



## Daily Compliance Activity Report

Trade Date: 10/12/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	ABK	B	10,000	1.51	n/a	n/a	300.00	3.0
DSM CAPITAL PARTNERS	032	ADBE	B	2,900	34.73	n/a	n/a	145.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	50,000	18.78	n/a	9-Oct	2,000.00	4.0
ROYCE TRADING	216	ARM	S	5,000	8.82	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	ARO	SS	2,500	42.00	n/a	9-Oct	125.00	5.0
DISCIPLINED GROWTH INV.	030	ARUN	S	8,200	8.97	n/a	n/a	410.00	5.0
KLEINHEINZ CAP PART	031	BAC	B	150,000	17.78	n/a	7-Oct	7,500.00	5.0
DSM CAPITAL PARTNERS	032	BAX	B	1,800	58.05	n/a	n/a	90.00	5.0
CR INTRINIC INVESTMENT	044	BBBY	S	50,000	36.78	n/a	n/a	2,000.00	4.0
DSM CAPITAL PARTNERS	032	BCR	B	1,800	77.78	n/a	n/a	90.00	5.0
ROYCE TRADING	216	BEZ	S	2,500	29.32	n/a	n/a	125.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>BEZ</b>	<b>S</b>	<b>2,500</b>	<b>29.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>SS</b>	<b>50,000</b>	<b>19.10</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	067	BWA	B	20,000	30.70	n/a	n/a	800.00	4.0
ROYCE TRADING	216	CAB	S	5,000	13.91	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISIPLINED GROWTH INV.	030	CAKE	S	3,200	18.70	n/a	12-Oct	160.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CAKE	B	100,000	18.75	n/a	12-Oct	3,000.00	3.0
ROYCE TRADING	216	CBM	S	5,000	6.74	n/a	n/a	250.00	5.0
DSM CAPITAL PARTNERS	032	CELG	B	9,600	55.32	n/a	n/a	480.00	5.0
ROYCE TRADING	216	CMC	S	5,000	18.11	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	COST	SS	2,500	58.09	n/a	n/a	125.00	5.0
ROYCE TRADING	216	CRS	S	10,000	23.32	n/a	n/a	500.00	5.0
ROYCE TRADING	216	CTB	S	5,000	18.00	n/a	n/a	250.00	5.0
ROYCE TRADING	216	DDS	S	3,000	14.91	n/a	n/a	150.00	5.0
ROTHSCHILD ASSET	040	ENS	B	68,141	23.11	n/a	n/a	3,066.43	4.5
DISIPLINED GROWTH INV.	030	ETH	S	2,600	16.35	n/a	n/a	130.00	5.0
CATAPULT	040	FLR	B	25,000	48.76	n/a	n/a	1,250.00	5.0
ROYCE TRADING	216	FOH	S	5,000	1.81	n/a	n/a	150.00	3.0
CR INTRINIC INVESTMENT	044	GME	B	25,000	26.85	n/a	n/a	1,000.00	4.0
EXIS CAPITAL	044	GPS	B	5,000	22.37	n/a	n/a	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	25,000	46.11	n/a	9-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOG</b>	<b>B</b>	<b>123,805</b>	<b>24.02</b>	<b>n/a</b>	<b>n/a</b>	<b>4,952.20</b>	<b>4.0</b>
CR INTRINIC INVESTMENT	044	HOG	B	50,000	24.18	n/a	n/a	2,000.00	4.0
DISIPLINED GROWTH INV.	030	HSTX	S	4,400	7.23	n/a	n/a	220.00	5.0
DISIPLINED GROWTH INV.	030	ITG	S	1,900	27.90	n/a	n/a	95.00	5.0
TRELLUS PARTNERS LP	028	JCI	B	100,000	27.12	n/a	n/a	5,000.00	5.0
