



Daily Compliance Activity Report

Trade Date: 11/03/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	10,000	38.56	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	AEO	B	35,000	17.82	n/a	2-Nov	1,750.00	5.0
HIGHBRIDGE CAP	041	ALV	B	25,000	33.81	n/a	21-Oct	1,000.00	4.0
ROYCE TRADING	216	ALY	B	10,000	3.31	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	32.90	n/a	2-Nov	2,000.00	4.0
EXIS CAPITAL	044	ANR	B	5,000	36.45	n/a	n/a	250.00	5.0
DIAMONDBACK CAP MGMT	232	ARO	B	10,000	38.15	n/a	2-Nov	500.00	5.0
STRONG/MARK GRONET	030	ART	B	10,770	23.79	n/a	3-Nov	430.80	4.0
NEW JERSEY DIV OF INV.	030	ASEI	B	15,000	68.24	n/a	n/a	450.00	3.0
COOPER CREEK PART	028	AXL	B	20,000	6.22	n/a	2-Nov	600.00	3.0
ST OF MICHIAN	047	BBT	S	99,000	24.93	n/a	n/a	2,970.00	3.0
ROYCE TRADING	216	BKD	S	5,000	17.41	n/a	n/a	250.00	5.0
NEW JERSEY DIV OF INV.	030	BSQR	B	19,400	2.48	n/a	n/a	582.00	3.0
ROYCE TRADING	216	BWS	S	2,500	10.44	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	B	S	10,000	16.34	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	CKEC	B	100,000	6.65	n/a	n/a	3,000.00	3.0
ROYCE TRADING	216	CMC	S	13,000	13.45	n/a	n/a	650.00	5.0
CAPITAL GROWTH MGMT.	241	CMI	B	69,500	44.92	n/a	3-Nov	3,475.00	5.0
ROYCE TRADING	216	CR	S	3,000	27.67	n/a	n/a	150.00	5.0
NEUBERGER BERMAN	036	CVC	S	88,300	23.90	n/a	n/a	3,973.50	4.5
LEVIN CAPITAL STRATEGIES	012	DLTR	B	15,000	47.01	n/a	3-Nov	450.00	3.0
ISLE RIDGE PARTNERS	041	DRI	B	20,000	30.81	n/a	2-Oct	800.00	4.0
DIAMONDBACK CAP MGMT	232	EAT	B	25,000	12.91	n/a	n/a	1,250.00	5.0
ISLE RIDGE PARTNERS	041	EAT	B	30,000	12.95	n/a	n/a	1,200.00	4.0
APEX CAPITAL MGMT.	091	EBAY	B	23,800	22.27	n/a	n/a	952.00	4.0
RBC CAPITAL MARKETS	040	ETN	B	5,000	63.47	n/a	20-Oct	200.00	4.0
PHILADELPHIA FINANCIAL	033	EV	SS	15,000	27.80	n/a	3-Nov	600.00	4.0
CUMBERLAND	239	EXH	B	16,000	20.85	n/a	2-Nov	640.00	4.0
BULL PATH CAPITAL	044	FIG	B	30,000	4.24	n/a	n/a	1,150.00	3.8
BASIX	033	FL	B	12,000	10.20	n/a	n/a	360.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FL	B	20,000	10.07	n/a	n/a	600.00	3.0
SCHOTTENFELD ASSOC	041	FOR	B	5,900	14.74	n/a	12-Oct	177.00	3.0
S.A.C. HEALTHCARE BOBBY	044	FRX	B	15,000	27.96	n/a	3-Nov	600.00	4.0
BUCK CAPITAL MGMT	001	GAP	SS	10,000	11.17	n/a	n/a	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	GES	B	30,000	36.85	n/a	n/a	1,050.00	3.5
CASTLE ARK	031	ICE	B	61,140	101.18	n/a	n/a	3,668.40	6.0
SENATOR INVESTMENT GROUP	036	IWM	SS	30,000	56.30	n/a	n/a	1,200.00	4.0
RBC CAPITAL MARKETS	040	JCP	S	10,000	32.54	n/a	2-Nov	400.00	4.0
NEW JERSEY DIV OF INV.	030	JJSF	B	5,500	39.52	n/a	n/a	165.00	3.0
BUCK CAPITAL MGMT	001	KSS	S	80,000	57.11	n/a	2-Nov	3,200.00	4.0
SASCO	239	LTD	S	2,000	17.74	n/a	n/a	80.00	4.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.22	n/a	n/a	600.00	6.0
COLUMBIA PARTNERS	028	MLM	C	5,725	80.09	n/a	n/a	229.00	4.0
RBC CAPITAL MARKETS	040	MOS	B	5,000	48.36	n/a	n/a	200.00	4.0
