



Daily Compliance Activity Report

Trade Date: 10/14/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ABG	B	23,455	13.96	n/a	n/a	914.75	3.9
FRIESS MGMT	033	AEO	B	245,000	19.07	n/a	9-Oct	9,800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	25,000	18.92	n/a	9-Oct	1,000.00	4.0
EXIS CAPITAL	044	AMR	S	25,000	8.09	n/a	n/a	1,250.00	5.0
SCHOTTENFELD ASSOC	041	AN	B	10,000	19.44	n/a	n/a	300.00	3.0
US BANCORP	030	APH	B	139,169	40.35	n/a	n/a	6,958.45	5.0
EXIS CAPITAL	044	ARO	B	10,000	42.19	n/a	9-Oct	500.00	5.0
HOLLIS CAPITAL	033	AVAV	B	7,000	28.31	n/a	n/a	350.00	5.0
COOPER CREEK PART	028	AXL	S	25,000	6.70	n/a	n/a	750.00	3.0
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	25.48	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	AZO	SS	2,500	144.91	n/a	n/a	100.00	4.0
HARBORWATCH/DIAMBACK	232	BA	SS	25,000	52.34	n/a	12-Oct	1,250.00	5.0
EXIS CAPITAL	044	BBY	B	5,000	39.99	n/a	n/a	250.00	5.0
CAMBIAR CAP	046	BK	B	45,880	27.62	n/a	6-Oct	1,835.20	4.0
FORD FDN.	032	CEPH	B	45,000	54.28	n/a	12-Oct	2,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	DECK	SS	5,000	86.00	n/a	n/a	250.00	5.0
PRINCIPLE CAPITAL	040	DIS	B	14,300	28.56	n/a	n/a	429.00	3.0
PRINCIPLE CAPITAL	040	DIS	SS	14,300	28.63	n/a	n/a	429.00	3.0
BUCK CAPITAL MGMT	001	DKS	B	90,000	25.08	n/a	n/a	3,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	SS	25,000	8.40	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	FL	B	50,000	11.72	n/a	n/a	2,000.00	4.0
DELTEC ASSET MGMT.	040	FL	B	30,000	11.68	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	FO	B	30,000	43.62	n/a	n/a	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	GS	S	5,000	191.05	n/a	6-Oct	250.00	5.0
COOPER CREEK PART	028	HAR	SS	5,000	36.74	n/a	n/a	200.00	4.0
FRIESS MGMT	033	HCBK	S	738,900	13.26	n/a	n/a	29,556.00	4.0
ROSEDALE CAPITAL	046	HCBK	B	30,000	13.21	n/a	n/a	1,500.00	5.0
NEUBERGER BERMAN	036	HGG	B	56,600	18.65	n/a	n/a	2,547.00	4.5
EXIS CAPITAL	044	INTC	B	25,000	21.02	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	IP	SS	50,000	24.18	n/a	12-Oct	2,500.00	5.0
EXIS CAPITAL	044	JCG	SS	5,000	38.36	n/a	n/a	250.00	5.0
EGS ASSOCIATES LP	091	JNY	B	3,000	19.38	n/a	n/a	180.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	JWN	S	1,625	34.30	n/a	9-Oct	325.00	20.0
CIRCLE T/SES PART	035	LIZ	S	50,000	6.92	n/a	7-Oct	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	LOW	S	25,000	21.78	n/a	n/a	1,250.00	5.0
TRELLUS PARTNERS LP	028	LVS	S	50,000	18.19	n/a	n/a	2,500.00	5.0
PROSPECTOR PARTNERS LLC	036	L	B	10,000	35.59	n/a	n/a	400.00	4.0
NICOLAS APPLGATE	048	MCGC	B	17,500	4.89	n/a	n/a	525.00	3.0
ROYCE TRADING	216	MEI	B	5,000	8.91	n/a	n/a	250.00	5.0
STERLING JOHNSTON	035	MIDD	S	11,500	53.01	n/a	n/a	460.00	4.0
HUNTER GLOBAL INVESTOR	067	MMM	B	131,500	76.51	n/a	n/a	5,260.00	4.0
DIAMONDBACK CAP MGMT	232	MS	SS	10,000	31.81	n/a	6-Oct	500.00	5.0
CAERUS GLOBAL	041	MW	B	10,000	25.81	n/a	n/a	400.00	4.0
CAERUS GLOBAL	041	M	B	8,520	20.56	n/a	9-Oct	340.80	4.0
EXIS CAPITAL	044	M	S	10,000	20.26	n/a	9-Oct	500.00	5.0
KACELA CAPITAL	034	M	B	65,000	20.36	n/a	9-Oct	2,600.00	4.0