EXIS CAPITAL	044	JWN	B	5,000	33.80	n/a	9-Oct	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>59.47</b>	<b>n/a</b>	<b>9-Oct</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	KSS	B	5,000	60.05	n/a	9-Oct	250.00	5.0
DISIPLINED GROWTH INV.	030	LF	S	4,100	3.95	n/a	n/a	123.00	3.0
CR INTRINIC INVESTMENT	044	MAT	B	50,000	18.83	n/a	n/a	2,000.00	4.0
DISIPLINED GROWTH INV.	030	MRCY	S	1,900	10.11	n/a	n/a	95.00	5.0
EXIS CAPITAL	044	MRVL	S	40,000	15.93	n/a	n/a	2,000.00	5.0
DISIPLINED GROWTH INV.	030	NLS	S	6,300	1.99	n/a	n/a	189.00	3.0
DISIPLINED GROWTH INV.	030	OTEX	S	3,000	38.82	n/a	n/a	150.00	5.0
DISIPLINED GROWTH INV.	030	PCTI	S	6,400	6.33	n/a	n/a	320.00	5.0
PILOT ROCK	028	PFE	B	377,000	16.90	n/a	n/a	15,080.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORTAR ROCK	033	PLCE	B	30,000	34.31	n/a	12-Oct	1,200.00	4.0
DISCIPLINED GROWTH INV.	030	PLXS	S	3,800	27.69	n/a	n/a	190.00	5.0
DISCIPLINED GROWTH INV.	030	PMTI	S	2,000	15.28	n/a	n/a	100.00	5.0
BULL PATH CAPITAL	044	SEE	B	14,500	19.98	n/a	n/a	725.00	5.0
KARSCH CAPITAL	034	SPY	C	140,000	107.61	n/a	n/a	2,800.00	2.0
DISCIPLINED GROWTH INV.	030	SY	S	2,700	40.85	n/a	n/a	135.00	5.0
SUN AMERICA ASSET MGMT	030	TEVA	B	27,500	51.58	n/a	12-Oct	1,100.00	4.0
SACC-FISHER	044	TEX	B	10,000	21.65	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	TJX	S	25,000	37.90	n/a	9-Oct	1,000.00	4.0
DISCIPLINED GROWTH INV.	030	TWTC	S	6,200	14.13	n/a	n/a	310.00	5.0
DSG CAPITAL	225	TYC	B	20,000	35.27	n/a	12-Oct	1,000.00	5.0
T. ROWE PRICE	033	UFS	S	60,000	40.40	n/a	n/a	2,400.00	4.0
EXIS CAPITAL	044	URBN	SS	5,000	31.22	n/a	n/a	250.00	5.0
HIGHBRIDGE CAP	041	VFC	B	25,000	75.26	n/a	7-Oct	1,000.00	4.0
DISCIPLINED GROWTH INV.	030	VSAT	S	1,300	30.08	n/a	n/a	65.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
G WEISS /SASHA	070	WBC	B	15,000	23.24	n/a	n/a	600.00	4.0
CR INTRINIC INVESTMENT	044	WCRX	SS	31,422	24.00	n/a	12-Oct	1,256.88	4.0
KARSCH CAPITAL	034	WMT	SS	465,000	49.53	n/a	6-Oct	13,950.00	3.0
TRELLUS PARTNERS LP	028	WYNN	B	10,000	67.19	n/a	8-Oct	500.00	5.0
COHE & STEERS	091	WY	B	123,402	37.02	n/a	12-Oct	4,936.08	4.0
SONTERRA CAP	041	X	SS	17,553	43.27	n/a	n/a	702.12	4.0
CR INTRINIC INVESTMENT	044	YHOO	S	50,000	16.73	n/a	n/a	2,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>97,840.71</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/06	RWC PARTNERS LTD (RWCPBILUBS)	067	ITW	B	154,400	43.69	n/a	n/a	4632.00 3.0
AO,CXL	10/06	RWC PARTNERS LTD (RWCPBILTDB)	067	ITW	B	154,400	43.69	n/a	n/a	4632.00 3.0
AO,CXL	10/09	FIRST NY SEC/CHRIS (FNYCHRIS)	041	PLCE	B	10,000	33.71	n/a	12-Oct	0.00 0.0
AO,CRT	10/09	FIRST NY SEC/CHRIS (FNYCHRIS)	041	PLCE	B	10,000	33.71	n/a	12-Oct	500.00 5.0
