

Daily Compliance Activity Report Trade Date: 10/13/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
SACC-SCHWARTZ	044	ACI	SS	50,000	23.55	n/a	n/a	2,000.00	4.0	
DSM CAPITAL PARTNERS	032	ADBE	В	49,830	34.49	n/a	n/a	2,491.50	5.0	
DELTEC ASSET MGMT.	040	AEO	S	30,000	19.06	n/a	9-0ct	1,500.00	5.0	
SIGMA CAPITAL ASSOCIATES	041	AEO	S	35,000	18.77	n/a	9-0ct	1,400.00	4.0	
PAULSON & CO INC	041	AGU	SS	37,100	51.83	n/a	n/a	1,113.00	3.0	
BUCK CAPITAL MGMT	001	AM	В	20,000	23.68	n/a	n/a	800.00	4.0	
JP MORGAN VENTURES	046	ANF	SS	10,000	36.21	n/a	9-0ct	0.00	0.0	
DSM CAPITAL PARTNERS	032	BAX	В	31,600	57.52	n/a	n/a	1,580.00	5.0	
DSM CAPITAL PARTNERS	032	BCR	В	33,600	77.42	n/a	n/a	1,680.00	5.0	
M&I FUNDS	047	BIG	В	32 , 471	26.23	n/a	6-0ct	1,298.84	4.0	
HOTCHKIS & WILEY	035	BMC	S	175,000	38.27	n/a	n/a	8,750.00	5.0	
DSM CAPITAL PARTNERS	032	CELG	В	125,800	54.72	n/a	n/a	6,290.00	5.0	
PAULSON & CO INC	041	CF	В	20,000	89.06	n/a	n/a	600.00	3.0	
SCHOTTENFELD ASSOC	041	С	В	100,000	4.82	n/a	13-Oct	3,000.00	3.0	
EXIS CAPITAL	044	DECK	SS	2,500	84.68	n/a	n/a	125.00	5.0	

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BUCK CAPITAL MGMT	001	DKS	В	20,000	24.74	n/a	n/a	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	SS	50,000	8.73	n/a	n/a	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	EV	SS	10,000	28.85	n/a	13-0ct	500.00	5.0
CATAPULT	040	FDX	SS	10,250	76.90	n/a	n/a	512.50	5.0
CONIFER/ISF	025	FL	В	5,000	11.71	n/a	n/a	250.00	5.0
DELTEC ASSET MGMT.	040	FL	В	50,000	11.83	n/a	n/a	2,500.00	5.0
BTIG/KDI ADV	039	F	В	50,000	7.58	n/a	1-0ct	2,000.00	4.0
ROYCE TRADING	216	HZO	S	5,000	8.26	n/a	n/a	250.00	5.0
MACKLOWE ASSET MGMT	041	IGT	В	20,000	21.75	n/a	n/a	800.00	4.0
ROYCE TRADING	216	IM	В	5,000	17.51	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	IP	В	23,800	23.25	n/a	12-Oct	1,190.00	5.0
EXIS CAPITAL	044	JCG	SS	5,000	37.94	n/a	n/a	250.00	5.0
ROYCE TRADING	216	JNY	S	5,000	19.00	n/a	n/a	250.00	5.0
DIAMONDBACK CAP MGMT	232	JPM	С	10,000	45.39	n/a	13-0ct	500.00	5.0
EXIS CAPITAL	044	KSS	В	5,000	59.75	n/a	9-0ct	250.00	5.0
FIRST NEW YORK LEDDY	035	LVLT	В	10,000	1.40	n/a	n/a	600.00	6.0

RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
216	MEG	S	5,000	9.49	n/a	n/a	250.00	5.0
041	М	SS	50,000	19.99	n/a	9-0ct	2,500.00	5.0
216	NR	В	10,000	3.32	n/a	n/a	300.00	3.0
232	NTRS	SS	10,000	59.07	n/a	6-0ct	500.00	5.0
040	NVR	SS	720	664.06	n/a	n/a	28.80	4.0
041	PKG	В	20,000	21.02	n/a	12-Oct	1,000.00	5.0
040	POT	В	10,000	90.01	n/a	n/a	400.00	4.0
030	PRXI	В	276	1.58	n/a	n/a	13.80	5.0
030	PRXI	S	27 , 900	1.61	n/a	n/a	837.00	3.0
046	PSUN	S	100,000	6.53	n/a	n/a	3,000.00	3.0
041	RKT	В	5,000	48.99	n/a	n/a	250.00	5.0
099	RKT	В	4,900	49.49	n/a	n/a	0.00	0.0
044	SHPGY	В	31,000	49.60	n/a	12-Oct	1,240.00	4.0
044	SKS	В	25,000	6.27	n/a	n/a	1,250.00	5.0
216	SKS	В	10,000	6.23	n/a	n/a	500.00	5.0
044	SPY	В	250,000	107.37	n/a	n/a	10,000.00	4.0
035	SSD	В	27,000	25.90	n/a	n/a	1,350.00	5.0
	041 216 232 040 041 040 030 030 046 041 099 044 044 216	216 MEG 041 M 216 NR 232 NTRS 040 NVR 041 PKG 040 POT 030 PRXI 030 PRXI 046 PSUN 041 RKT 099 RKT 044 SHPGY 044 SKS 216 SKS	216 MEG S 041 M SS 216 NR B 232 NTRS SS 040 NVR SS 041 PKG B 040 POT B 030 PRXI B 030 PRXI S 046 PSUN S 041 RKT B 099 RKT B 044 SHPGY B 044 SKS B 216 SKS B 044 SPY B	216 MEG S 5,000 041 M SS 50,000 216 NR B 10,000 232 NTRS SS 10,000 040 NVR SS 720 041 PKG B 20,000 040 POT B 10,000 030 PRXI B 276 030 PRXI S 27,900 046 PSUN S 100,000 041 RKT B 5,000 040 SHPGY B 31,000 044 SHPGY B 31,000 044 SKS B 25,000 216 SKS B 10,000	216 MEG S 5,000 9.49 041 M SS 50,000 19.99 216 NR B 10,000 3.32 232 NTRS SS 10,000 59.07 040 NVR SS 720 664.06 041 PKG B 20,000 21.02 040 POT B 10,000 90.01 030 PRXI B 276 1.58 030 PRXI S 27,900 1.61 046 PSUN S 100,000 6.53 041 RKT B 5,000 48.99 099 RKT B 4,900 49.49 044 SHPGY B 31,000 49.60 044 SKS B 25,000 6.27 216 SKS B 10,000 6.23 044 SPY B 250,000 107.37	216 MEG S 5,000 9.49 n/a 041 M SS 50,000 19.99 n/a 216 NR B 10,000 3.32 n/a 232 NTRS SS 10,000 59.07 n/a 040 NVR SS 720 664.06 n/a 041 PKG B 20,000 21.02 n/a 040 POT B 10,000 90.01 n/a 030 PRXI B 276 1.58 n/a 030 PRXI S 27,900 1.61 n/a 046 PSUN S 100,000 6.53 n/a 041 RKT B 5,000 48.99 n/a 040 SHPGY B 31,000 49.49 n/a 044 SHPGY B 31,000 49.60 n/a 044 SKS B 25,000 6.27 n/a 044 SKS B 10,000 6.23 n/a 044 SPY B 250,000 107.37 n/a	216 MEG S 5,000 9.49 n/a n/a 041 M SS 50,000 19.99 n/a 9-Oct 216 NR B 10,000 3.32 n/a n/a 232 NTRS SS 10,000 59.07 n/a 6-Oct 040 NVR SS 720 664.06 n/a n/a 041 PKG B 20,000 21.02 n/a 12-Oct 040 POT B 10,000 90.01 n/a n/a 030 PRXI B 276 1.58 n/a n/a 030 PRXI S 27,900 1.61 n/a n/a 046 PSUN S 100,000 6.53 n/a n/a 047 RKT B 5,000 48.99 n/a n/a 048 SHPGY B 31,000 49.60 n/a 12-Oct 049 SHPGY B 31,000 49.60 n/a 12-Oct 044 SKS B 25,000 6.27 n/a n/a 044 SKS B 25,000 6.27 n/a n/a 044 SKS B 25,000 6.23 n/a n/a 044 SKS B 250,000 107.37 n/a n/a	216 MEG S 5,000 9.49 n/a n/a 250.00 041 M SS 50,000 19.99 n/a 9-oct 2,500.00 216 NR B 10,000 3.32 n/a n/a 300.00 232 NTRS SS 10,000 59.07 n/a 6-oct 500.00 040 NVR SS 720 664.06 n/a n/a 28.80 041 PKG B 20,000 21.02 n/a 12-oct 1,000.00 040 POT B 10,000 90.01 n/a n/a 400.00 030 PRXI B 276 1.58 n/a n/a 13.80 030 PRXI S 27,900 1.61 n/a n/a 837.00 046 PSUN S 100,000 6.53 n/a n/a 3,000.00 047 RKT B 5,000 48.99 n/a n/a n/a 250.00 048 SHPGY B 31,000 49.60 n/a 12-oct 1,240.00 044 SKS B 25,000 6.27 n/a n/a 1,250.00 044 SKS B 25,000 6.27 n/a n/a 500.00 044 SKS B 250,000 107.37 n/a n/a 10,000.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	:/Shr.
SUN AMERICA ASSET MGMT	030	STEC	S	35,000	23.99	n/a	n/a	1,400.00	4.0
GLENHILL CAPITAL	212	STX	SS	200,000	15.80	n/a	n/a	10,000.00	5.0
MACKLOWE ASSET MGMT	041	SWY	SS	25,000	20.97	n/a	n/a	1,000.00	4.0
GRISANTI BROWN & PARTNER	048	TEX	В	109,700	21.35	n/a	n/a	5,485.00	5.0
GREEN ARROW DOUG	040	TGT	В	15,000	50.25	n/a	9-0ct	750.00	5.0
BMO NESBITT BURNS	041	TIN	В	25,000	15.76	n/a	12-Oct	1,250.00	5.0
RBC CAPITAL MARKETS	040	TIN	В	20,000	15.95	n/a	12-0ct	800.00	4.0
SCOPUS FUND	041	TIN	В	145,000	15.87	n/a	12-Oct	7,250.00	5.0
T. ROWE PRICE	033	UFS	S	89,900	40.84	n/a	n/a	3,596.00	4.0
EXIS CAPITAL	044	URBN	SS	5,000	31.08	n/a	n/a	250.00	5.0
ROTHSCHILD ASSET	040	WW	S	6 , 270	44.35	n/a	n/a	282.15	4.5
RBC CAPITAL MARKETS	040	WYNN	S	5,000	65.81	n/a	8-Oct	200.00	4.0
RAMIUS CAP	040	WY	В	51,600	37.63	n/a	12-Oct	2,064.00	4.0
SONTERRA CAP	041	X	SS	10,000	43.71	n/a	n/a	400.00	4.0

