



Daily Compliance Activity Report

Trade Date: 09/25/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PECONIC PARTNERS	036	AAPL	S	50,000	184.13	n/a	n/a	2,500.00	5.0
ROTHSCHILD ASSET	040	AIR	B	4,800	20.33	n/a	n/a	216.03	4.5
BUCK CAPITAL MGMT	001	ANF	B	12,000	31.82	3-Jun	21-Sep	480.00	4.0
EXIS CAPITAL	044	ANF	B	2,500	31.90	3-Jun	21-Sep	125.00	5.0
HOOVER INV. MGMT	033	ANF	S	121,200	31.85	3-Jun	21-Sep	4,848.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	31.97	3-Jun	21-Sep	1,000.00	4.0
GRANITE CAPITAL	045	AN	B	50,000	17.76	3-Aug	5-Aug	2,500.00	5.0
LAGRANGE CAP ADV	048	AN	B	10,000	17.80	3-Aug	5-Aug	500.00	5.0
WAGONHOUND/NIC	048	AXL	S	22,261	7.08	18-Sep	18-Sep	667.83	3.0
SOROS	036	BBY	S	100,000	37.15	n/a	27-Jul	4,000.00	4.0
NEWLAND CAPITAL MGT	067	BGC	SS	10,000	38.64	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	BIG	SS	10,000	23.47	25-Aug	10-Sep	500.00	5.0
MILLENIUM PARTNERS	028	CAKE	B	15,000	19.00	24-Jul	24-Jul	600.00	4.0
CATAPULT	040	CE	SS	50,000	24.44	n/a	n/a	2,500.00	5.0
SOLARIS INV MGMT	029	COG	S	52,300	33.70	25-Sep	25-Sep	2,615.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	31.61	n/a	29-Jul	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SOROS	036	COST	S	43,500	56.36	n/a	27-Jul	1,740.00	4.0
COLONIAL FUND LLC	036	DAN	B	25,000	6.86	n/a	n/a	750.00	3.0
CATAPULT	040	DD	SS	25,000	31.79	n/a	22-Sep	1,250.00	5.0
MILLENIUM PARTNERS	028	EAT	B	20,201	15.63	n/a	24-Apr	808.04	4.0
SOUTH POINT CAP	067	ERTS	B	103,400	19.44	n/a	n/a	5,170.00	5.0
BUCK CAPITAL MGMT	001	FL	B	42,000	11.74	21-Sep	25-Sep	1,680.00	4.0
EXIS CAPITAL	044	FL	B	4,840	11.50	21-Sep	25-Sep	242.00	5.0
EXIS CAPITAL	044	FL	S	4,840	11.95	21-Sep	25-Sep	242.00	5.0
NORTHPOINT	030	FL	B	41,300	12.02	21-Sep	25-Sep	1,652.00	4.0
LATEFF MGMT	035	F	B	50,000	7.22	27-Aug	2-Sep	1,500.00	3.0
MILLENIUM PARTNERS	028	F	B	50,000	7.43	27-Aug	2-Sep	2,000.00	4.0
SCOGGIN CAP	039	GAME	S	75,000	11.78	n/a	n/a	3,000.00	4.0
CAERUS GLOBAL	041	GIL	B	20,000	18.90	21-Sep	21-Sep	800.00	4.0
ISLE RIDGE PARTNERS	041	GIL	B	10,000	18.90	21-Sep	21-Sep	400.00	4.0
EPOCH INV MGMT	030	GME	B	32,750	26.05	n/a	n/a	982.50	3.0
JMP ASSET MGMT	210	GME	B	4,000	26.05	n/a	n/a	200.00	5.0
BULL PATH CAPITAL	044	HAS	B	8,000	27.19	n/a	n/a	400.00	5.0
BUCK CAPITAL MGMT	001	HGG	S	30,000	16.21	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	214	HHS	S	15,100	13.12	n/a	n/a	679.50	4.5
PZENA INV ADV	044	HHS	B	5,000	13.01	n/a	n/a	175.00	3.5
MERRILL ASSET/BLACKROCK	214	HRBN	S	24,200	16.49	n/a	n/a	1,089.00	4.5
MILLENIUUM PARTNERS	028	IGT	S	8,944	20.80	n/a	27-Jul	357.76	4.0
MATRIX ASSET ADV.	036	INTC	S	13,500	19.53	n/a	n/a	405.00	3.0
MOORE CAPITAL	036	IP	B	125,000	21.70	16-Sep	16-Sep	5,000.00	4.0
SCHOTTENFELD ASSOC	041	IP	S	40,000	21.69	16-Sep	16-Sep	1,200.00	3.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	35.15	n/a	30-Jan	1,200.00	4.0
SCOPUS FUND	041	JCP	S	25,000	32.27	n/a	21-Sep	1,250.00	5.0
S.A.C. HEALTHCARE BOBBY	044	JNJ	B	20,000	60.66	n/a	22-Apr	800.00	4.0
BUCK CAPITAL MGMT	001	KCP	S	5,000	10.00	n/a	28-Sep	150.00	3.0
AVESTA CAP	229	LOW	SS	50,000	21.05	2-Sep	2-Sep	2,000.00	4.0
BTIG/KDI ADV	039	LOW	B	29,000	21.01	2-Sep	2-Sep	1,160.00	4.0
