



Daily Compliance Activity Report

Trade Date: 12/21/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	20,000	16.43	n/a	4-Dec	800.00	4.0
COUGAR TRADING	044	AEO	B	10,000	16.39	n/a	4-Dec	500.00	5.0
EXIS CAPITAL	044	AEO	S	20,000	16.39	n/a	4-Dec	1,000.00	5.0
FIRST NY SEC/CHRIS	041	AEO	B	1,800	16.61	n/a	4-Dec	72.00	4.0
EXIS CAPITAL	044	ANF	B	10,000	35.25	n/a	4-Dec	500.00	5.0
EPOCH INV MGMT	030	APC	B	31,300	62.22	n/a	17-Dec	939.00	3.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	33.09	n/a	4-Dec	1,200.00	4.0
EXIS CAPITAL	044	ARO	B	10,000	33.10	n/a	4-Dec	500.00	5.0
EXIS CAPITAL	044	ARO	S	15,000	32.83	n/a	4-Dec	750.00	5.0
FRONTIER	039	ATI	B	45,500	42.45	n/a	n/a	1,820.00	4.0
METROPOLITAN CAPITAL	044	AXL	B	25,800	7.98	n/a	14-Dec	1,290.00	5.0
HARVEST MGMT	039	BARE	B	25,000	12.46	n/a	n/a	1,250.00	5.0
BENCHMARK	025	BBEP	B	14,979	10.99	n/a	n/a	599.16	4.0
RAMIUS CAP	040	BBY	B	53,000	40.17	n/a	n/a	2,120.00	4.0
US BANCORP	098	BDN	S	51,462	11.04	n/a	n/a	2,573.10	5.0
SANDLER O'NEILL ASSET	031	BEN	B	10,000	106.03	n/a	21-Dec	500.00	5.0
CAERUS GLOBAL	041	BJRI	B	15,000	18.98	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	CAKE	B	10,331	21.78	n/a	21-Dec	413.24	4.0
WEISS PECK	040	CAKE	C	7,680	21.94	n/a	21-Dec	384.00	5.0
PIONEER MICHAEL NOLAN	067	CDNS	S	329,880	5.84	n/a	n/a	9,896.40	3.0
DSG CAPITAL	225	CNK	B	27,900	13.65	n/a	n/a	1,116.00	4.0
US BANCORP	098	CUZ	S	54,638	7.77	n/a	n/a	2,731.90	5.0
MILLRACE FUND LP	028	CYBX	B	5,200	20.85	n/a	n/a	208.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DOW	B	50,000	26.86	n/a	18-Nov	2,000.00	4.0
BMO NESBITT BURNS	041	ENDP	SS	6,000	19.79	n/a	21-Dec	240.00	4.0
ROYCE TRADING	216	FCN	B	4,300	46.68	n/a	n/a	215.00	5.0
BMO NESBITT BURNS	041	FRX	SS	5,000	32.06	n/a	21-Dec	200.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	25.95	n/a	n/a	400.00	4.0
ROYCE TRADING	216	GEF	B	1,200	52.77	n/a	n/a	60.00	5.0
HOOVER INV. MGMT	033	GES	B	6,900	43.49	n/a	n/a	276.00	4.0
US BANCORP	030	GET	S	32,493	19.10	n/a	n/a	1,624.65	5.0
SONTERRA CAP	041	GNA	SS	20,000	7.93	n/a	n/a	600.00	3.0
TRUST CO/COWEN/CALF.	040	GPS	S	149,500	20.97	n/a	n/a	5,980.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLRACE FUND LP	028	GRC	B	2,079	28.56	n/a	n/a	83.16	4.0
CARDINAL CAPITAL	044	HEW	S	45,500	43.06	n/a	n/a	2,275.00	5.0
JMP ASSET MGMT	210	HTGC	S	14,850	10.10	n/a	n/a	742.50	5.0
ROSEDALE CAPITAL	046	INTC	S	20,000	20.25	n/a	n/a	1,000.00	5.0
RAIL-SPLITTER	031	ISRG	SS	5,000	290.14	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	50,000	44.03	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	JCG	B	10,000	44.54	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	JCG	SS	30,000	43.98	n/a	n/a	1,500.00	5.0
