



## Daily Compliance Activity Report

Trade Date: 12/15/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	AAPL	B	1,300	197.04	n/a	n/a	65.00	5.0
LONG OAR GLOBAL INV	040	ADI	S	25,000	30.46	n/a	n/a	1,000.00	4.0
GLOBAL 56 LLC	060	AEO	B	2,000	16.08	n/a	4-Dec	100.00	5.0
GLOBAL 56 LLC	060	AEO	S	2,000	16.37	n/a	4-Dec	100.00	5.0
REINHART & MAHONEY	031	AGL	B	5,000	36.77	n/a	n/a	250.00	5.0
PROSPECTOR PARTNERS LLC	036	AJG	B	7,500	22.43	n/a	n/a	300.00	4.0
&PRO	036	AJG	B	2,500	22.43	n/a	n/a	100.00	4.0
LAGRANGE CAP ADV	048	ALV	SS	4,000	44.01	n/a	14-Dec	200.00	5.0
CONIFER/ISF	025	AMED	S	2,500	47.25	n/a	n/a	125.00	5.0
NORTHPOINT	030	AMG	B	14,540	64.63	n/a	15-Dec	581.60	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>35.47</b>	<b>n/a</b>	<b>4-Dec</b>	<b>400.00</b>	<b>4.0</b>
TRELLUS PARTNERS LP	028	AN	B	20,000	18.05	n/a	30-Oct	1,000.00	5.0
REINHART & MAHONEY	031	ATK	S	8,245	88.84	n/a	n/a	412.25	5.0
REINHART & MAHONEY	031	AXE	S	7,100	48.07	n/a	23-Nov	355.00	5.0
SOROS	036	AXL	B	100,000	7.26	n/a	14-Dec	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	23.27	n/a	n/a	400.00	4.0
SOROS	036	BBY	B	486,000	41.28	n/a	n/a	19,440.00	4.0
LISTED ERR	099	BBY	S	40	41.17	n/a	n/a	0.00	0.0
WEISS PECK	040	BONT	C	20,650	11.21	n/a	n/a	1,032.50	5.0
RBC CAPITAL MARKETS	040	BUCY	B	10,000	53.40	n/a	26-Oct	400.00	4.0
BRANDWINE	028	CCK	B	48,500	25.58	n/a	n/a	1,940.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	CCL	B	3,633	33.89	n/a	n/a	145.32	4.0
SAC CAPITAL/JOHN MAGUIE	039	COH	SS	3,332	36.64	n/a	21-Oct	133.28	4.0
RDK CAPITAL MGMT	034	DELL	B	50,000	13.63	n/a	n/a	2,000.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	DKS	B	5,167	22.46	n/a	19-Nov	206.68	4.0
REINHART & MAHONEY	031	DLM	B	22,000	11.30	n/a	n/a	1,100.00	5.0
CONIFER/ISF	025	ES	S	1,700	9.41	n/a	n/a	85.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.63	n/a	n/a	600.00	6.0
REINHART & MAHONEY	031	FISV	B	4,500	47.60	n/a	n/a	225.00	5.0
CUMBERLAND	239	FSLR	SS	5,000	139.73	n/a	n/a	200.00	4.0
ARMATURE CAPITAL	041	FWLT	B	40,000	29.07	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRIESS MGMT	033	F	B	2,551,300	9.28	n/a	2-Dec	76,539.00	3.0
MILLENIUM PARTNERS	028	F	S	50,000	9.42	n/a	2-Dec	2,000.00	4.0
CATAPULT	040	GAP	S	31,250	11.02	n/a	n/a	1,250.00	4.0
REINHART & MAHONEY	031	GES	B	4,100	43.70	n/a	n/a	205.00	5.0
MILLENIUM PARTNERS	028	GE	B	100,000	15.84	n/a	n/a	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>B</b>	<b>20,000</b>	<b>22.60</b>	<b>n/a</b>	<b>11-Dec</b>	<b>800.00</b>	<b>4.0</b>
RDK CAPITAL MGMT	034	GME	S	23,000	22.18	n/a	n/a	920.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	GPC	SS	3,398	38.30	n/a	n/a	135.92	4.0
