



Daily Compliance Activity Report

Trade Date: 09/23/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ISLE RIDGE PARTNERS	041	ALV	SS	9,200	35.59	10-Jun	23-Sep	368.00	4.0
NWLX	047	APA	S	20,100	91.88	21-Sep	21-Sep	603.00	3.0
EXIS CAPITAL	044	ATVI	S	25,000	12.62	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	AZO	B	20,000	146.80	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	BBY	S	10,000	38.40	n/a	27-Jul	500.00	5.0
NWLX	047	BHP	S	232,400	66.21	n/a	n/a	6,972.00	3.0
SANDLER O'NEILL ASSET	031	BK	S	74,700	29.97	11-May	21-Sep	3,735.00	5.0
NWLX	047	BTU	S	25,000	38.94	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	BWA	B	75,000	31.23	3-Aug	24-Aug	3,750.00	5.0
DIAMONDBACK CAP MGMT	232	BWA	S	15,000	31.17	3-Aug	24-Aug	750.00	5.0
NWLX	047	CAM	S	26,000	38.61	n/a	n/a	780.00	3.0
KACELA CAPITAL	034	COH	B	40,000	32.99	n/a	29-Jul	1,600.00	4.0
NWLX	047	COP	S	28,800	46.23	n/a	n/a	864.00	3.0
KENNEDY CAPITAL	046	DDS	B	50,000	14.92	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	DECK	B	4,866	83.63	n/a	n/a	243.30	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWLX	047	EOG	S	14,200	83.07	n/a	n/a	426.00	3.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.91	n/a	n/a	1,200.00	6.0
DIAMONDBACK CAP MGMT	232	EV	SS	10,000	27.96	19-May	23-Sep	500.00	5.0
STADIA CAPITAL	035	EV	B	22,500	28.76	19-May	23-Sep	900.00	4.0
NWLX	047	FCX	S	60,100	72.21	n/a	n/a	1,803.00	3.0
MILLRACE FUND LP	028	FL	B	5,000	11.83	21-Sep	21-Sep	200.00	4.0
SCOPUS FUND	041	F	S	25,000	7.32	27-Aug	2-Sep	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	F	B	300,000	7.40	27-Aug	2-Sep	9,000.00	3.0
S.A.C. CAP/ORENSTEIN	044	GE	SS	250,000	17.15	n/a	n/a	10,000.00	4.0
KACELA CAPITAL	034	GOOG	B	2,500	506.25	n/a	n/a	100.00	4.0
EXIS CAPITAL	044	GPS	B	10,000	22.47	n/a	30-Jan	500.00	5.0
EXIS CAPITAL	044	GYMB	S	2,500	50.51	21-Sep	21-Sep	125.00	5.0
GREEN ARROW CAPITAL	034	HCBK	B	100,000	13.60	n/a	22-Sep	4,000.00	4.0
SCHOTTENFELD ASSOC	041	IP	B	20,000	22.63	16-Sep	16-Sep	600.00	3.0
MERRILL ASSET/BLACKROCK	214	JACK	B	13,000	20.99	n/a	n/a	585.00	4.5
EXIS CAPITAL	044	JCP	B	5,000	34.26	13-Apr	21-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	JWN	S	5,000	31.92	n/a	23-Sep	250.00	5.0
M&I FUNDS	047	KMB	B	24,836	58.59	27-Jul	27-Jul	993.44	4.0
EXIS CAPITAL	044	KSS	B	10,000	54.94	21-Sep	21-Sep	500.00	5.0
CATAPULT	040	LLL	SS	25,000	80.95	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	LPX	B	30,000	7.22	23-Sep	23-Sep	1,200.00	4.0
TRELLUS PARTNERS LP	028	LPX	C	70,000	7.22	23-Sep	23-Sep	2,100.00	3.0
ARCHON CAPITAL	035	MIDD	B	30,000	56.49	23-Sep	23-Sep	900.00	3.0
BASIX	033	MIDD	B	11,000	56.50	23-Sep	23-Sep	330.00	3.0
OZ MGMT	040	MOT	S	110,053	8.63	n/a	n/a	3,301.59	3.0
NWLX	047	MRO	S	53,500	33.09	n/a	n/a	1,605.00	3.0
BRIGADE CAPITAL MGMT	029	M	B	200,000	18.81	21-Sep	21-Sep	6,000.00	3.0
EXIS CAPITAL	044	M	B	5,000	18.45	21-Sep	21-Sep	250.00	5.0
NWLX	047	NEM	S	43,000	44.30	n/a	n/a	1,290.00	3.0
NWLX	047	NOV	S	34,700	43.72	n/a	n/a	1,041.00	3.0
SIGMA CAP BOBBY	044	NVS	B	25,000	48.96	n/a	n/a	1,000.00	4.0
NWLX	047	OXY	S	13,700	77.20	n/a	n/a	411.00	3.0
PERMIAN/BAYPIONT	028	PAG	B	65,840	17.62	n/a	30-Jul	2,633.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	PCAR	SS	20,000	37.48	n/a	29-Jul	800.00	4.0
ROTHSCHILD ASSET	040	PFG	B	18,270	27.39	n/a	n/a	822.17	4.5
EXIS CAPITAL	044	PVH	S	5,000	42.85	21-Sep	21-Sep	250.00	5.0
SCOPIA CAPITAL	048	PWR	B	49,800	23.47	n/a	n/a	1,992.00	4.0
NWLX	047	RIG	S	11,600	85.38	n/a	n/a	348.00	3.0
NWLX	047	RTP	S	45,000	178.83	n/a	n/a	1,350.00	3.0
SAC ADV/LEE	044	SCHW	SS	150,000	19.01	n/a	n/a	6,000.00	4.0
NWLX	047	SLB	S	24,500	60.75	n/a	n/a	735.00	3.0
SAC ADV/LEE	044	SNDK	S	50,000	23.01	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	SUP	B	20,000	14.16	10-Aug	10-Aug	1,000.00	5.0
TROUBH PART	067	SUP	B	1,400	14.25	10-Aug	10-Aug	70.00	5.0
PROSPECTOR PARTNERS LLC	036	SVU	B	10,000	15.45	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	TIF	B	10,000	38.02	n/a	30-Jan	500.00	5.0
