



Daily Compliance Activity Report

Trade Date: 11/10/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	B	100,000	16.21	n/a	6-Nov	4,000.00	4.0
ISLE RIDGE PARTNERS	041	AEO	B	10,000	16.14	n/a	6-Nov	400.00	4.0
ADAGE CAPITAL MGMT	030	BBY	B	76,159	41.81	n/a	n/a	3,046.36	4.0
HUTCHIN HILL CAPITAL LP	233	BBY	B	20,000	41.87	n/a	n/a	600.00	3.0
MORTAR ROCK	033	BIIB	S	5,000	45.33	n/a	n/a	200.00	4.0
HUTCHIN HILL CAPITAL LP	233	BJ	SS	7,700	36.10	n/a	n/a	231.00	3.0
BUCK CAPITAL MGMT	001	BKS	B	50,000	19.22	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	BP	B	1,100	59.09	n/a	n/a	55.00	5.0
NICOLAS APPEGATE	048	BUCY	S	34,200	53.29	n/a	26-Oct	1,368.00	4.0
SMITH MGMT LLC	029	BZ	B	100,000	5.46	n/a	n/a	3,000.00	3.0
IRIDIAN ASSET MGMT.	036	CA	B	113,050	21.98	n/a	n/a	5,652.50	5.0
KENNEDY CAPITAL	046	CBK	B	2,100	6.50	n/a	n/a	63.00	3.0
SENATOR INVESTMENT GROUP	036	CMCSA	B	50,000	14.88	n/a	n/a	1,500.00	3.0
ADAGE CAPITAL MGMT	030	COH	B	150,000	35.14	n/a	21-Oct	6,000.00	4.0
BUCK CAPITAL MGMT	001	COH	S	10,000	34.85	n/a	21-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	21.18	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	CRI	S	15,310	21.90	n/a	n/a	765.50	5.0
EXIS CAPITAL	044	CTXS	S	15,000	39.25	n/a	n/a	750.00	5.0
MORTAR ROCK	033	CVS	B	2,500	29.79	n/a	n/a	100.00	4.0
PATTEN & PATTEN	067	CVS	S	500	29.75	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	CWB	B	900	36.78	n/a	n/a	45.00	5.0
BARON ASSET MGMT*	012	CYH	S	25,000	33.09	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	DF	B	20,000	16.89	n/a	n/a	800.00	4.0
ISLE RIDGE PARTNERS	041	EAT	B	25,000	13.69	n/a	n/a	1,000.00	4.0
MORTAR ROCK	033	EAT	B	2,500	13.68	n/a	n/a	100.00	4.0
MERRILL ASSET/BLACKROCK	214	EDMC	S	9,700	22.13	n/a	n/a	436.50	4.5
BMO NESBITT BURNS	041	ENDP	SS	3,000	23.19	n/a	9-Nov	150.00	5.0
PATTEN & PATTEN	067	EP	S	4,000	10.14	n/a	n/a	200.00	5.0
PATTEN & PATTEN	067	EWC	B	500	25.93	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	EXC	B	700	47.14	n/a	n/a	35.00	5.0
CUMBERLAND	239	EXH	B	15,000	22.96	n/a	2-Nov	600.00	4.0
RBC CAPITAL MARKETS	040	FDO	SS	10,000	29.38	n/a	4-Nov	400.00	4.0
BASIX	033	FL	S	20,000	10.88	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GAP	SS	20,000	12.11	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	IEF	B	1,400	90.96	n/a	n/a	70.00	5.0
ISLE RIDGE PARTNERS	041	IGT	S	25,000	20.29	n/a	9-Nov	1,000.00	4.0
MORTAR ROCK	033	JACK	SS	2,500	19.46	n/a	n/a	100.00	4.0
RBC CAPITAL MARKETS	040	JCP	SS	5,000	30.87	n/a	6-Nov	200.00	4.0
SCOPUS FUND	041	JNY	B	35,000	19.18	n/a	29-Oct	1,750.00	5.0
RBC CAPITAL MARKETS	040	JOYG	SS	10,000	56.14	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	40,000	35.32	n/a	6-Nov	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JWN	S	50,000	35.33	n/a	6-Nov	2,000.00	4.0
