



# Daily Compliance Activity Report

Trade Date: 11/24/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>20,000</b>	<b>15.37</b>	<b>n/a</b>	<b>6-Nov</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	AEO	B	25,000	15.30	n/a	6-Nov	1,250.00	5.0
NWQ INVESTMENT MGMT CO	048	AIN	S	7,200	19.47	n/a	n/a	288.00	4.0
EXIS CAPITAL	044	ANF	B	20,000	39.41	n/a	16-Nov	1,000.00	5.0
MILLENIUM PARTNERS	028	AN	S	20,000	17.40	n/a	30-Oct	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>40,000</b>	<b>31.18</b>	<b>n/a</b>	<b>6-Nov</b>	<b>1,600.00</b>	<b>4.0</b>
EXIS CAPITAL	044	ARO	B	12,500	31.18	n/a	6-Nov	625.00	5.0
EXIS CAPITAL	044	BBY	B	15,000	43.06	n/a	n/a	750.00	5.0
HARRIS ASSOCIATES	031	BBY	S	16,600	42.75	n/a	n/a	498.00	3.0
DIAMONDBACK CAP MGMT	232	BEN	S	5,000	112.58	n/a	19-Nov	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	BP	S	15,000	58.36	n/a	n/a	600.00	4.0
KENNEDY CAPITAL	046	CBK	B	24,700	6.20	n/a	n/a	741.00	3.0
HARRIS ASSOCIATES	031	CCL	S	122,200	31.92	n/a	n/a	3,666.00	3.0
EXIS CAPITAL	044	COH	SS	20,000	35.27	n/a	21-Oct	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	COP	S	990	52.39	n/a	n/a	39.60	4.0
PROSPECTOR PARTNERS LLC	036	CPB	S	1,000	35.02	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	CVGI	B	15,840	5.20	n/a	n/a	475.20	3.0
SCOPUS FUND	041	DE	B	42,400	52.32	n/a	n/a	2,120.00	5.0
LEVIN CAPITAL STRATEGIES	012	DLTR	S	25,000	50.72	n/a	24-Nov	750.00	3.0
DIAMONDBACK CAP MGMT	232	DOW	S	20,000	27.62	n/a	18-Nov	1,000.00	5.0
L.R.BURTSCHY & CO	045	DSW	S	10,000	22.75	n/a	24-Nov	600.00	6.0
ROTHSCHILD ASSET	040	EBS	S	21,310	14.09	n/a	n/a	958.95	4.5
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.63	n/a	n/a	600.00	6.0
PHILADELPHIA FINANCIAL	033	EV	SS	14,567	30.36	n/a	24-Nov	582.68	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>30,000</b>	<b>9.91</b>	<b>n/a</b>	<b>23-Nov</b>	<b>900.00</b>	<b>3.0</b>
JP MORGAN VENTURES	046	FL	B	30,000	9.85	n/a	23-Nov	1,200.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	S	3,000	19.26	n/a	5-Nov	120.00	4.0
EXIS CAPITAL	044	FOSL	SS	15,000	32.20	n/a	n/a	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>30,000</b>	<b>26.41</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
EXIS CAPITAL	044	GCO	SS	25,000	26.62	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	GES	SS	10,000	35.98	n/a	n/a	500.00	5.0
STERLING JOHNSTON	035	GES	S	5,350	35.79	n/a	n/a	214.00	4.0
EXIS CAPITAL	044	GPS	B	10,000	21.97	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	GYMB	B	5,000	41.28	n/a	19-Nov	250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	HES	B	4,500	58.10	n/a	n/a	225.00	5.0
DAVIDSON KEMPNER ADVISOR	040	IEO	SS	3,500	49.64	n/a	n/a	175.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>30,000</b>	<b>40.62</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JCP	SS	15,000	29.30	n/a	16-Nov	750.00	5.0
EXIS CAPITAL	044	JNJ	B	10,000	63.18	n/a	n/a	500.00	5.0
PZENA INV ADV	044	JNJ	B	1,450	62.90	n/a	n/a	50.75	3.5
HARRIS ASSOCIATES	031	JPM	S	21,600	42.41	n/a	24-Nov	648.00	3.0
EXIS CAPITAL	044	JWN	B	5,000	33.87	n/a	13-Nov	250.00	5.0