NWLX	047	TOT	S	28,900	61.43	n/a	n/a	867.00	3.0
ISLE RIDGE PARTNERS	041	TUP	B	7,900	40.00	n/a	n/a	316.00	4.0
NWLX	047	UPL	S	12,700	51.91	n/a	15-Sep	381.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	USB	B	20,000	22.37	n/a	n/a	1,000.00	5.0
NWLX	047	VLO	S	37,200	20.05	n/a	n/a	1,116.00	3.0
NWLX	047	WFT	S	40,200	22.14	n/a	n/a	1,206.00	3.0
S.A.C. CAP/ORENSTEIN	044	XLI	B	250,000	27.06	n/a	n/a	10,000.00	4.0
NWLX	047	XOM	S	37,600	69.57	n/a	n/a	1,128.00	3.0
NWLX	047	XTO	S	31,400	43.11	n/a	n/a	942.00	3.0
TOTAL (Trade Date) :								114,683.10	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/22	STELLIAM INV ADV (STLLGSBULK)	034	BAC	B	25,000	17.63	11-May	21-Sep	1250.00	5.0
AO,CRT	09/22	STELLIAM INV ADV (STLLMSEXEC)	034	BAC	B	25,000	17.63	11-May	21-Sep	1250.00	5.0
AO,	09/22	ROTHSCHILD ASSET (ROTH100220)	040	BK	S	120	29.56	11-May	21-Sep	5.40	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH3762)	040	BK	S	1,150	29.56	11-May	21-Sep	51.75	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH384)	040	BK	S	630	29.56	11-May	21-Sep	28.35	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100300)	040	BK	S	730	29.56	11-May	21-Sep	32.85	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100270)	040	BK	S	1,990	29.56	11-May	21-Sep	89.55	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100280)	040	BK	S	810	29.56	11-May	21-Sep	36.45	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100230)	040	BK	S	41	29.56	11-May	21-Sep	1.85	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100250)	040	BK	S	410	29.56	11-May	21-Sep	18.45	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100260)	040	BK	S	540	29.56	11-May	21-Sep	24.30	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100200)	040	BK	S	810	29.56	11-May	21-Sep	36.45	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100170)	040	BK	S	410	29.56	11-May	21-Sep	18.45	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100150)	040	BK	S	270	29.56	11-May	21-Sep	12.15	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100120)	040	BK	S	120	29.56	11-May	21-Sep	5.40	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100100)	040	BK	S	40	29.56	11-May	21-Sep	1.80	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH316)	040	BK	S	1,570	29.56	11-May	21-Sep	70.65	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100160)	040	BK	S	320	29.56	11-May	21-Sep	14.40	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100110)	040	BK	S	260	29.56	11-May	21-Sep	11.70	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH357)	040	BK	S	900	29.56	11-May	21-Sep	40.50	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH100180)	040	BK	S	14,190	29.56	11-May	21-Sep	638.55	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH000328)	040	BK	S	400	29.56	11-May	21-Sep	18.00	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH3841)	040	BK	S	400	29.56	11-May	21-Sep	18.00	4.5
AO,	09/22	ROTHSCHILD ASSET (ROTH3793)	040	BK	S	390	29.56	11-May	21-Sep	17.55	4.5
AO,CRT	09/22	MILLENIUM PARTNERS (MILPINTREG)	028	BYD	SS	30,000	12.19	n/a	7-Aug	1200.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/22	MILLENIUM PARTNERS (MILPUSE)	028	BYD	SS	30,000	12.19	n/a	7-Aug	1200.00 4.0
AO,CXL	09/18	TRAFELET & COMP. (TRAFMORGAN)	028	HBAN	S	250,000	4.28	n/a	n/a	7500.00 3.0
AO,	09/18	TRAFELET & COMP. (TRAFMORGAN)	028	HBAN	S	250,000	4.28	n/a	n/a	10000.00 4.0
AO,CXL	09/22	WILLOW CREEK (WILLMAIN4C)	033	QCOR	B	10,000	5.45	n/a	n/a	300.00 3.0
AO,CRT	09/22	WILLOW CREEK (WILLMAIN4C)	033	QCOR	B	10,000	5.45	n/a	n/a	400.00 4.0
AO,CXL	09/21	GREEN ARROW DOUG (GADRCSUSE)	040	SAH	S	25,000	9.55	n/a	6-Apr	1250.00 5.0
AO,CRT	09/21	GREEN ARROW DOUG (GADRCSUSE)	040	SAH	S	25,000	9.55	n/a	6-Apr	1000.00 4.0

TOTAL (AO, CXL, CRT) :	3,542.55
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TOTAL (Trade Date) :	114,683.10
TOTAL (AO, CXL, CRT) :	3,542.55

TOTAL (RUN DATE) / NFS :	118,225.65
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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