SOROS	036	LOW	S	113,500	20.99	2-Sep	2-Sep	4,540.00	4.0
BMO NESBITT BURNS	041	LPX	B	22,500	6.81	23-Sep	23-Sep	1,125.00	5.0
FIRST NEW YORK LEDDY	035	LVL	B	20,000	1.38	n/a	4-Jan	1,200.00	6.0
MILLENIUUM PARTNERS	028	MAT	S	3,496	17.97	n/a	n/a	139.84	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIRCLE T/SES PART	035	MPEL	S	25,000	7.27	21-Sep	21-Sep	1,000.00	4.0
CASTLEROCK	040	MRVL	B	76,901	15.71	n/a	n/a	3,076.04	4.0
BUCK CAPITAL MGMT	001	M	B	20,000	17.79	21-Sep	21-Sep	800.00	4.0
MILLENIUUM PARTNERS	028	M	B	106,000	17.82	21-Sep	21-Sep	4,240.00	4.0
BUCK CAPITAL MGMT	001	NKE	B	30,000	58.92	n/a	n/a	1,200.00	4.0
FIRST INV MGMT CO	029	NSC	B	13,200	43.39	n/a	n/a	660.00	5.0
US BANCORP	030	PER	S	26,264	29.61	n/a	n/a	1,313.20	5.0
MILLENIUUM PARTNERS	028	PFCB	S	1,836	34.10	22-Jul	22-Jul	73.44	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	19.25	21-Jul	21-Jul	1,500.00	5.0
ISLE RIDGE PARTNERS	041	PVH	SS	7,500	41.56	21-Sep	21-Sep	300.00	4.0
HIGHBRIDGE CAP	041	QGEN	S	170,000	20.62	n/a	n/a	6,800.00	4.0
SCHOTTENFELD ASSOC	041	RKT	B	10,000	45.47	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	RL	B	15,000	72.72	21-Sep	21-Sep	600.00	4.0
JMP ASSET MGMT	210	SKS	SS	27,000	6.71	n/a	n/a	1,350.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	16.80	n/a	13-Mar	1,600.00	4.0
EXIS CAPITAL	044	STEC	S	25,000	29.95	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	TBT	S	15,000	44.64	n/a	n/a	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TIF	S	15,000	36.08	n/a	30-Jan	600.00	4.0
CATAPULT	040	TXT	B	41,000	18.03	n/a	n/a	2,050.00	5.0
SCOPUS FUND	041	VFC	B	10,000	70.91	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	214	VTR	S	17,000	38.33	n/a	n/a	765.00	4.5
SIGMA CAPITAL ASSOCIATES	041	WAG	B	75,000	34.00	n/a	n/a	3,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	50.44	11-May	13-Aug	2,000.00	4.0
SLS CAPITAL LLC	224	WY	B	41,500	36.98	n/a	3-Aug	1,660.00	4.0
SIGMA CAPITAL ASSOCIATES	041	YUM	B	50,000	32.72	n/a	15-Jul	2,000.00	4.0
TOTAL (Trade Date) :								109,727.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/24	PATTEN & PATTEN (PATTAMSOUT)	067	AGN	S	500	57.07	18-Sep	21-Sep	25.00 5.0
AO,CRT	09/24	PATTEN & PATTEN (PATTMERR)	067	AGN	S	500	57.07	18-Sep	21-Sep	25.00 5.0
AO,CXL	09/24	THE JAY GOLDMAN (GOLDGSBULK)	034	BIG	S	20,000	23.71	25-Aug	10-Sep	800.00 4.0
AO,CRT	09/24	THE JAY GOLDMAN (GOLDGSBULK)	034	BIG	S	40,000	23.71	25-Aug	10-Sep	1600.00 4.0
AO,	09/24	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	DTV	B	100,000	26.56	n/a	4-Jan	2000.00 2.0
AO,CXL	09/24	SCHOTTENFELD ASSOC (SCHOUSE)	041	IP	B	20,000	21.58	16-Sep	16-Sep	600.00 3.0
AO,CXL	09/24	SCHOTTENFELD ASSOC (SCHOUSE)	041	IP	B	20,000	21.34	16-Sep	16-Sep	600.00 3.0
AO,CRT	09/24	SCHOTTENFELD ASSOC (SCHOUSE)	041	IP	B	40,000	21.46	16-Sep	16-Sep	1200.00 3.0
AO,CXL	09/23	BRIGADE CAPITAL MGMT (BRICGS)	029	M	B	200,000	18.81	21-Sep	21-Sep	6000.00 3.0
AO,CRT	09/23	BRIGADE CAPITAL MGMT (BRICGS)	029	M	B	200,000	18.81	21-Sep	21-Sep	4000.00 2.0

TOTAL (AO, CXL, CRT) :**800.00**

TOTAL (Trade Date):

109,727.18

TOTAL (AO, CXL, CRT):

800.00

TOTAL (RUN DATE) / NFS:**110,527.18**

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