



Daily Compliance Activity Report

Trade Date: 10/29/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STADIA CAPITAL	035	AAPL	S	3,600	193.41	n/a	n/a	144.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	17.92	n/a	9-Oct	800.00	4.0
BNP PARIBAS SEC	040	AN	B	25,000	17.68	n/a	19-Oct	1,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	60,000	39.11	n/a	9-Oct	2,400.00	4.0
JP MORGAN VENTURES	046	ARO	B	8,000	39.29	n/a	9-Oct	320.00	4.0
STRONG/MARK GRONET	030	ART	B	9,184	23.66	n/a	29-Oct	367.36	4.0
HOLLIS CAPITAL	033	AVP	S	5,000	32.46	n/a	1-Oct	250.00	5.0
STADIA CAPITAL	035	AVP	S	20,800	31.10	n/a	1-Oct	832.00	4.0
SACC-SCHWARTZ	044	AXE	B	40,000	42.69	n/a	27-Oct	1,600.00	4.0
NEWCASTLE FUNDS	255	AXL	B	25,000	6.02	n/a	28-Oct	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	BEN	B	5,000	106.29	n/a	28-Oct	250.00	5.0
BAIRD INVESTMENT	047	BKC	S	17,275	17.11	n/a	29-Oct	863.75	5.0
ENTRUST CAPITAL	040	BKC	B	46,700	17.05	n/a	29-Oct	2,335.00	5.0
NORTHPOINT	030	BPZ	B	49,225	6.74	n/a	n/a	1,476.75	3.0
JP MORGAN VENTURES	046	BWS	B	20,000	10.75	n/a	n/a	1,000.00	5.0
SMITH MGMT LLC	029	BZ	S	190,000	5.20	n/a	n/a	9,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	CAL	S	25,000	12.06	n/a	n/a	1,250.00	5.0
ROARING BLUE LION MGMT	012	CGA	SS	7,400	11.14	n/a	n/a	296.00	4.0
WHALE ROCK CAP	030	CHKP	B	101,200	31.07	n/a	n/a	4,048.00	4.0
ROARING BLUE LION MGMT	012	CHNG	SS	10,000	12.00	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	75,000	24.19	n/a	n/a	3,000.00	4.0
JP MORGAN VENTURES	046	CRI	S	30,000	24.16	n/a	n/a	1,500.00	5.0
NEW JERSEY DIV OF INV.	030	CSCO	B	100,000	23.32	n/a	n/a	3,000.00	3.0
IRIDIAN ASSET MGMT.	036	DIS	S	54,850	27.84	n/a	n/a	2,742.50	5.0
SUTTONBROOK CAPITAL	067	DTG	S	100,000	19.77	n/a	n/a	4,000.00	4.0
PRENTICE	063	EK	S	200,000	3.49	n/a	n/a	8,000.00	4.0
CUMBERLAND	239	EXH	B	10,000	21.87	n/a	9-Oct	400.00	4.0
ROARING BLUE LION MGMT	012	FL	B	10,000	10.50	n/a	n/a	400.00	4.0
LISTED ERR	099	FL	B	10,000	10.72	n/a	n/a	0.00	0.0
LISTED ERR	099	FL	SS	10,000	10.50	n/a	n/a	0.00	0.0
BACKBAY	041	FOR	B	18,900	15.16	n/a	12-Oct	945.00	5.0
BMO NESBITT BURNS	041	FOR	B	5,000	15.16	n/a	12-Oct	250.00	5.0
ASCEND PARTNERS	033	GIL	B	25,000	17.50	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER MICHAEL NOLAN	067	HK	S	120,900	25.18	n/a	n/a	3,627.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	155,000	23.11	n/a	28-Oct	7,750.00	5.0
MATLIN PATTERSON	046	IYR	B	150,000	40.30	n/a	n/a	4,500.00	3.0
DC CAPITAL	044	JCP	S	25,000	34.31	n/a	9-Oct	1,000.00	4.0
BRIGADE CAPITAL MGMT	029	JNY	B	25,000	17.45	n/a	29-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	150,000	31.73	n/a	9-Oct	6,000.00	4.0
JP MORGAN VENTURES	046	KR	S	40,000	23.45	n/a	n/a	2,000.00	5.0
METROPOLITAN CAPITAL	044	LMT	B	10,100	68.34	n/a	22-Oct	505.00	5.0
BALYASNY ASSET MGMT	044	LNC	SS	25,000	24.24	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	LOW	B	30,000	19.64	n/a	n/a	1,500.00	5.0
BMO NESBITT BURNS	041	LPX	SS	10,000	5.37	n/a	12-Oct	500.00	5.0
BALYASNY ASSET MGMT	044	LUV	C	25,000	8.57	n/a	n/a	1,000.00	4.0
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.20	n/a	n/a	600.00	6.0
TRELLUS PARTNERS LP	028	LVS	SS	30,000	14.67	n/a	29-Oct	1,500.00	5.0
