



Daily Compliance Activity Report

Trade Date: 12/02/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM-ANDEW	031	ABB	B	6,000	18.83	n/a	n/a	360.00	6.0
MILLENNIUM-ANDEW	031	ABFS	SS	7,000	26.19	n/a	n/a	420.00	6.0
SCOPUS FUND	041	ADP	B	100,000	43.95	n/a	n/a	5,000.00	5.0
CAERUS GLOBAL	041	AEO	B	13,200	15.23	n/a	1-Dec	528.00	4.0
JP MORGAN VENTURES	046	AEO	B	15,000	15.40	n/a	1-Dec	750.00	5.0
PEREGRINE	030	AEO	B	25,000	15.21	n/a	1-Dec	1,000.00	4.0
ARMATURE CAPITAL	041	AEP	S	10,000	33.82	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	ALGT	SS	8,500	43.97	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	ALK	S	5,000	30.09	n/a	n/a	200.00	4.0
SANDLER O'NEILL ASSET	031	AMG	S	5,000	66.24	n/a	2-Dec	250.00	5.0
JMP ASSET MGMT	210	AMSC	B	2,500	34.15	n/a	n/a	125.00	5.0
TRELLUS PARTNERS LP	028	AN	B	36,500	17.77	n/a	30-Oct	1,825.00	5.0
LOMBARDIA CAP MGMT	048	ARCC	S	38,961	11.96	n/a	n/a	1,886.69	4.9
SANDLER O'NEILL ASSET	031	AXP	B	25,000	41.18	n/a	2-Dec	1,250.00	5.0
CHILTON CAPITAL MGMT.	036	BAC	SS	100,000	15.63	n/a	24-Nov	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	BA	B	10,000	53.55	n/a	2-Dec	500.00	5.0
UBS OCONNOR	031	BBY	SS	250,000	43.52	n/a	n/a	7,500.00	3.0
RBC CAPITAL MARKETS	040	BIG	SS	35,000	23.96	n/a	1-Dec	1,400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	BJ	SS	150,000	34.25	n/a	n/a	4,500.00	3.0
COBALT	041	BLL	S	50,000	49.38	n/a	n/a	2,500.00	5.0
SCOPUS FUND	041	BWA	SS	25,000	31.23	n/a	9-Nov	1,250.00	5.0
EXIS CAPITAL	044	CENX	B	20,000	10.75	n/a	n/a	1,000.00	5.0
PORTER-ORLIN-FELDMAN	044	CLR	SS	30,000	38.63	n/a	n/a	1,500.00	5.0
SANDLER CAPITAL	226	CMP	B	40,000	66.39	n/a	n/a	2,400.00	6.0
MILLENNIUM-ANDEW	031	CNI	B	10,000	53.23	n/a	n/a	600.00	6.0
MILLENNIUM-ANDEW	031	CNW	SS	6,200	31.61	n/a	n/a	372.00	6.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	22.90	n/a	n/a	800.00	4.0
LISTED ERR	099	CRK	S	100	37.40	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	DBRN	S	15,000	21.51	n/a	n/a	750.00	5.0
CENTURION GLOBAL MGMT LL	041	F	B	25,000	9.03	n/a	2-Dec	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRAFELET & COMP.	028	F	B	290,000	8.99	n/a	2-Dec	8,700.00	3.0
TRELLUS PARTNERS LP	028	F	B	100,875	8.97	n/a	2-Dec	3,026.25	3.0
BUCK CAPITAL MGMT	001	GME	B	10,000	22.41	n/a	n/a	400.00	4.0
JP MORGAN VENTURES	046	GPS	SS	20,000	21.93	n/a	n/a	1,000.00	5.0
CASTLE ARK	031	GWR	B	48,870	31.42	n/a	n/a	2,932.20	6.0
HIGHBRIDGE CAP	041	HAS	B	200,000	30.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HBI	S	30,000	24.12	n/a	n/a	1,200.00	4.0
UBS OCONNOR	031	HD	C	375,000	28.23	n/a	18-Nov	11,250.00	3.0
