

## **Daily Compliance Activity Report** Trade Date: 10/27/2009

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

	TOTERTIME						11 11 12 1 0 1				
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.		
CAXTON PART	040	AA	S	250,000	13.06	n/a	n/a	8,750.01	3.5		
SOROS	036	AEO	S	102,500	18.27	n/a	9-0ct	4,100.00	4.0		
PAW PARTNERS	045	AKAM	S	50,000	20.95	n/a	n/a	2,500.00	5.0		
BALYASNY ASSET MGMT	044	AMG	В	31,000	65.21	n/a	26-0ct	1,550.00	5.0		
SANDLER O'NEILL ASSET	031	AMG	В	5,000	64.96	n/a	26-0ct	250.00	5.0		
UBS OCONNOR	031	AMG	В	75,000	64.68	n/a	26-Oct	2,250.00	3.0		
BUCK CAPITAL MGMT	001	AN	В	20,000	19.12	n/a	19-0ct	800.00	4.0		
TRELLUS PARTNERS LP	028	AN	В	30,000	19.33	n/a	19-0ct	1,500.00	5.0		
FIRST NY SEC/CHRIS	041	AXL	В	25,000	6.53	n/a	19-0ct	1,000.00	4.0		
NEWCASTLE FUNDS	255	AXL	В	50,000	6.58	n/a	19-0ct	2,000.00	4.0		
DIAMONDBACK CAP MGMT	232	AXP	S	25 <b>,</b> 000	36.00	n/a	27-0ct	1,250.00	5.0		
BUCK CAPITAL MGMT	001	BAC	В	3,000	15.18	n/a	26-0ct	120.00	4.0		
KLEINHEINZ CAP PART	031	BAC	S	200,000	15.11	n/a	26-Oct	10,000.00	5.0		
SANDLER O'NEILL ASSET	031	BEN	В	5,000	106.32	n/a	27-0ct	250.00	5.0		
BUCK CAPITAL MGMT	001	BJS	SS	30,000	19.95	n/a	n/a	1,200.00	4.0		
BUCK CAPITAL MGMT	001	BYD	В	20,000	9.04	n/a	n/a	600.00	3.0		
BUCK CAPITAL MGMT	001	BYI	В	80,000	40.65	n/a	n/a	3,200.00	4.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
PILOT ADV	038	CHS	SS	20,000	12.95	n/a	n/a	800.00	4.0
ADALY INV MGMT	031	COG	В	8,000	42.29	n/a	27-Oct	400.00	5.0
ROSEDALE CAPITAL	046	COG	S	10,000	42.14	n/a	27-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	СОН	s	10,000	33.51	n/a	21-0ct	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	СОН	S	100,000	33.72	n/a	21-Oct	3,000.00	3.0
KLEINHEINZ CAP PART	031	DIA	SS	150,000	99.29	n/a	n/a	7,500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DTV	С	60,000	25.82	n/a	n/a	3,000.00	5.0
KLEINHEINZ CAP PART	031	EGO	S	150,000	11.35	n/a	n/a	7,500.00	5.0
ROARING BLUE LION MGMT	012	FINL	В	10,000	10.89	n/a	n/a	400.00	4.0
BASIX	033	FL	В	18,000	10.93	n/a	n/a	540.00	3.0
MUHLENKAMP FUND	046	GE	S	100,000	15.00	n/a	n/a	5,000.00	5.0
ROYCE TRADING	216	GTI	S	5,000	14.09	n/a	n/a	250.00	5.0
OZ MGMT	040	IP	В	75 <b>,</b> 000	22.80	n/a	22-Oct	2,250.00	3.0
TRELLUS PARTNERS LP	028	IP	В	60,000	22.81	n/a	22-Oct	3,000.00	5.0
MATLIN PATTERSON	046	IYR	S	250,000	42.03	n/a	n/a	7,500.00	3.0
BUCK CAPITAL MGMT	001	JWN	В	60,000	32.35	n/a	9-0ct	2,400.00	4.0
LONG OAR GLOBAL INV	040	LAD	S	1,700	11.29	n/a	n/a	68.00	4.0
	PILOT ADV  ADALY INV MGMT ROSEDALE CAPITAL  BUCK CAPITAL MGMT LEVEL GLOBAL SHARED ACCT  KLEINHEINZ CAP PART  DAVIDSON KEMPNER ADVISOR  KLEINHEINZ CAP PART  ROARING BLUE LION MGMT  BASIX  MUHLENKAMP FUND  ROYCE TRADING  OZ MGMT TRELLUS PARTNERS LP  MATLIN PATTERSON  BUCK CAPITAL MGMT	PILOT ADV 038  ADALY INV MGMT 031 ROSEDALE CAPITAL 046  BUCK CAPITAL MGMT 001 LEVEL GLOBAL SHARED ACCT 257  KLEINHEINZ CAP PART 031  DAVIDSON KEMPNER ADVISOR 040  