000.00 4.0
AO,CXL	12/21	EXIS CAPITAL (EXISRBC)	044	ANF	B	6,200	35.25	n/a	4-Dec	310.00 5.0
AO,	12/21	EXIS CAPITAL (EXISDEUTC)	044	ANF	B	6,200	35.25	n/a	4-Dec	310.00 5.0
AO,	12/21	EXIS CAPITAL (EXISDEUTC)	044	ARO	S	9,200	32.83	n/a	4-Dec	460.00 5.0
AO,CXL	12/21	EXIS CAPITAL (EXISRBC)	044	ARO	S	9,200	32.83	n/a	4-Dec	460.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDPLSELF)	044	HEW	S	300	43.02	n/a	n/a	15.00 5.0
AO,CXL	12/18	CARDINAL CAPITAL (&CARDPLSE)	044	HEW	S	300	43.02	n/a	n/a	15.00 5.0
AO,	12/21	CARDINAL CAPITAL (CARDPLSELF)	044	HEW	S	300	43.06	n/a	n/a	15.00 5.0
AO,CXL	12/21	CARDINAL CAPITAL (&CARDPLSE)	044	HEW	S	300	43.06	n/a	n/a	15.00 5.0
AO,	12/21	EXIS CAPITAL (EXISDEUTC)	044	JWN	S	6,200	36.56	n/a	4-Dec	310.00 5.0
AO,CXL	12/21	EXIS CAPITAL (EXISRBC)	044	JWN	S	6,200	36.56	n/a	4-Dec	310.00 5.0
AO,	12/21	CAERUS GLOBAL (CAERGS)	041	OEH	B	10,000	10.39	n/a	n/a	400.00 4.0
AO,	12/21	EXIS CAPITAL (EXISDEUTC)	044	XRT	B	6,200	35.79	n/a	n/a	310.00 5.0
AO,CXL	12/21	EXIS CAPITAL (EXISRBC)	044	XRT	B	6,200	35.79	n/a	n/a	310.00 5.0
TOTAL (AO, CXL, CRT) :										3,400.00

TOTAL (Trade Date):

56,885.31

TOTAL (AO, CXL, CRT):

3,400.00

TOTAL (RUN DATE) / NFS:

60,285.31

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