



Daily Compliance Activity Report

Trade Date: 11/13/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|--------------|---------------|------------|
| ROXBURY CAPITAL MGMT | 035 | AEO | S | 150,000 | 15.83 | n/a | 6-Nov | 6,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | ALTR | S | 125,940 | 21.13 | n/a | n/a | 5,667.31 | 4.5 |
| WAGONHOUND/NIC | 048 | ALV | S | 1,858 | 39.35 | n/a | 21-Oct | 74.32 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANF | S | 20,000 | 39.87 | n/a | 6-Nov | 800.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | ANF | B | 2,000 | 39.25 | n/a | 6-Nov | 80.00 | 4.0 |
| BNP PARIBAS SEC | 040 | AN | S | 50,000 | 18.30 | n/a | 30-Oct | 2,000.00 | 4.0 |
| CIRCLE T/SES PART | 035 | AN | SS | 25,000 | 18.22 | n/a | 30-Oct | 1,000.00 | 4.0 |
| HUTCHIN HILL CAPITAL LP | 233 | AN | SS | 50,000 | 18.28 | n/a | 30-Oct | 1,500.00 | 3.0 |
| MORTAR ROCK | 033 | AN | SS | 20,000 | 18.19 | n/a | 30-Oct | 800.00 | 4.0 |
| PHILADELPHIA FINANCIAL | 033 | AN | SS | 77,193 | 18.46 | n/a | 30-Oct | 3,087.72 | 4.0 |
| WOOSTER CAPITAL | 035 | AN | SS | 100,000 | 18.21 | n/a | 30-Oct | 5,000.00 | 5.0 |
| PENNANT CAP MGMT | 029 | ART | B | 50,000 | 24.12 | n/a | 13-Nov | 1,500.00 | 3.0 |
| WEINTRAUB CAPITAL MGT. | 040 | ART | B | 100,000 | 24.07 | n/a | 13-Nov | 4,000.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 214 | ATK | S | 7,000 | 86.56 | n/a | n/a | 315.00 | 4.5 |
| CIRCLE T/SES PART | 035 | AXL | B | 14,000 | 6.54 | n/a | 2-Nov | 560.00 | 4.0 |
| MORTAR ROCK | 033 | AXL | SS | 20,000 | 6.62 | n/a | 2-Nov | 800.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | AXL | S | 200,000 | 6.66 | n/a | 2-Nov | 6,000.00 | 3.0 |
| WAGONHOUND/NIC | 048 | AXL | S | 12,798 | 6.62 | n/a | 2-Nov | 383.94 | 3.0 |
| THOMSON HORSTMAN BRYANT | 034 | BARE | S | 31,900 | 14.00 | n/a | n/a | 1,595.00 | 5.0 |