CHART WELL ADV	028	GPI	B	60,625	27.60	n/a	28-Oct	2,425.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HGG</b>	<b>S</b>	<b>10,000</b>	<b>21.76</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
LOMBARDIA CAP MGMT	048	HLF	S	9,152	42.02	n/a	n/a	444.76	5.0
SAC CAPITAL/JOHN MAGUIE	039	JNY	SS	1,026	16.93	n/a	29-Oct	41.04	4.0
JP MORGAN VENTURES	046	KR	B	35,000	19.94	n/a	n/a	1,750.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	KSS	B	4,622	55.17	n/a	4-Dec	184.88	4.0
TYEE/TYGH	035	LAZ	S	96,991	36.35	n/a	14-Dec	3,879.64	4.0
CATAPULT	040	LIZ	B	50,000	5.02	n/a	7-Oct	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LL</b>	<b>S</b>	<b>20,000</b>	<b>27.54</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	L	B	10,000	35.97	n/a	n/a	400.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	MCD	B	5,397	62.30	n/a	8-Dec	215.88	4.0
REINHART & MAHONEY	031	MKC	B	5,100	36.05	n/a	n/a	255.00	5.0
RBC CAPITAL MARKETS	040	MOS	B	25,000	59.06	n/a	n/a	1,000.00	4.0
THE JAY GOLDMAN	028	MOT	SS	30,000	8.30	n/a	n/a	1,200.00	4.0
GREEN ARROW DOUG	040	MPEL	B	100,000	4.00	n/a	15-Dec	5,000.00	5.0
NORTHPOINT	030	MS	S	29,330	29.85	n/a	14-Dec	1,173.20	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>20,000</b>	<b>17.12</b>	<b>n/a</b>	<b>4-Dec</b>	<b>800.00</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	M	B	18,000	17.19	n/a	4-Dec	720.00	4.0
THE JAY GOLDMAN	028	M	B	25,000	17.25	n/a	4-Dec	1,000.00	4.0
MANNING & NAPIER	034	NOK	B	403,840	12.72	n/a	n/a	12,115.20	3.0
LOMBARDIA CAP MGMT	048	NR	S	50,833	4.17	n/a	n/a	2,467.97	4.9
TRUSTCO/SUNTRUST	040	NTRI	S	19,600	32.71	n/a	n/a	764.40	3.9
LOMBARDIA CAP MGMT	048	NUS	S	9,516	27.86	n/a	n/a	462.48	5.0
REINHART & MAHONEY	031	O	B	8,500	26.22	n/a	n/a	425.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	PCS	S	139,804	7.23	n/a	n/a	5,592.16	4.0
SAC CAPITAL/JOHN MAGUIE	039	PETM	B	6,787	26.70	n/a	n/a	271.48	4.0
WAGONHOUND/NIC	048	PLCE	B	4,589	29.71	n/a	11-Dec	183.56	4.0
SAGE ASSET MGMT	012	PTEN	B	55,000	15.26	n/a	n/a	2,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>40.32</b>	<b>n/a</b>	<b>20-Nov</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	PVH	S	25,000	40.34	n/a	20-Nov	1,250.00	5.0
PZENA INV ADV	044	SHW	B	141,725	61.75	n/a	9-Nov	4,960.59	3.5
ARMATURE CAPITAL	041	SOA	B	20,000	11.75	n/a	n/a	800.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	SPLS	S	6,290	24.30	n/a	n/a	251.60	4.0
SCHOTTENFELD ASSOC	041	SYU	B	30,000	28.33	n/a	n/a	900.00	3.0
SAC CAPITAL/JOHN MAGUIE	039	TGT	B	4,213	47.77	n/a	3-Dec	168.52	4.0
