



Daily Compliance Activity Report

Trade Date: 12/03/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AA	S	25,000	13.55	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	AEO	B	18,472	15.60	n/a	1-Dec	923.60	5.0
HARVEST MGMT	039	AMD	B	5,000	7.53	n/a	n/a	250.00	5.0
HUNTER GLOBAL INVESTOR	067	AMZN	S	16,000	144.95	n/a	n/a	640.00	4.0
ADAGE CAPITAL MGMT	030	ANF	S	163,000	37.61	n/a	1-Dec	6,520.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	13,478	37.15	n/a	1-Dec	539.12	4.0
HARVEST MGMT	039	ANF	B	2,000	38.09	n/a	1-Dec	100.00	5.0
BALYASNY ASSET MGMT	044	ANN	B	25,000	14.75	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	75,000	29.38	n/a	3-Dec	3,000.00	4.0
METROPOLITAN CAPITAL	044	ARO	S	16,400	29.14	n/a	3-Dec	820.00	5.0
TRAFELET & COMP.	028	AXL	B	190,000	6.85	n/a	2-Nov	7,600.00	4.0
HUNTER GLOBAL INVESTOR	067	AXP	B	50,000	39.99	n/a	2-Dec	2,500.00	5.0
SHEFFIELD ASSET MGMT	031	AYE	S	25,000	22.81	n/a	n/a	1,250.00	5.0
AVESTA CAP	229	BAC	B	300,000	15.74	n/a	3-Dec	12,000.00	4.0
EXIS CAPITAL	044	BAC	S	25,000	15.99	n/a	3-Dec	1,250.00	5.0
BARROW HANLEY MEWHINNEY	031	BAX	B	28,400	56.30	n/a	n/a	994.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SEMINOLE CAP	036	BA	B	100,000	54.04	n/a	2-Dec	5,000.00	5.0
RBC CAPITAL MARKETS	040	BBY	SS	5,000	43.70	n/a	n/a	200.00	4.0
COLUMBUS CIRCLE	036	BEAV	B	5,874	21.34	n/a	n/a	227.48	3.0
RBC CAPITAL MARKETS	040	BG	B	15,000	66.10	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	BIG	SS	15,000	23.75	n/a	1-Dec	600.00	4.0
RBC CAPITAL MARKETS	040	BJ	B	10,000	32.81	n/a	n/a	400.00	4.0
COUGAR TRADING	044	BLK	S	2,500	226.80	n/a	2-Dec	125.00	5.0
ARMATURE CAPITAL	041	CAL	B	20,000	15.72	n/a	n/a	800.00	4.0
AVESTA CAP	229	CAL	B	300,000	15.85	n/a	n/a	12,000.00	4.0
SANDLER CAPITAL	226	CMP	B	40,000	67.04	n/a	n/a	2,400.00	6.0
ROSEDALE CAPITAL	046	COG	B	10,000	38.34	n/a	1-Dec	500.00	5.0
ADAGE CAPITAL MGMT	030	COH	B	100,000	35.59	n/a	21-Oct	4,000.00	4.0
RBC CAPITAL MARKETS	040	COH	B	10,000	35.62	n/a	21-Oct	400.00	4.0
AVESTA CAP	229	CSCO	S	100,000	23.98	n/a	n/a	4,000.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	DCP	B	7,100	14.15	n/a	n/a	284.00	4.0
MILLENNIUM-ANDEW	031	EWT	B	36,000	12.43	n/a	n/a	1,800.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	239	EXH	B	10,000	20.89	n/a	1-Dec	400.00	4.0
THE JAY GOLDMAN	028	FDO	SS	20,000	28.62	n/a	3-Dec	800.00	4.0
CONIFER/ISF	025	FL	B	3,000	9.94	n/a	23-Nov	150.00	5.0
TRELLUS PARTNERS LP	028	F	B	50,000	8.97	n/a	2-Dec	1,500.00	3.0
RBC CAPITAL MARKETS	040	GPS	SS	15,000	21.78	n/a	n/a	600.00	4.0
FEDERATED INV/KAUFMAN	029	GT	S	125,000	13.76	n/a	n/a	6,875.01	5.5
BNP PARIBAS SEC	040	GYMB	B	2,500	40.44	n/a	1-Dec	100.00	4.0
AVESTA CAP	229	HD	B	50,000	28.12	n/a	18-Nov	2,000.00	4.0
SOROS	036	HES	B	67,597	59.21	n/a	n/a	2,703.88	4.0
BUCK CAPITAL MGMT	001	HOT	SS	20,000	31.66	n/a	n/a	800.00	4.0