KLEINHEINZ CAP PART 031  ROARING BLUE LION MGMT 012  BASIX 033  MUHLENKAMP FUND 046  ROYCE TRADING 216  OZ MGMT 040 TRELLUS PARTNERS LP 028  MATLIN PATTERSON 046  BUCK CAPITAL MGMT 001	PILOT ADV 038 CHS  ADALY INV MGMT 031 COG ROSEDALE CAPITAL 046 COG  BUCK CAPITAL MGMT 001 COH LEVEL GLOBAL SHARED ACCT 257 COH  KLEINHEINZ CAP PART 031 DIA  DAVIDSON KEMPNER ADVISOR 040 DTV  KLEINHEINZ CAP PART 031 EGO  ROARING BLUE LION MGMT 012 FINL  BASIX 033 FL  MUHLENKAMP FUND 046 GE  ROYCE TRADING 216 GTI  OZ MGMT 040 IP TRELLUS PARTNERS LP 028 IP  MATLIN PATTERSON 046 IYR  BUCK CAPITAL MGMT 001 JWN	PILOT ADV 038 CHS SS  ADALY INV MGMT 031 COG B ROSEDALE CAPITAL 046 COG S  BUCK CAPITAL MGMT 001 COH S LEVEL GLOBAL SHARED ACCT 257 COH S  KLEINHEINZ CAP PART 031 DIA SS  DAVIDSON KEMPNER ADVISOR 040 DTV C C KLEINHEINZ CAP PART 031 EGO S  ROARING BLUE LION MGMT 012 FINL B B BASIX 033 FL B B B B B B B B B B B B B B B B B B	PILOT ADV 038 CHS SS 20,000  ADALY INV MGMT 031 COG B 8,000 ROSEDALE CAPITAL 046 COG S 10,000  BUCK CAPITAL MGMT 001 COH S 100,000  LEVEL GLOBAL SHARED ACCT 257 COH S 100,000  KLEINHEINZ CAP PART 031 DIA SS 150,000  DAVIDSON KEMPNER ADVISOR 040 DTV C 60,000  KLEINHEINZ CAP PART 031 EGO S 150,000  ROARING BLUE LION MGMT 012 FINL B 10,000  BASIX 033 FL B 18,000  MUHLENKAMP FUND 046 GE S 100,000  ROYCE TRADING 216 GTI S 5,000  OZ MGMT 040 IP B 75,000  TRELLUS PARTNERS LP 028 IP B 60,000  MATLIN PATTERSON 046 IYR S 250,000  BUCK CAPITAL MGMT 001 JWN B 60,000	PILOT ADV 038 CHS SS 20,000 12.95  ADALY INV MGMT 031 COG B 8,000 42.29  ROSEDALE CAPITAL 046 COG S 10,000 42.14  BUCK CAPITAL MGMT 001 COH S 100,000 33.51  LEVEL GLOBAL SHARED ACCT 257 COH S 100,000 33.72  KLEINHEINZ CAP PART 031 DIA SS 150,000 99.29  DAVIDSON KEMPNER ADVISOR 040 DTV C 60,000 25.82  KLEINHEINZ CAP PART 031 EGO S 150,000 11.35  ROARING BLUE LION MGMT 012 FINL B 10,000 10.89  BASIX 033 FL B 18,000 10.93  MUHLENKAMP FUND 046 GE S 100,000 15.00  ROYCE TRADING 216 GTI S 5,000 14.09  OZ MGMT 040 IP B 75,000 22.80  TRELLUS PARTNERS LP 028 IP B 60,000 22.81  MATLIN PATTERSON 046 IYR S 250,000 42.03  BUCK CAPITAL MGMT 011 JWN B 60,000 32.35	PILOT ADV 038 CHS SS 20,000 12.95 n/a  ADALY INV MGMT 031 COG B 8,000 42.29 n/a  ROSEDALE CAPITAL 046 COG S 10,000 42.14 n/a  BUCK CAPITAL MGMT 001 COH S 10,000 33.51 n/a  LEVEL GLOBAL SHARED ACCT 257 COH S 100,000 33.72 n/a  KLEINHEINZ CAP PART 031 DIA SS 150,000 99.29 n/a  DAVIDSON KEMPNER ADVISOR 040 DTV C 60,000 25.82 n/a  KLEINHEINZ CAP PART 031 EGO S 150,000 11.35 n/a  ROARING BLUE LION MGMT 012 FINL B 10,000 10.89 n/a  BASIX 033 FL B 18,000 10.93 n/a  MUHLENKAMP FUND 046 GE S 100,000 15.00 n/a  ROYCE TRADING 216 GTI S 5,000 14.09 n/a  ROYCE TRADING 216 GTI S 5,000 14.09 n/a  ROYCE TRADING 1040 IP B 75,000 22.80 n/a  MATLIN PATTERSON 046 IYR S 250,000 42.03 n/a  BUCK CAPITAL MGMT 01 JWN B 60,000 32.35 n/a	PILOT ADV 038 CHS SS 20,000 12.95	PILOT ADV 038 CHS SS 20,000 12.95

