



Daily Compliance Activity Report

Trade Date: 11/11/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	B	60,000	16.25	n/a	6-Nov	2,400.00	4.0
AAD CAPITAL	048	ALV	SS	17,700	39.55	n/a	21-Oct	708.00	4.0
THOMSON HORSTMAN BRYANT	034	ANN	B	3,000	13.90	n/a	n/a	150.00	5.0
LISTED ERR	099	ANN	B	3,000	13.97	n/a	n/a	0.00	0.0
LISTED ERR	099	ANN	S	3,000	13.90	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	AN	SS	100,000	18.75	n/a	30-Oct	4,000.00	4.0
RBC CAPITAL MARKETS	040	AZO	SS	2,500	147.06	n/a	n/a	100.00	4.0
THOMSON HORSTMAN BRYANT	034	BARE	B	3,000	13.49	n/a	n/a	150.00	5.0
THE JAY GOLDMAN	034	BJ	B	12,500	36.53	n/a	n/a	500.00	4.0
BUCK CAPITAL MGMT	001	BKS	B	50,000	19.97	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	BLK	B	2,500	232.39	n/a	9-Nov	125.00	5.0
TOKIO MARINE ASSET MGMT	045	BMV	B	17,400	23.34	n/a	n/a	696.00	4.0
KACELA CAPITAL	034	CAT	S	33,250	60.01	n/a	21-Oct	1,330.00	4.0
KENNEDY CAPITAL	046	CBK	B	22,900	6.50	n/a	n/a	687.00	3.0
NEWLAND CAPITAL MGT	067	CCK	S	10,000	26.36	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	CELL	B	100,000	7.97	n/a	n/a	3,000.00	3.0
HOTCHKIS & WILEY	035	CNW	S	57,700	33.58	n/a	n/a	2,885.00	5.0
HOTC	035	CNW	S	1,600	33.58	n/a	n/a	80.00	5.0
ADAGE CAPITAL MGMT	030	COH	B	200,000	35.78	n/a	21-Oct	8,000.00	4.0
THIRD COAST CAPITAL	035	COH	B	10,000	35.03	n/a	21-Oct	500.00	5.0
RBC CAPITAL MARKETS	040	COL	B	10,000	52.78	n/a	n/a	400.00	4.0
IVORY CAPITAL	034	CPB	B	50,000	32.98	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	CX	S	20,000	11.80	n/a	n/a	1,000.00	5.0
KOYOTE TRADING LLC	041	C	S	25,000	4.27	n/a	11-Nov	750.00	3.0
CAXTON PART	040	DIS	S	15,238	29.20	n/a	n/a	533.35	3.5
HUTCHIN HILL CAPITAL LP	233	DPS	S	10,000	27.23	n/a	n/a	300.00	3.0
DSG CAPITAL	225	DVN	B	1,000	69.99	n/a	2-Nov	50.00	5.0
NEUBERGER BERMAN	036	EBAY	B	440,180	23.58	n/a	n/a	19,808.10	4.5
M&I FUNDS	047	ECL	B	4,531	46.68	n/a	27-Oct	181.24	4.0
CUMBERLAND	239	EXH	B	25,000	23.10	n/a	2-Nov	1,000.00	4.0
RBC CAPITAL MARKETS	040	FDO	SS	10,000	29.53	n/a	11-Nov	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	FOR	S	5,000	17.59	n/a	5-Nov	250.00	5.0
RBC CAPITAL MARKETS	040	FOR	B	10,000	17.50	n/a	5-Nov	400.00	4.0
DIAMONDBACK CAP MGMT	232	F	B	250,000	8.37	n/a	4-Nov	12,500.00	5.0
THOMSON HORSTMAN BRYANT	034	GES	B	3,000	40.57	n/a	n/a	150.00	5.0
ADAGE CAPITAL MGMT	030	GME	B	50,000	24.34	n/a	n/a	2,000.00	4.0
GREEN ARROW DOUG	040	HANS	B	8,000	34.85	n/a	n/a	320.00	4.0
BUCK CAPITAL MGMT	001	HOG	SS	10,000	27.12	n/a	n/a	400.00	4.0
CAERUS GLOBAL	041	JNY	S	25,000	19.55	n/a	29-Oct	1,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	50,000	34.71	n/a	6-Nov	2,000.00	4.0