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|-------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| WELLS/STRONG LEDDY | 035 | B | S | 2,000 | 16.81 | n/a | n/a | 80.00 | 4.0 |
| CATAPULT | 040 | CACI | S | 10,000 | 47.52 | n/a | n/a | 500.00 | 5.0 |
| ROSEDALE CAPITAL | 046 | CELG | B | 10,000 | 53.46 | n/a | n/a | 500.00 | 5.0 |
| BERMAN CAPITAL MGMT | 046 | CL | B | 10,000 | 81.08 | n/a | 13-Nov | 300.00 | 3.0 |
| LISTED ERR | 099 | CL | B | 5,000 | 81.08 | n/a | 13-Nov | 0.00 | 0.0 |
| LISTED ERR | 099 | CL | S | 5,000 | 81.25 | n/a | 13-Nov | 0.00 | 0.0 |
| TPG-AXON | 040 | CSX | S | 100,000 | 48.87 | n/a | n/a | 5,000.00 | 5.0 |
| MORTAR ROCK | 033 | DAN | SS | 20,000 | 7.19 | n/a | n/a | 800.00 | 4.0 |
| JMP ASSET MGMT | 210 | DE | B | 5,000 | 48.00 | n/a | n/a | 250.00 | 5.0 |
| CATAPULT | 040 | DOW | SS | 4,380 | 28.49 | n/a | 13-Nov | 175.20 | 4.0 |
| OSS CAPITAL/KEVIN DANN | 067 | DVN | B | 75,000 | 67.28 | n/a | 2-Nov | 3,750.00 | 5.0 |
| THOMSON HORSTMAN BRYANT | 034 | ETH | B | 12,500 | 11.93 | n/a | n/a | 625.00 | 5.0 |
| NUMERIC | 060 | ETN | B | 45,700 | 64.66 | n/a | 20-Oct | 1,371.00 | 3.0 |
| CUMBERLAND | 239 | EXH | B | 10,000 | 22.31 | n/a | 2-Nov | 400.00 | 4.0 |
| BASIX | 033 | FL | S | 37,000 | 10.84 | n/a | n/a | 1,110.00 | 3.0 |
| TRELLUS PARTNERS LP | 028 | FL | B | 50,000 | 10.81 | n/a | n/a | 2,500.00 | 5.0 |
| CATAPULT | 040 | FOE | S | 13,160 | 7.00 | n/a | n/a | 526.40 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|---------------|------------|
| BMO NESBITT BURNS | 041 | F | SS | 50,000 | 8.34 | n/a | 4-Nov | 2,500.00 | 5.0 |
| CASTLEROCK | 040 | F | SS | 302,625 | 8.30 | n/a | 4-Nov | 12,105.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | F | S | 100,000 | 8.35 | n/a | 4-Nov | 5,000.00 | 5.0 |
| LAGRANGE CAP ADV | 048 | F | S | 20,000 | 8.35 | n/a | 4-Nov | 1,000.00 | 5.0 |
| MORTAR ROCK | 033 | F | SS | 25,000 | 8.35 | n/a | 4-Nov | 1,000.00 | 4.0 |
| OZ MGMT | 040 | F | SS | 210,979 | 8.39 | n/a | 4-Nov | 6,329.37 | 3.0 |
| TRELLUS PARTNERS LP | 028 | F | S | 300,000 | 8.41 | n/a | 4-Nov | 9,000.00 | 3.0 |
| WAGONHOUND/NIC | 048 | F | S | 100,000 | 8.29 | n/a | 4-Nov | 3,000.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | GME | B | 10,000 | 23.63 | n/a | n/a | 400.00 | 4.0 |
| JMP ASSET MGMT | 210 | GME | S | 11,700 | 23.61 | n/a | n/a | 585.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GPS | S | 10,000 | 22.18 | n/a | n/a | 400.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | GYMB | C | 15,000 | 41.63 | n/a | 6-Nov | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | HBI | S | 20,000 | 25.88 | n/a | n/a | 800.00 | 4.0 |
| AVESTA CAP | 229 | HD | B | 50,000 | 27.37 | n/a | 13-Nov | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | HOG | B | 20,000 | 26.92 | n/a | n/a | 800.00 | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | HPQ | S | 10,000 | 49.80 | n/a | n/a | 400.00 | 4.0 |
| SCOGGIN CAP | 039 | HRC | B | 66,000 | 22.94 | n/a | n/a | 2,640.00 | 4.0 |
| CATAPULT | 040 | IPI | S | 6,696 | 25.90 | n/a | n/a | 267.84 | 4.0 |
| FARALLON CAP MGMT | 040 | JAVA | B | 100,000 | 8.55 | n/a | n/a | 4,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | JCG | B | 10,000 | 43.00 | n/a | n/a | 400.00 | 4.0 |
| CADIAN CAPITAL | 067 | JCP | B | 25,000 | 31.26 | n/a | 6-Nov | 1,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JWN | B | 10,000 | 33.79 | n/a | 13-Nov | 400.00 | 4.0 |
| COLONIAL FUND LLC | 036 | JWN | B | 25,000 | 33.51 | n/a | 13-Nov | 1,250.00 | 5.0 |
| COUGAR TRADING | 044 | JWN | B | 15,000 | 33.17 | n/a | 13-Nov | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | KSS | B | 10,000 | 55.54 | n/a | 13-Nov | 400.00 | 4.0 |