EXIS CAPITAL	044	JCG	S	24,948	44.09	n/a	n/a	1,247.40	5.0
EXIS CAPITAL	044	JWN	S	10,000	36.56	n/a	4-Dec	500.00	5.0
THIRD AVE MGMT	030	KEY	B	75,000	5.64	n/a	n/a	2,625.00	3.5
BMO NESBITT BURNS	041	KG	B	15,000	12.18	n/a	21-Dec	600.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	54.39	n/a	4-Dec	400.00	4.0
COUGAR TRADING	044	KSS	B	15,000	54.21	n/a	4-Dec	750.00	5.0
EXIS CAPITAL	044	KSS	B	40,000	54.53	n/a	4-Dec	2,000.00	5.0
TROUBH PART	067	LEAP	S	6,500	18.00	n/a	n/a	325.00	5.0
BMO NESBITT BURNS	041	MRX	SS	4,000	26.40	n/a	n/a	160.00	4.0
BUCK CAPITAL MGMT	001	M	B	50,000	17.20	n/a	4-Dec	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	M	B	10,000	17.38	n/a	4-Dec	400.00	4.0
COUGAR TRADING	044	M	B	25,000	17.21	n/a	4-Dec	1,250.00	5.0
EXIS CAPITAL	044	M	B	20,000	17.47	n/a	4-Dec	1,000.00	5.0
EXIS CAPITAL	044	M	S	40,000	17.13	n/a	4-Dec	2,000.00	5.0
EXIS CAPITAL	044	PLCE	B	10,000	32.19	n/a	11-Dec	500.00	5.0
JMP ASSET MGMT	210	PLCE	B	7,600	32.12	n/a	11-Dec	380.00	5.0
CHART WELL ADV	028	PLXS	S	21,975	28.45	n/a	n/a	879.00	4.0
STRONG/MARK GRONET	030	PPBI	B	8,000	3.36	n/a	n/a	240.00	3.0
BMO NESBITT BURNS	041	PRGO	B	6,000	38.75	n/a	21-Dec	240.00	4.0
EXIS CAPITAL	044	PVH	B	5,000	40.20	n/a	20-Nov	250.00	5.0
STRONG/MARK GRONET	030	PWER	S	4,000	4.63	n/a	n/a	120.00	3.0
BERMAN CAPITAL MGMT	046	RSH	B	10,000	20.19	n/a	n/a	300.00	3.0
ROYCE TRADING	216	RTN	S	4,500	52.85	n/a	22-Oct	225.00	5.0
ROYCE TRADING	216	SCHW	S	9,000	18.15	n/a	n/a	450.00	5.0
EXIS CAPITAL	044	SKS	S	26,900	6.68	n/a	n/a	1,345.00	5.0
EXIS CAPITAL	044	SSO	B	10,000	38.17	n/a	n/a	500.00	5.0
BMO NESBITT BURNS	041	TEVA	B	4,000	54.56	n/a	21-Dec	160.00	4.0
CHART WELL ADV	028	THS	S	17,230	39.51	n/a	n/a	689.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	TIF	B	10,000	43.27	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	TIF	S	15,000	42.96	n/a	n/a	750.00	5.0
SCOPUS FUND	041	TIN	S	43,100	22.28	n/a	22-Oct	2,155.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	40,000	8.08	n/a	n/a	1,200.00	3.0
EXIS CAPITAL	044	URBN	B	5,000	33.82	n/a	n/a	250.00	5.0
JMP ASSET MGMT	210	VMI	SS	2,500	82.30	n/a	n/a	125.00	5.0
BMO NESBITT BURNS	041	WCRX	B	4,000	27.62	n/a	21-Dec	160.00	4.0
BMO NESBITT BURNS	041	WPI	SS	4,000	38.62	n/a	21-Dec	160.00	4.0
EXIS CAPITAL	044	WRC	SS	15,000	42.75	n/a	5-Nov	750.00	5.0
MILLENIUM PARTNERS	028	WY	S	20,000	43.12	n/a	15-Dec	800.00	4.0
EXIS CAPITAL	044	XRT	B	10,000	35.79	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	XTO	S	58,100	46.90	n/a	n/a	1,743.00	3.0
CATAPULT	040	YHOO	B	25,000	15.91	n/a	n/a	1,000.00	4.0
IVORY CAPITAL	034	YHOO	S	125,000	15.91	n/a	n/a	6,250.00	5.0
ARCHON CAPITAL	035	ZIXI	B	35,000	1.68	n/a	n/a	1,050.00	3.0

