



## Daily Compliance Activity Report

Trade Date: 11/02/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	S	150,000	17.47	n/a	2-Nov	6,000.00	4.0
MILLENIUM PARTNERS	028	AEO	S	10,396	17.67	n/a	2-Nov	415.84	4.0
WAGONHOUND/NIC	048	ALV	S	2,049	34.60	n/a	21-Oct	81.96	4.0
BUCK CAPITAL MGMT	001	ANF	B	80,000	33.05	n/a	2-Nov	3,200.00	4.0
NEW JERSEY DIV OF INV.	030	APOL	B	10,000	57.78	n/a	n/a	300.00	3.0
NEW JERSEY DIV OF INV.	030	ASEI	B	5,000	66.16	n/a	n/a	150.00	3.0
NEW JERSEY DIV OF INV.	030	ATHN	B	200	38.70	n/a	n/a	6.00	3.0
NEW JERSEY DIV OF INV.	030	ATHR	B	20,000	24.55	n/a	n/a	600.00	3.0
LAGRANGE CAP ADV	048	AXL	B	40,000	5.84	n/a	2-Nov	2,000.00	5.0
WAGONHOUND/NIC	048	AXL	S	14,376	6.04	n/a	2-Nov	431.28	3.0
SUFFOLK CAPITAL MGMT	040	BBBY	B	121,200	36.10	n/a	n/a	4,848.00	4.0
ARCHON CAPITAL	035	BBG	B	7,500	31.21	n/a	n/a	225.00	3.0
SMITH MGMT LLC	029	BZ	S	100,000	4.76	n/a	n/a	3,000.00	3.0
LISTED ERR	099	COF	S	5,600	36.86	n/a	28-Oct	0.00	0.0
RBC CAPITAL MARKETS	040	COST	B	5,000	57.59	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	CPB	B	10,000	31.60	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	CTRP	S	100,000	54.10	n/a	n/a	5,000.00	5.0
HUNTER GLOBAL INVESTOR	067	CVS	B	100,000	35.74	n/a	n/a	5,000.00	5.0
ARCHON CAPITAL	035	CZZ	B	50,000	6.77	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	214	DBRN	B	17,287	17.97	n/a	n/a	777.92	4.5
PROSPECTOR PARTNERS LLC	036	DD	B	10,000	31.98	n/a	20-Oct	400.00	4.0
ARCHON CAPITAL	035	DECK	B	5,000	89.49	n/a	n/a	150.00	3.0
THIRD COAST CAPITAL	035	DECK	S	6,500	90.38	n/a	n/a	325.00	5.0
ROTHSCHILD ASSET	040	ELS	B	949	45.26	n/a	n/a	42.71	4.5
EXIS CAPITAL	044	EMR	B	20,000	37.78	n/a	n/a	1,000.00	5.0
KLEINHEINZ CAP PART	031	GG	B	75,000	38.03	n/a	n/a	3,750.00	5.0
EXIS CAPITAL	044	GVA	S	20,000	28.05	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HD</b>	<b>SS</b>	<b>50,000</b>	<b>25.00</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	HOTT	B	20,000	7.50	n/a	n/a	800.00	4.0
NEW JERSEY DIV OF INV.	030	HPQ	S	100,000	48.06	n/a	n/a	4,000.00	4.0
ROYCE TRADING	216	IN	B	5,000	12.27	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	ITC	B	50,000	44.65	n/a	n/a	2,500.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>ITC</b>	<b>B</b>	<b>559</b>	<b>44.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	IWM	B	10,000	56.46	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	JCG	B	10,000	41.22	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>90,000</b>	<b>32.33</b>	<b>n/a</b>	<b>2-Nov</b>	<b>3,600.00</b>	<b>4.0</b>
MILLENIUM PARTNERS	028	KSS	S	2,123	57.65	n/a	2-Nov	84.92	4.0
ROYCE TRADING	216	KSU	B	5,000	24.17	n/a	n/a	250.00	5.0
HOLDEN CAPITAL MGMT	035	LIZ	SS	50,000	5.69	n/a	7-Oct	2,500.00	5.0
SCOPIA CAPITAL	048	LOGI	SS	54,126	17.60	n/a	n/a	2,165.04	4.0
NEW JERSEY DIV OF INV.	030	LOGM	S	10,000	20.05	n/a	n/a	300.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LOW</b>	<b>SS</b>	<b>50,000</b>	<b>19.55</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
GLENHILL CAPITAL	212	LOW	S	300,000	19.63	n/a	n/a	15,000.00	5.0