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FORD FDN. METROPOLITAN CAPITAL	032 044	LMT LMT	B B	25,000 5,450	70.87 70.45	n/a n/a	22-Oct 22-Oct	1,000.00 272.50	4.0 5.0
EPOCH INV MGMT	030	MA	S	1,800	220.53	n/a	27-Oct	54.00	3.0
ROTHSCHILD ASSET	040	MCD	В	12,340	59.12	n/a	23-Oct	555.30	4.5
ROYCE TRADING	216	MEG	S	5,000	10.01	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	MET	В	20,000	35.45	n/a	n/a	1,000.00	5.0
COLUMBIA PARTNERS	028	MFE	S	29,873	43.36	n/a	n/a	1,194.92	4.0
NEWCASTLE FUNDS	255	MS	В	93,500	34.60	n/a	22-0ct	3,740.00	4.0
SOROS	036	М	В	100,000	18.38	n/a	9-0ct	4,000.00	4.0
ROYCE TRADING	216	NPO	S	5,000	22.35	n/a	n/a	250.00	5.0
COUGAR TRADING	044	PAG	S	10,000	16.75	n/a	19-0ct	500.00	5.0
ROYCE TRADING	216	PBY	S	5,000	9.39	n/a	n/a	250.00	5.0
DENVER INST. ADV	046	PRGO	В	55,900	36.98	n/a	26-0ct	2,236.00	4.0
MTB INV ADV	034	PVH	В	6,200	41.77	n/a	n/a	310.00	5.0
PAW PARTNERS	045	REG	S	5,000	35.39	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	RL	В	15,000	75.74	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
HUNTER GLOBAL INVESTOR	067	RL	В	35,000	75.91	n/a	n/a	1,750.00	5.0
MANNING & NAPIER	034	SEIC	S	20,800	18.05	n/a	n/a	624.00	3.0
MILLENIUM PARTNERS	028	SHAW	В	10,000	28.09	n/a	n/a	600.00	6.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	14,500	106.75	n/a	n/a	725.00	5.0
BUCK CAPITAL MGMT	001	TGT	S	20,000	48.78	n/a	21-0ct	800.00	4.0
EPOCH INV MGMT	030	TJX	В	100,000	39.75	n/a	21-Oct	3,000.00	3.0
LEVEL GLOBAL SHARED ACCT	257	TJX	S	50,000	39.80	n/a	21-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	TLB	В	30,000	10.27	n/a	n/a	1,200.00	4.0
HUNTER GLOBAL INVESTOR	067	T	В	477 <b>,</b> 507	25.55	n/a	n/a	23,875.35	5.0
ROSEDALE CAPITAL	046	VLO	В	20,000	19.68	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	V	S	4,800	73.09	n/a	27-Oct	144.00	3.0
KLEINHEINZ CAP PART	031	WMT	S	25,000	49.83	n/a	23-Oct	1,250.00	5.0
EPOCH INV MGMT	030	WRC	В	100,000	42.53	n/a	2-0ct	3,000.00	3.0
SCOPUS FUND	041	WRC	В	2,800	42.02	n/a	2-Oct	140.00	5.0
COLONIAL FUND LLC EXIS CAPITAL	036 044 028	WYNN	S S	20,000	58.85 57.02	n/a n/a	26-Oct 26-Oct	1,000.00	5.0
TRELLUS PARTNERS LP	∪∠δ	WYNN	В	10,000	56.98	n/a	26-0ct	500.00	5.0

