



Daily Compliance Activity Report

Trade Date: 10/30/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT	001	AAP	SS	10,000	37.40	n/a	n/a	400.00 4.0
PHILADELPHIA FINANCIAL	033	AB	B	64,247	27.19	n/a	30-Oct	2,569.88 4.0
NEW JERSEY DIV OF INV.	030	AMGN	S	20,000	54.62	n/a	n/a	600.00 3.0
MTB INV ADV	034	ARO	B	7,425	38.05	n/a	9-Oct	371.25 5.0
WHITE PINE CAPITAL	030	ART	B	16,850	23.69	n/a	30-Oct	842.50 5.0
NEW JERSEY DIV OF INV.	030	ASEI	B	15,000	66.14	n/a	n/a	450.00 3.0
NEW JERSEY DIV OF INV.	030	ATHN	B	30,000	37.93	n/a	n/a	900.00 3.0
COLONIAL FUND LLC	036	AXL	B	30,000	6.95	n/a	28-Oct	1,200.00 4.0
COOPER CREEK PART	028	AXL	B	15,000	6.29	n/a	28-Oct	450.00 3.0
SUFFOLK CAPITAL MGMT	040	BBBY	B	118,800	35.97	n/a	n/a	4,752.00 4.0
COLUMBIA PARTNERS	028	BBT	SS	9,600	24.42	n/a	n/a	384.00 4.0
TRUST CO/COWEN/CALF.	040	BHI	B	21,335	41.96	n/a	n/a	1,066.75 5.0
SMITH MGMT LLC	029	BZ	S	160,000	4.87	n/a	n/a	4,800.00 3.0
SENATOR INVESTMENT GROUP	036	CBE	B	35,000	38.51	n/a	23-Oct	1,400.00 4.0
ROARING BLUE LION MGMT	012	CGA	SS	8,200	10.95	n/a	n/a	328.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	COF	B	19,400	36.49	n/a	28-Oct	970.00	5.0
LISTED ERR	099	COF	B	5,600	36.63	n/a	28-Oct	0.00	0.0
ROSEDALE CAPITAL	046	COG	B	8,000	39.41	n/a	27-Oct	400.00	5.0
STANDARD PACIFIC CAPITAL	040	COST	B	50,000	57.05	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	214	DBRN	B	32,713	17.99	n/a	n/a	1,472.09	4.5
MILLENIUM PARTNERS	028	DKS	B	10,730	23.32	n/a	15-Oct	429.20	4.0
BAIRD INVESTMENT	047	EL	B	12,115	42.95	n/a	20-Oct	605.75	5.0
TRUST CO/COWEN/CALF.	040	EL	S	200,000	43.60	n/a	20-Oct	10,000.00	5.0
TRUST CO/COWEN/CALF.	040	ESV	B	87,273	45.70	n/a	n/a	4,363.65	5.0
MANNING & NAPIER	034	FINL	B	50,000	10.17	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	FL	S	40,000	10.58	n/a	n/a	1,600.00	4.0
LISTED ERR	099	FL	S	3,000	10.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	10,000	37.06	n/a	n/a	400.00	4.0
BARCLEYS CAP (OLD LEHM)	041	GME	S	50,000	24.18	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	GPI	C	20,000	26.18	n/a	28-Oct	1,000.00	5.0
NEW JERSEY DIV OF INV.	030	GYMB	B	10,000	44.37	n/a	9-Oct	300.00	3.0
ISLE RIDGE PARTNERS	041	HD	SS	15,000	25.31	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PENNANT CAP MGMT	029	HOLX	B	400,000	14.84	n/a	n/a	12,000.00	3.0
SCOPUS FUND	041	IP	B	50,000	23.01	n/a	28-Oct	2,500.00	5.0
RAINIER INV MGMT	035	ITC	B	74,690	44.44	n/a	n/a	3,734.50	5.0
BUCK CAPITAL MGMT	001	JCG	B	5,000	41.06	n/a	n/a	200.00	4.0
MTB INV ADV	034	JCG	B	7,075	40.87	n/a	n/a	353.75	5.0
ADAGE CAPITAL MGMT	030	JCP	SS	75,000	33.91	n/a	9-Oct	3,000.00	4.0
HUNTER GLOBAL INVESTOR	067	JPM	B	50,000	42.07	n/a	15-Oct	2,500.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	40,000	32.14	n/a	30-Oct	1,600.00	4.0
ISLE RIDGE PARTNERS	041	KSS	SS	15,000	57.52	n/a	30-Oct	600.00	4.0
NEW JERSEY DIV OF INV.	030	LMIA	S	20,000	10.94	n/a	n/a	600.00	3.0
PHILADELPHIA FINANCIAL	033	LM	C	20,000	29.26	n/a	26-Oct	800.00	4.0
ROTHSCHILD ASSET	040	LZB	B	110,610	7.35	n/a	n/a	4,977.45	4.5
CIRCLE T/SES PART	035	MGM	B	25,000	9.33	n/a	n/a	1,000.00	4.0
CIRCLE T/SES PART	035	MPEL	B	25,000	5.12	n/a	n/a	1,000.00	4.0
AELTUS/ING INVESTMENT MGT	215	MSFT	B	598,118	28.17	n/a	n/a	20,934.13	3.5