| AVESTA CAP | 229 | LOW | B | 100,000 | 21.87 | n/a | 13-Nov | 4,000.00 | 4.0 |
| HARVEST MGMT | 039 | LOW | B | 10,000 | 21.67 | n/a | 13-Nov | 500.00 | 5.0 |
| ADAGE CAPITAL MGMT | 030 | LTD | B | 200,000 | 17.88 | n/a | n/a | 8,000.00 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | LVLTT | S | 10,000 | 1.22 | n/a | n/a | 600.00 | 6.0 |
| JMP ASSET MGMT | 210 | MOS | B | 4,000 | 48.97 | n/a | n/a | 200.00 | 5.0 |
| TOCQUEVILLE | 067 | MPS | S | 7,780 | 13.61 | n/a | n/a | 389.00 | 5.0 |
| PAW PARTNERS | 045 | MSFT | S | 10,000 | 29.70 | n/a | n/a | 500.00 | 5.0 |
| MILLENNIUM-ANDEW | 031 | NS | S | 20,000 | 52.78 | n/a | n/a | 1,200.00 | 6.0 |
| BUCK CAPITAL MGMT | 001 | NTY | S | 10,000 | 41.27 | n/a | n/a | 400.00 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | NTY | S | 20,000 | 41.32 | n/a | n/a | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | NWY | S | 30,000 | 3.77 | n/a | n/a | 600.00 | 2.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|--------------|-----------------|------------|
| PHILADELPHIA FINANCIAL | 033 | PAG | SS | 53,223 | 16.36 | n/a | 2-Nov | 2,128.92 | 4.0 |
| MORTAR ROCK | 033 | PII | SS | 2,500 | 45.05 | n/a | n/a | 100.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | PKG | B | 2,500 | 19.09 | n/a | 22-Oct | 125.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | POT | SS | 11,500 | 102.32 | n/a | n/a | 460.00 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | PVH | B | 30,000 | 41.83 | n/a | 2-Nov | 1,200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 10,000 | 80.01 | n/a | 4-Nov | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | SKX | S | 30,000 | 23.74 | n/a | n/a | 1,200.00 | 4.0 |
| PORTER-ORLIN-FELDMAN | 044 | STJ | S | 100,000 | 34.40 | n/a | n/a | 5,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TJX | S | 20,000 | 38.93 | n/a | 6-Nov | 800.00 | 4.0 |
| PORTER-ORLIN-FELDMAN | 044 | TOL | B | 55,400 | 21.00 | n/a | n/a | 2,770.00 | 5.0 |
| EXIS CAPITAL | 044 | TRW | B | 20,000 | 23.03 | n/a | n/a | 1,000.00 | 5.0 |
| AAD CAPITAL | 048 | UFS | SS | 100 | 52.85 | n/a | n/a | 4.00 | 4.0 |
| FARALLON CAP MGMT | 040 | V | S | 65,000 | 80.01 | n/a | 28-Oct | 2,600.00 | 4.0 |
| JMP ASSET MGMT | 210 | WAG | S | 2,000 | 39.46 | n/a | n/a | 100.00 | 5.0 |
| LATEFF MGMT | 035 | WCRX | B | 9,000 | 22.55 | n/a | 13-Nov | 540.00 | 6.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|--------|-------|-----|-------------------|--------------|-----|
| JMP ASSET MGMT | 210 | WSM | B | 15,000 | 19.72 | n/a | n/a | 750.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | 152,595.02 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|--------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO,CRT | 11/12 | AVESTA CAP (AVESDEUTS) | 229 | DD | SS | 200,000 | 33.87 | n/a | 5-Nov | 8000.00 4.0 |
| AO,CXL | 11/12 | AVESTA CAP (AVESGSUSE) | 229 | DD | SS | 200,000 | 33.87 | n/a | 5-Nov | 8000.00 4.0 |
| AO,CXL | 11/10 | MILLENIU PARTNERS (MILPINTREG) | 028 | DF | B | 20,000 | 16.89 | n/a | n/a | 800.00 4.0 |
| AO,CRT | 11/10 | MILLENIU PARTNERS (MILPUSE) | 028 | DF | B | 20,000 | 16.89 | n/a | n/a | 800.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 0.00 |

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|------------------------|------------|
| TOTAL (Trade Date) : | 152,595.02 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

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| TOTAL (RUN DATE) / NFS : | 152,595.02 |
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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