TOTAL (Trade Date): 144,149.08

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	10/26	VISIUM/BALY HOWARD (VISHJPM)	038	BKC	В	40,000	17.89	n/a	27-Oct	2000.00	5.0
AO,	10/26	VISIUM/BALY HOWARD (VISHMS)	038	BKC	В	40,000	17.89	n/a	27-Oct	2000.00	5.0
CRT	10/27	ADALY INV MGMT (ADALSTREGI)	031	COG	В	5,000	42.29	n/a	27-0ct	250.00	5.0
AO,	10/22	EPOCH INV MGMT (EPOCMILLED)	030	LMT	В	10	71.62	n/a	22-0ct	0.30	3.0
AO,CXL	10/22	EPOCH INV MGMT (EPOCMILLER)	030	LMT	В	10	71.62	n/a	22-Oct	0.30	3.0
AO,CXL	10/26	PATTEN & PATTEN (PATTFSG BA)	067	PFE	S	2,772	17.12	n/a	n/a	138.60	5.0
AO, CRT	10/26	PATTEN & PATTEN (PATTMERR)	067	PFE	S	2,772	17.12	n/a	n/a	138.60	5.0
AO,	10/26	MANNING & NAPIER (MANNJS5200)	034	SEIC	S	99 <b>,</b> 662	18.12	n/a	n/a	2989.86	3.0
AO,	10/26	MANNING & NAPIER (MANNEQ3068)	034	SEIC	S	4,300	18.12	n/a	n/a	129.00	3.0
AO,	10/26	MANNING & NAPIER (MANNGR5130)	034	SEIC	S	990	18.12	n/a	n/a	29.70	3.0
AO,	10/26	MANNING & NAPIER (MANNCD2387)	034	SEIC	S	580	18.12	n/a	n/a	17.40	3.0
AO,	10/26	MANNING & NAPIER (MANNEQ7362)	034	SEIC	S	36,730	18.12	n/a	n/a	1101.90	3.0
AO,	10/26	MANNING & NAPIER (MANNGR6433)	034	SEIC	S	1,190	18.12	n/a	n/a	35.70	3.0
AO,	10/26	MANNING & NAPIER (MANNCD2656)	034	SEIC	S	8,780	18.12	n/a	n/a	263.40	3.0
AO,	10/26	MANNING & NAPIER (MANNCD6450)	034	SEIC	S	19,140	18.12	n/a	n/a	574.20	3.0
AO,	10/26	MANNING & NAPIER (MANNCD6455)	034	SEIC	S	19,030	18.12	n/a	n/a	570.90	3.0
AO,	10/26	MANNING & NAPIER (MANNCD6453)	034	SEIC	S	1,440	18.12	n/a	n/a	43.20	3.0
AO,	10/26	MANNING & NAPIER (MANNCD6451)	034	SEIC	S	7,590	18.12	n/a	n/a	227.70	3.0
AO,	10/26	MANNING & NAPIER (MANNJS8913)	034	SEIC	S	5,810	18.12	n/a	n/a	174.30	3.0
AO,	10/26	MANNING & NAPIER (MANNEQ2200)	034	SEIC	S	14,640	18.12	n/a	n/a	439.20	3.0

TOTAL (AO, CXL, CRT): 6,846.46

TOTAL (RUN DATE) / NFS:	150,995.54
TOTAL (AO, CXL, CRT):	6,846.46
TOTAL (Trade Date):	144,149.08

## Legend:

O: 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