



## Daily Compliance Activity Report

Trade Date: 09/28/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEFIANCE ASSET	028	AAWW	S	10,000	32.47	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	50,000	17.12	21-Sep	21-Sep	2,000.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	100,000	32.63	3-Jun	21-Sep	4,000.00	4.0
TRUSTCO/SUNTRUST	040	ARG	S	12,600	48.49	24-Sep	24-Sep	491.40	3.9
MERRILL ASSET/BLACKROCK	214	AWH	B	64,800	47.70	n/a	n/a	2,916.00	4.5
CATAPULT	040	CAR	S	25,000	13.29	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	214	CBY	S	60,926	50.95	n/a	n/a	2,741.67	4.5
TROUBH PART	067	CMCSA	B	50,000	17.00	n/a	4-Jan	2,500.00	5.0
MERRILL ASSET/BLACKROCK	214	DLR	B	80,600	44.94	n/a	n/a	3,627.00	4.5
BUCK CAPITAL MGMT	001	DRI	B	20,000	35.94	17-Sep	24-Sep	800.00	4.0
OSS CAPITAL/KEVIN DANN	067	FNF	S	100,000	15.06	n/a	n/a	3,000.00	3.0
OZ MGMT	040	F	B	130,000	7.44	27-Aug	2-Sep	3,900.00	3.0
FORD FDN.	032	GILD	B	25,000	46.95	n/a	n/a	1,250.00	5.0
STRAUSS ASSET MGMT	040	GYMB	B	7,500	49.54	21-Sep	21-Sep	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	214	HHS	S	14,900	13.50	n/a	n/a	670.50	4.5
MATRIX ASSET ADV.	036	INTC	S	21,000	19.60	n/a	n/a	630.00	3.0
DIAMONDBACK CAP MGMT	232	JNS	SS	10,000	14.52	16-Sep	23-Sep	500.00	5.0
ADAGE CAPITAL MGMT	030	JWN	B	300,000	30.61	n/a	23-Sep	12,000.00	4.0
SAXON WOODS ADVISORS	038	KFT	S	175,100	26.30	n/a	n/a	7,004.00	4.0
FIRST INV MGMT CO	029	LEG	S	21,800	19.35	n/a	n/a	1,090.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAR</b>	<b>B</b>	<b>20,000</b>	<b>26.76</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>70,000</b>	<b>18.08</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>2,800.00</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	NILE	SS	2,542	62.30	n/a	n/a	127.10	5.0
SYSTEMATIC FINANCIAL MGT	035	NWL	B	151,000	15.45	n/a	n/a	5,285.00	3.5
MESIROW	031	OVTI	S	10,134	16.51	n/a	n/a	405.36	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	45,000	19.86	21-Jul	21-Jul	2,250.00	5.0
MERRILL ASSET/BLACKROCK	214	PRA	B	23,900	52.15	n/a	n/a	1,075.50	4.5
MERRILL ASSET/BLACKROCK	214	PTEN	B	80,300	14.63	n/a	n/a	3,613.50	4.5
CUMBERLAND	038	RTH	SS	30,000	87.63	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	SAH	S	111,000	10.23	n/a	6-Apr	3,330.00	3.0
MESIROW	031	SF	S	4,718	53.91	n/a	n/a	188.72	4.0
MESIROW	031	SIGM	S	11,329	14.41	n/a	n/a	453.16	4.0
DIAMONDBACK CAP MGMT	232	TROW	B	10,000	45.62	n/a	23-Sep	500.00	5.0
LAGRANGE CAP ADV	048	VIP	SS	10,000	18.15	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	214	WLL	S	15,800	56.81	n/a	n/a	711.00	4.5
MATLIN PATTERSON	046	WNR	S	50,000	6.80	n/a	n/a	1,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>20,000</b>	<b>42.57</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>800.00</b>	<b>4.0</b>
STRAUSS ASSET MGMT	040	WY	B	25,000	37.54	n/a	3-Aug	1,000.00	4.0
MERRILL ASSET/BLACKROCK	214	XRX	S	250,000	7.31	n/a	n/a	11,250.00	4.5
<b>TOTAL (Trade Date) :</b>								<b>88,609.91</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/25	FIRST INV MGMT CO (FIMCTOTRET)	029	BIG	B	2,200	23.50	25-Aug	10-Sep	110.00 5.0
