



Daily Compliance Activity Report

Trade Date: 11/16/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMBARDIA CAP MGMT	048	AAI	B	54,804	4.53	n/a	n/a	2,653.60	4.9
AVESTA CAP	229	AA	B	200,000	13.65	n/a	n/a	8,000.00	4.0
PATTEN & PATTEN	067	ACL	B	550	146.87	n/a	13-Nov	27.50	5.0
PATTEN & PATTEN	067	ADM	S	4,450	32.22	n/a	3-Nov	222.50	5.0
PATTEN & PATTEN	067	AEE	S	400	25.75	n/a	n/a	20.00	5.0
BALYASNY ASSET MGMT	044	AEO	B	25,000	16.29	n/a	6-Nov	1,250.00	5.0
ROXBURY CAPITAL MGMT	035	AEO	S	84,830	16.08	n/a	6-Nov	3,393.20	4.0
AAD CAPITAL	048	ALV	SS	4,800	40.55	n/a	21-Oct	192.00	4.0
EXIS CAPITAL	044	ANF	B	5,000	41.84	n/a	16-Nov	250.00	5.0
HUTCHIN HILL CAPITAL LP	233	AN	SS	15,000	18.73	n/a	30-Oct	450.00	3.0
MILLRACE FUND LP	028	ARGN	S	15,000	6.60	n/a	29-Oct	450.00	3.0
ADAGE CAPITAL MGMT	030	ARO	SS	200,000	34.35	n/a	6-Nov	8,000.00	4.0
EXIS CAPITAL	044	ARO	B	2,500	34.16	n/a	6-Nov	125.00	5.0
PENNANT CAP MGMT	029	ART	B	16,712	24.65	n/a	13-Nov	501.36	3.0
PATTEN & PATTEN	067	AVY	S	1,500	39.99	n/a	27-Oct	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	AXL	S	100,000	6.89	n/a	2-Nov	3,000.00	3.0
WAGONHOUND/NIC	048	AXL	S	23,000	6.84	n/a	2-Nov	690.00	3.0
BUCK CAPITAL MGMT	001	BKS	B	60,000	20.56	n/a	n/a	2,400.00	4.0
PATTEN & PATTEN	067	BP	B	1,200	59.33	n/a	n/a	60.00	5.0
IRIDIAN ASSET MGMT.	036	CAT	C	16,420	59.99	n/a	21-Oct	821.00	5.0
ELM RIDGE ADVISORS	044	CBG	S	2,000	11.40	n/a	n/a	80.00	4.0
BUCK CAPITAL MGMT	001	CHS	B	100,000	13.42	n/a	n/a	4,000.00	4.0
GREEN ARROW DOUG	040	CLX	B	20,000	60.07	n/a	3-Nov	1,000.00	5.0
CONIFER/ISF	025	CL	B	5,000	82.14	n/a	13-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	COH	B	50,000	36.46	n/a	21-Oct	2,000.00	4.0
EXIS CAPITAL	044	COH	S	2,500	36.84	n/a	21-Oct	125.00	5.0
SCOGGIN CAP	039	COV	B	33,000	43.93	n/a	n/a	1,650.00	5.0
TPG-AXON	040	CSX	S	150,000	49.61	n/a	n/a	7,500.00	5.0
MARINER/TRICADIA	041	CXW	S	10,000	25.04	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	DBE	S	300	26.25	n/a	n/a	15.00	5.0
EXIS CAPITAL	044	DECK	B	2,500	98.50	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	DECK	SS	2,500	99.24	n/a	n/a	125.00	5.0
SANDLER O'NEILL ASSET	031	DFS	SS	25,000	16.06	n/a	16-Nov	1,250.00	5.0
KACELA CAPITAL	034	ESV	B	18,000	47.40	n/a	n/a	720.00	4.0
THOMSON HORSTMAN BRYANT	034	ETH	B	7,200	12.28	n/a	n/a	360.00	5.0
PATTEN & PATTEN	067	EXC	B	1,050	47.36	n/a	n/a	52.50	5.0
CUMBERLAND	239	EXH	B	15,000	22.66	n/a	2-Nov	600.00	4.0
BMO NESBITT BURNS	041	FOR	B	10,000	18.56	n/a	5-Nov	500.00	5.0
THIRD COAST CAPITAL	035	FOR	B	5,000	18.69	n/a	5-Nov	250.00	5.0
ROSEDALE CAPITAL	046	F	S	50,000	8.64	n/a	4-Nov	2,000.00	4.0
TRELLUS PARTNERS LP	028	F	S	300,000	8.60	n/a	4-Nov	9,000.00	3.0
BUCK CAPITAL MGMT	001	GME	B	20,000	24.15	n/a	n/a	800.00	4.0