JP MORGAN VENTURES	046	KSS	S	15,000	56.68	n/a	6-Nov	750.00	5.0
RBC CAPITAL MARKETS	040	KSS	SS	5,000	56.72	n/a	6-Nov	200.00	4.0
FIRST NEW YORK LEDDY	035	LVLIT	S	10,000	1.22	n/a	n/a	600.00	6.0
PATTEN & PATTEN	067	MGU	S	1,700	14.82	n/a	n/a	85.00	5.0
PATTEN & PATTEN	067	MHP	S	400	29.70	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	MOT	B	1,000	8.82	n/a	n/a	50.00	5.0
BMO NESBITT BURNS	041	MRX	SS	3,000	23.71	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	MW	B	25,000	22.97	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	M	B	50,000	19.58	n/a	6-Nov	2,000.00	4.0
EXIS CAPITAL	044	M	S	10,000	19.44	n/a	6-Nov	500.00	5.0
ISLE RIDGE PARTNERS	041	NWL	SS	4,000	14.89	n/a	n/a	160.00	4.0
ISLE RIDGE PARTNERS	041	NWL	S	21,000	14.89	n/a	n/a	840.00	4.0
EXIS CAPITAL	044	NWY	B	20,000	4.11	n/a	n/a	1,000.00	5.0
NICOLAS APPLGATE	048	PERY	S	9,800	13.44	n/a	n/a	294.00	3.0
BMO NESBITT BURNS	041	PKG	B	25,000	19.66	n/a	22-Oct	1,250.00	5.0
MILLRACE FUND LP	028	PRX	SS	5,000	22.46	n/a	9-Nov	200.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	50,000	20.65	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	43.37	n/a	2-Nov	1,200.00	4.0
JANA CAPITAL	044	Q	S	250,000	3.74	n/a	n/a	10,000.00	4.0
PATTEN & PATTEN	067	Q	S	3,500	3.78	n/a	n/a	175.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	23.45	n/a	n/a	400.00	4.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	1,100	109.68	n/a	n/a	55.00	5.0
JP MORGAN VENTURES	046	SPY	B	15,000	109.39	n/a	n/a	450.00	3.0
PATTEN & PATTEN	067	TWTC	S	1,000	14.91	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	TYC	B	25,000	34.76	n/a	10-Nov	1,250.00	5.0
EXIS CAPITAL	044	UPS	S	20,000	56.49	n/a	n/a	1,000.00	5.0
PZENA INV ADV	044	VLO	B	8,575	17.25	n/a	n/a	300.14	3.5
PRINCIPLE CAPITAL	040	VRX	SS	50,000	32.69	n/a	n/a	1,500.00	3.0
PATTEN & PATTEN	067	WAG	B	500	39.60	n/a	n/a	25.00	5.0
BMO NESBITT BURNS	041	WCRX	B	10,000	22.10	n/a	10-Nov	500.00	5.0
PATTEN & PATTEN	067	WFR	S	600	12.92	n/a	n/a	30.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	44.18	n/a	5-Nov	400.00	4.0
TOTAL (Trade Date) :								73,202.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/09	EGS ASSOCIATES LP (EGASBANC O)	091	AEO	B	3,000	16.10	n/a	6-Nov	180.00 6.0
AO,CRT	11/09	EGS ASSOCIATES LP (EGASBANC O)	091	AEO	B	4,000	16.10	n/a	6-Nov	240.00 6.0
AO,CRT	11/05	ADAGE CAPITAL MGMT (ADAGMS)	030	SMG	SS	30,000	42.83	n/a	9-Nov	1200.00 4.0
AO,CXL	11/05	ADAGE CAPITAL MGMT (ADAGESHORT)	030	SMG	SS	30,000	42.83	n/a	9-Nov	1200.00 4.0
TOTAL (AO, CXL, CRT) :										60.00

TOTAL (Trade Date) :	73,202.00
TOTAL (AO, CXL, CRT) :	60.00

TOTAL (RUN DATE) / NFS:	73,262.00
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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