CAERUS GLOBAL	041	ORLY	B	10,000	35.25	n/a	n/a	400.00	4.0
ACK ASSET	028	PAG	B	13,800	16.19	n/a	n/a	414.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	PAG	B	25,000	16.22	n/a	n/a	750.00	3.0
HUNTER GLOBAL INVESTOR	067	PEP	S	45,000	61.38	n/a	n/a	2,250.00	5.0
MILLENIUM PARTNERS	028	PKG	SS	23,000	21.22	n/a	12-Oct	920.00	4.0
SUN AMERICA ASSET MGMT	030	PMCS	B	25,000	9.86	n/a	n/a	1,000.00	4.0
HUNTER GLOBAL INVESTOR	067	QCOM	SS	200,000	41.82	n/a	n/a	8,000.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	B	97,860	41.85	n/a	n/a	4,893.00	5.0
EXIS CAPITAL	044	ROST	SS	2,500	46.18	n/a	n/a	125.00	5.0
ROYCE TRADING	216	RT	B	10,000	8.53	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	SKS	B	10,000	6.47	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	SKS	B	10,000	6.39	n/a	n/a	500.00	5.0
ROYCE TRADING	216	SKS	B	27,500	6.46	n/a	n/a	1,375.00	5.0
FRONTIER	039	SMTG	B	150,000	17.38	n/a	n/a	6,000.00	4.0
ARMATURE CAPITAL	041	SOA	B	25,000	12.54	n/a	n/a	1,000.00	4.0
KENNEDY CAPITAL	046	SOA	S	50,000	12.50	n/a	n/a	2,000.00	4.0
ROYCE TRADING	216	SOA	S	2,500	12.29	n/a	n/a	125.00	5.0
SUN AMERICA ASSET MGMT	030	STJ	B	15,700	32.97	n/a	n/a	628.00	4.0
SANDLER O'NEILL ASSET	031	STT	S	11,400	54.01	n/a	6-Oct	570.00	5.0
BMO NESBITT BURNS	041	TIN	SS	25,000	17.21	n/a	12-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	TLB	S	5,300	11.70	n/a	n/a	265.00	5.0
BALYASNY ASSET MGMT	044	TROW	B	50,000	46.42	n/a	6-Oct	2,500.00	5.0
STADIA CAPITAL	035	URBN	S	15,700	32.35	n/a	n/a	628.00	4.0
ROYCE TRADING	216	VSH	B	7,000	8.01	n/a	n/a	350.00	5.0
MAIRS AND POWER INV	030	WFC	S	20,000	30.89	n/a	n/a	1,000.00	5.0
ROYCE TRADING	216	WFR	B	10,000	15.81	n/a	n/a	500.00	5.0
US BANCORP	030	WMT	S	283,670	50.21	n/a	6-Oct	14,183.50	5.0
EGS ASSOCIATES LP	091	WRC	B	5,000	44.30	n/a	2-Oct	300.00	6.0
BMO NESBITT BURNS	041	WY	SS	50,000	38.82	n/a	12-Oct	2,500.00	5.0
COHE & STEERS	091	WY	B	195,998	38.78	n/a	12-Oct	7,839.92	4.0
STRAUSS ASSET MGMT	040	WY	B	5,000	38.22	n/a	12-Oct	200.00	4.0
ROTHSCHILD ASSET	040	XL	B	42,751	17.96	n/a	n/a	1,923.81	4.5
TOTAL (Trade Date) :								159,250.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/13	JP MORGAN VENTURES (JPMVJPM)	046	ANF	SS	10,000	36.21	n/a	9-Oct	0.00	0.0
AO,CRT	10/13	JP MORGAN VENTURES (JPMVJPM)	046	ANF	SS	10,000	36.21	n/a	9-Oct	500.00	5.0
AO,CXL	10/13	MAIRS AND POWER INV (MAIRGROWTH)	030	PRXI	B	276	1.58	n/a	n/a	13.80	5.0
AO,CXL	10/13	MAIRS AND POWER INV (MAIRGROWTH)	030	PRXI	S	27,900	1.61	n/a	n/a	837.00	3.0
AO,CRT	10/13	MARINER/TRICADIA (MARITRICAD)	041	PRXI	B	276	1.58	n/a	n/a	8.28	3.0
AO,	10/13	MARINER/TRICADIA (MARITRGSPB)	041	PRXI	S	2,484	1.61	n/a	n/a	74.52	3.0
AO,CRT	10/13	MARINER/TRICADIA (MARITRICAD)	041	PRXI	S	25,416	1.61	n/a	n/a	762.48	3.0
AO,	10/13	LISTED ERR (LISTED ERR)	097	RKT	S	4,900	49.00	n/a	n/a	0.00	0.0
AO,CXL	10/09	CSFB GLOBAL PROPRIETARY (CSFBGLOBAL)	041	TIN	B	30,000	16.13	n/a	12-Oct	1500.00	5.0

TOTAL (AO, CXL, CRT) :**-1,005.52**

TOTAL (Trade Date) :

159,250.43

TOTAL (AO, CXL, CRT) :

-1,005.52

TOTAL (RUN DATE) / NFS:**158,244.91**

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