SCOPUS FUND	041	LPX	B	100,000	5.42	n/a	12-Oct	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>S</b>	<b>30,000</b>	<b>17.79</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
TRELLUS PARTNERS LP	028	LVS	C	30,000	14.59	n/a	30-Oct	1,500.00	5.0
ROYCE TRADING	216	MEI	B	5,000	7.26	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	MSFT	B	125,000	27.96	n/a	n/a	6,250.00	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>MWW</b>	<b>B</b>	<b>100,000</b>	<b>14.16</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
MILLENIUM PARTNERS	028	M	S	6,843	17.73	n/a	2-Nov	273.72	4.0
ARCHON CAPITAL	035	NFX	B	7,000	41.23	n/a	n/a	210.00	3.0
NEW JERSEY DIV OF INV.	030	NOV	S	50,000	41.22	n/a	n/a	2,000.00	4.0
ST OF MICHIAN	047	NOV	S	278,000	41.85	n/a	n/a	8,340.00	3.0
ROYCE TRADING	216	NWY	B	10,000	4.51	n/a	n/a	300.00	3.0
PARTNER REINSURANCE	033	ODP	B	34,550	5.80	n/a	n/a	1,036.50	3.0
ROYCE TRADING	216	OEH	B	51,000	8.69	n/a	n/a	2,550.00	5.0
ROYCE TRADING	216	OSG	B	3,000	38.08	n/a	n/a	150.00	5.0
ROYCE TRADING	216	PAG	S	5,000	15.95	n/a	2-Nov	250.00	5.0
DENVER INST. ADV	046	PRGO	B	88,200	38.14	n/a	2-Nov	3,528.00	4.0
NEW JERSEY DIV OF INV.	030	PVA	B	55,000	19.90	n/a	n/a	2,200.00	4.0
NEW JERSEY DIV OF INV.	030	ROVI	B	40,000	27.72	n/a	n/a	1,200.00	3.0
GRANITE CAPITAL	045	SHAW	S	23,700	25.55	n/a	n/a	1,185.00	5.0
NEW JERSEY DIV OF INV.	030	SHAW	B	30,000	25.58	n/a	n/a	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOLDEN CAPITAL MGMT	035	SHLD	SS	10,000	67.27	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	21.93	n/a	n/a	1,200.00	4.0
FORD FDN.	032	S	B	215,000	2.90	n/a	n/a	6,450.00	3.0
MILLENIUM PARTNERS	028	TGT	S	3,751	48.90	n/a	21-Oct	150.04	4.0
NEW JERSEY DIV OF INV.	030	VZ	B	100,000	29.37	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	30,000	40.30	n/a	2-Nov	1,200.00	4.0
<b>TOTAL (Trade Date):</b>								<b>133,076.93</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/29	LISTED ERR (LISTED ERR)	099	FL	B	3,000	10.72	n/a	n/a	0.00	0.0
AO,CXL	10/30	LISTED ERR (LISTED ERR)	099	FL	S	3,000	10.72	n/a	n/a	0.00	0.0
AO,CRT	10/30	LISTED ERR (LISTED ERR)	099	FL	S	3,000	10.72	n/a	n/a	0.00	0.0
AO,CXL	10/29	LISTED ERR (LISTED ERR)	099	FL	SS	10,000	10.50	n/a	n/a	0.00	0.0
AO,CRT	10/29	LISTED ERR (LISTED ERR)	099	FL	SS	7,000	10.50	n/a	n/a	0.00	0.0
AO,CXL	10/30	PENNANT CAP MGMT (PENAJPMORG)	029	HOLX	B	400,000	14.84	n/a	n/a	12000.00	3.0
AO,CRT	10/30	PENNANT CAP MGMT (PENAMSPB)	029	HOLX	B	400,000	14.84	n/a	n/a	12000.00	3.0
AO,	10/30	LISTED ERR (LISTED ERR)	099	ITC	S	559	44.42	n/a	n/a	0.00	0.0
AO,CXL	10/29	HARVEST MGMT (HARVGSCO)	039	NTRI	S	5,000	21.55	n/a	n/a	250.00	5.0
AO,CRT	10/29	JMP ASSET MGMT (JMPAGS)	210	NTRI	S	5,000	21.55	n/a	n/a	250.00	5.0
AO,CRT	10/30	STANDARD PACIFIC CAPITAL (SPACUBS)	040	SON	S	10,407	26.75	n/a	n/a	520.35	5.0
AO,CXL	10/30	STANDARD PACIFIC CAPITAL (SPACMS)	040	SON	S	10,407	26.75	n/a	n/a	520.35	5.0
TOTAL (AO, CXL, CRT) :										0.00	
TOTAL (Trade Date) :									133,076.93		
TOTAL (AO, CXL, CRT) :									0.00		
TOTAL (RUN DATE) / NFS:									133,076.93		

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