



Daily Compliance Activity Report

Trade Date: 10/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	AA	B	159,905	14.25	n/a	n/a	6,396.20	4.0
BUCK CAPITAL MGMT	001	AEO	S	50,000	19.26	n/a	9-Oct	2,000.00	4.0
FRIESS MGMT	033	AEO	B	192,600	19.06	n/a	9-Oct	7,704.00	4.0
NORTHPOINT	030	AMT	S	1,100	39.80	n/a	n/a	44.00	4.0
NEUBERGER BERMAN	036	APH	B	20,250	40.78	n/a	n/a	911.25	4.5
RAINIER INV MGMT	035	BAX	B	247,540	54.95	n/a	n/a	9,901.60	4.0
RAINIER INV MGMT	035	BRY	B	46,050	29.71	n/a	n/a	2,302.50	5.0
CAXTON PART	040	BYI	B	15,000	43.00	n/a	n/a	525.01	3.5
NORTHPOINT	030	CMS	S	14,200	13.68	n/a	n/a	568.00	4.0
DIAMONDBACK CAP MGMT	232	COF	B	25,000	37.16	n/a	15-Oct	1,250.00	5.0
STERLING JOHNSTON	035	CRI	B	20,000	28.49	n/a	n/a	800.00	4.0
STADIA CAPITAL	035	DECK	B	10,000	88.35	n/a	n/a	400.00	4.0
COOPER CREEK PART	028	DKS	B	15,000	25.44	n/a	15-Oct	750.00	5.0
MILLENIUM PARTNERS	028	DKS	B	13,500	25.55	n/a	15-Oct	540.00	4.0
DIAMONDBACK CAP MGMT	232	DOW	S	55,000	26.89	n/a	n/a	2,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	DVN	B	20,000	71.40	n/a	9-Oct	800.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.75	n/a	n/a	1,200.00	6.0
NEUBERGER BERMAN	036	EXPD	S	8,850	34.68	n/a	n/a	398.25	4.5
SOUTH POINT CAP	067	FAS	SS	7,000	91.45	n/a	n/a	350.00	5.0
ROARING BLUE LION MGMT	012	FL	B	27,000	11.84	n/a	n/a	1,080.00	4.0
ROYCE TRADING	216	FUL	S	700	22.56	n/a	n/a	35.00	5.0
GREEN ARROW DOUG	040	GCA	S	45,000	7.13	n/a	n/a	2,250.00	5.0
BUCK CAPITAL MGMT	001	GE	S	1,400	16.58	n/a	n/a	56.00	4.0
FIRST NY SEC/CHRIS	041	GE	B	50,000	16.61	n/a	n/a	2,000.00	4.0
ROYCE TRADING	216	GPI	S	3,000	32.25	n/a	14-Oct	150.00	5.0
ROYCE TRADING	216	GTI	S	5,000	14.93	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	GYMB	B	5,000	46.80	n/a	9-Oct	250.00	5.0
ROYCE TRADING	216	HAR	S	2,500	37.01	n/a	n/a	125.00	5.0
FRIESS MGMT	033	HCBK	S	492,600	13.24	n/a	15-Oct	19,704.00	4.0
NEUBERGER BERMAN	036	HGG	B	36,500	19.43	n/a	n/a	1,642.50	4.5
PENNANT CAP MGMT	029	HOLX	B	170,000	16.85	n/a	n/a	5,100.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	HON	S	250,875	37.38	n/a	n/a	10,035.00	4.0
HARVEST MGMT	039	HOTT	B	20,000	8.83	n/a	n/a	1,000.00	5.0
ROYCE TRADING	216	HWK	S	5,000	15.88	n/a	n/a	250.00	5.0
ROYCE TRADING	216	HXL	S	5,000	11.69	n/a	n/a	250.00	5.0
SAXON WOODS ADVISORS	038	JNJ	S	140,400	60.49	n/a	n/a	5,616.00	4.0
DSG CAPITAL	225	JNS	B	30,000	15.25	n/a	7-Oct	1,500.00	5.0
BNP PARIBAS SEC	040	JOYG	B	10,000	51.92	n/a	n/a	400.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	40.99	n/a	15-Oct	1,250.00	5.0
STADIA CAPITAL	035	LRCX	B	6,200	36.90	n/a	n/a	248.00	4.0
JP MORGAN VENTURES	046	MAT	B	30,000	19.33	n/a	n/a	1,500.00	5.0
SUN AMERICA ASSET MGMT	030	MGLN	B	6,400	29.60	n/a	n/a	256.00	4.0
DIAMONDBACK CAP MGMT	232	MS	C	15,000	32.66	n/a	15-Oct	750.00	5.0
EXIS CAPITAL	044	M	B	5,000	20.79	n/a	9-Oct	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	64,000	21.24	n/a	n/a	2,240.00	3.5
PORTER-ORLIN-FELDMAN	044	OIH	B	30,000	129.06	n/a	n/a	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ORB	S	7,640	14.70	n/a	n/a	343.80	4.5
NEWLAND CAPITAL MGT	067	OSK	S	5,000	33.56	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	PAG	S	20,000	17.27	n/a	n/a	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	PEP	S	25,000	62.16	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	PKG	SS	25,000	22.05	n/a	12-Oct	1,250.00	5.0
FIRST NEW YORK NICK	029	Q	S	40,000	3.69	n/a	n/a	2,000.00	5.0
SCOPUS FUND	041	RKT	S	7,944	49.58	n/a	n/a	397.20	5.0
DELTEC ASSET MGMT.	040	RRR	B	40,000	7.71	n/a	n/a	1,600.00	4.0
KLEINHEINZ CAP PART	031	RTH	B	25,000	92.41	n/a	n/a	1,250.00	5.0
PENNANT CAP MGMT	029	RVBD	B	50,000	24.27	n/a	n/a	1,500.00	3.0
KENNEDY CAPITAL	046	SOA	S	35,906	12.50	n/a	n/a	1,436.24	4.0
MACKLOWE ASSET MGMT	041	SWY	B	40,000	22.50	n/a	n/a	1,600.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	291,342	50.24	n/a	9-Oct	11,653.68	4.0
ROYCE TRADING	216	TIN	S	5,000	17.70	n/a	12-Oct	250.00	5.0
SCHOTTENFELD ASSOC	041	TIN	B	30,000	17.85	n/a	12-Oct	900.00	3.0
SCOPUS FUND	041	TIN	S	10,000	17.76	n/a	12-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	TROW	B	20,000	47.72	n/a	6-Oct	1,000.00	5.0
BNP PARIBAS SEC	040	TSN	B	5,000	11.96	n/a	n/a	200.00	4.0
DSG CAPITAL	225	TYC	B	3,000	35.51	n/a	12-Oct	150.00	5.0
ST OF MICHIAN	047	T	B	160,000	25.82	n/a	n/a	4,800.00	3.0
EXIS CAPITAL	044	UAUA	S	25,000	7.81	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	UTHR	S	7,000	45.00	n/a	n/a	315.00	4.5
SOUTH POINT CAP	067	UYG	SS	55,000	6.34	n/a	n/a	2,750.00	5.0
DSG CAPITAL	225	WBC	B	5,000	22.37	n/a	n/a	250.00	5.0
OVERLAND PARK CAP	041	WEN	B	24,500	4.61	n/a	2-Oct	980.00	4.0
ROYCE TRADING	216	WFR	B	10,000	15.70	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	WL	B	25,000	15.35	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	43.70	n/a	2-Oct	400.00	4.0
BALYASNY ASSET MGMT	044	WYNN	C	25,000	65.50	n/a	8-Oct	1,250.00	5.0
BMO NESBITT BURNS	041	WY	SS	50,000	39.83	n/a	12-Oct	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	WY	S	100,000	39.50	n/a	12-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	XOM	S	1,940	72.39	n/a	n/a	77.60	4.0

