



## Daily Compliance Activity Report

Trade Date: 10/22/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISCIPLINED GROWTH INV.	030	AAPL	S	37,275	204.57	n/a	n/a	1,863.75	5.0
KLEINHEINZ CAP PART	031	ACE	S	25,000	54.92	n/a	n/a	1,250.00	5.0
BNP PARIBAS SEC	040	AN	B	17,500	20.98	n/a	19-Oct	700.00	4.0
LONG OAR GLOBAL INV	040	AN	B	32,000	21.16	n/a	19-Oct	1,280.00	4.0
MILLENIUM PARTNERS	028	AN	B	25,000	21.23	n/a	19-Oct	1,000.00	4.0
AVESTA CAP	229	ARO	B	50,000	42.68	n/a	9-Oct	2,000.00	4.0
ENTRUST CAPITAL	040	BIG	SS	30,000	26.56	n/a	6-Oct	1,500.00	5.0
NEUBERGER BERMAN	036	BMI	B	4,100	38.27	n/a	n/a	184.50	4.5
BRIGADE CAPITAL MGMT	029	BONT	B	21,830	8.65	n/a	n/a	654.90	3.0
RBC CAPITAL MARKETS	040	CAT	SS	10,000	56.81	n/a	21-Oct	400.00	4.0
KENNEDY CAPITAL	046	CBK	B	100,000	6.57	n/a	n/a	3,000.00	3.0
NORTHPOINT	030	CHD	B	4,790	55.62	n/a	n/a	191.60	4.0
CARDINAL CAPITAL	044	CHKP	S	28,100	31.04	n/a	n/a	1,405.00	5.0
KENNEDY CAPITAL	046	CHRS	B	40,000	5.74	n/a	n/a	1,200.00	3.0
STRONG/MARK GRONET	030	CIM	B	6,285	3.78	n/a	n/a	188.55	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	CMI	C	10,000	49.55	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	COG	B	15,000	39.87	n/a	21-Oct	750.00	5.0
EXIS CAPITAL	044	COH	B	20,000	33.88	n/a	21-Oct	1,000.00	5.0
DAVIS SELECT ADV	040	COP	S	148,200	52.71	n/a	n/a	4,446.00	3.0
LEVEL GLOBAL SHARED ACCT	257	CROX	B	300,000	7.56	n/a	n/a	9,000.00	3.0
STADIA CAPITAL	035	CTSH	B	12,184	40.97	n/a	n/a	487.36	4.0
ROTHSCHILD ASSET	040	DAN	B	11,290	7.21	n/a	n/a	508.05	4.5
ENTRUST CAPITAL	040	DSW	SS	1,300	21.23	n/a	15-Oct	65.00	5.0
NORTHPOINT	030	ECL	B	2,420	46.14	n/a	n/a	96.80	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.63	n/a	n/a	600.00	6.0
CUMBERLAND	038	EXH	B	2,000	23.84	n/a	9-Oct	80.00	4.0
BALYASNY ASSET MGMT	044	FII	C	99,500	26.78	n/a	22-Oct	4,975.00	5.0
BASIX	033	FL	B	25,000	11.86	n/a	n/a	750.00	3.0
SCHOTTENFELD ASSOC	041	F	B	100,000	7.67	n/a	19-Oct	3,000.00	3.0
TRELLUS PARTNERS LP	028	F	B	50,000	7.70	n/a	19-Oct	1,500.00	3.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	50,000	39.18	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	GNK	S	10,000	22.75	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	GR	SS	20,000	58.25	n/a	22-Oct	1,000.00	5.0
BALYASNY ASSET MGMT	044	IR	S	20,000	35.22	n/a	20-Oct	1,000.00	5.0
STELLIAM INV ADV	034	IR	B	20,000	34.42	n/a	20-Oct	1,000.00	5.0
HIGHBRIDGE CAP	041	JCP	B	25,000	36.68	n/a	9-Oct	0.00	0.0
RBC CAPITAL MARKETS	040	JCP	S	5,000	35.58	n/a	9-Oct	200.00	4.0
SANDLER O'NEILL ASSET	031	JNS	B	10,000	14.29	n/a	22-Oct	500.00	5.0
BRIGADE CAPITAL MGMT	029	JNY	B	29,604	19.14	n/a	21-Oct	888.12	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>80,000</b>	<b>34.38</b>	<b>n/a</b>	<b>9-Oct</b>	<b>3,200.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	JWN	S	5,000	34.31	n/a	9-Oct	200.00	4.0
