



## Daily Compliance Activity Report

Trade Date: 10/13/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SACC-SCHWARTZ	044	ACI	SS	50,000	23.55	n/a	n/a	2,000.00	4.0
DSM CAPITAL PARTNERS	032	ADBE	B	49,830	34.49	n/a	n/a	2,491.50	5.0
DELTEC ASSET MGMT.	040	AEO	S	30,000	19.06	n/a	9-Oct	1,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	35,000	18.77	n/a	9-Oct	1,400.00	4.0
PAULSON & CO INC	041	AGU	SS	37,100	51.83	n/a	n/a	1,113.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AM</b>	<b>B</b>	<b>20,000</b>	<b>23.68</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	ANF	SS	10,000	36.21	n/a	9-Oct	0.00	0.0
DSM CAPITAL PARTNERS	032	BAX	B	31,600	57.52	n/a	n/a	1,580.00	5.0
DSM CAPITAL PARTNERS	032	BCR	B	33,600	77.42	n/a	n/a	1,680.00	5.0
M&I FUNDS	047	BIG	B	32,471	26.23	n/a	6-Oct	1,298.84	4.0
HOTCHKIS & WILEY	035	BMC	S	175,000	38.27	n/a	n/a	8,750.00	5.0
DSM CAPITAL PARTNERS	032	CELG	B	125,800	54.72	n/a	n/a	6,290.00	5.0
PAULSON & CO INC	041	CF	B	20,000	89.06	n/a	n/a	600.00	3.0
SCHOTTENFELD ASSOC	041	C	B	100,000	4.82	n/a	13-Oct	3,000.00	3.0
EXIS CAPITAL	044	DECK	SS	2,500	84.68	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DKS	B	20,000	24.74	n/a	n/a	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	SS	50,000	8.73	n/a	n/a	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	EV	SS	10,000	28.85	n/a	13-Oct	500.00	5.0
CATAPULT	040	FDX	SS	10,250	76.90	n/a	n/a	512.50	5.0
CONIFER/ISF	025	FL	B	5,000	11.71	n/a	n/a	250.00	5.0
DELTEC ASSET MGMT.	040	FL	B	50,000	11.83	n/a	n/a	2,500.00	5.0
BTIG/KDI ADV	039	F	B	50,000	7.58	n/a	1-Oct	2,000.00	4.0
ROYCE TRADING	216	HZO	S	5,000	8.26	n/a	n/a	250.00	5.0
MACKLOWE ASSET MGMT	041	IGT	B	20,000	21.75	n/a	n/a	800.00	4.0
ROYCE TRADING	216	IM	B	5,000	17.51	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	IP	B	23,800	23.25	n/a	12-Oct	1,190.00	5.0
EXIS CAPITAL	044	JCG	SS	5,000	37.94	n/a	n/a	250.00	5.0
ROYCE TRADING	216	JNY	S	5,000	19.00	n/a	n/a	250.00	5.0
DIAMONDBACK CAP MGMT	232	JPM	C	10,000	45.39	n/a	13-Oct	500.00	5.0
EXIS CAPITAL	044	KSS	B	5,000	59.75	n/a	9-Oct	250.00	5.0
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.40	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	MEG	S	5,000	9.49	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	M	SS	50,000	19.99	n/a	9-Oct	2,500.00	5.0
ROYCE TRADING	216	NR	B	10,000	3.32	n/a	n/a	300.00	3.0
DIAMONDBACK CAP MGMT	232	NTRS	SS	10,000	59.07	n/a	6-Oct	500.00	5.0
RAMIUS CAP	040	NVR	SS	720	664.06	n/a	n/a	28.80	4.0
SCOPUS FUND	041	PKG	B	20,000	21.02	n/a	12-Oct	1,000.00	5.0