MILLENNIUM-ANDEW	031	INTC	B	100	19.69	n/a	n/a	1.00	1.0
MILLENNIUM-ANDEW	031	INTC	S	100	19.68	n/a	n/a	1.00	1.0
APEX CAPITAL MGMT.	091	IPI	SS	90,000	32.13	n/a	n/a	3,600.00	4.0
MILLENNIUM-ANDEW	031	ITRI	B	3,000	62.38	n/a	n/a	180.00	6.0
HIGHBRIDGE CAP	041	ITW	B	110,758	48.88	n/a	18-Nov	0.00	0.0
NEUBERGER BERMAN	036	JAH	B	116,300	28.99	n/a	n/a	5,233.50	4.5
ADAGE CAPITAL MGMT	030	JCP	SS	125,000	29.06	n/a	1-Dec	5,000.00	4.0
THE JAY GOLDMAN	028	JCP	S	50,000	29.19	n/a	1-Dec	2,000.00	4.0
NEUBERGER BERMAN	036	JKHY	S	150,000	23.15	n/a	n/a	6,750.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	JNY	B	17,920	17.05	n/a	29-Oct	806.40	4.5
MILLENNIUM-ANDEW	031	KNX	SS	7,000	17.63	n/a	n/a	420.00	6.0
BERMAN CAPITAL MGMT	046	KSS	B	4,000	53.61	n/a	1-Dec	200.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	53.75	n/a	1-Dec	800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	KSS	B	125,000	53.67	n/a	1-Dec	3,750.00	3.0
KLEINHEINZ CAP PART	031	LPX	B	100,000	6.41	n/a	4-Nov	5,000.00	5.0
NEUBERGER BERMAN	036	MDRX	B	64,150	20.43	n/a	n/a	2,886.75	4.5
ISLE RIDGE PARTNERS	041	M	SS	50,000	16.23	n/a	1-Dec	2,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	M	SS	200,000	16.19	n/a	1-Dec	6,000.00	3.0
STELLIAM INV ADV	034	M	B	20,000	16.24	n/a	1-Dec	1,000.00	5.0
FULLER & THALER ASSET	033	NDN	B	29,000	12.30	n/a	1-Dec	870.00	3.0
MILLENNIUM-ANDEW	031	NSC	B	6,000	52.32	n/a	n/a	360.00	6.0
BUCK CAPITAL MGMT	001	NWY	S	20,000	4.40	n/a	n/a	400.00	2.0
MILLENNIUM-ANDEW	031	ODFL	SS	6,600	26.81	n/a	n/a	396.00	6.0
CHILTON CAPITAL MGMT.	036	PBR	S	96,581	52.63	n/a	n/a	2,897.43	3.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	64,300	30.21	n/a	30-Oct	3,215.00	5.0
RAMIUS CAP	040	PCL	B	62,475	34.94	n/a	30-Oct	2,499.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	PHK	B	20,000	10.86	n/a	n/a	800.00	4.0
ASCEND PARTNERS	033	PLCE	C	20,000	31.53	n/a	1-Dec	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	PLCE	C	25,000	31.83	n/a	1-Dec	1,250.00	5.0
BAIRD INVESTMENT	047	PLXS	B	40,725	27.87	n/a	n/a	2,036.25	5.0
DENVER INST. ADV	046	PRGO	B	68,536	40.14	n/a	30-Nov	2,741.44	4.0
MILLRACE FUND LP	028	PRX	B	8,091	24.52	n/a	2-Dec	323.64	4.0
ISLE RIDGE PARTNERS	041	PSS	S	20,000	20.36	n/a	n/a	800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	PSS	B	200,000	20.42	n/a	n/a	6,000.00	3.0
MILLENNIUM-ANDEW	031	PWR	B	5,000	19.25	n/a	n/a	300.00	6.0
SCOGGIN CAP	039	RAH	S	31,500	58.51	n/a	n/a	945.00	3.0
LOMBARDIA CAP MGMT	048	RHB	S	11,448	29.12	n/a	n/a	554.40	4.9
EXIS CAPITAL	044	RJA	B	25,000	8.00	n/a	n/a	1,250.00	5.0