SAC CAPITAL/JOHN MAGUIE	039	THI	SS	11,817	28.89	n/a	n/a	472.68	4.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>TIVO</b>	<b>B</b>	<b>50,000</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>1,500.00</b>	<b>3.0</b>
SAC CAPITAL/JOHN MAGUIE	039	TJX	SS	3,678	38.07	n/a	4-Dec	147.12	4.0
LOMBARDIA CAP MGMT	048	TPC	B	22,941	17.61	n/a	n/a	1,113.77	4.9
JMP ASSET MGMT	210	ULTA	B	897	18.60	n/a	n/a	44.85	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	VALE	SS	25,000	29.02	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	WCN	B	10,000	33.50	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	WEN	S	50,000	4.18	n/a	6-Nov	2,500.00	5.0
RDK CAPITAL MGMT	034	WEN	S	100,000	4.12	n/a	6-Nov	4,000.00	4.0
RDK CAPITAL MGMT	034	WMT	SS	25,000	53.84	n/a	1-Dec	1,000.00	4.0
DENVER INST. ADV	046	WRC	B	83,500	42.86	n/a	5-Nov	3,340.00	4.0
FORWARD MGMT	033	WRE	S	50,000	26.79	n/a	n/a	2,500.00	5.0
BMO NESBITT BURNS	041	WY	B	25,000	42.85	n/a	15-Dec	1,250.00	5.0
BMO NESBITT BURNS	041	WY	SS	90,825	48.02	n/a	15-Dec	4,541.25	5.0
CAXTON PART	040	WY	S	84,200	45.46	n/a	15-Dec	2,947.01	3.5
COOPER CREEK PART	028	WY	B	10,000	43.00	n/a	15-Dec	400.00	4.0
SUN AMERICA ASSET MGMT	030	WY	S	9,500	43.10	n/a	15-Dec	380.00	4.0
REINHART & MAHONEY	031	XOM	S	7,580	69.48	n/a	n/a	379.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	XRT	SS	6,730	35.58	n/a	n/a	269.20	4.0
CATAPULT	040	YHOO	B	50,000	15.79	n/a	n/a	2,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>211,383.79</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/14	LISTED ERR (LISTED ERR)	099	BBY	B	40	44.81	n/a	n/a	0.00	0.0
AO,	12/14	MTB INV ADV (MTBIMAIN O)	034	BBY	S	1,299	44.81	n/a	n/a	64.95	5.0
AO,CXL	12/14	MTB INV ADV (MTBIMAIN O)	034	BBY	S	1,259	44.81	n/a	n/a	62.95	5.0
AO,CRT	12/10	REINHART & MAHONEY (REINKANTJS)	031	DBTK	B	2,300	9.76	n/a	n/a	115.00	5.0
AO,	12/10	REINHART & MAHONEY (REINKANTJS)	031	DBTK	B	2,300	9.76	n/a	n/a	115.00	5.0
AO,CXL	12/10	REINHART & MAHONEY (REINKNTJSM)	031	DBTK	B	2,300	9.76	n/a	n/a	115.00	5.0
AO,CXL	12/14	PERSHING SQUARE (PERSGOLDMA)	029	EMC	S	267,700	16.61	n/a	n/a	13385.00	5.0
AO,CRT	12/14	PERSHING SQUARE (PERSGOLDMA)	029	EMC	S	267,700	16.61	n/a	n/a	10708.00	4.0
CRT	12/15	CUMBERLAND (CUMBMS04)	239	FSLR	SS	5,000	139.73	n/a	n/a	200.00	4.0
AO,CXL	12/14	FORD FDN. (FORDMAIN)	032	OSK	B	35,000	35.10	n/a	n/a	1750.00	5.0
AO,CRT	12/14	FORD FDN. (FORDMAIN)	032	OSK	B	35,000	35.10	n/a	n/a	1400.00	4.0
TOTAL (AO, CXL, CRT) :										-2,710.00	
TOTAL (Trade Date) :									211,383.79		
TOTAL (AO, CXL, CRT) :									-2,710.00		
TOTAL (RUN DATE) / NFS:									208,673.79		

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