PRINCIPLE CAPITAL	040	KMX	S	50,000	22.39	n/a	n/a	1,500.00	3.0
ROYCE TRADING	216	KND	S	3,000	15.55	n/a	n/a	150.00	5.0
LEVEL GLOBAL SHARED ACCT	257	KSS	B	100,000	58.52	n/a	9-Oct	3,000.00	3.0
EPOCH INV MGMT	030	LMT	B	35,975	71.62	n/a	22-Oct	1,079.25	3.0
UBS OCONNOR	031	LM	SS	65,000	30.32	n/a	22-Oct	1,950.00	3.0
DISIPLINED GROWTH INV.	030	LNC	S	60,000	25.18	n/a	n/a	3,000.00	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>LOGI</b>	<b>SS</b>	<b>100,000</b>	<b>19.08</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	LXU	B	11,029	13.96	n/a	n/a	496.31	4.5
MERRILL ASSET/BLACKROCK	214	MDR	B	90,201	25.62	n/a	n/a	4,059.05	4.5
DIAMONDBACK CAP MGMT	232	MGM	SS	25,000	11.45	n/a	n/a	1,250.00	5.0
ST OF MICHIAN	047	MON	B	30,000	74.54	n/a	20-Oct	600.00	2.0
PLATTE RIVER CAPITAL	240	MPEL	S	23,050	5.80	n/a	n/a	691.50	3.0
DAVIS SELECT ADV	040	MSFT	S	77,500	26.55	n/a	n/a	2,325.00	3.0
COUGAR TRADING	044	M	B	25,000	19.52	n/a	9-Oct	1,250.00	5.0
WALKER SMITH	031	NCR	B	100,000	10.37	n/a	n/a	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NTY</b>	<b>S</b>	<b>10,000</b>	<b>41.29</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	NUS	B	33,680	23.87	n/a	n/a	1,178.81	3.5
SYSTEMATIC FINANCIAL MGT	035	NWL	B	28,600	15.47	n/a	n/a	1,001.00	3.5
NEWLAND CAPITAL MGT	067	OSK	S	10,000	34.58	n/a	n/a	400.00	4.0
ROYCE TRADING	216	PAG	S	2,400	18.15	n/a	19-Oct	120.00	5.0
IRIDIAN ASSET MGMT.	036	PKG	B	40,300	20.43	n/a	22-Oct	2,015.00	5.0
LEVEL GLOBAL SHARED ACCT	257	PVH	S	50,000	43.93	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	RCL	S	100,000	22.99	n/a	n/a	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>10,000</b>	<b>79.04</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
LONG OAR GLOBAL INV	040	RS	SS	8,500	39.94	n/a	n/a	340.00	4.0
EXIS CAPITAL	044	RTH	SS	25,000	90.38	n/a	n/a	1,250.00	5.0
ROYCE TRADING	216	RTI	S	10,000	22.19	n/a	n/a	500.00	5.0
LONG OAR GLOBAL INV	040	R	B	7,900	44.89	n/a	n/a	316.00	4.0
PIONEER MICHAEL NOLAN	067	SKX	S	28,483	24.56	n/a	n/a	854.49	3.0
ROTHSCHILD ASSET	040	STAR	S	88,830	33.67	n/a	n/a	3,997.35	4.5
THIRD COAST CAPITAL	035	SUP	B	10,000	14.49	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	047	TGT	B	10,450	49.37	n/a	21-Oct	522.50	5.0
RBC CAPITAL MARKETS	040	TGT	S	10,000	49.12	n/a	21-Oct	400.00	4.0
BACKBAY	041	TIN	S	50,000	17.16	n/a	22-Oct	2,500.00	5.0
BASIX	033	TIN	B	50,000	17.38	n/a	22-Oct	1,500.00	3.0
BMO NESBITT BURNS	041	TIN	SS	50,000	17.89	n/a	22-Oct	2,500.00	5.0
NEWLAND CAPITAL MGT	067	TIN	B	10,000	17.24	n/a	22-Oct	400.00	4.0
NEWLAND CAPITAL MGT	067	TIN	S	10,000	17.91	n/a	22-Oct	400.00	4.0
OZ MGMT	040	TIN	S	65,000	17.90	n/a	22-Oct	1,950.00	3.0
