



Daily Compliance Activity Report

Trade Date: 11/20/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
M&I FUNDS	047	AMP	B	11,600	37.53	n/a	n/a	464.00	4.0
HOLLIS CAPITAL	033	AN	S	5,000	17.73	n/a	30-Oct	250.00	5.0
HUTCHIN HILL CAPITAL LP	233	AN	B	65,000	17.74	n/a	30-Oct	1,950.00	3.0
WOOSTER CAPITAL	035	AN	B	100,000	17.78	n/a	30-Oct	5,000.00	5.0
OVERLAND PARK CAP	041	BKC	SS	15,000	17.50	n/a	29-Oct	600.00	4.0
GEORGE WEISS	034	BNE	S	25,000	6.02	n/a	n/a	750.00	3.0
JP MORGAN VENTURES	046	CAT	B	10,000	57.29	n/a	21-Oct	500.00	5.0
WELLS/STRONG LEDDY	035	CHRD	B	15,000	2.99	n/a	n/a	450.00	3.0
CAMBIAR CAP	046	CL	S	74,975	84.69	n/a	13-Nov	2,999.00	4.0
CAMP	046	CL	S	25	84.69	n/a	13-Nov	1.00	4.0
BUCK CAPITAL MGMT	001	COH	B	30,000	33.63	n/a	21-Oct	1,200.00	4.0
WAGONHOUND/NIC	048	CVGI	B	8,767	5.21	n/a	n/a	263.01	3.0
SONTERRA CAP	041	CVS	B	15,000	31.41	n/a	n/a	600.00	4.0
CHILTON CAPITAL MGMT.	036	DELL	C	100,000	14.59	n/a	n/a	3,000.00	3.0
OVERLAND PARK CAP	041	DRI	SS	45,000	31.33	n/a	2-Oct	1,800.00	4.0
ROSEDALE CAPITAL	046	DVN	B	20,000	67.95	n/a	16-Nov	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	DW	C	31,381	19.82	n/a	n/a	941.43	3.0
CUMBERLAND	239	EXH	B	7,000	21.04	n/a	2-Nov	280.00	4.0
CONIFER/ISF	025	FL	B	10,000	10.34	n/a	19-Nov	500.00	5.0
RWC PARTNERS LTD	067	F	B	1,350,000	8.64	n/a	4-Nov	40,500.00	3.0
EXIS CAPITAL	044	GYMB	S	20,000	41.37	n/a	19-Nov	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	10,000	41.09	n/a	19-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	HBI	S	20,000	24.45	n/a	n/a	800.00	4.0
ELM RIDGE ADVISORS	044	IP	S	313,900	24.73	n/a	28-Oct	12,556.00	4.0
M&I FUNDS	047	IVZ	B	19,600	22.26	n/a	19-Nov	784.00	4.0
SYSTEMATIC FINANCIAL MGT	035	IVZ	S	194,100	22.21	n/a	19-Nov	6,793.50	3.5
SIGMA CAPITAL ASSOCIATES	041	JCG	SS	40,000	40.30	n/a	n/a	1,600.00	4.0
GCORE MANAGEMENT	041	JCI	SS	30,000	26.92	n/a	28-Oct	1,500.00	5.0
THE JAY GOLDMAN	028	JCP	B	50,000	29.45	n/a	16-Nov	2,000.00	4.0
COUGAR TRADING	044	JWN	S	10,000	33.90	n/a	13-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	M	B	30,000	17.26	n/a	12-Nov	1,200.00	4.0
ROTHSCHILD ASSET	040	NJR	B	10,600	35.29	n/a	n/a	477.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	ONNN	S	24,679	7.73	n/a	n/a	740.37	3.0
MELLON/BANK OF NEW YORK	046	PFE	B	8,000	18.25	n/a	n/a	400.00	5.0
CASTLEROCK	040	SHLD	B	37,904	73.62	n/a	n/a	1,516.16	4.0
BAIRD INVESTMENT	047	SPLS	S	18,175	22.61	n/a	n/a	908.75	5.0
JP MORGAN VENTURES	046	TRA	B	30,000	38.78	n/a	n/a	1,500.00	5.0
AVESTA CAP	229	WMT	SS	200,000	54.14	n/a	12-Nov	8,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	42.15	n/a	5-Nov	800.00	4.0
TOTAL (Trade Date) :								106,524.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/19	ROTHSCHILD ASSET (ROTH3762)	040	APA	S	430	97.40	n/a	2-Nov	19.35 4.5
AO,CXL	11/19	ROTHSCHILD ASSET (ROTH3761)	040	APA	S	430	97.40	n/a	2-Nov	19.35 4.5
AO,CXL	11/19	TROOB CAPITAL (TROOBSPB)	067	BZ	B	30,000	4.85	n/a	n/a	900.00 3.0
AO,	11/19	TROOB CAPITAL (TROOBSPB)	067	BZ	B	30,000	4.85	n/a	n/a	900.00 3.0
AO,	11/19	WELLS/STRONG LEDDY (WCAP237705)	035	CHRD	B	5,775	3.23	n/a	n/a	144.38 2.5
AO,	11/19	WELLS/STRONG LEDDY (WCAP151730)	035	CHRD	B	4,400	3.23	n/a	n/a	110.00 2.5
AO,	11/19	WELLS/STRONG LEDDY (WCAP151770)	035	CHRD	B	1,100	3.23	n/a	n/a	27.50 2.5
AO,	11/19	WELLS/STRONG LEDDY (WCAP151753)	035	CHRD	B	25	3.23	n/a	n/a	0.63 2.5
AO,	11/19	WELLS/STRONG LEDDY (WCAPWC1877)	035	CHRD	B	3,400	3.23	n/a	n/a	85.00 2.5
AO,	11/19	WELLS/STRONG LEDDY (WCAPWC1729)	035	CHRD	B	300	3.23	n/a	n/a	7.50 2.5
AO,CRT	11/19	STELLIAM INV ADV (STLLGSBULK)	034	CSCO	S	25,000	23.58	n/a	n/a	1250.00 5.0
AO,CXL	11/19	STELLIAM INV ADV (STLLMSEXEC)	034	CSCO	S	25,000	23.58	n/a	n/a	1250.00 5.0
CRT	11/20	CUMBERLAND (CUMBMS04)	239	EXH	B	7,000	21.04	n/a	2-Nov	280.00 4.0
AO,	11/19	CRAMER ROSENTHAL/SCOTT (CRSB3161)	012	SJM	S	200	53.19	n/a	n/a	8.00 4.0
AO,CXL	11/19	CRAMER ROSENTHAL/SCOTT (CRSB3161)	012	SJM	S	200	53.19	n/a	n/a	8.00 4.0
TOTAL (AO, CXL, CRT) :										655.01

TOTAL (Trade Date):	106,524.22
TOTAL (AO, CXL, CRT):	655.01

TOTAL (RUN DATE) / NFS:

107,179.23

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