



## Daily Compliance Activity Report

Trade Date: 11/18/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AGCO	B	40,000	30.10	n/a	28-Oct	2,000.00	5.0
ROTHSCHILD ASSET	040	AIR	B	5,970	19.82	n/a	n/a	268.65	4.5
HOLLIS CAPITAL	033	AN	S	5,000	18.52	n/a	30-Oct	250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	APC	B	7,900	63.37	n/a	18-Nov	395.00	5.0
1798 CAPITAL MGMT	040	ARO	SS	10,000	32.47	n/a	6-Nov	500.00	5.0
STANDARD PACIFIC CAPITAL	040	ARO	B	172,500	32.50	n/a	6-Nov	8,625.00	5.0
WEINTRAUB CAPITAL MGT.	040	AXE	S	1,100	45.50	n/a	11-Nov	44.00	4.0
ROSEDALE CAPITAL	046	AXL	B	20,000	6.99	n/a	2-Nov	800.00	4.0
AVESTA CAP	229	BA	SS	100,000	52.14	n/a	30-Oct	4,000.00	4.0
BALYASNY ASSET MGMT	044	BBT	C	75,000	25.11	n/a	n/a	3,750.00	5.0
ASCEND PARTNERS	033	BCRX	C	16,763	10.80	n/a	n/a	838.15	5.0
1798 CAPITAL MGMT	040	CASY	SS	25,000	31.11	n/a	n/a	1,250.00	5.0
ELM RIDGE ADVISORS	044	CBG	S	1,000	11.67	n/a	n/a	40.00	4.0
KENNEDY CAPITAL	046	CBK	B	300	6.25	n/a	n/a	9.00	3.0
ADAGE CAPITAL MGMT	030	COH	B	111,200	34.24	n/a	21-Oct	4,448.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	C	B	1,549,720	4.28	n/a	18-Nov	46,491.60	3.0
CHILTON CAPITAL MGMT.	036	DELL	SS	150,000	15.84	n/a	n/a	4,500.00	3.0
EXIS CAPITAL	044	DE	S	25,000	51.45	n/a	n/a	1,250.00	5.0
CUMBERLAND	239	EXH	B	10,000	22.10	n/a	2-Nov	400.00	4.0
G WEISS /SASHA	070	FDX	B	2,500	83.63	n/a	n/a	100.00	4.0
MILLENIUM PARTNERS	028	F	S	30,000	9.02	n/a	4-Nov	1,200.00	4.0
TRELLUS PARTNERS LP	028	F	S	100,000	8.98	n/a	4-Nov	3,000.00	3.0
G WEISS /SASHA	070	GLD	C	5,600	112.15	n/a	n/a	224.00	4.0
COOPER CREEK PART	028	GPI	SS	5,000	27.96	n/a	28-Oct	200.00	4.0
1798 CAPITAL MGMT	040	GYMB	SS	5,000	40.80	n/a	16-Nov	250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	HAL	B	15,000	31.69	n/a	n/a	750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	IEO	SS	6,600	51.36	n/a	n/a	330.00	5.0
ADAGE CAPITAL MGMT	030	IR	S	300,000	36.74	n/a	17-Nov	12,000.00	4.0
1798 CAPITAL MGMT	040	JACK	SS	35,000	20.01	n/a	n/a	1,750.00	5.0
WAGONHOUND/NIC	048	JCI	S	1,956	28.14	n/a	28-Oct	78.24	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	25,000	29.14	n/a	16-Nov	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JNY	S	20,000	17.97	n/a	29-Oct	800.00	4.0
CLOVIS CAPITAL	012	JOYG	SS	50,000	56.33	n/a	n/a	2,000.00	4.0
PRINCIPLE CAPITAL	040	LM DIA	S	50,000	35.84	n/a	n/a	1,500.00	3.0
FIRST NEW YORK LEDDY	035	LVL T	B	10,000	1.23	n/a	n/a	600.00	6.0
FIRST NEW YORK NICK	029	LVL T	B	20,000	1.23	n/a	n/a	1,000.00	5.0
TROUBH PART	067	LVS	S	25,000	17.95	n/a	11-Nov	1,250.00	5.0
S.A.C.HABER/BOBBY	044	MA	SS	4,300	229.12	n/a	3-Nov	172.00	4.0
TROUBH PART	067	MGM	S	25,000	11.99	n/a	6-Nov	1,250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	MJN	B	22,700	44.07	n/a	n/a	1,135.00	5.0
UBS OCONNOR	031	MP EL	S	100,000	4.27	n/a	18-Nov	3,000.00	3.0
DIAMONDBACK CAP MGMT	232	M	B	50,000	17.74	n/a	12-Nov	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	NTY	S	50,000	43.26	n/a	n/a	2,000.00	4.0
CLOVIS CAPITAL	012	NYB	B	100,000	11.65	n/a	28-Oct	4,000.00	4.0
JMP ASSET MGMT	210	PETS	SS	8,000	16.66	n/a	n/a	400.00	5.0
NEWLAND CAPITAL MGT	067	PPO	B	5,000	11.69	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	70,000	42.09	n/a	2-Nov	2,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	S	20,000	23.80	n/a	n/a	800.00	4.0
ARCHON CAPITAL	035	SOLF	B	175,000	6.28	n/a	n/a	5,250.00	3.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	4,500	110.79	n/a	n/a	225.00	5.0
S.A.C.HABER/BOBBY	044	SPY	SS	9,000	111.11	n/a	n/a	360.00	4.0
DIAMONDBACK CAP MGMT	232	STT	S	10,000	42.49	n/a	18-Nov	500.00	5.0
G WEISS /SASHA	070	STT	B	15,000	42.62	n/a	18-Nov	600.00	4.0
CHILTON CAPITAL MGMT.	036	SWSI	B	100,000	13.41	n/a	n/a	3,000.00	3.0
1798 CAPITAL MGMT	040	TGT	S	15,000	47.90	n/a	18-Nov	750.00	5.0
BMO NESBITT BURNS	041	TIN	B	100,000	17.26	n/a	22-Oct	5,000.00	5.0
NWQ INVESTMENT MGMT CO	048	TIN	S	2,100	17.03	n/a	22-Oct	84.00	4.0
G WEISS /SASHA	070	UPS	SS	5,000	57.22	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WFMI	B	25,000	26.24	n/a	n/a	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	WHR	C	14,971	74.09	n/a	n/a	598.84	4.0
TRUSTCO/SUNTRUST	040	WRC	S	19,720	41.97	n/a	5-Nov	769.08	3.9
<b>TOTAL (Trade Date) :</b>								<b>144,485.56</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									144,485.56
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									144,485.56
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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