ROTHSCHILD ASSET	040	LZB	B	12,000	7.41	n/a	n/a	540.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARAGON GLOBAL	041	MCD	B	39,071	59.02	n/a	23-Oct	1,953.55	5.0
HUNTER GLOBAL INVESTOR	067	MHK	B	60,000	45.47	n/a	n/a	3,000.00	5.0
DIAMONDBACK CAP MGMT	232	MTW	S	25,000	10.23	n/a	n/a	1,250.00	5.0
HARVEST MGMT	039	NTRI	S	5,000	21.55	n/a	n/a	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	35,000	23.56	n/a	n/a	1,225.00	3.5
BRIGADE CAPITAL MGMT	029	OMX	B	100,000	10.81	n/a	n/a	5,000.00	5.0
RAMIUS CAP	040	ORLY	SS	25,000	37.63	n/a	n/a	1,000.00	4.0
HUNTER GLOBAL INVESTOR	067	PAG	B	100,000	16.71	n/a	19-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	PCH	S	10,000	28.20	n/a	12-Oct	0.00	0.0
LISTED ERR	099	PKG	B	285	18.83	n/a	22-Oct	0.00	0.0
DENVER INST. ADV	046	PRGO	B	25,000	36.78	n/a	26-Oct	1,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	40.43	n/a	n/a	1,200.00	4.0
JP MORGAN VENTURES	046	PVH	S	5,000	41.01	n/a	n/a	200.00	4.0
LEVEL GLOBAL SHARED ACCT	257	PVH	S	32,900	39.70	n/a	n/a	987.00	3.0
COLUMBIA PARTNERS	028	PVTB	S	10,950	8.94	n/a	n/a	328.50	3.0
KLEINHEINZ CAP PART	031	QCOM	B	50,000	42.27	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK NICK	029	Q	S	20,000	3.64	n/a	n/a	1,000.00	5.0
ROTHSCHILD ASSET	040	RGA	S	12,710	47.69	n/a	n/a	571.95	4.5
NEW JERSEY DIV OF INV.	030	SHAW	B	50,000	27.58	n/a	n/a	1,500.00	3.0
DC CAPITAL	044	SKS	S	50,000	5.90	n/a	n/a	1,500.00	3.0
HIGHBRIDGE CAP	041	SNV	S	200,000	2.35	n/a	n/a	8,000.00	4.0
HUNTER GLOBAL INVESTOR	067	STZ	B	50,000	16.10	n/a	n/a	2,000.00	4.0
NEW JERSEY DIV OF INV.	030	SYMC	B	100,000	17.30	n/a	n/a	3,000.00	3.0
TRELLUS PARTNERS LP	028	TIN	B	20,000	16.19	n/a	22-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	35,000	9.74	n/a	n/a	1,050.00	3.0
BALYASNY ASSET MGMT	044	TROW	C	30,000	50.89	n/a	26-Oct	1,500.00	5.0
COBALT	041	TWC	B	100,000	39.92	n/a	n/a	5,000.00	5.0
EXIS CAPITAL	044	TXT	S	50,000	18.65	n/a	n/a	2,500.00	5.0
ROSEDALE CAPITAL	046	VLO	S	10,000	19.05	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	VRSN	S	100,000	23.16	n/a	n/a	3,000.00	3.0
ARAGON GLOBAL	041	WMT	B	43,001	50.26	n/a	23-Oct	2,150.05	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS CAPITAL	070	WMT	B	120,000	50.40	n/a	23-Oct	3,600.00	3.0
SUFFOLK CAPITAL MGMT	040	WMT	S	231,700	49.95	n/a	23-Oct	9,268.00	4.0
OZ MGMT	040	WY	S	31,169	37.22	n/a	12-Oct	935.07	3.0
JP MORGAN VENTURES	046	XRT	SS	9,000	34.65	n/a	n/a	360.00	4.0
PORTER-ORLIN-FELDMAN	044	X	SS	100,000	37.90	n/a	n/a	5,000.00	5.0
NEW JERSEY DIV OF INV.	030	YHOO	S	100,000	16.01	n/a	n/a	3,000.00	3.0
TOTAL (Trade Date):								169,471.48	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/28	PARTNER REINSURANCE (PARRPUSDEQ)	033	IGT	S	20,950	18.11	n/a	n/a	838.00 4.0
AO,	10/28	PARTNER REINSURANCE (PARRPELCEQ)	033	IGT	S	5,450	18.11	n/a	n/a	218.00 4.0
CRT	10/29	DC CAPITAL (DCCAGOLDMA)	044	SKS	S	50,000	5.90	n/a	n/a	1500.00 3.0
CRT	10/29	COBALT (COBAUBS)	041	TWC	B	100,000	39.92	n/a	n/a	5000.00 5.0

TOTAL (AO, CXL, CRT) :	7,556.00
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TOTAL (Trade Date) :	169,471.48
TOTAL (AO, CXL, CRT) :	7,556.00

TOTAL (RUN DATE) / NFS:	177,027.48
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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