TOTAL (Trade Date):

90,637.71

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/18	AELTUS/ING INVESTMENT MGT (AELTGIPCC)	215	AMGN	B	158,519	55.74	n/a	n/a	5548.17 3.5
AO,	12/18	AELTUS/ING INVESTMENT MGT (AELTINGGPR)	215	AMGN	B	79,777	55.74	n/a	n/a	2792.20 3.5
AO,	12/18	AELTUS/ING INVESTMENT MGT (AELTPATRRE)	215	AMGN	B	16,230	55.74	n/a	n/a	568.05 3.5
AO,	12/18	AELTUS/ING INVESTMENT MGT (AELTIGIF)	215	AMGN	B	45,247	55.74	n/a	n/a	1583.65 3.5
AO,	12/18	AELTUS/ING INVESTMENT MGT (AELTLIFECO)	215	AMGN	B	143	55.74	n/a	n/a	5.01 3.5
AO,	12/18	AELTUS/ING INVESTMENT MGT (AELTANNA)	215	AMGN	B	84	55.74	n/a	n/a	2.94 3.5
AO,	12/18	ROTHSCHILD ASSET (ROTH357)	040	BEN	S	290	103.80	n/a	21-Dec	13.05 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100180)	040	BEN	S	3,900	103.80	n/a	21-Dec	175.50 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH328)	040	BEN	S	110	103.80	n/a	21-Dec	4.95 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH3841)	040	BEN	S	110	103.80	n/a	21-Dec	4.95 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH3793)	040	BEN	S	90	103.80	n/a	21-Dec	4.05 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100320)	040	BEN	S	140	103.80	n/a	21-Dec	6.30 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100220)	040	BEN	S	130	103.80	n/a	21-Dec	5.85 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH3762)	040	BEN	S	330	103.80	n/a	21-Dec	14.85 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH384)	040	BEN	S	160	103.80	n/a	21-Dec	7.20 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100270)	040	BEN	S	560	103.80	n/a	21-Dec	25.20 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100280)	040	BEN	S	90	103.80	n/a	21-Dec	4.05 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100230)	040	BEN	S	23	103.80	n/a	21-Dec	1.04 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100250)	040	BEN	S	150	103.80	n/a	21-Dec	6.75 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100260)	040	BEN	S	260	103.80	n/a	21-Dec	11.70 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100200)	040	BEN	S	220	103.80	n/a	21-Dec	9.90 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100170)	040	BEN	S	140	103.80	n/a	21-Dec	6.30 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100150)	040	BEN	S	60	103.80	n/a	21-Dec	2.70 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100120)	040	BEN	S	24	103.80	n/a	21-Dec	1.08 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100100)	040	BEN	S	12	103.80	n/a	21-Dec	0.54 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH316)	040	BEN	S	420	103.80	n/a	21-Dec	18.90 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/18	ROTHSCHILD ASSET (ROTH100160)	040	BEN	S	90	103.80	n/a	21-Dec	4.05 4.5
AO,	12/18	ROTHSCHILD ASSET (ROTH100110)	040	BEN	S	70	103.80	n/a	21-Dec	3.15 4.5
AO,	12/18	CARDINAL CAPITAL (CARDNYST)	044	HEW	S	4,400	43.02	n/a	n/a	220.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDIHYDE)	044	HEW	S	100	43.02	n/a	n/a	5.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDLACERA)	044	HEW	S	200	43.02	n/a	n/a	10.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDFEDERA)	044	HEW	S	300	43.02	n/a	n/a	15.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDFMC)	044	HEW	S	1,200	43.02	n/a	n/a	60.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDPLSEL)	044	HEW	S	300	43.02	n/a	n/a	15.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDCVEP)	044	HEW	S	1,700	43.02	n/a	n/a	85.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDPMSEL)	044	HEW	S	400	43.02	n/a	n/a	20.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDADVS3)	044	HEW	S	4,100	43.02	n/a	n/a	205.