AO,CXL	10/08	MACKLOWE ASSET MGMT (MACKCSPB)	041	PVH	SS	7,000	42.87	n/a	n/a	350.00 5.0
AO,CRT	10/08	MACKLOWE ASSET MGMT (MACKCSPB)	041	PVH	SS	7,000	42.87	n/a	n/a	280.00 4.0
AO,	10/09	SYSTEMATIC FINANCIAL MGT (SYST204)	035	PVH	B	125	42.90	n/a	n/a	4.38 3.5
AO,	10/09	SYSTEMATIC FINANCIAL MGT (SYST208)	035	PVH	B	75	42.90	n/a	n/a	2.63 3.5
AO,CXL	10/09	SYSTEMATIC FINANCIAL MGT (SYST205)	035	PVH	B	75	42.90	n/a	n/a	2.63 3.5
AO,CXL	10/09	SYSTEMATIC FINANCIAL MGT (SYST203)	035	PVH	B	125	42.90	n/a	n/a	4.38 3.5
AO,CXL	10/09	SYSTEMATIC FINANCIAL MGT (SYST175)	035	PVH	B	1,250	42.90	n/a	n/a	43.75 3.5
AO,	10/09	SYSTEMATIC FINANCIAL MGT (SYST173)	035	PVH	B	1,250	42.90	n/a	n/a	43.75 3.5
AO,	10/09	G WEISS /SASHA (WESSCITI)	070	WBC	B	12,000	23.61	n/a	n/a	480.00 4.0
AO,	10/09	G WEISS /SASHA (WESSUBSSAS)	070	WBC	B	8,000	23.61	n/a	n/a	320.00 4.0
AO,	10/09	COHE & STEERS (COHERICUS)	091	WY	B	17,849	36.38	n/a	12-Oct	713.96 4.0
AO,	10/09	COHE & STEERS (COHERIFUS)	091	WY	B	4,166	36.38	n/a	12-Oct	166.64 4.0
AO,	10/09	COHE & STEERS (COHECSR)	091	WY	B	107,819	36.38	n/a	12-Oct	4312.76 4.0
AO,	10/09	COHE & STEERS (COHECST)	091	WY	B	4,908	36.38	n/a	12-Oct	196.32 4.0
AO,	10/09	COHE & STEERS (COHECSIR)	091	WY	B	44,374	36.38	n/a	12-Oct	1774.96 4.0
AO,	10/09	COHE & STEERS (COHEELC)	091	WY	B	7,375	36.38	n/a	12-Oct	295.00 4.0
AO,	10/09	COHE & STEERS (COHEMEL)	091	WY	B	1,942	36.38	n/a	12-Oct	77.68 4.0
AO,	10/09	COHE & STEERS (COHENYST)	091	WY	B	16,800	36.38	n/a	12-Oct	672.00 4.0
AO,	10/09	COHE & STEERS (COHEHEY)	091	WY	B	206	36.38	n/a	12-Oct	8.24 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/09	COHE & STEERS (COHETEX)	091	WY	B	6,094	36.38	n/a	12-Oct	243.76 4.0
AO,	10/09	COHE & STEERS (COHEUTG)	091	WY	B	869	36.38	n/a	12-Oct	34.76 4.0
AO,	10/09	COHE & STEERS (COHENEX)	091	WY	B	1,941	36.38	n/a	12-Oct	77.64 4.0
AO,	10/09	COHE & STEERS (COHEASK)	091	WY	B	17,801	36.38	n/a	12-Oct	712.04 4.0
AO,	10/09	COHE & STEERS (COHEUTI)	091	WY	B	663	36.38	n/a	12-Oct	26.52 4.0
AO,	10/09	COHE & STEERS (COHEUTP)	091	WY	B	1,515	36.38	n/a	12-Oct	60.60 4.0
AO,	10/09	COHE & STEERS (COHECOPS)	091	WY	B	3,710	36.38	n/a	12-Oct	148.40 4.0
AO,	10/09	COHE & STEERS (COHEFAX)	091	WY	B	6,712	36.38	n/a	12-Oct	268.48 4.0

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**TOTAL (AO, CXL, CRT) :** 11,019.76

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TOTAL (Trade Date): 97,840.71

TOTAL (AO, CXL, CRT): 11,019.76

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**TOTAL (RUN DATE) / NFS:** 108,860.47

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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