



Daily Compliance Activity Report

Trade Date: 12/07/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	AIMC	B	6,580	11.36	n/a	n/a	296.10	4.5
MORTAR ROCK	033	AMG	B	5,294	64.15	n/a	4-Dec	211.76	4.0
GLENHILL CAPITAL	212	AMTD	B	100,000	18.68	n/a	n/a	5,000.00	5.0
NEWLAND CAPITAL MGT	067	AXE	B	10,000	44.99	n/a	23-Nov	400.00	4.0
COLONIAL FUND LLC	036	AXL	B	25,000	7.51	n/a	2-Nov	1,250.00	5.0
LAGRANGE CAP ADV	048	AXL	S	40,000	7.51	n/a	2-Nov	2,000.00	5.0
RBC CAPITAL MARKETS	040	BJ	SS	10,000	32.88	n/a	n/a	400.00	4.0
ROYCE TRADING	216	CAB	S	5,000	12.15	n/a	n/a	250.00	5.0
WAGONHOUND/NIC	048	CAKE	B	18,424	19.64	n/a	23-Oct	736.96	4.0
EXIS CAPITAL	044	CENX	B	10,000	10.40	n/a	n/a	500.00	5.0
STRONG/MARK GRONET	030	DLM	S	10,000	11.20	n/a	n/a	400.00	4.0
GLENHILL CAPITAL	212	ERTS	S	100,000	16.19	n/a	n/a	5,000.00	5.0
THOMAS WEISEL ASSET MGMT	035	ETH	B	5,300	12.73	n/a	n/a	159.00	3.0
MILLENIUM PARTNERS	028	F	B	50,000	8.92	n/a	2-Dec	2,000.00	4.0
SMITH MGMT LLC	029	GCI	B	500,000	10.89	n/a	n/a	20,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCB STOCKBROKERS/IRELAND	046	GDX	B	10,000	49.60	n/a	n/a	500.00	5.0
SCOPUS FUND	041	GE	B	200,000	16.11	n/a	n/a	10,000.00	5.0
WAGONHOUND/NIC	048	HSC	S	2,757	30.85	n/a	23-Nov	110.28	4.0
ROSEDALE CAPITAL	046	INTC	B	25,000	20.34	n/a	n/a	1,250.00	5.0
THE BOSTON COMPANY	039	KCP	S	15,200	8.93	n/a	n/a	608.00	4.0
KENNEDY CAPITAL	046	KPPC	B	1,125	8.00	n/a	n/a	33.75	3.0
LOOMIS SALES/BOSTON	036	KSS	S	341,764	54.52	n/a	4-Dec	13,670.56	4.0
RBC CAPITAL MARKETS	040	MCD	B	10,000	62.16	n/a	7-Dec	400.00	4.0
ROYCE TRADING	216	MWA	S	5,000	5.20	n/a	n/a	250.00	5.0
FARALLON CAP MGMT	040	MXB	B	19,600	31.83	n/a	n/a	784.00	4.0
SCOPUS FUND	041	M	B	10,000	16.41	n/a	4-Dec	500.00	5.0
THE JAY GOLDMAN	028	M	B	25,000	16.35	n/a	4-Dec	1,000.00	4.0
IRIDIAN ASSET MGMT.	036	NCR	B	29,500	9.24	n/a	n/a	1,475.00	5.0
ROTHSCHILD ASSET	040	NJR	B	16,730	36.91	n/a	n/a	752.85	4.5
JMP ASSET MGMT	210	NVDA	B	8,000	16.03	n/a	n/a	400.00	5.0
LEVIN CAPITAL STRATEGIES	012	NWPX	S	800	26.35	n/a	n/a	24.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	PBCT	S	25,000	16.13	n/a	24-Nov	1,250.00	5.0
TRUSTCO/SUNTRUST	098	PFG	B	66,800	23.42	n/a	n/a	2,605.20	3.9
FIRST NEW YORK NICK	029	Q	S	10,000	4.11	n/a	n/a	500.00	5.0
APEX CAPITAL MGMT.	091	RDC	SS	50,000	24.16	n/a	n/a	2,000.00	4.0
NWQ INVESTMENT MGMT CO	048	RDEN	S	17,600	15.51	n/a	30-Nov	528.00	3.0
MORGENS WATERFALL	034	RRI	B	300,000	5.25	n/a	n/a	9,000.00	3.0
TRUSTCO/SUNTRUST	040	SCHW	S	77,592	18.32	n/a	n/a	3,026.10	3.9
TURS	040	SCHW	S	408	18.32	n/a	n/a	15.91	3.9
TRUSTCO/SUNTRUST	040	VIAB	B	16,298	30.37	n/a	n/a	635.62	3.9