TYEE/TYGH	035	MYL	B	99,861	16.57	n/a	29-Oct	3,994.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NTY	S	10,000	37.70	n/a	n/a	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	39,500	23.17	n/a	n/a	1,382.50	3.5
BUCK CAPITAL MGMT	001	NWY	S	10,000	4.51	n/a	n/a	300.00	3.0
MILLENIUM PARTNERS	028	PETM	B	21,830	23.95	n/a	n/a	873.20	4.0
DENVER INST. ADV	046	PRGO	B	75,000	37.08	n/a	26-Oct	3,000.00	4.0
SUFFOLK CAPITAL MGMT	040	PSSI	S	10,000	20.33	n/a	n/a	300.00	3.0
ISLE RIDGE PARTNERS	041	RCL	SS	35,000	20.31	n/a	n/a	1,400.00	4.0
EXIS CAPITAL	044	ROST	B	15,000	45.03	n/a	n/a	750.00	5.0
STANDARD PACIFIC CAPITAL	040	SON	B	10,407	26.50	n/a	n/a	520.35	5.0
STANDARD PACIFIC CAPITAL	040	SON	S	10,407	26.75	n/a	n/a	520.35	5.0
CUMBERLAND	239	SPY	B	25,000	103.89	n/a	n/a	750.00	3.0
PZENA INV ADV	044	STT	B	6,875	43.69	n/a	23-Oct	240.63	3.5
HUNTER GLOBAL INVESTOR	067	STZ	B	75,000	15.92	n/a	n/a	3,000.00	4.0
ISLE RIDGE PARTNERS	041	SYI	SS	10,000	26.83	n/a	n/a	400.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	66,551	15.34	n/a	22-Oct	1,996.53	3.0
NEW JERSEY DIV OF INV.	030	TIVO	S	50,000	11.02	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	TJX	SS	25,000	38.25	n/a	21-Oct	1,000.00	4.0
ROTHSCHILD ASSET	040	UNS	S	20,905	29.27	n/a	n/a	940.75	4.5
MTB INV ADV	034	URBN	B	23,225	31.53	n/a	n/a	1,161.25	5.0
HUNTER GLOBAL INVESTOR	067	V	B	200,000	75.98	n/a	28-Oct	10,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	5,000	40.69	n/a	2-Oct	200.00	4.0
TRELLUS PARTNERS LP	028	WYNN	B	5,000	55.44	n/a	28-Oct	250.00	5.0
OZ MGMT	040	WY	S	62,337	37.12	n/a	12-Oct	1,870.11	3.0
T. ROWE PRICE	033	WY	B	32,100	36.42	n/a	12-Oct	1,284.00	4.0
CAXTON PART	040	XTO	S	15,288	41.20	n/a	n/a	535.10	3.5
EXIS CAPITAL	044	ZQK	B	25,000	1.99	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):							144,274.11		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/29	SMITH MGMT LLC (SMITJPMORG)	029	BZ	S	190,000	5.20	n/a	n/a	9500.00 5.0
AO,CRT	10/29	SMITH MGMT LLC (SMITJPMORG)	029	BZ	S	190,000	5.20	n/a	n/a	5700.00 3.0
AO,	10/29	LISTED ERR (LISTED ERR)	099	FL	B	3,000	10.72	n/a	n/a	0.00 0.0
AO,CXL	10/29	ROARING BLUE LION MGMT (ROARMAIN)	012	FL	B	10,000	10.50	n/a	n/a	400.00 4.0
AO,CRT	10/29	ROARING BLUE LION MGMT (ROARMAIN)	012	FL	B	7,000	10.50	n/a	n/a	280.00 4.0
AO,CXL	10/29	BRIGADE CAPITAL MGMT (BRICGS)	029	JNY	B	25,000	17.45	n/a	29-Oct	1250.00 5.0
AO,	10/29	BRIGADE CAPITAL MGMT (BRICGS)	029	JNY	B	25,000	17.45	n/a	29-Oct	750.00 3.0
AO,CXL	10/29	BRIGADE CAPITAL MGMT (BRICGS)	029	OMX	B	100,000	10.81	n/a	n/a	5000.00 5.0
AO,	10/29	BRIGADE CAPITAL MGMT (BRICGS)	029	OMX	B	100,000	10.81	n/a	n/a	3000.00 3.0
AO,CXL	10/29	HIGHBRIDGE CAP (HIBCCSFB)	041	SNV	S	200,000	2.35	n/a	n/a	8000.00 4.0
AO,CRT	10/29	HIGHBRIDGE CAP (HIBCUBSNEW)	041	SNV	S	200,000	2.35	n/a	n/a	4000.00 2.0
AO,CXL	10/29	NEW JERSEY DIV OF INV. (NEWJ5140)	030	YHOO	S	100,000	16.01	n/a	n/a	3000.00 3.0
AO,CRT	10/29	NEW JERSEY DIV OF INV. (NEWJ5140)	030	YHOO	S	100,000	16.01	n/a	n/a	3000.00 3.0
TOTAL (AO, CXL, CRT) :										-10,420.00

TOTAL (Trade Date):	144,274.11
TOTAL (AO, CXL, CRT):	-10,420.00

TOTAL (RUN DATE) / NFS:

133,854.11

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