TOTAL (Trade Date):

147,481.83

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/14	FRIESS MGMT (FRISHEW)	033	AEO	B	600	19.07	n/a	9-Oct	24.00 4.0
AO,	10/14	FRIESS MGMT (FRISHEWMID)	033	AEO	B	600	19.07	n/a	9-Oct	24.00 4.0
AO,CRT	10/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	FO	B	3,100	43.62	n/a	n/a	124.00 4.0
AO,	10/14	BUCK CAPITAL MGMT (BUCKJPMBS)	001	FO	B	26,900	43.62	n/a	n/a	1076.00 4.0
AO,CXL	10/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	FO	B	30,000	43.62	n/a	n/a	1200.00 4.0
AO,CXL	10/14	EXIS CAPITAL (EXISOPUSGS)	044	JCG	SS	3,100	38.36	n/a	n/a	155.00 5.0
AO,CRT	10/14	EXIS CAPITAL (EXISRBC)	044	JCG	SS	3,100	38.36	n/a	n/a	155.00 5.0
AO,	10/09	G WEISS /SASHA (WESSDBDMG)	070	WBC	B	8,000	23.61	n/a	n/a	320.00 4.0
AO,CXL	10/09	G WEISS /SASHA (WESSUBSSAS)	070	WBC	B	8,000	23.61	n/a	n/a	320.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	147,481.83
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	147,481.83
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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