BUCK CAPITAL MGMT	001	ZLC	SS	50,000	4.17	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date):								91,423.09	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/03	JMP ASSET MGMT (JMPABOABA)	210	AMD	B	5,000	7.53	n/a	n/a	250.00 5.0
AO,CRT	12/03	JMP ASSET MGMT (JMPABOABA)	210	AMD	B	5,000	7.53	n/a	n/a	200.00 4.0
AO,CXL	12/04	GLENHILL CAPITAL (GLEHGOLDMA)	212	AMTD	B	140,000	19.04	n/a	n/a	5600.00 4.0
AO,CRT	12/04	GLENHILL CAPITAL (GLEHGOLDMA)	212	AMTD	B	140,000	19.04	n/a	n/a	7000.00 5.0
AO,CXL	12/04	BUCK CAPITAL MGMT (BUCKJPMBS)	001	ARO	B	10,000	28.90	n/a	4-Dec	400.00 4.0
AO,CRT	12/04	BUCK CAPITAL MGMT (BUCKJPMBS)	001	ARO	B	8,700	28.90	n/a	4-Dec	348.00 4.0
AO,	12/04	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ARO	B	1,300	28.90	n/a	4-Dec	52.00 4.0
AO,	12/04	COLUMBUS CIRCLE (COLC3050)	036	BEAV	B	1,081	22.94	n/a	n/a	21.62 2.0
AO,	12/04	COLUMBUS CIRCLE (COLC3050)	036	BEAV	B	7,045	22.71	n/a	n/a	281.80 4.0
AO,	12/04	FIRST NEW YORK LEDDY (FNYS)	035	ETFC	B	20,000	1.71	n/a	n/a	1200.00 6.0
AO,CXL	12/03	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	067	KMT	SS	43,033	24.50	n/a	18-Nov	2151.65 5.0
AO,CRT	12/03	HUNTER GLOBAL INVESTOR (HUNTMS P)	067	KMT	SS	43,033	24.50	n/a	18-Nov	2151.65 5.0
AO,	12/04	KENNEDY CAPITAL (KENN825)	046	KPPC	B	7,050	8.00	n/a	n/a	211.50 3.0
AO,	12/04	KENNEDY CAPITAL (KENN624)	046	KPPC	B	4,750	8.00	n/a	n/a	142.50 3.0
AO,	12/04	KENNEDY CAPITAL (KENN420)	046	KPPC	B	13,200	8.00	n/a	n/a	396.00 3.0
AO,	12/04	FARALLON CAP MGMT (FARACSF)	040	MXB	B	20,600	31.98	n/a	n/a	824.00 4.0
AO,CXL	12/04	FARALLON CAP MGMT (FARABULK F)	040	MXB	B	100,400	31.98	n/a	n/a	4016.00 4.0
AO,CRT	12/04	FARALLON CAP MGMT (FARABULK F)	040	MXB	B	79,800	31.98	n/a	n/a	3192.00 4.0
AO,	12/02	TRUST CO/COWEN/CALF. (TRCO040)	040	NUAN	S	4,200	15.17	n/a	n/a	168.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/04	SAB CAPITAL (SABCMORGAN)	034	STI	B	260,000	22.77	n/a	n/a	13000.00 5.0
AO,CXL	12/04	SAB CAPITAL (SABCGOLDMA)	034	STI	B	260,000	22.77	n/a	n/a	13000.00 5.0
AO,CXL	12/04	JP MORGAN VENTURES (JPMVJPM)	046	TLB	B	20,000	7.07	n/a	n/a	1000.00 5.0
AO,CXL	12/04	JP MORGAN VENTURES (JPMVJPM)	046	TLB	B	20,000	7.07	n/a	n/a	1000.00 5.0
AO,CRT	12/04	JP MORGAN VENTURES (JPMVJPM)	046	TLB	B	20,000	7.07	n/a	n/a	600.00 3.0

TOTAL (AO, CXL, CRT) :	2,371.42
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TOTAL (Trade Date) :	91,423.09
TOTAL (AO, CXL, CRT) :	2,371.42

TOTAL (RUN DATE) / NFS:	93,794.51
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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