



## Daily Compliance Activity Report

Trade Date: 11/09/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	ACI	SS	10,000	23.06	n/a	n/a	400.00	4.0
CASTLE ARK	031	AEO	S	293,672	16.06	n/a	6-Nov	17,620.32	6.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>AEO</b>	<b>B</b>	<b>3,000</b>	<b>16.10</b>	<b>n/a</b>	<b>6-Nov</b>	<b>180.00</b>	<b>6.0</b>
THIRD COAST CAPITAL	035	ANF	S	8,000	37.64	n/a	6-Nov	400.00	5.0
M&I FUNDS	047	ARGN	B	46,734	7.01	n/a	29-Oct	1,402.02	3.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>ARO</b>	<b>B</b>	<b>100,000</b>	<b>33.76</b>	<b>n/a</b>	<b>6-Nov</b>	<b>4,000.00</b>	<b>4.0</b>
HOLLIS CAPITAL	033	AVAV	B	3,000	28.65	n/a	n/a	150.00	5.0
COOPER CREEK PART	028	AXL	S	47,900	7.24	n/a	2-Nov	1,437.00	3.0
GLOBAL 56 LLC	060	AXL	S	3,000	7.39	n/a	2-Nov	150.00	5.0
LAGRANGE CAP ADV	048	AXL	S	20,627	7.30	n/a	2-Nov	1,031.35	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>B</b>	<b>200,000</b>	<b>17.98</b>	<b>n/a</b>	<b>n/a</b>	<b>8,000.00</b>	<b>4.0</b>
DAVIDSON INV ADV	035	CAT	S	64,260	59.90	n/a	21-Oct	2,570.40	4.0
STERLING JOHNSTON	035	CENT	B	54,500	10.24	n/a	n/a	2,180.00	4.0
COLUMBIA PARTNERS	028	CHS	B	27,657	12.98	n/a	n/a	1,106.28	4.0
RBC CAPITAL MARKETS	040	CPRT	B	20,000	33.11	n/a	n/a	800.00	4.0
MARINER/TRICADIA	041	CXW	S	10,000	26.06	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	CX	B	10,000	11.78	n/a	n/a	500.00	5.0
PARTNER REINSURANCE	033	DISH	S	14,800	19.92	n/a	n/a	592.00	4.0
ROTHSCHILD ASSET	040	DTE	B	9,314	38.71	n/a	n/a	419.15	4.5
BRAZOS	031	DYP	S	54,900	8.00	n/a	n/a	1,647.00	3.0
THIRD COAST CAPITAL	035	DYP	S	25,000	8.00	n/a	n/a	1,250.00	5.0
MTB INV ADV	034	FOSL	S	13,200	28.82	n/a	n/a	660.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GAP</b>	<b>SS</b>	<b>50,000</b>	<b>12.33</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
S.A.C. CAP/ORENSTEIN	044	HON	B	50,000	38.48	n/a	26-Oct	2,000.00	4.0
KLEINHEINZ CAP PART	031	HPQ	B	30,000	49.79	n/a	n/a	1,500.00	5.0
ROSEDALE CAPITAL	046	JCI	B	10,000	26.70	n/a	28-Oct	500.00	5.0
KAILIX INV ADV	048	KSU	S	25,000	28.83	n/a	n/a	1,250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>MDU</b>	<b>B</b>	<b>159</b>	<b>21.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>MDU</b>	<b>S</b>	<b>159</b>	<b>21.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAERUS GLOBAL	041	MPEL	S	50,000	5.15	n/a	n/a	2,000.00	4.0
BRANDWINE	028	MS	B	77,530	33.82	n/a	22-Oct	3,101.20	4.0
EXIS CAPITAL	044	M	S	20,000	19.38	n/a	6-Nov	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	NGS	B	5,499	18.47	n/a	n/a	164.97	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NTY</b>	<b>S</b>	<b>20,000</b>	<b>40.28</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
ROTHSCHILD ASSET	040	PFS	S	20,900	10.49	n/a	n/a	940.53	4.5
MILLENIUM PARTNERS	028	PKG	B	30,000	19.63	n/a	22-Oct	1,200.00	4.0
SCOPUS FUND	041	PKG	B	70,000	19.77	n/a	22-Oct	3,500.00	5.0
COLUMBUS CIRCLE	036	RIMM	S	7,500	60.97	n/a	n/a	300.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>5,000</b>	<b>81.31</b>	<b>n/a</b>	<b>4-Nov</b>	<b>200.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	RSH	B	5,000	20.39	n/a	n/a	200.00	4.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>SBUX</b>	<b>C</b>	<b>75,000</b>	<b>21.01</b>	<b>n/a</b>	<b>6-Nov</b>	<b>3,000.00</b>	<b>4.0</b>
ARAGON GLOBAL	041	SBUX	B	22,648	21.04	n/a	6-Nov	1,132.40	5.0
ADAGE CAPITAL MGMT	030	SKS	B	100,000	6.38	n/a	n/a	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>30,000</b>	<b>23.50</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
DAVIDSON KEMPNER ADVISOR	040	SLX	C	2,150	56.66	n/a	n/a	107.50	5.0
DAVIDSON KEMPNER ADVISOR	040	SPY	C	1,200	108.48	n/a	n/a	60.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SSI</b>	<b>B</b>	<b>20,000</b>	<b>12.05</b>	<b>n/a</b>	<b>6-Nov</b>	<b>800.00</b>	<b>4.0</b>
BAIRD INVESTMENT	047	SWN	B	9,350	46.28	n/a	2-Nov	467.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	TGT	S	10,000	50.06	n/a	5-Nov	500.00	5.0
KAILIX INV ADV	048	TRW	S	40,000	22.61	n/a	n/a	2,000.00	5.0
ROTHSCHILD ASSET	040	UNM	S	21,757	19.85	n/a	n/a	979.09	4.5
DAVIDSON KEMPNER ADVISOR	040	VALE	S	10,000	28.37	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	WY	B	20,000	38.35	n/a	2-Nov	800.00	4.0
TROUBH PART	067	YHOO	B	50,000	16.01	n/a	n/a	2,500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>85,598.71</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/09	SONTERRA CAP (SONTMSBULK)	041	ACI	SS	10,000	23.06	n/a	n/a	400.00 4.0
AO,CXL	11/06	RWC PARTNERS LTD (RWCPBILUBS)	067	HUBG	B	43,400	26.64	n/a	n/a	1302.00 3.0
AO,CRT	11/06	RWC PARTNERS LTD (RWCPBILUBS)	067	HUBG	B	46,900	26.64	n/a	n/a	1407.00 3.0
AO,CXL	11/06	RWC PARTNERS LTD (RWCPBPER)	067	HUBG	B	46,900	26.64	n/a	n/a	1407.00 3.0
AO,CRT	11/06	RWC PARTNERS LTD (RWCPBPER)	067	HUBG	B	43,400	26.64	n/a	n/a	1302.00 3.0
AO,CRT	11/05	GRUBER MACBAINE (GRBRMAIN)	045	WSM	B	20,000	19.13	n/a	n/a	800.00 4.0
AO,CXL	11/05	GRUSS CAPITAL (GRUS)	045	WSM	B	20,000	19.13	n/a	n/a	600.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>600.00</b>

TOTAL (Trade Date) :	85,598.71
TOTAL (AO, CXL, CRT) :	600.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>86,198.71</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