SCHOTTENFELD ASSOC	041	TIN	S	40,000	17.61	n/a	22-Oct	1,200.00	3.0
CSFB	041	TIN	B	75,000	17.00	n/a	22-Oct	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	TYC	B	2,600	35.51	n/a	12-Oct	104.00	4.0
COBALT	041	UFS	B	7,999	41.33	n/a	n/a	399.95	5.0
ROTHSCHILD ASSET	040	UIS	B	427,748	2.66	n/a	n/a	19,248.71	4.5
JP MORGAN VENTURES	046	UNH	S	25,000	25.24	n/a	n/a	1,250.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	VFC	S	5,000	77.64	n/a	21-Oct	200.00	4.0
EXIS CAPITAL	044	VZ	S	20,000	29.02	n/a	n/a	1,000.00	5.0
LATEFF MGMT	035	WCRX	B	2,500	23.26	n/a	19-Oct	250.00	10.0
TROUBH PART	067	WMT	S	40,000	50.34	n/a	21-Oct	2,000.00	5.0
CAXTON PART	040	WU	S	60,813	18.75	n/a	n/a	2,128.47	3.5
<b>TOTAL (Trade Date) :</b>								<b>144,292.02</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/22	BNP PARIBAS SEC (BNPPMAIN)	040	AN	B	17,500	20.98	n/a	19-Oct	700.00 4.0
AO,CRT	10/21	CR INTRINIC INVESTMENT (CRINJPM)	044	BEC	B	10,000	69.36	n/a	n/a	400.00 4.0
AO,CXL	10/21	CR INTRINIC INVESTMENT (CRINGSPB)	044	BEC	B	10,000	69.36	n/a	n/a	400.00 4.0
AO,CXL	10/20	SANDLER O'NEILL ASSET (SANOJPMBS)	031	BLK	B	5,000	237.50	n/a	22-Oct	250.00 5.0
AO,CRT	10/20	SANDLER O'NEILL ASSET (SANO)	031	BLK	B	5,000	237.50	n/a	22-Oct	250.00 5.0
AO,CRT	10/21	GREEN ARROW DOUG (GADRCSUSE)	040	GE	S	25,000	15.87	n/a	n/a	1000.00 4.0
AO,CRT	10/21	GREEN ARROW DOUG (GADRCSUSE)	040	GE	S	25,000	15.85	n/a	n/a	1000.00 4.0
AO,CXL	10/21	OVERLAND PARK CAP (OVERCREDIT)	041	GE	S	25,000	15.87	n/a	n/a	1000.00 4.0
AO,CXL	10/21	OVERLAND PARK CAP (OVERCREDIT)	041	GE	S	25,000	15.85	n/a	n/a	1000.00 4.0
AO,	10/21	NUMERIC (NUMIMGICAN)	060	HRS	S	700	40.32	n/a	19-Oct	21.00 3.0
AO,CXL	10/21	NUMERIC (NUMIMGI)	060	HRS	S	700	40.32	n/a	19-Oct	21.00 3.0
AO,	10/21	LISTED ERR (LISTED ERR)	099	JNJ	B	20,000	60.85	n/a	n/a	0.00 0.0
AO,	10/21	ROSEDALE CAPITAL (ROSEGS)	046	JNJ	S	20,000	60.85	n/a	n/a	1000.00 5.0
AO,CRT	10/21	MILLENIUUM PARTNERS (MILPCREDSU)	028	LPX	B	30,000	6.75	n/a	12-Oct	1200.00 4.0
AO,CXL	10/21	MILLENIUUM PARTNERS (MILPUSE)	028	LPX	B	30,000	6.75	n/a	12-Oct	1200.00 4.0
AO,CRT	10/21	CR INTRINIC INVESTMENT (CRINJPM)	044	TFX	SS	20,000	51.02	n/a	n/a	800.00 4.0
AO,CXL	10/21	CR INTRINIC INVESTMENT (CRINGSPB)	044	TFX	SS	20,000	51.02	n/a	n/a	800.00 4.0
AO,CXL	10/21	DSG CAPITAL (DSGCJEFF)	225	TIN	B	30,000	17.37	n/a	22-Oct	1500.00 5.0
AO,CRT	10/21	DSG CAPITAL (DSGCJEFF)	225	TIN	B	30,000	17.37	n/a	22-Oct	1200.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,400.00</b>

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TOTAL (Trade Date):	144,292.02
TOTAL (AO, CXL, CRT):	1,400.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>145,692.02</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