MFP INVESTORS	032	ICOC	S	150,000	6.60	n/a	n/a	6,000.00	4.0
MILTON PARTNERS	060	ICOC	B	26,000	6.60	n/a	n/a	780.00	3.0
AVESTA CAP	229	INTC	S	100,000	19.93	n/a	n/a	4,000.00	4.0
TRELLUS PARTNERS LP	028	ITW	B	35,000	48.92	n/a	18-Nov	1,750.00	5.0
ROTHSCHILD ASSET	040	JNY	B	29,890	16.32	n/a	29-Oct	1,345.05	4.5
HUNTER GLOBAL INVESTOR	067	JPM	S	50,000	42.90	n/a	24-Nov	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	JWN	B	10,000	34.86	n/a	1-Dec	400.00	4.0
THE BOSTON COMPANY	039	KCP	S	6,400	9.01	n/a	n/a	256.00	4.0
HUNTER GLOBAL INVESTOR	067	KMT	SS	43,033	24.50	n/a	18-Nov	2,151.65	5.0
HIGHBRIDGE CAP	041	KR	SS	200,000	22.33	n/a	n/a	8,000.00	4.0
KACELA CAPITAL	034	KSS	B	25,000	55.00	n/a	1-Dec	1,000.00	4.0
RBC CAPITAL MARKETS	040	KSS	B	5,000	54.06	n/a	1-Dec	200.00	4.0
BUCK CAPITAL MGMT	001	LL	S	10,000	25.81	n/a	n/a	400.00	4.0
SOROS	036	LOW	B	80,155	22.39	n/a	16-Nov	3,206.20	4.0
TRUST CO/COWEN/CALF.	040	MBI	B	217,545	3.72	n/a	n/a	6,526.35	3.0
BALYASNY ASSET MGMT	044	MCD	B	25,000	62.34	n/a	13-Nov	1,250.00	5.0
UBS OCONNOR	031	MMM	B	31,419	77.89	n/a	22-Oct	942.57	3.0
SAC CAP/ROSEN FOR BOBBY	044	MOT	SS	100,000	8.14	n/a	n/a	4,000.00	4.0
AVESTA CAP	097	M	B	50,000	15.84	n/a	1-Dec	2,000.00	4.0
SCOPUS FUND	041	M	B	25,000	15.84	n/a	1-Dec	1,250.00	5.0
TROUBH PART	067	M	S	10,000	15.90	n/a	1-Dec	500.00	5.0
UBS OCONNOR	031	OSK	SS	29,240	39.21	n/a	n/a	877.20	3.0
COLONIAL FUND LLC	036	PAG	B	12,500	15.68	n/a	2-Nov	625.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	PAG	B	15,000	15.53	n/a	2-Nov	750.00	5.0
BNP PARIBAS SEC	040	PLCE	S	5,000	28.21	n/a	3-Dec	200.00	4.0
METROPOLITAN CAPITAL	044	PLCE	B	16,400	28.25	n/a	3-Dec	820.00	5.0
HUNTER GLOBAL INVESTOR	067	PNC	B	100,000	53.77	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	70,970	21.92	n/a	n/a	2,838.80	4.0
FIRST NEW YORK NICK	029	Q	B	20,000	3.93	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	ROST	SS	10,000	44.29	n/a	n/a	500.00	5.0
BROOKSIDE CAPITAL PART	067	SBUX	S	221,300	21.33	n/a	6-Nov	8,852.00	4.0
RBC CAPITAL MARKETS	040	SBUX	S	10,000	21.66	n/a	6-Nov	400.00	4.0
RBC CAPITAL MARKETS	040	SQM	B	10,000	38.60	n/a	n/a	400.00	4.0
AVESTA CAP	229	STX	S	100,000	16.24	n/a	n/a	4,000.00	4.0
SCHOTTENFELD ASSOC	041	TGT	B	30,000	46.37	n/a	3-Dec	900.00	3.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	28.70	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	TIN	S	17,000	19.50	n/a	22-Oct	680.00	4.0
EXIS CAPITAL	044	TJX	B	20,000	37.26	n/a	1-Dec	1,000.00	5.0
BALYASNY ASSET MGMT	044	URBN	B	25,000	32.99	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	URBN	B	15,000	32.53	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAW PARTNERS	045	URBN	S	10,000	32.69	n/a	n/a	500.00	5.0
FARALLON CAP MGMT	040	V	B	60,000	81.93	n/a	30-Nov	2,400.00	4.0
RBC CAPITAL MARKETS	040	WCN	B	15,000	33.38	n/a	n/a	600.00	4.0
ROTHSCHILD ASSET	040	WPP	S	10,330	10.37	n/a	n/a	464.87	4.5