EXIS CAPITAL	044	KSS	B	2,500	54.28	n/a	13-Nov	125.00	5.0
CRAMER ROSENTHAL/SCOTT	012	MCD	S	1,510	63.93	n/a	13-Nov	60.40	4.0
ROSEDALE CAPITAL	046	MOT	B	20,000	8.19	n/a	n/a	800.00	4.0
PROSPECTOR PARTNERS LLC	036	MRO	S	2,000	32.86	n/a	n/a	80.00	4.0
EXIS CAPITAL	044	M	S	10,000	17.08	n/a	12-Nov	500.00	5.0
PROSPECTOR PARTNERS LLC	036	NEM	S	3,000	52.71	n/a	n/a	120.00	4.0
FIRST INV MGMT CO	029	NSM	B	65,500	14.20	n/a	n/a	3,275.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	PAG	B	20,000	15.12	n/a	2-Nov	800.00	4.0
MAIRS AND POWER INV	030	PFE	S	20,000	18.38	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	PJC	SS	5,000	45.81	n/a	n/a	250.00	5.0
NWQ INVESTMENT MGMT CO	048	PKG	S	4,200	20.04	n/a	22-Oct	168.00	4.0
EXIS CAPITAL	044	PLCE	B	20,000	32.79	n/a	19-Nov	1,000.00	5.0
EXIS CAPITAL	044	PLCE	SS	5,000	33.12	n/a	19-Nov	250.00	5.0
PROSPECTOR PARTNERS LLC	036	PTP	S	2,000	36.32	n/a	n/a	80.00	4.0
EXIS CAPITAL	044	PVH	B	17,500	41.91	n/a	20-Nov	875.00	5.0
PROSPECTOR PARTNERS LLC	036	REP	S	3,000	27.78	n/a	n/a	120.00	4.0
EXIS CAPITAL	044	RL	B	5,000	77.98	n/a	4-Nov	250.00	5.0
T. ROWE PRICE	033	SHW	B	19,600	60.74	n/a	9-Nov	784.00	4.0
LEVEL GLOBAL PARTNERS	257	SINA	B	50,000	44.47	n/a	n/a	1,500.00	3.0
STRAUSS ASSET MGMT	040	SNEN	S	35,000	1.85	n/a	n/a	1,050.00	3.0
LISTED ERR	099	SNEN	B	1,000	1.86	n/a	n/a	0.00	0.0
LISTED ERR	099	SNEN	S	1,000	1.85	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	SSO	B	30,000	37.46	n/a	n/a	1,500.00	5.0
EXIS CAPITAL	044	SSO	SS	40,000	37.37	n/a	n/a	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	STFC	S	2,000	16.99	n/a	n/a	80.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TGT	S	10,000	47.29	n/a	18-Nov	400.00	4.0
NWQ INVESTMENT MGMT CO	048	TIN	S	3,400	17.64	n/a	22-Oct	136.00	4.0
PROSPECTOR PARTNERS LLC	036	TR	S	3,000	25.65	n/a	n/a	120.00	4.0
PROSPECTOR PARTNERS LLC	036	TYC	S	1,000	36.29	n/a	23-Nov	40.00	4.0
HARRIS ASSOCIATES	031	UNP	S	8,400	64.47	n/a	n/a	252.00	3.0
EXIS CAPITAL	044	URBN	SS	5,000	31.34	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	WRC	B	5,000	41.93	n/a	5-Nov	250.00	5.0
EXIS CAPITAL	044	WRC	SS	10,000	42.07	n/a	5-Nov	500.00	5.0
PROSPECTOR PARTNERS LLC	036	XEC	S	3,000	45.22	n/a	n/a	120.00	4.0
EXIS CAPITAL	044	XRT	B	5,000	34.90	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	XRT	SS	5,000	34.84	n/a	n/a	250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>50,952.58</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/23	COLUMBUS CIRCLE (COLC3050)	036	JNS	S	1,999	13.47	n/a	17-Nov	39.98 2.0
AO,	11/23	COLUMBUS CIRCLE (COLC3050)	036	JNS	S	19,001	13.23	n/a	17-Nov	760.04 4.0
AO,CRT	11/23	ST OF MICHIAN (MICHMER9)	047	VOD	S	500,000	22.66	n/a	n/a	15000.00 3.0
AO,CXL	11/23	ST OF MICHIAN (MICHMEX3)	047	VOD	S	500,000	22.66	n/a	n/a	15000.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>800.02</b>

TOTAL (Trade Date) :	50,952.58
TOTAL (AO, CXL, CRT) :	800.02

<b>TOTAL (RUN DATE) / NFS :</b>	<b>51,752.60</b>
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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