



## Daily Compliance Activity Report

Trade Date: 12/23/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	5,000	16.38	n/a	4-Dec	250.00	5.0
SHAREVEST CAPITAL MGMT.	038	AEO	S	33,500	16.47	n/a	4-Dec	1,340.00	4.0
GRUBER MACBAINE	033	BBBY	B	10,000	39.32	n/a	n/a	400.00	4.0
EPOCH INV MGMT	030	BMS	S	4,850	29.90	n/a	n/a	145.50	3.0
FEDERATED INV/KAUFMAN	029	BRCD	B	500,000	7.82	n/a	n/a	27,500.01	5.5
STRONG/MARK GRONET	030	CNTY	B	6,500	2.58	n/a	n/a	130.00	2.0
EPOCH INV MGMT	030	CTL	S	11,700	35.95	n/a	n/a	351.00	3.0
EPOCH INV MGMT	030	CVX	S	2,200	77.32	n/a	n/a	66.00	3.0
EXIS CAPITAL	044	DBRN	B	20,000	22.93	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	DD	S	6,650	32.82	n/a	8-Dec	199.50	3.0
DSG CAPITAL	225	DPZ	B	25,000	8.20	n/a	23-Dec	750.00	3.0
FORWARD MGMT	033	EP	S	95,000	10.09	n/a	n/a	4,750.00	5.0
STRONG/MARK GRONET	030	EXXI	B	10,000	2.23	n/a	n/a	200.00	2.0
EPOCH INV MGMT	030	FII	S	6,000	28.03	n/a	18-Dec	180.00	3.0
EXIS CAPITAL	044	FL	B	30,000	10.73	n/a	17-Dec	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	FO	B	37,575	42.75	n/a	n/a	1,315.13	3.5
BALYASNY ASSET MGMT	044	F	C	20,000	9.97	n/a	2-Dec	800.00	4.0
ROSEDALE CAPITAL	046	F	S	30,000	10.06	n/a	2-Dec	1,500.00	5.0
EPOCH INV MGMT	030	GAS	S	7,200	42.72	n/a	n/a	216.00	3.0
BASIX	033	GYMB	B	20,000	43.70	n/a	4-Dec	600.00	3.0
EXIS CAPITAL	044	GYMB	S	10,600	43.68	n/a	4-Dec	530.00	5.0
EPOCH INV MGMT	030	HCBK	S	2,250	13.70	n/a	24-Nov	67.50	3.0
EPOCH INV MGMT	030	HNZ	S	5,450	42.82	n/a	n/a	163.50	3.0
EXIS CAPITAL	044	JCG	B	4,212	45.00	n/a	n/a	210.60	5.0
WHITE PINE CAPITAL	030	JNK	S	2,500	39.04	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	JWN	S	5,000	37.30	n/a	23-Dec	250.00	5.0
PARTNER REINSURANCE	033	KR	B	18,800	20.72	n/a	n/a	752.00	4.0
EXIS CAPITAL	044	KSS	B	5,000	54.94	n/a	4-Dec	250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	LSI	B	1,038,636	5.97	n/a	n/a	20,772.72	2.0
CAERUS GLOBAL	041	LVS	B	15,000	15.40	n/a	11-Nov	600.00	4.0
PZENA INV ADV	044	MET	B	30,425	35.44	n/a	n/a	1,064.90	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER CAPITAL	226	NTRS	SS	25,000	51.53	n/a	14-Dec	1,250.00	5.0
RAIL-SPLITTER	031	PG	B	5,200	60.91	n/a	21-Dec	260.00	5.0
EXIS CAPITAL	044	PLCE	B	10,000	32.52	n/a	11-Dec	500.00	5.0
BALYASNY ASSET MGMT	044	PTV	S	11,800	23.71	n/a	n/a	590.00	5.0
EXIS CAPITAL	044	PVH	SS	5,000	40.22	n/a	22-Dec	250.00	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>SD</b>	<b>B</b>	<b>140,000</b>	<b>9.70</b>	<b>n/a</b>	<b>n/a</b>	<b>4,200.00</b>	<b>3.0</b>
NORTHWESTERN MUTUAL LIFE	047	SD	S	291,850	9.54	n/a	n/a	11,674.00	4.0
PZENA INV ADV	044	SHW	B	70,422	61.51	n/a	9-Nov	2,465.00	3.5
SAXON WOODS ADVISORS	242	SJM	S	33,700	61.09	n/a	n/a	1,348.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>10,000</b>	<b>28.73</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
STRONG/MARK GRONET	030	SMMX	B	1,675	4.71	n/a	n/a	50.25	3.0
FORD FDN.	032	S	B	65,000	3.79	n/a	n/a	1,950.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>TJX</b>	<b>S</b>	<b>44,416</b>	<b>36.97</b>	<b>n/a</b>	<b>4-Dec</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	UUP	B	500	23.01	n/a	n/a	25.00	5.0
SAXON WOODS ADVISORS	242	WMT	S	59,500	53.45	n/a	1-Dec	2,380.00	4.0

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**TOTAL (Trade Date):**

**95,321.61**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/22	LISTED ERR (LISTED ERR)	098	BCUY	B	2,500	58.20	n/a	22-Dec	0.00 0.0
AO,CRT	12/22	LISTED ERR (LISTED ERR)	098	BCUY	S	2,500	58.28	n/a	22-Dec	0.00 0.0
AO,CRT	12/21	THIRD AVE MGMT (THAMVALFD)	030	KEY	B	75,000	5.64	n/a	n/a	2625.00 3.5
AO,CXL	12/21	THIRD AVE MGMT (THAMARVAFD)	030	KEY	B	75,000	5.64	n/a	n/a	2625.00 3.5
AO,CXL	12/18	JANA CAPITAL (JANAGOLDMA)	044	PEP	B	29,000	59.34	n/a	n/a	1160.00 4.0
AO,CRT	12/18	JANA CAPITAL (JANAABN AM)	044	PEP	B	29,000	59.34	n/a	n/a	1160.00 4.0
AO,CXL	12/18	JANA CAPITAL (JANAGOLDMA)	044	TYC	S	92,199	35.54	n/a	23-Nov	3687.96 4.0
AO,CRT	12/18	JANA CAPITAL (JANAABN AM)	044	TYC	S	92,199	35.54	n/a	23-Nov	3687.96 4.0
AO,CRT	12/21	MILLENIUUM PARTNERS (MILPMLICS)	028	WY	S	20,000	43.12	n/a	15-Dec	800.00 4.0
AO,CXL	12/21	MILLENIUUM PARTNERS (MILPUSE)	028	WY	S	20,000	43.12	n/a	15-Dec	800.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date):	95,321.61
TOTAL (AO, CXL, CRT):	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>95,321.61</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