KLEINHEINZ CAP PART	031	WY	B	150,000	42.80	n/a	2-Nov	7,500.00	5.0
SIGMA CAP BOBBY	044	WY	S	12,900	42.50	n/a	2-Nov	516.00	4.0
JP MORGAN VENTURES	046	XRT	SS	28,600	35.02	n/a	n/a	1,130.00	4.0
BALYASNY ASSET MGMT	044	YUM	C	20,000	35.48	n/a	7-Oct	1,000.00	5.0
TOTAL (Trade Date) :								184,213.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/02	SCOPIA CAPITAL (SCOAGSBULK)	048	ADP	B	100,000	43.95	n/a	n/a	5000.00 5.0
AO,CXL	12/02	SCOPUS FUND (SCOPGS)	041	ADP	B	19,000	43.95	n/a	n/a	950.00 5.0
AO,CXL	12/02	SCOPUS FUND (SCOPUBS)	041	ADP	B	81,000	43.95	n/a	n/a	4050.00 5.0
AO,CXL	12/02	MILLRACE FUND LP (MILRGS)	028	ALGT	SS	8,500	43.97	n/a	n/a	0.00 0.0
AO,CRT	12/02	MILLRACE FUND LP (MILRGS)	028	ALGT	SS	8,500	43.97	n/a	n/a	340.00 4.0
CRT	12/03	ARMATURE CAPITAL (ARMACSF)	041	CAL	B	20,000	15.72	n/a	n/a	800.00 4.0
CRT	12/03	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	DCP	B	7,100	14.15	n/a	n/a	284.00 4.0
AO,CXL	12/02	CENTURION GLOBAL MGMT LL (CGLMSCO)	041	F	B	25,000	9.03	n/a	2-Dec	750.00 3.0
AO,CRT	12/02	CENTURION PARTNERS (CENTBSPT)	041	F	B	25,000	9.03	n/a	2-Dec	1000.00 4.0
AO,CXL	12/02	HIGHBRIDGE CAP (HIBCCSFB)	041	HAS	B	200,000	30.55	n/a	n/a	0.00 0.0
AO,CRT	12/02	HIGHBRIDGE CAP (HIBCCSFB)	041	HAS	B	200,000	30.55	n/a	n/a	8000.00 4.0
AO,CRT	12/02	MILLENIU PARTNERS (MILPUSE)	028	INTC	B	100	19.69	n/a	n/a	1.00 1.0
AO,CRT	12/02	MILLENIU PARTNERS (MILPUSE)	028	INTC	S	100	19.68	n/a	n/a	1.00 1.0
AO,CXL	12/02	MILLENNIU-ANDEW (MILAMSMART)	031	INTC	B	100	19.69	n/a	n/a	1.00 1.0
AO,CXL	12/02	MILLENNIU-ANDEW (MILAMSMART)	031	INTC	S	100	19.68	n/a	n/a	1.00 1.0
AO,CXL	12/02	HIGHBRIDGE CAP (HIBCCSFB)	041	ITW	B	110,758	48.88	n/a	18-Nov	0.00 0.0
AO,CRT	12/02	HIGHBRIDGE CAP (HIBCCSFB)	041	ITW	B	110,758	48.88	n/a	18-Nov	4430.32 4.0
CRT	12/03	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	067	KMT	SS	43,033	24.50	n/a	18-Nov	2151.65 5.0
CRT	12/03	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	MOT	SS	100,000	8.14	n/a	n/a	4000.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/02	FULLER & THALER ASSET (FULLROBUS2)	033	NDN	B	2,700	12.30	n/a	1-Dec	81.00 3.0
AO,CXL	12/02	FULLER & THALER ASSET (FULLROBUST)	033	NDN	B	2,700	12.30	n/a	1-Dec	81.00 3.0
CRT	12/03	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	PSS	S	70,590	21.92	n/a	n/a	2823.60 4.0
CRT	12/03	BUCK CAPITAL MGMT (BUCKGIL)	001	PSS	S	380	21.92	n/a	n/a	15.20 4.0
CRT	12/03	JP MORGAN VENTURES (JPMVJPM)	046	URBN	B	15,000	32.53	n/a	n/a	600.00 4.0
CRT	12/03	PAW PARTNERS (PAWPMORGAN)	045	URBN	S	10,000	32.69	n/a	n/a	500.00 5.0
CRT	12/03	JP MORGAN VENTURES (JPMVJPM)	046	XRT	SS	15,000	34.86	n/a	n/a	450.00 3.0
TOTAL (AO, CXL, CRT) :									24,644.77	
TOTAL (Trade Date) :									184,213.78	
TOTAL (AO, CXL, CRT) :									24,644.77	
TOTAL (RUN DATE) / NFS :									208,858.55	

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