



Daily Compliance Activity Report

Trade Date: 09/18/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	60,000	16.85	25-Jun	4-Sep	2,400.00	4.0
EXIS CAPITAL	044	AEO	S	5,000	16.90	25-Jun	4-Sep	250.00	5.0
MUHLENKAMP FUND	046	AMED	S	100,000	43.09	n/a	n/a	5,000.00	5.0
PENNANT CAP MGMT	029	AMGN	S	2,694	60.98	n/a	26-Jan	80.82	3.0
EXIS CAPITAL	044	ANF	SS	5,000	33.42	3-Jun	4-Sep	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	33.70	3-Jun	4-Sep	1,000.00	4.0
HOLLIS CAPITAL	033	AN	B	10,000	17.89	3-Aug	5-Aug	500.00	5.0
LAGRANGE CAP ADV	048	AXL	B	10,000	7.55	18-Sep	18-Sep	500.00	5.0
EVERCORE WEALTH MGMT	012	AXP	S	15,600	34.77	n/a	16-Sep	780.00	5.0
EXIS CAPITAL	044	BBY	B	5,000	37.95	n/a	27-Jul	250.00	5.0
EXIS CAPITAL	044	BKE	B	273	29.10	n/a	n/a	13.65	5.0
JP MORGAN VENTURES	046	BKE	S	20,000	29.45	n/a	n/a	1,000.00	5.0
PENNANT CAP MGMT	029	BRCM	S	30,000	30.05	n/a	n/a	900.00	3.0
RBC CAPITAL MARKETS	040	BWLD	B	5,000	43.03	n/a	n/a	200.00	4.0
MILLENIUM PARTNERS	028	BYD	SS	50,000	12.69	n/a	7-Aug	2,000.00	4.0
JP MORGAN VENTURES	046	CEPH	B	10,000	58.69	21-May	16-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOLLIS CAPITAL	033	CHK	S	5,000	27.70	n/a	n/a	250.00	5.0
ASCEND PARTNERS	033	C	B	500,000	4.28	17-Sep	17-Sep	10,000.00	2.0
SCHOTTENFELD ASSOC	041	C	S	100,000	4.44	17-Sep	17-Sep	3,000.00	3.0
DAVIDSON INV ADV	035	DFS	S	80,360	15.95	17-Sep	17-Sep	3,214.40	4.0
BUCK CAPITAL MGMT	001	DSW	B	20,000	16.42	26-Aug	26-Aug	800.00	4.0
RBC CAPITAL MARKETS	040	EAT	B	50,000	16.46	n/a	24-Apr	2,000.00	4.0
DC CAPITAL	044	ELY	S	18,293	8.07	n/a	n/a	548.79	3.0
CATAPULT	040	GE	B	50,000	16.88	n/a	n/a	2,500.00	5.0
ASCEND PARTNERS	033	GIL	B	39,700	19.28	14-Aug	14-Aug	1,985.00	5.0
PRINCIPLE CAPITAL	040	GME	S	100,000	26.63	n/a	n/a	3,000.00	3.0
BNP PARIBAS SEC	040	GR	B	25,000	55.56	5-Jun	23-Jul	1,000.00	4.0
EXIS CAPITAL	044	GYMB	S	5,000	49.40	26-Aug	4-Sep	250.00	5.0
PENNANT CAP MGMT	029	HAL	S	50,000	28.01	n/a	n/a	1,500.00	3.0
HIGHBRIDGE CAP	041	HBAN	S	130,000	4.33	n/a	n/a	5,200.00	4.0
BNP PARIBAS SEC	040	HON	SS	35,000	40.26	n/a	27-Jul	1,400.00	4.0
PILOT ADV	038	HSC	B	12,000	35.09	29-Jul	29-Jul	480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLOVIS CAPITAL	012	IP	SS	200,000	23.75	16-Sep	16-Sep	10,000.00	5.0
SCHOTTENFELD ASSOC	041	IP	B	25,000	23.41	16-Sep	16-Sep	750.00	3.0
EXIS CAPITAL	044	JWN	B	688	31.30	n/a	4-Sep	34.40	5.0
MILLENIU PARTNERS	028	JWN	B	33,000	31.93	n/a	4-Sep	1,320.00	4.0
BUCK CAPITAL MGMT	001	KCP	S	10,000	11.21	n/a	28-Sep	400.00	4.0
