



## Daily Compliance Activity Report

Trade Date: 10/20/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	AA	S	25,000	13.85	n/a	n/a	1,250.00	5.0
LOCUS WOOD CAPITAL MGMT	044	ABX	B	10,000	38.15	n/a	n/a	400.00	4.0
SACC-SCHWARTZ	044	ABX	S	50,000	37.92	n/a	n/a	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	25,000	19.38	n/a	9-Oct	1,000.00	4.0
CATAPULT	040	AGCO	B	10,580	28.61	n/a	n/a	529.00	5.0
DEFIANCE ASSET	028	AGU	B	17,000	55.38	n/a	n/a	680.00	4.0
EXIS CAPITAL	044	AMR	S	15,000	7.69	n/a	n/a	750.00	5.0
EXIS CAPITAL	044	ANF	B	10,000	37.05	n/a	9-Oct	500.00	5.0
COLONIAL FUND LLC	036	AN	B	15,000	20.67	n/a	19-Oct	750.00	5.0
EXIS CAPITAL	044	ARO	B	2,500	41.49	n/a	9-Oct	125.00	5.0
GREEN ARROW DOUG	040	BAC	S	25,000	17.41	n/a	19-Oct	1,250.00	5.0
COLONIAL FUND LLC	036	BA	B	10,000	51.65	n/a	12-Oct	500.00	5.0
GRUBER MACBAIN	033	BBBY	S	10,000	36.01	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	BBY	S	10,300	39.23	n/a	n/a	515.00	5.0
KEEFE BRUYETTE WOODS A	045	BCS	B	6,600	23.85	n/a	n/a	330.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	BDN	S	37,300	10.01	n/a	n/a	1,678.50	4.5
EXIS CAPITAL	044	BKE	S	5,000	32.01	n/a	n/a	250.00	5.0
SANDLER O'NEILL ASSET	031	BLK	B	5,000	237.50	n/a	20-Oct	250.00	5.0
JP MORGAN VENTURES	046	BWS	B	20,000	11.64	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BYD</b>	<b>SS</b>	<b>10,000</b>	<b>11.15</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
BAIRD INVESTMENT	047	CAM	B	2,500	41.05	n/a	n/a	75.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CMG</b>	<b>B</b>	<b>8,769</b>	<b>89.44</b>	<b>n/a</b>	<b>20-Oct</b>	<b>350.76</b>	<b>4.0</b>
EXIS CAPITAL	044	COH	SS	10,000	33.70	n/a	n/a	500.00	5.0
MILLRACE FUND LP	028	CPKI	B	5,000	14.21	n/a	8-Oct	150.00	3.0
STERLING JOHNSTON	035	CRI	B	28,000	28.42	n/a	n/a	1,120.00	4.0
ROYCE TRADING	216	CR	B	1,000	27.46	n/a	n/a	50.00	5.0
ROYCE TRADING	216	DAN	B	10,000	6.94	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	DECK	B	4,200	92.01	n/a	n/a	210.00	5.0
COOPER CREEK PART	028	EAT	B	10,000	14.80	n/a	n/a	400.00	4.0
NORTHPOINT	030	ELX	S	37,872	11.33	n/a	n/a	1,514.88	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	ENDP	SS	53,502	23.53	n/a	20-Oct	2,140.08	4.0
NEUBERGER BERMAN	036	EQR	S	17,700	29.21	n/a	n/a	796.50	4.5
NEUBERGER BERMAN	036	EXR	S	68,800	10.52	n/a	n/a	3,096.00	4.5
ROARING BLUE LION MGMT	012	FINL	B	14,500	11.22	n/a	n/a	580.00	4.0
FEDERATED INV/KAUFMAN	029	F	B	500,000	7.72	n/a	19-Oct	27,500.00	5.5
PHILADELPHIA FINANCIAL	033	F	B	100,000	7.76	n/a	19-Oct	4,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GCI	C	250,000	13.99	n/a	n/a	7,500.00	3.0
KLEINHEINZ CAP PART	031	GLD	S	100,000	103.75	n/a	n/a	5,000.00	5.0
EXIS CAPITAL	044	GPS	B	2,500	22.69	n/a	n/a	125.00	5.0
NORTHPOINT	030	GTIV	S	14,469	26.22	n/a	n/a	578.76	4.0
EXIS CAPITAL	044	GYMB	B	5,000	47.49	n/a	9-Oct	250.00	5.0
ROYCE TRADING	216	HBI	B	3,000	23.40	n/a	n/a	150.00	5.0
NEUBERGER BERMAN	036	HCP	S	35,500	30.13	n/a	n/a	1,597.50	4.5
ROYCE TRADING	216	HRZ	S	10,000	5.86	n/a	n/a	500.00	5.0
CR INTRINIC INVESTMENT	044	INCY	S	800	5.96	n/a	n/a	32.00	4.0