ADAGE CAPITAL MGMT	030	GPS	S	400,000	22.51	n/a	n/a	16,000.00	4.0
EXIS CAPITAL	044	GPS	SS	10,000	22.32	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	GYMB	B	5,000	43.30	n/a	16-Nov	250.00	5.0
NEWCASTLE FUNDS	255	HD	S	15,500	27.80	n/a	13-Nov	620.00	4.0
BUCK CAPITAL MGMT	001	HOG	B	20,000	28.00	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	IAT	S	1,200	20.54	n/a	n/a	60.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	IEF	B	550	91.56	n/a	n/a	27.50	5.0
PATTEN & PATTEN	067	ITT	B	100	53.55	n/a	30-Oct	5.00	5.0
WELLS/STRONG LEDDY	035	ITWO	S	10,000	18.55	n/a	n/a	250.00	2.5
SIGMA CAPITAL ASSOCIATES	041	JCP	B	75,000	31.13	n/a	16-Nov	3,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	JNJ	S	67,300	61.74	n/a	n/a	2,355.50	3.5
EXIS CAPITAL	044	JWN	S	7,500	35.02	n/a	13-Nov	375.00	5.0
SCOPUS FUND	041	JWN	B	10,000	34.92	n/a	13-Nov	500.00	5.0
PATTEN & PATTEN	067	KRE	S	155	20.95	n/a	n/a	7.75	5.0
EXIS CAPITAL	044	KSS	B	5,000	56.01	n/a	13-Nov	250.00	5.0
EXIS CAPITAL	044	KSS	S	10,000	55.94	n/a	13-Nov	500.00	5.0
THE JAY GOLDMAN	028	KSS	B	20,000	56.01	n/a	13-Nov	800.00	4.0
METROPOLITAN CAPITAL	044	LMT	S	9,500	77.01	n/a	9-Nov	475.00	5.0
BMO NESBITT BURNS	041	LPX	SS	14,000	6.47	n/a	4-Nov	700.00	5.0
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.22	n/a	n/a	600.00	6.0
PATTEN & PATTEN	067	MIC	S	1,000	9.23	n/a	n/a	50.00	5.0
CIRCLE T/SES PART	035	MPXL	S	10,000	4.80	n/a	11-Nov	400.00	4.0
TOCQUEVILLE	067	MPS	S	4,220	13.62	n/a	n/a	211.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	MSFT	S	100,000	29.62	n/a	n/a	4,000.00	4.0
NEWCASTLE FUNDS	255	MS	S	30,000	34.17	n/a	22-Oct	1,200.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	SS	60,000	26.34	n/a	16-Nov	3,000.00	5.0
FIRST NY SEC/CHRIS	041	MWV	B	10,000	26.46	n/a	16-Nov	500.00	5.0
EXIS CAPITAL	044	M	B	5,000	18.14	n/a	12-Nov	250.00	5.0
EXIS CAPITAL	044	M	S	5,000	18.40	n/a	12-Nov	250.00	5.0
THE JAY GOLDMAN	028	M	S	30,000	18.13	n/a	12-Nov	1,200.00	4.0
EXIS CAPITAL	044	NKE	B	10,000	65.73	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	NTY	S	40,000	42.34	n/a	n/a	1,600.00	4.0
PATTEN & PATTEN	067	OSK	S	200	39.42	n/a	n/a	10.00	5.0
SANDLER O'NEILL ASSET	031	PBCT	S	100,000	16.41	n/a	27-Oct	5,000.00	5.0
TRELLUS PARTNERS LP	028	PKG	S	22,500	19.73	n/a	22-Oct	1,125.00	5.0
BENCHMARK	028	PSEC	B	10,000	10.27	n/a	n/a	400.00	4.0
HIGHFIELDS CAP MGMT	039	PTV	B	150,000	23.98	n/a	n/a	6,000.00	4.0
PATTEN & PATTEN	067	PWR	S	500	20.83	n/a	n/a	25.00	5.0
FIRST NEW YORK NICK	029	Q	S	60,000	3.77	n/a	n/a	3,000.00	5.0
BALYASNY ASSET MGMT	044	RKT	B	20,000	48.66	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	10,000	81.87	n/a	4-Nov	400.00	4.0
EXIS CAPITAL	044	RL	B	2,500	81.62	n/a	4-Nov	125.00	5.0