AO,	09/25	FIRST INV MGMT CO (FIMCGR&IN)	029	BIG	B	7,000	23.50	25-Aug	10-Sep	350.00 5.0
AO,	09/25	FIRST INV MGMT CO (FIMCLIFG&I)	029	BIG	B	2,100	23.50	25-Aug	10-Sep	105.00 5.0
AO,	09/25	FIRST INV MGMT CO (FIMCMIDCAP)	029	BIG	B	4,700	23.50	25-Aug	10-Sep	235.00 5.0
AO,CRT	09/25	MILLENIUUM PARTNERS (MILPINTREG)	028	CAKE	B	15,000	19.00	24-Jul	24-Jul	600.00 4.0
AO,CXL	09/25	MILLENIUUM PARTNERS (MILPUSE)	028	CAKE	B	15,000	19.00	24-Jul	24-Jul	600.00 4.0
AO,CXL	09/25	SOLARIS INV MGMT (SOLA485)	029	COG	S	900	33.70	25-Sep	25-Sep	45.00 5.0
AO,	09/25	SOLARIS INV MGMT (SOLA495)	029	COG	S	900	33.70	25-Sep	25-Sep	45.00 5.0
AO,CXL	09/24	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	DTV	B	100,000	26.56	n/a	4-Jan	2000.00 2.0
AO,	09/24	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	DTV	B	100,000	26.56	n/a	4-Jan	3000.00 3.0
AO,CXL	09/25	MILLENIUUM PARTNERS (MILPINTREG)	028	EAT	B	20,201	15.63	n/a	24-Apr	808.04 4.0
AO,CRT	09/25	MILLENIUUM PARTNERS (MILPUSE)	028	EAT	B	20,201	15.63	n/a	24-Apr	808.04 4.0
AO,	09/25	TRAFELET & COMP. (TRAFGSPB)	028	F	B	300,000	7.42	27-Aug	2-Sep	12000.00 4.0
AO,CXL	09/25	SCOGGIN CAP (SCOGJPMBS)	039	GAME	S	75,000	11.78	n/a	n/a	3000.00 4.0
AO,CRT	09/25	SCOGGIN CAP (SCOGJPMBS)	039	GAME	S	75,000	11.78	n/a	n/a	3000.00 4.0
AO,	09/25	BULL PATH CAPITAL (BULLMIDCAP)	044	HAS	B	17	27.19	n/a	n/a	0.85 5.0
AO,	09/25	BULL PATH CAPITAL (BULLLONSHO)	044	HAS	B	2,100	27.19	n/a	n/a	105.00 5.0
AO,CXL	09/25	BULL PATH CAPITAL (BULLBOAGS)	044	HAS	B	8,000	27.19	n/a	n/a	400.00 5.0
AO,CRT	09/25	BULL PATH CAPITAL (BULLBOAGS)	044	HAS	B	3,840	27.19	n/a	n/a	192.00 5.0
AO,	09/25	BULL PATH CAPITAL (BULLBOAGS)	044	HAS	B	2,043	27.19	n/a	n/a	102.15 5.0
AO,CXL	09/25	MILLENIUUM PARTNERS (MILPINTREG)	028	IGT	S	8,944	20.80	n/a	27-Jul	357.76 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/25	MILLENIU M PARTNERS (MILPUSE)	028	IGT	S	8,944	20.80	n/a	27-Jul	357.76 4.0
AO,CXL	09/25	MATRIX ASSET ADV. (MATXARVINM)	036	INTC	S	3,200	19.53	n/a	n/a	96.00 3.0
AO,	09/25	MATRIX ASSET ADV. (MATXWFLARG)	036	INTC	S	6,500	19.53	n/a	n/a	195.00 3.0
AO,CRT	09/25	MATRIX ASSET ADV. (MATXVALUE)	036	INTC	S	3,200	19.53	n/a	n/a	96.00 3.0
AO,CXL	09/25	MILLENIU M PARTNERS (MILPINTREG)	028	M	B	106,000	17.82	21-Sep	21-Sep	4240.00 4.0
AO,CRT	09/25	MILLENIU M PARTNERS (MILPUSE)	028	M	B	106,000	17.82	21-Sep	21-Sep	4240.00 4.0
AO,CXL	09/25	MILLENIU M PARTNERS (MILPINTREG)	028	MAT	S	3,496	17.97	n/a	n/a	139.84 4.0
AO,CRT	09/25	MILLENIU M PARTNERS (MILPUSE)	028	MAT	S	3,496	17.97	n/a	n/a	139.84 4.0
AO,CXL	09/25	MILLENIU M PARTNERS (MILPINTREG)	028	PFCB	S	1,836	34.10	22-Jul	22-Jul	73.44 4.0
AO,CRT	09/25	MILLENIU M PARTNERS (MILPUSE)	028	PFCB	S	1,836	34.10	22-Jul	22-Jul	73.44 4.0
AO,CXL	09/25	JMP ASSET MGMT (JMPAGS)	210	SKS	SS	27,000	6.71	n/a	n/a	1350.00 5.0
AO,CRT	09/25	JMP ASSET MGMT (JMPAGS)	210	SKS	SS	27,000	6.71	n/a	n/a	1080.00 4.0

<b>TOTAL (AO, CXL, CRT) :</b>	<b>13,725.00</b>
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TOTAL (Trade Date) :	88,609.91
TOTAL (AO, CXL, CRT) :	13,725.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>102,334.91</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