



Daily Compliance Activity Report

Trade Date: 10/09/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AMR	S	20,000	7.60	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	ANF	B	2,500	34.75	n/a	9-Oct	125.00	5.0
EXIS CAPITAL	044	ANF	S	25,000	34.31	n/a	9-Oct	1,250.00	5.0
LAGRANGE CAP ADV	048	AN	B	10,000	18.00	n/a	n/a	500.00	5.0
THIRD COAST CAPITAL	035	AN	B	15,000	18.02	n/a	n/a	750.00	5.0
ARCHON CAPITAL	035	AONE	SS	45,000	21.27	n/a	n/a	1,350.00	3.0
BUCK CAPITAL MGMT	001	BJ	SS	30,000	35.98	n/a	n/a	1,200.00	4.0
EXIS CAPITAL	044	BKE	B	5,000	35.75	n/a	n/a	250.00	5.0
PAW PARTNERS	045	CEPH	B	10,000	54.42	n/a	9-Oct	500.00	5.0
ROYCE TRADING	216	CR	S	2,500	26.62	n/a	n/a	125.00	5.0
MTB INV ADV	034	FOSL	B	26,400	29.34	n/a	n/a	1,320.00	5.0
ROYCE TRADING	216	GTI	S	5,000	14.69	n/a	n/a	250.00	5.0
ROYCE TRADING	216	HAR	S	6,000	34.84	n/a	n/a	300.00	5.0
ROYCE TRADING	216	HBI	S	5,000	23.31	n/a	n/a	250.00	5.0
NEWLAND CAPITAL MGT	067	HSC	S	10,000	35.92	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	HZO	S	5,000	8.02	n/a	n/a	250.00	5.0
MISSOURI VALLEY PART	046	IFLO	S	45,871	12.64	n/a	n/a	2,293.55	5.0
EXIS CAPITAL	044	JCG	SS	5,000	37.33	n/a	n/a	250.00	5.0
MTB INV ADV	034	JCG	B	4,225	36.91	n/a	n/a	211.25	5.0
COLONIAL FUND LLC	036	JCI	B	10,000	26.78	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JCP	S	25,000	35.06	n/a	9-Oct	1,000.00	4.0
ROYCE TRADING	216	JNY	S	5,000	18.43	n/a	n/a	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JWN	S	50,000	33.03	n/a	9-Oct	2,000.00	4.0
JP MORGAN VENTURES	046	KR	S	25,000	22.04	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	LTD	S	20,000	18.12	n/a	n/a	800.00	4.0
ROYCE TRADING	216	LZB	S	5,000	9.18	n/a	n/a	250.00	5.0
ROYCE TRADING	216	NCS	B	10,000	2.85	n/a	n/a	300.00	3.0
ROYCE TRADING	216	OSG	S	200	41.01	n/a	n/a	10.00	5.0
THIRD COAST CAPITAL	035	OSIS	S	20,000	17.21	n/a	n/a	1,000.00	5.0
ACK ASSET	028	PAG	B	13,500	15.95	n/a	n/a	405.00	3.0
TRELLUS PARTNERS LP	028	PAG	B	1,800	15.61	n/a	n/a	90.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	PKE	S	1,000	24.27	n/a	n/a	50.00	5.0
FIRST NY SEC/CHRIS	041	PLCE	B	10,000	33.71	n/a	9-Oct	0.00	0.0
NEWLAND CAPITAL MGT	067	PPO	S	10,000	13.54	n/a	n/a	400.00	4.0
ROYCE TRADING	216	PSS	B	3,500	19.13	n/a	n/a	175.00	5.0
EXIS CAPITAL	044	PSUN	B	10,000	6.05	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	50,000	42.90	n/a	n/a	1,750.03	3.5
EXIS CAPITAL	044	ROST	SS	10,000	46.31	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	SKS	B	10,000	6.30	n/a	n/a	500.00	5.0
MAIRS AND POWER INV	030	TGT	S	20,000	49.60	n/a	9-Oct	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	144,000	16.13	n/a	2-Oct	7,200.00	5.0