MADISON ST PARTNERS LLC	046	SKS	S	67,070	6.42	n/a	n/a	2,682.80	4.0
EXIS CAPITAL	044	SSO	B	10,000	37.66	n/a	n/a	500.00	5.0
SCOGGIN CAP	039	STJ	S	33,000	34.57	n/a	n/a	1,650.00	5.0
CHILTON CAPITAL MGMT.	036	SWSI	B	150,000	12.88	n/a	n/a	4,500.00	3.0
BALYASNY ASSET MGMT	044	TIN	B	85,000	17.65	n/a	22-Oct	4,250.00	5.0
TRELLUS PARTNERS LP	028	TIN	S	20,000	17.47	n/a	22-Oct	1,000.00	5.0
EXIS CAPITAL	044	TJX	B	7,500	39.41	n/a	6-Nov	375.00	5.0
AAD CAPITAL	048	UFS	SS	1,000	54.50	n/a	n/a	40.00	4.0
COOKBIELER	028	UMPQ	B	15,000	10.75	n/a	n/a	600.00	4.0
PATTEN & PATTEN	067	VMC	S	521	50.45	n/a	n/a	26.05	5.0
CENTURION PARTNERS	041	VR	S	20,000	25.82	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	VXX	B	600	42.53	n/a	n/a	30.00	5.0
ARAGON GLOBAL	041	V	B	5,273	79.56	n/a	28-Oct	263.65	5.0
PATTEN & PATTEN	067	WFR	S	300	13.47	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WMT	S	400,000	53.03	n/a	12-Nov	16,000.00	4.0
EXIS CAPITAL	044	WMT	SS	5,000	52.92	n/a	12-Nov	250.00	5.0
EXIS CAPITAL	044	WRC	SS	10,000	43.56	n/a	5-Nov	500.00	5.0
PATTEN & PATTEN	067	WY	S	300	39.36	n/a	2-Nov	15.00	5.0
PATTEN & PATTEN	067	XOM	S	800	74.45	n/a	n/a	40.00	5.0
PAW PARTNERS	045	YHOO	B	10,000	16.02	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	ZMH	S	150	56.04	n/a	n/a	7.50	5.0
TOTAL (Trade Date) :								157,750.41	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/13	ROXBURY CAPITAL MGMT (ROXB40520)	035	AEO	S	1,365	15.83	n/a	6-Nov	54.60 4.0
AO,	11/13	ROXBURY CAPITAL MGMT (ROXB40521)	035	AEO	S	1,365	15.83	n/a	6-Nov	54.60 4.0
AO,CXL	11/13	PENNANT CAP MGMT (PENAJPMORG)	029	ART	B	50,000	24.12	n/a	13-Nov	1500.00 3.0
AO,CRT	11/13	PENNANT CAP MGMT (PENAMSPB)	029	ART	B	50,000	24.12	n/a	13-Nov	1500.00 3.0
AO,CXL	11/13	CATAPULT (CATADEUTCH)	040	DOW	SS	4,380	28.49	n/a	13-Nov	175.20 4.0
AO,CRT	11/13	CATAPULT (CATADEUTCH)	040	DOW	SS	4,380	28.49	n/a	13-Nov	219.00 5.0
AO,CXL	11/13	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	DVN	B	75,000	67.28	n/a	16-Nov	3750.00 5.0
AO,	11/13	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	DVN	B	75,000	67.28	n/a	16-Nov	2250.00 3.0
AO,CXL	11/13	CATAPULT (CATADEUTCH)	040	IPI	S	6,696	25.90	n/a	n/a	267.84 4.0
AO,CRT	11/13	CATAPULT (CATADEUTCH)	040	IPI	S	6,696	25.90	n/a	n/a	334.80 5.0
AO,CXL	11/13	FARALLON CAP MGMT (FARABULK F)	040	JAVA	B	100,000	8.55	n/a	n/a	4000.00 4.0
AO,CRT	11/13	FARALLON CAP MGMT (FARABULK F)	040	JAVA	B	100,000	8.55	n/a	n/a	1000.00 1.0
AO,	11/13	HIGHFIELDS CAP MGMT (HIGFGS)	039	PEP	S	100,000	61.53	n/a	n/a	5000.00 5.0
TOTAL (AO, CXL, CRT) :										610.76

TOTAL (Trade Date):	157,750.41
TOTAL (AO, CXL, CRT):	610.76

TOTAL (RUN DATE) / NFS:

158,361.17

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