EXIS CAPITAL	044	KBH	B	20,000	15.66	n/a	n/a	1,000.00	5.0
HUTCHIN HILL CAPITAL LP	233	KFT	S	20,000	26.92	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	KSS	S	50,000	54.83	n/a	6-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	LL	S	20,000	24.89	n/a	n/a	800.00	4.0
STELLIAM INV ADV	034	LOGI	S	25,000	17.54	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	LPX	B	10,000	6.74	n/a	4-Nov	500.00	5.0
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.23	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOGGIN CAP	039	MOT	S	50,000	8.69	n/a	n/a	2,500.00	5.0
TRUST CO OF THE WEST/NY	040	MOT	B	150,000	8.69	n/a	n/a	6,000.00	4.0
BRIGADE CAPITAL MGMT	029	M	B	50,000	18.25	n/a	6-Nov	1,500.00	3.0
BUCK CAPITAL MGMT	001	M	B	30,000	18.05	n/a	6-Nov	1,200.00	4.0
WEISS PECK	040	M	SS	4,580	18.47	n/a	6-Nov	229.00	5.0
PRINCIPLE CAPITAL	040	NOK	SS	75,000	13.70	n/a	n/a	2,250.00	3.0
COLUMBIA PARTNERS	028	PKG	B	45,429	19.51	n/a	22-Oct	1,817.16	4.0
SCHOTTENFELD ASSOC	041	PKG	B	25,000	19.52	n/a	22-Oct	750.00	3.0
TRELLUS PARTNERS LP	028	PKG	B	50,000	19.52	n/a	22-Oct	2,500.00	5.0
TOKIO MARINE ASSET MGMT	045	PRGO	S	50,900	39.82	n/a	9-Nov	2,036.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	24.09	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	TJX	S	10,000	39.49	n/a	6-Nov	400.00	4.0
KACELA CAPITAL	034	WAG	S	41,000	39.33	n/a	n/a	1,640.00	4.0
THE JAY GOLDMAN	034	WMT	S	10,000	52.73	n/a	10-Nov	400.00	4.0
GRUBER MACBAINE	033	WSM	B	20,000	20.36	n/a	n/a	800.00	4.0
PARTNER REINSURANCE	033	YUM	B	12,300	35.84	n/a	7-Oct	492.00	4.0
CR INTRINIC INVESTMENT	044	ZOLL	S	15,883	22.83	n/a	n/a	635.32	4.0
DAVIDSON INV ADV	035	ZOLL	B	41,095	22.87	n/a	n/a	1,643.80	4.0

TOTAL (Trade Date):

107,996.97

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/11	KACELA CAPITAL (KACEGS)	034	CAT	S	33,250	60.01	n/a	21-Oct	1330.00 4.0
AO,CXL	11/10	SAC TRADING TOM LEDDY (SACHGS)	035	CRI	S	15,310	21.90	n/a	n/a	765.50 5.0
AO,CRT	11/10	SAC TRADING TOM LEDDY (SACHGS)	035	CRI	S	15,310	21.90	n/a	n/a	612.40 4.0
CRT	11/11	CUMBERLAND (CUMBMS04)	239	EXH	B	25,000	23.10	n/a	2-Nov	1000.00 4.0
AO,	11/10	THOMAS WEISEL ASSET MGMT (TWAMSCG03)	035	TWTC	S	2,714	15.05	n/a	n/a	81.42 3.0
AO,	11/10	THOMAS WEISEL ASSET MGMT (TWAMSCG02)	035	TWTC	S	2,319	15.05	n/a	n/a	69.57 3.0
TOTAL (AO, CXL, CRT) :										2,327.89

TOTAL (Trade Date) :	107,996.97
TOTAL (AO, CXL, CRT) :	2,327.89

TOTAL (RUN DATE) / NFS :	110,324.86
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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