M&I FUNDS	047	TJX	B	15,803	37.25	n/a	9-Oct	632.12	4.0
JP MORGAN VENTURES	046	VFC	S	15,000	74.63	n/a	7-Oct	750.00	5.0
EXIS CAPITAL	044	YRCW	S	25,000	4.12	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date) :								35,136.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/08	G WEISS /SASHA (WESSCITI)	070	CP	SS	9,100	47.71	n/a	n/a	364.00 4.0
AO,	10/08	G WEISS /SASHA (WESSDBDMG)	070	CP	SS	5,900	47.71	n/a	n/a	236.00 4.0
AO,CXL	10/07	ROYCE TRADING (ROYC28)	216	DDS	S	2,500	14.49	n/a	n/a	125.00 5.0
AO,	10/07	ROYCE TRADING (ROYC28)	216	DDS	S	2,000	14.67	n/a	n/a	100.00 5.0
AO,	10/07	ROYCE TRADING (ROYC28)	216	DDS	S	500	14.49	n/a	n/a	25.00 5.0
AO,CXL	10/07	ROYCE TRADING (ROYC59)	216	DDS	S	7,700	14.67	n/a	n/a	385.00 5.0
AO,	10/07	ROYCE TRADING (ROYC59)	216	DDS	S	6,100	14.67	n/a	n/a	305.00 5.0
AO,	10/07	ROYCE TRADING (ROYC59)	216	DDS	S	1,500	14.49	n/a	n/a	75.00 5.0
AO,CXL	10/07	ROYCE TRADING (ROYC33)	216	DDS	S	2,300	14.67	n/a	n/a	115.00 5.0
AO,	10/07	ROYCE TRADING (ROYC33)	216	DDS	S	1,900	14.67	n/a	n/a	95.00 5.0
AO,	10/07	ROYCE TRADING (ROYC33)	216	DDS	S	500	14.49	n/a	n/a	25.00 5.0
AO,	10/08	G WEISS /SASHA (WESSCITI)	070	FDX	B	12,100	78.20	n/a	n/a	484.00 4.0
AO,	10/08	G WEISS /SASHA (WESSDBDMG)	070	FDX	B	7,900	78.20	n/a	n/a	316.00 4.0
AO,	10/08	G WEISS /SASHA (WESSCITI)	070	INFY	C	6,000	48.86	n/a	n/a	180.00 3.0
AO,	10/08	G WEISS /SASHA (WESSDBDMG)	070	INFY	C	4,000	48.86	n/a	n/a	120.00 3.0
AO,	10/08	G WEISS /SASHA (WESSCITI)	070	NSC	SS	6,100	45.88	n/a	n/a	244.00 4.0
AO,	10/08	G WEISS /SASHA (WESSDBDMG)	070	NSC	SS	3,900	45.88	n/a	n/a	156.00 4.0
AO,CXL	10/07	SCOPUS FUND (SCOPBANC O)	041	PKG	S	22,750	20.11	n/a	2-Oct	1137.50 5.0
AO,CRT	10/07	SCOPUS FUND (SCOPBANC O)	041	PKG	S	4,750	20.11	n/a	2-Oct	237.50 5.0
AO,CXL	10/07	SCOPUS FUND (SCOPUBS)	041	PKG	S	2,250	20.11	n/a	2-Oct	112.50 5.0
AO,CRT	10/07	SCOPUS FUND (SCOPUBS)	041	PKG	S	20,250	20.11	n/a	2-Oct	1012.50 5.0
AO,CXL	10/08	GREEN ARROW DOUG (GADRCSUSE)	040	PVH	SS	7,000	42.87	n/a	n/a	350.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/08	MACKLOWE ASSET MGMT (MACKCSPB)	041	PVH	SS	7,000	42.87	n/a	n/a	350.00 5.0
AO,CXL	10/07	SCOPUS FUND (SCOPBANC O)	041	WY	S	7,393	34.82	n/a	n/a	369.65 5.0
AO,CRT	10/07	SCOPUS FUND (SCOPBANC O)	041	WY	S	7,904	34.82	n/a	n/a	395.20 5.0
AO,CXL	10/07	SCOPUS FUND (SCOPUBS)	041	WY	S	31,517	34.82	n/a	n/a	1575.85 5.0
AO,CRT	10/07	SCOPUS FUND (SCOPUBS)	041	WY	S	31,006	34.82	n/a	n/a	1550.30 5.0
TOTAL (AO, CXL, CRT) :										2,100.00
TOTAL (Trade Date):										35,136.95
TOTAL (AO, CXL, CRT):										2,100.00
TOTAL (RUN DATE) / NFS:										37,236.95

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