RBC CAPITAL MARKETS	040	POT	B	10,000	90.01	n/a	n/a	400.00	4.0
MAIRS AND POWER INV	030	PRXI	B	276	1.58	n/a	n/a	13.80	5.0
MAIRS AND POWER INV	030	PRXI	S	27,900	1.61	n/a	n/a	837.00	3.0
KENNEDY CAPITAL	046	PSUN	S	100,000	6.53	n/a	n/a	3,000.00	3.0
SCOPUS FUND	041	RKT	B	5,000	48.99	n/a	n/a	250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>RKT</b>	<b>B</b>	<b>4,900</b>	<b>49.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CR INTRINIC INVESTMENT	044	SHPGY	B	31,000	49.60	n/a	12-Oct	1,240.00	4.0
EXIS CAPITAL	044	SKS	B	25,000	6.27	n/a	n/a	1,250.00	5.0
ROYCE TRADING	216	SKS	B	10,000	6.23	n/a	n/a	500.00	5.0
SACC-SCHWARTZ	044	SPY	B	250,000	107.37	n/a	n/a	10,000.00	4.0
HOLDEN CAPITAL MGMT	035	SSD	B	27,000	25.90	n/a	n/a	1,350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	STEC	S	35,000	23.99	n/a	n/a	1,400.00	4.0
GLENHILL CAPITAL	212	STX	SS	200,000	15.80	n/a	n/a	10,000.00	5.0
MACKLOWE ASSET MGMT	041	SWY	SS	25,000	20.97	n/a	n/a	1,000.00	4.0
GRISANTI BROWN & PARTNER	048	TEX	B	109,700	21.35	n/a	n/a	5,485.00	5.0
GREEN ARROW DOUG	040	TGT	B	15,000	50.25	n/a	9-Oct	750.00	5.0
BMO NESBITT BURNS	041	TIN	B	25,000	15.76	n/a	12-Oct	1,250.00	5.0
RBC CAPITAL MARKETS	040	TIN	B	20,000	15.95	n/a	12-Oct	800.00	4.0
SCOPUS FUND	041	TIN	B	145,000	15.87	n/a	12-Oct	7,250.00	5.0
T. ROWE PRICE	033	UFS	S	89,900	40.84	n/a	n/a	3,596.00	4.0
EXIS CAPITAL	044	URBN	SS	5,000	31.08	n/a	n/a	250.00	5.0
ROTHSCHILD ASSET	040	WW	S	6,270	44.35	n/a	n/a	282.15	4.5
RBC CAPITAL MARKETS	040	WYNN	S	5,000	65.81	n/a	8-Oct	200.00	4.0
RAMIUS CAP	040	WY	B	51,600	37.63	n/a	12-Oct	2,064.00	4.0
SONTERRA CAP	041	X	SS	10,000	43.71	n/a	n/a	400.00	4.0
<b>TOTAL (Trade Date):</b>								<b>103,677.59</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/12	LISTED ERR (LISTED ERR)	099	BEZ	B	2,500	29.32	n/a	n/a	0.00	0.0
AO,	10/12	ROYCE TRADING (ROYC169)	216	DAN	B	200	7.02	n/a	n/a	10.00	5.0
AO,	10/12	ROYCE TRADING (ROYC59)	216	DAN	B	18,800	7.02	n/a	n/a	940.00	5.0
AO,	10/12	ROYCE TRADING (ROYC59)	216	DAN	B	200	6.92	n/a	n/a	10.00	5.0
AO,	10/12	ROYCE TRADING (ROYC33)	216	DAN	B	6,000	7.02	n/a	n/a	300.00	5.0
AO,	10/12	CR INTRINIC INVESTMENT (CRINGSPB)	044	HOG	B	50,000	24.20	n/a	n/a	2000.00	4.0
AO,CRT	10/12	HIGHBRIDGE CAP (HIBCCSFB)	041	VFC	B	25,000	75.26	n/a	7-Oct	1000.00	4.0
AO,CXL	10/12	HIGHBRIDGE CAP (HIBCUBSNEW)	041	VFC	B	25,000	75.26	n/a	7-Oct	1000.00	4.0

**TOTAL (AO, CXL, CRT) :****3,260.00**

TOTAL (Trade Date) :

103,677.59

TOTAL (AO, CXL, CRT) :

3,260.00

**TOTAL (RUN DATE) / NFS :****106,937.59**

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