SCHOTTENFELD ASSOC	041	IP	B	25,000	24.32	n/a	12-Oct	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	IP	B	66,600	24.38	n/a	12-Oct	3,330.00	5.0
TRELLUS PARTNERS LP	028	IP	C	75,000	24.29	n/a	12-Oct	3,750.00	5.0
ROYCE TRADING	216	ITB	S	5,000	12.45	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	047	IVZ	B	3,350	23.45	n/a	20-Oct	100.50	3.0
DIAMONDBACK CAP MGMT	232	IVZ	B	15,000	23.27	n/a	20-Oct	750.00	5.0
NORTHPOINT	030	JAH	S	12,303	28.53	n/a	n/a	492.12	4.0
ROYCE TRADING	216	JNY	S	3,353	19.29	n/a	n/a	167.65	5.0
MERRILL ASSET/BLACKROCK	214	JOYG	S	11,400	54.12	n/a	n/a	513.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>70,000</b>	<b>35.40</b>	<b>n/a</b>	<b>9-Oct</b>	<b>2,800.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	KMX	S	50,000	22.20	n/a	n/a	1,500.00	3.0
SCOPIA CAPITAL	048	KR	S	100,000	24.15	n/a	n/a	4,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	LULU	C	50,000	25.25	n/a	n/a	1,500.00	3.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.35	n/a	n/a	600.00	6.0
PARTNER REINSURANCE	033	MCD	S	14,650	58.96	n/a	20-Oct	586.00	4.0
NORTHPOINT	030	MCRS	S	12,103	27.61	n/a	n/a	484.12	4.0
UBS OCONNOR	031	MMM	B	50,000	75.88	n/a	n/a	1,500.00	3.0
CR INTRINIC INVESTMENT	044	MRK	SS	50,000	33.79	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	MRK	S	24,354	33.76	n/a	n/a	974.16	4.0
DIAMONDBACK CAP MGMT	232	MS	C	10,000	32.61	n/a	15-Oct	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>20,000</b>	<b>19.99</b>	<b>n/a</b>	<b>9-Oct</b>	<b>800.00</b>	<b>4.0</b>
ENDEAVOUR CAPITAL	035	NDAQ	S	223,000	20.51	n/a	n/a	8,920.00	4.0
NEUBERGER BERMAN	036	NHP	S	24,600	31.80	n/a	n/a	1,107.00	4.5
ENDEAVOUR CAPITAL	035	NYX	B	152,000	28.94	n/a	n/a	6,080.00	4.0
NORTHPOINT	030	OCR	S	8,180	22.53	n/a	n/a	327.20	4.0
COLONIAL FUND LLC	036	PAG	B	12,500	18.37	n/a	19-Oct	625.00	5.0
HUNTER GLOBAL INVESTOR	067	PEP	S	50,000	61.30	n/a	n/a	2,500.00	5.0
BACKBAY	041	PKG	B	50,000	20.33	n/a	20-Oct	2,500.00	5.0
BMO NESBITT BURNS	041	PKG	B	25,000	19.94	n/a	20-Oct	1,250.00	5.0
CASTLEROCK	040	PKG	B	69,275	20.35	n/a	20-Oct	2,771.00	4.0
COLONIAL FUND LLC	036	PKG	S	25,000	21.00	n/a	20-Oct	1,250.00	5.0
DSG CAPITAL	225	PKG	B	10,000	20.00	n/a	20-Oct	500.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	20,000	20.36	n/a	20-Oct	600.00	3.0
SCHOTTENFELD ASSOC	041	PKG	S	10,000	21.28	n/a	20-Oct	300.00	3.0
WEINTRAUB CAPITAL MGT.	040	PKG	B	100,000	20.25	n/a	20-Oct	4,000.00	4.0
EXIS CAPITAL	044	PSUN	S	10,000	6.75	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	QCOM	S	50,000	41.30	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	RADS	S	31,617	10.02	n/a	n/a	1,264.68	4.0
LEVEL GLOBAL SHARED ACCT	257	RL	C	50,000	77.63	n/a	n/a	1,500.00	3.0
EXIS CAPITAL	044	ROST	B	2,500	46.01	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	ROST	SS	10,000	45.85	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RSH</b>	<b>SS</b>	<b>20,000</b>	<b>15.56</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	SKS	B	5,000	6.48	n/a	n/a	250.00	5.0
FRONTIER	039	SMTC	B	10,900	16.90	n/a	n/a	436.00	4.0
EXIS CAPITAL	044	SNDK	B	15,000	21.79	n/a	n/a	750.00	5.0