HUTCHIN HILL CAPITAL LP	233	ROST	B	8,477	44.60	n/a	n/a	254.31	3.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	70,000	39.73	n/a	30-Oct	3,500.00	5.0
MILLENNIUM-ANDEW	031	SHAW	B	5,500	29.18	n/a	n/a	330.00	6.0
BUCK CAPITAL MGMT	001	SKX	B	100,000	23.99	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	SLV	S	191,941	18.87	n/a	n/a	5,758.23	3.0
ARMATURE CAPITAL	041	SO	B	35,000	32.62	n/a	n/a	1,400.00	4.0
LAGRANGE CAP ADV	048	SSO	SS	60,000	38.07	n/a	n/a	3,000.00	5.0
HARBORWATCH/DIAMBACK	232	STLD	C	25,000	17.82	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	SUP	S	5,000	15.15	n/a	9-Nov	250.00	5.0
BERMAN CAPITAL MGMT	046	TGT	S	5,000	47.63	n/a	1-Dec	250.00	5.0
BUCK CAPITAL MGMT	001	TGT	S	40,000	47.25	n/a	1-Dec	1,600.00	4.0
THE JAY GOLDMAN	028	TGT	S	40,000	47.58	n/a	1-Dec	1,600.00	4.0
TRUSTCO/SUNTRUST	040	TIN	B	22,700	19.59	n/a	22-Oct	885.30	3.9
BUCK CAPITAL MGMT	001	TJX	S	20,000	38.53	n/a	1-Dec	800.00	4.0
LAGRANGE CAP ADV	048	TSO	B	10,000	12.50	n/a	n/a	500.00	5.0
COOPER CREEK PART	028	ULTA	B	22,500	18.12	n/a	n/a	900.00	4.0
MILLENNIUM-ANDEW	031	UNP	B	6,000	64.92	n/a	n/a	360.00	6.0
Õ Alice Longley		VPU	B	1000	63.9300	n/a	n/a	0.00	0.0
SOROS	036	WAG	B	63,752	37.32	n/a	n/a	2,550.08	4.0
BENCHMARK	025	WEN	S	7,300	4.19	n/a	6-Nov	365.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM-ANDEW	031	WERN	SS	7,000	19.35	n/a	n/a	420.00	6.0
BUCK CAPITAL MGMT	001	WRC	S	40,000	43.77	n/a	5-Nov	1,600.00	4.0
KLEINHEINZ CAP PART	031	WY	B	145,000	41.31	n/a	2-Nov	7,250.00	5.0
OZ MGMT	040	WY	S	26,500	41.35	n/a	2-Nov	795.00	3.0
RAMIUS CAP	040	WY	B	49,000	41.26	n/a	2-Nov	1,960.00	4.0
T. ROWE PRICE	033	WY	B	147,741	41.30	n/a	2-Nov	5,909.64	4.0
TOTAL (Trade Date):							193,079.51		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/27	LISTED ERR (LISTED ERR)	099	CRK	B	100	37.87	n/a	n/a	0.00 0.0
AO,CXL	11/27	CASTLEROCK (CASTUBS)	040	CRK	B	61,997	37.87	n/a	n/a	2479.88 4.0
AO,CRT	11/27	CASTLEROCK (CASTUBS)	040	CRK	B	61,897	37.87	n/a	n/a	2475.88 4.0
AO,CXL	11/30	TRELLUS PARTNERS LP (TRELMAIN)	028	F	B	50,000	8.77	n/a	2-Dec	2500.00 5.0
AO,	11/30	TRELLUS PARTNERS LP (TRELMAIN)	028	F	B	50,000	8.77	n/a	2-Dec	1500.00 3.0
AO,CRT	12/01	BUCK CAPITAL MGMT (BUCKJPMBS)	001	HBI	S	20,000	24.01	n/a	n/a	800.00 4.0
AO,CXL	12/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HBI	S	20,000	24.01	n/a	n/a	800.00 4.0
CRT	12/02	THE JAY GOLDMAN (GOLDGSBULK)	028	TGT	S	40,000	47.58	n/a	1-Dec	1600.00 4.0
TOTAL (AO, CXL, CRT) :										596.00

TOTAL (Trade Date) :	193,079.51
TOTAL (AO, CXL, CRT) :	596.00

TOTAL (RUN DATE) / NFS :	193,675.51
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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