NEW JERSEY DIV OF INV.	030	MSFT	S	100,000	27.56	n/a	n/a	3,000.00	3.0
COLUMBIA PARTNERS	028	MTD	SS	17,535	96.77	n/a	n/a	701.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACKLOWE ASSET MGMT	041	M	B	50,000	17.59	n/a	2-Nov	2,000.00	4.0
ENTRUST CAPITAL	040	NFLX	SS	40,800	53.00	n/a	n/a	2,040.00	5.0
ST OF MICHIAN	047	NOV	S	135,000	41.55	n/a	n/a	4,050.00	3.0
SASCO	239	OKE	S	7,400	36.35	n/a	n/a	296.00	4.0
HIGHBRIDGE CAP	041	PCLN	B	4,000	164.50	n/a	n/a	160.00	4.0
WEISS PECK	040	PFCB	C	6,930	30.58	n/a	22-Oct	346.50	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	128,000	18.75	n/a	22-Oct	6,400.00	5.0
ISLE RIDGE PARTNERS	041	PNK	SS	15,000	8.65	n/a	n/a	600.00	4.0
DIAMONDBACK CAP MGMT	232	PNRA	SS	10,000	60.85	n/a	29-Oct	500.00	5.0
EXIS CAPITAL	044	POT	B	5,000	93.74	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	POT	B	5,000	92.58	n/a	n/a	200.00	4.0
ROYCE TRADING	216	PSS	S	5,000	18.71	n/a	n/a	250.00	5.0
NEW JERSEY DIV OF INV.	030	RGC	S	10,000	12.65	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	RL	S	40,000	79.06	n/a	2-Nov	1,600.00	4.0
NEW JERSEY DIV OF INV.	030	ROVI	B	50,000	27.67	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	RSG	S	25,000	25.90	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	SHAW	B	20,000	25.05	n/a	n/a	600.00	3.0
FORD FDN.	032	S	B	85,000	2.89	n/a	n/a	2,550.00	3.0
JP MORGAN VENTURES	046	TIF	B	15,000	40.37	n/a	n/a	750.00	5.0
SASCO	239	TNB	S	1,200	34.49	n/a	n/a	48.00	4.0
RBC CAPITAL MARKETS	040	TOL	B	10,000	17.42	n/a	n/a	400.00	4.0
DENVER INST. ADV	046	TROW	B	89,920	48.50	n/a	3-Nov	3,596.80	4.0
ROTHSCHILD ASSET	040	UBA	B	10,420	14.73	n/a	n/a	468.90	4.5
COOKBIELER	028	UMPQ	B	100,000	9.72	n/a	n/a	4,000.00	4.0
HUNTER GLOBAL INVESTOR	067	WHR	SS	25,000	71.85	n/a	n/a	750.00	3.0
BRANDWINE	028	WMT	B	24,410	49.80	n/a	3-Nov	976.40	4.0
EXIS CAPITAL	044	XLE	B	5,000	56.32	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	X	B	20,000	35.37	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date):								84,111.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/02	NEW JERSEY DIV OF INV. (NEWJ4340)	030	BSQR	B	600	2.40	n/a	n/a	18.00 3.0
AO,	11/02	RAINIER INV MGMT (RAINWIMMID)	035	ITC	B	400	44.65	n/a	n/a	20.00 5.0
AO,CXL	11/02	RAINIER INV MGMT (RAINMASONS)	035	ITC	B	400	44.65	n/a	n/a	20.00 5.0
AO,	11/02	NEW JERSEY DIV OF INV. (NEWJ5140)	030	JJSF	B	4,500	39.28	n/a	n/a	135.00 3.0
AO,	11/02	NEW JERSEY DIV OF INV. (NEWJ4340)	030	ROVI	B	14,000	27.72	n/a	n/a	420.00 3.0
AO,CRT	10/30	STANDARD PACIFIC CAPITAL (SPACUBS)	040	SON	B	10,407	26.50	n/a	n/a	520.35 5.0
AO,CXL	10/30	STANDARD PACIFIC CAPITAL (SPACMS)	040	SON	B	10,407	26.50	n/a	n/a	520.35 5.0

TOTAL (AO, CXL, CRT) :**573.00**

TOTAL (Trade Date) :

84,111.70

TOTAL (AO, CXL, CRT) :

573.00

TOTAL (RUN DATE) / NFS :**84,684.70**

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