ROYCE TRADING	216	SOA	B	2,500	12.84	n/a	n/a	125.00	5.0
DIAMONDBACK CAP MGMT	232	STT	C	10,000	47.81	n/a	20-Oct	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SVU</b>	<b>SS</b>	<b>50,000</b>	<b>17.16</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
NORTHPOINT	030	TER	S	38,200	10.18	n/a	n/a	1,528.00	4.0
STRONG/MARK GRONET	030	TEX	S	65,000	24.18	n/a	n/a	2,600.00	4.0
BMO NESBITT BURNS	041	TIN	B	50,000	17.09	n/a	12-Oct	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	228,000	17.25	n/a	12-Oct	11,400.00	5.0
NEWLAND CAPITAL MGT	067	TIN	B	50,000	17.19	n/a	12-Oct	2,000.00	4.0
SCOPUS FUND	041	TIN	B	23,100	17.33	n/a	12-Oct	1,155.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TJX	B	27,700	38.83	n/a	20-Oct	1,108.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	9.04	n/a	n/a	600.00	3.0
PZENA INV ADV	044	TWP	B	800	18.39	n/a	n/a	28.00	3.5
T. ROWE PRICE	033	UFS	S	60,000	41.91	n/a	n/a	2,400.00	4.0
RBC CAPITAL MARKETS	040	VMC	B	4,300	53.71	n/a	n/a	172.00	4.0
KLEINHEINZ CAP PART	031	WHR	B	50,000	73.61	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	WRC	SS	2,500	43.44	n/a	2-Oct	125.00	5.0
ROTHSCHILD ASSET	040	WRC	B	60,290	43.41	n/a	2-Oct	2,713.05	4.5
CR INTRINIC INVESTMENT	044	WST	B	4,045	40.50	n/a	n/a	161.80	4.0
LEVIN CAPITAL STRATEGIES	012	XLP	SS	50,000	26.59	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	XRT	SS	5,000	36.32	n/a	n/a	250.00	5.0
LAGRANGE CAP ADV	048	YHOO	B	10,000	16.90	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>178,343.26</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/19	KOYOTE TRADING LLC (KOYOGS)	041	C	S	50,000	4.60	n/a	16-Oct	1500.00 3.0
AO,CXL	10/19	SCHOTTENFELD ASSOC (SCHOASSOC)	041	C	S	50,000	4.60	n/a	16-Oct	1500.00 3.0
AO,	10/19	ASCEND PARTNERS (ASCEDBAB)	033	EXPE	B	9,845	25.34	n/a	n/a	492.25 5.0
AO,	10/19	ASCEND PARTNERS (ASCECITI)	033	EXPE	B	8,081	25.34	n/a	n/a	404.05 5.0
AO,	10/19	ASCEND PARTNERS (ASCEMSPB)	033	EXPE	B	34,240	25.34	n/a	n/a	1712.00 5.0
AO,	10/19	ASCEND PARTNERS (ASCEBNPC)	033	EXPE	B	3,306	25.34	n/a	n/a	165.30 5.0
AO,CXL	10/19	SCOPUS FUND (SCOPGS)	041	RKT	S	858	49.42	n/a	n/a	42.90 5.0
AO,CRT	10/19	SCOPUS FUND (SCOPGS)	041	RKT	S	859	49.42	n/a	n/a	42.95 5.0
AO,CXL	10/19	SCOPUS FUND (SCOPUBS)	041	RKT	S	3,657	49.42	n/a	n/a	182.85 5.0
AO,CRT	10/19	SCOPUS FUND (SCOPUBS)	041	RKT	S	3,656	49.42	n/a	n/a	182.80 5.0
AO,CXL	10/19	ROYCE TRADING (ROYC169)	216	VSH	B	5,000	7.20	n/a	n/a	250.00 5.0
AO,	10/19	ROYCE TRADING (ROYC169)	216	VSH	B	2,500	7.25	n/a	n/a	125.00 5.0
AO,	10/19	ROYCE TRADING (ROYC169)	216	VSH	B	2,500	7.20	n/a	n/a	125.00 5.0
AO,CXL	10/19	ROYCE TRADING (ROYC59)	216	VSH	B	5,000	7.25	n/a	n/a	250.00 5.0
AO,	10/19	ROYCE TRADING (ROYC59)	216	VSH	B	2,500	7.25	n/a	n/a	125.00 5.0
AO,	10/19	ROYCE TRADING (ROYC59)	216	VSH	B	2,500	7.20	n/a	n/a	125.00 5.0

**TOTAL (AO, CXL, CRT) :****2,773.60**

TOTAL (Trade Date) :

178,343.26

TOTAL (AO, CXL, CRT) :

2,773.60



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TOTAL (RUN DATE) / NFS:

181,116.86

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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