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDBROWSC)	044	HEW	S	3,300	43.02	n/a	n/a	165.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDARMY)	044	HEW	S	100	43.02	n/a	n/a	5.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDDIVINE)	044	HEW	S	200	43.02	n/a	n/a	10.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDRFRAU)	044	HEW	S	100	43.02	n/a	n/a	5.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDJBEAN)	044	HEW	S	700	43.02	n/a	n/a	35.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDMARYLA)	044	HEW	S	1,800	43.02	n/a	n/a	90.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDTWINCI)	044	HEW	S	400	43.02	n/a	n/a	20.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDRPTR)	044	HEW	S	400	43.02	n/a	n/a	20.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDCAT)	044	HEW	S	1,100	43.02	n/a	n/a	55.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDEMBARQ)	044	HEW	S	800	43.02	n/a	n/a	40.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDBOEING)	044	HEW	S	400	43.02	n/a	n/a	20.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDWASHGL)	044	HEW	S	700	43.02	n/a	n/a	35.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDIBTRUS)	044	HEW	S	100	43.02	n/a	n/a	5.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDIFRANC)	044	HEW	S	300	43.02	n/a	n/a	15.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDPRKARL)	044	HEW	S	400	43.02	n/a	n/a	20.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDGRINFD)	044	HEW	S	100	43.02	n/a	n/a	5.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDLIBERT)	044	HEW	S	800	43.02	n/a	n/a	40.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDMAIN A)	044	HEW	S	400	43.02	n/a	n/a	20.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/18	CARDINAL CAPITAL (CARDCENTAL)	044	HEW	S	4,300	43.02	n/a	n/a	215.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDBOMNI)	044	HEW	S	600	43.02	n/a	n/a	30.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDWACHOV)	044	HEW	S	1,000	43.02	n/a	n/a	50.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDMEDSTR)	044	HEW	S	800	43.02	n/a	n/a	40.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDAFGT)	044	HEW	S	900	43.02	n/a	n/a	45.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDMEDSCO)	044	HEW	S	700	43.02	n/a	n/a	35.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDMILBAN)	044	HEW	S	500	43.02	n/a	n/a	25.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDSPRINT)	044	HEW	S	400	43.02	n/a	n/a	20.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDFCHEM)	044	HEW	S	1,300	43.02	n/a	n/a	65.00 5.0
AO,	12/18	CARDINAL CAPITAL (CARDTKSNYC)	044	HEW	S	1,300	43.02	n/a	n/a	65.00 5.0
AO,	12/18	THOMPSON SIEGAL&WALMSLEY (THOS3358)	029	HSP	S	1,675	47.56	n/a	n/a	50.25 3.0
AO,	12/18	THOMPSON SIEGAL&WALMSLEY (THOS3336)	029	HSP	S	3,650	47.56	n/a	n/a	109.50 3.0
AO,	12/18	THOMPSON SIEGAL&WALMSLEY (THOS4143)	029	HSP	S	1,806	47.56	n/a	n/a	54.18 3.0
AO,	12/18	THOMPSON SIEGAL&WALMSLEY (THOS4220)	029	HSP	S	2,790	47.56	n/a	n/a	83.70 3.0
AO,	12/18	THOMPSON SIEGAL&WALMSLEY (THOS6023)	029	HSP	S	3,972	47.56	n/a	n/a	119.16 3.0
AO,	12/18	THOMPSON SIEGAL&WALMSLEY (THOS4145)	029	HSP	S	1,275	47.56	n/a	n/a	38.25 3.0
AO,CXL	12/18	COLONIAL FUND LLC (COLOMAINSL)	036	WFC	S	50,000	26.91	n/a	15-Dec	2000.00 4.0
AO,CRT	12/18	COLONIAL FUND LLC (COLOMAINSL)	036	WFC	S	50,000	26.91	n/a	15-Dec	2500.00 5.0
TOTAL (AO, CXL, CRT) :										13,617.12

TOTAL (Trade Date) :	90,637.71
TOTAL (AO, CXL, CRT) :	13,617.12

TOTAL (RUN DATE) / NFS:

104,254.83

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