CATAPULT	040	KDN	S	35,000	34.88	n/a	n/a	1,750.00	5.0
KACELA CAPITAL	034	LVS	B	35,000	18.81	14-Sep	14-Sep	1,400.00	4.0
GREEN ARROW DOUG	040	MAR	B	25,000	26.81	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	MS	SS	100,000	31.01	11-May	15-Sep	5,000.00	5.0
BUCK CAPITAL MGMT	001	M	B	40,000	17.76	n/a	4-Sep	1,600.00	4.0
COOPER CREEK PART	028	NAV	B	8,800	40.38	n/a	n/a	264.00	3.0
PENNANT CAP MGMT	029	NSR	SS	6,400	23.10	n/a	n/a	192.00	3.0
DAVIDSON INV ADV	035	OXPS	B	80,590	17.58	n/a	n/a	3,223.60	4.0
CATAPULT	040	PPG	S	35,000	59.54	n/a	16-Jul	1,750.00	5.0
EXIS CAPITAL	044	PSUN	B	3,600	5.50	n/a	6-Feb	180.00	5.0
MILLENIU PARTNERS	028	REG	B	50,000	41.08	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	SLG	B	100,000	43.65	n/a	n/a	5,000.00	5.0
NEUBERGER BERMAN	036	SNI	B	79,900	37.05	n/a	n/a	3,595.50	4.5
HUNTER GLOBAL INVESTOR	067	SNV	S	500,000	3.90	n/a	n/a	12,500.00	2.5
AVESTA CAP	229	STT	B	50,000	54.65	n/a	15-Sep	2,000.00	4.0
KAYNE ANDERSON ADV	048	TPX	S	26,900	17.68	n/a	n/a	1,076.00	4.0
IRIDIAN ASSET MGMT.	036	VZ	C	32,060	29.53	n/a	4-Jan	1,603.00	5.0
MATLIN PATTERSON	046	WNR	B	100,000	7.68	n/a	n/a	3,000.00	3.0
SCOPUS FUND	041	WY	S	4,400	38.99	n/a	3-Aug	220.00	5.0
T. ROWE PRICE	033	WY	B	117,400	39.62	n/a	3-Aug	4,696.00	4.0
TRPA	033	WY	B	600	39.62	n/a	3-Aug	24.00	4.0
TOTAL (Trade Date) :								117,581.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/17	OZ MGMT (OZFFCSFB)	040	AXL	S	1,887	8.10	18-Sep	18-Sep	56.61 3.0
AO,	09/17	OZ MGMT (OZFFMS)	040	AXL	S	1,327	8.10	18-Sep	18-Sep	39.81 3.0
AO,	09/17	OZ MGMT (OZFFGS)	040	AXL	S	947	8.10	18-Sep	18-Sep	28.41 3.0
AO,	09/17	OZ MGMT (OZFFGS)	040	AXL	S	5,846	8.10	18-Sep	18-Sep	175.38 3.0
AO,	09/17	OZ MGMT (OZFFUBS)	040	AXL	S	39,993	8.10	18-Sep	18-Sep	1199.79 3.0
AO,	09/17	PARTNER REINSURANCE (PARRPUSDEQ)	033	ETH	S	22,250	16.66	n/a	n/a	890.00 4.0
AO,	09/17	PARTNER REINSURANCE (PARRPELCEQ)	033	ETH	S	1,650	16.66	n/a	n/a	66.00 4.0
AO,CXL	09/17	CONIFER/ISF (CONIISFRIP)	025	HPY	S	5,000	14.56	n/a	n/a	250.00 5.0
AO,CRT	09/17	CONIFER/ISF (CONIISFRIP)	025	HPY	S	5,000	14.56	n/a	n/a	200.00 4.0
AO,CRT	09/17	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	S	20,000	3.46	n/a	n/a	1000.00 5.0
AO,CXL	09/17	FIRST NEW YORK NICK (FNYNGS)	029	Q	S	20,000	3.46	n/a	n/a	1000.00 5.0
TOTAL (AO, CXL, CRT) :									2,406.00	

TOTAL (Trade Date) :	117,581.16
TOTAL (AO, CXL, CRT) :	2,406.00

TOTAL (RUN DATE) / NFS :	119,987.16
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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