



## Daily Compliance Activity Report

Trade Date: 11/12/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	B	150,000	15.95	n/a	6-Nov	6,000.00	4.0
DIAMONDBACK CAP MGMT	232	ANF	B	20,000	37.16	n/a	6-Nov	1,000.00	5.0
THOMSON HORSTMAN BRYANT	034	ANN	B	11,000	13.34	n/a	n/a	550.00	5.0
THOMSON HORSTMAN BRYANT	034	BARE	S	11,100	14.02	n/a	n/a	555.00	5.0
RBC CAPITAL MARKETS	040	BKE	SS	5,000	29.01	n/a	n/a	200.00	4.0
FEDERATED INV/KAUFMAN	029	BWA	B	153,443	32.68	n/a	9-Nov	8,439.37	5.5
GREEN ARROW DOUG	040	BYI	B	5,000	42.70	n/a	n/a	200.00	4.0
DIAMONDBACK CAP MGMT	232	CAKE	C	20,000	18.50	n/a	23-Oct	1,000.00	5.0
OVERLAND PARK CAP	041	CAKE	SS	22,000	18.67	n/a	23-Oct	880.00	4.0
LATEFF MGMT	035	CBL	B	2,042	9.14	n/a	n/a	142.94	7.0
OVERLAND PARK CAP	041	CCL	SS	18,600	31.81	n/a	n/a	744.00	4.0
COLUMBIA PARTNERS	028	CHS	B	7,010	12.97	n/a	n/a	210.30	3.0
MELLON/BANK OF NEW YORK	046	COST	B	55,696	60.15	n/a	n/a	2,784.80	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CVS</b>	<b>S</b>	<b>20,000</b>	<b>29.64</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	CVS	S	111,497	29.62	n/a	n/a	5,574.85	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	CX	B	20,000	11.85	n/a	n/a	1,000.00	5.0
AVESTA CAP	229	DD	SS	200,000	33.87	n/a	5-Nov	8,000.00	4.0
EXIS CAPITAL	044	DTG	SS	10,000	19.21	n/a	n/a	500.00	5.0
THOMSON HORSTMAN BRYANT	034	ETH	B	8,000	11.92	n/a	n/a	400.00	5.0
ROTHSCHILD ASSET	040	FCX	S	7,239	82.85	n/a	n/a	325.76	4.5
BMO NESBITT BURNS	041	F	SS	50,000	8.37	n/a	4-Nov	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>S</b>	<b>30,000</b>	<b>22.36</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
OVERLAND PARK CAP	041	GPS	B	12,000	22.23	n/a	n/a	480.00	4.0
THE JAY GOLDMAN	034	GPS	B	40,000	22.20	n/a	n/a	1,600.00	4.0
FEDERATED INV/KAUFMAN	029	GT	B	200,000	13.95	n/a	n/a	11,000.00	5.5
BMO NESBITT BURNS	041	IP	SS	50,000	24.95	n/a	28-Oct	2,500.00	5.0
MILLENNIUM-ANDEW	031	JCG	SS	20,000	43.00	n/a	n/a	1,200.00	6.0
ADAGE CAPITAL MGMT	030	JCP	SS	50,000	29.80	n/a	6-Nov	2,000.00	4.0
GREEN ARROW DOUG	040	KO	SS	22,125	56.02	n/a	n/a	1,106.25	5.0
GREEN ARROW DOUG	040	KO	S	2,875	56.02	n/a	n/a	143.75	5.0
LONG OAR GLOBAL INV	040	KR	SS	7,000	23.25	n/a	n/a	280.00	4.0
RBC CAPITAL MARKETS	040	KSS	SS	10,000	54.94	n/a	6-Nov	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	LOW	B	250,000	21.50	n/a	n/a	10,000.00	4.0
ADAGE CAPITAL MGMT	030	LTD	B	200,000	18.20	n/a	n/a	8,000.00	4.0
IVORY CAPITAL	034	L	S	46,076	35.54	n/a	n/a	2,303.80	5.0
TOCQUEVILLE	067	MPS	S	15,000	13.61	n/a	n/a	750.00	5.0
BERM	046	MSFT	B	25,000	29.37	n/a	n/a	750.00	3.0
BERM	046	MSFT	S	25,000	29.36	n/a	n/a	750.00	3.0
DELTEC ASSET MGMT.	040	M	B	30,000	18.29	n/a	12-Nov	1,500.00	5.0
METROPOLITAN CAPITAL	044	M	B	6,600	17.96	n/a	12-Nov	330.00	5.0
SIGMA CAPITAL ASSOCIATES	041	NTY	S	55,000	40.43	n/a	n/a	2,200.00	4.0
THOMAS WEISEL ASSET MGMT	035	PDC	B	9,755	6.81	n/a	n/a	292.65	3.0
CONIFER/ISF	025	SBUX	B	15,000	21.68	n/a	6-Nov	750.00	5.0
HUTCHIN HILL CAPITAL LP	233	SKS	B	25,000	6.25	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	23.80	n/a	n/a	800.00	4.0
ROSEDALE CAPITAL	046	SQM	S	10,000	38.95	n/a	n/a	500.00	5.0
CHILTON CAPITAL MGMT.	036	SWN	S	153,235	43.13	n/a	2-Nov	4,597.05	3.0
MILLENNIUM-ANDEW	031	TIF	SS	18,000	42.80	n/a	n/a	1,080.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	TIN	SS	25,000	17.09	n/a	22-Oct	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TIN	B	200,000	17.05	n/a	22-Oct	7,000.00	3.5
THE JAY GOLDMAN	034	TJX	S	25,000	38.68	n/a	6-Nov	1,000.00	4.0
AAD CAPITAL	048	UFS	SS	7,400	52.44	n/a	n/a	296.00	4.0
SENATOR INVESTMENT GROUP	036	UNP	S	23,200	63.29	n/a	n/a	928.00	4.0
MILLENNIUM-ANDEW	031	URBN	SS	25,000	32.39	n/a	n/a	1,500.00	6.0
LATEFF MGMT	035	WCRX	B	5,000	22.99	n/a	10-Nov	400.00	8.0
GREEN ARROW DOUG	040	WMS	SS	5,000	42.98	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	WMT	B	20,000	53.50	n/a	12-Nov	1,000.00	5.0
FIRST NY SEC/CHRIS	041	WMT	B	10,000	53.44	n/a	12-Nov	400.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>113,044.52</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/11	GREEN ARROW DOUG (GADRJPM)	040	HANS	B	8,000	34.85	n/a	n/a	320.00 4.0
AO,CXL	11/11	GREEN ARROW DOUG (GADRCSUSE)	040	HANS	B	8,000	34.85	n/a	n/a	320.00 4.0
AO,	11/11	LISTED ERR (LISTED ERR)	099	MOT	B	50,000	8.69	n/a	n/a	0.00 0.0
AO,	11/11	LISTED ERR (LISTED ERR)	099	MOT	S	50,000	8.68	n/a	n/a	0.00 0.0
CRT	11/12	BMO NESBITT BURNS (BMONFLIP)	041	TIN	SS	25,000	17.09	n/a	22-Oct	1250.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,250.00</b>
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TOTAL (Trade Date) :	113,044.52
TOTAL (AO, CXL, CRT) :	1,250.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>114,294.52</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