TOTAL (Trade Date): 103,677.59

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	10/12	LISTED ERR (LISTED ERR)	099	BEZ	В	2,500	29.32	n/a	n/a	0.00	0.0
AO,	10/12	ROYCE TRADING (ROYC169)	216	DAN	В	200	7.02	n/a	n/a	10.00	5.0
AO,	10/12	ROYCE TRADING (ROYC59)	216	DAN	В	18,800	7.02	n/a	n/a	940.00	5.0
AO,	10/12	ROYCE TRADING (ROYC59)	216	DAN	В	200	6.92	n/a	n/a	10.00	5.0
AO,	10/12	ROYCE TRADING (ROYC33)	216	DAN	В	6,000	7.02	n/a	n/a	300.00	5.0
AO,	10/12	CR INTRINIC INVESTMENT (CRINGSPB)	044	HOG	В	50,000	24.20	n/a	n/a	2000.00	4.0
AO, CRT	10/12	HIGHBRIDGE CAP (HIBCCSFB)	041	VFC	В	25,000	75.26	n/a	7-0ct	1000.00	4.0
AO,CXL	10/12	HIGHBRIDGE CAP (HIBCUBSNEW)	041	VFC	В	25,000	75.26	n/a	7-0ct	1000.00	4.0
TOTAL	TOTAL (AO, CXL, CRT): 3,260.00										

TOTAL (RUN DATE) / NFS:	106,937.59
TOTAL (AO, CXL, CRT):	3,260.00
TOTAL (Trade Date):	103,677.59

Legend:

O: 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