



Daily Compliance Activity Report

Trade Date: 10/06/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	5,000	16.68	n/a	5-Oct	250.00	5.0
RAIL-SPLITTER	031	AMG	B	10,200	64.99	n/a	6-Oct	510.00	5.0
SUN AMERICA ASSET MGMT	030	AMZN	S	700	88.93	n/a	n/a	28.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	31.15	n/a	5-Oct	800.00	4.0
NUMERIC	060	AOI	S	24,600	4.66	n/a	n/a	738.00	3.0
BUCK CAPITAL MGMT	001	ARO	B	1,350	43.32	n/a	5-Oct	54.00	4.0
CIRCLE T/SES PART	035	AXL	S	20,000	7.03	n/a	n/a	800.00	4.0
OZ MGMT	040	AXL	S	95,380	7.08	n/a	n/a	2,861.40	3.0
EXIS CAPITAL	044	BKE	S	5,000	34.71	n/a	n/a	250.00	5.0
SANDLER O'NEILL ASSET	031	COF	SS	25,000	36.36	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	DECK	B	2,500	79.87	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	DHR	B	30,000	65.86	n/a	n/a	1,200.00	4.0
MACKLOWE ASSET MGMT	041	EAT	S	25,000	14.95	n/a	n/a	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	EFX	S	4,300	28.20	n/a	n/a	172.00	4.0
CONIFER/ISF	025	EMC	S	4,200	17.47	n/a	n/a	210.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	EMC	B	200,000	17.35	n/a	n/a	10,000.00	5.0
CUMBERLAND	038	EMR	S	15,000	39.09	n/a	n/a	600.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.75	n/a	n/a	1,200.00	6.0
SACC-FISHER	044	FLR	B	25,000	47.97	n/a	n/a	1,000.00	4.0
NUMERIC	060	FL	S	31,700	11.77	n/a	n/a	951.00	3.0
WEISS PECK	040	FL	B	60,000	11.78	n/a	n/a	3,000.00	5.0
WHALE ROCK CAP	030	FL	B	5,000	11.80	n/a	n/a	200.00	4.0
THIRD COAST CAPITAL	035	FOR	B	20,000	17.23	n/a	n/a	1,000.00	5.0
GREEN ARROW DOUG	040	GE	SS	5,000	16.37	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	GPS	B	5,000	21.61	n/a	n/a	250.00	5.0
NEWCASTLE FUNDS	255	GR	S	32,300	52.84	n/a	n/a	1,292.00	4.0
GREEN ARROW DOUG	040	HANS	SS	3,000	35.99	n/a	n/a	150.00	5.0
EXIS CAPITAL	044	HBAN	S	20,000	4.67	n/a	n/a	1,000.00	5.0
CONIFER/ISF	025	HOGS	B	3,900	14.10	n/a	n/a	195.00	5.0
BUCK CAPITAL MGMT	001	HOT	B	50,000	32.10	n/a	n/a	2,000.00	4.0
RWC PARTNERS LTD	067	ITW	B	242,800	43.69	n/a	n/a	7,284.00	3.0
SANDLER O'NEILL ASSET	031	IVZ	B	24,000	23.00	n/a	6-Oct	1,200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	IWM	SS	3,000	59.82	n/a	n/a	150.00	5.0
SANDLER O'NEILL ASSET	031	JNS	B	50,000	13.92	n/a	6-Oct	2,500.00	5.0
EXIS CAPITAL	044	JWN	B	5,000	31.92	n/a	5-Oct	250.00	5.0
MACKLOWE ASSET MGMT	041	JWN	B	25,000	31.91	n/a	5-Oct	1,000.00	4.0
MACKLOWE ASSET MGMT	041	KO	B	20,000	54.26	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	56.54	n/a	5-Oct	400.00	4.0
GREEN ARROW DOUG	040	LIZ	S	25,000	4.92	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	LM	SS	25,000	30.70	n/a	6-Oct	1,250.00	5.0
MACKLOWE ASSET MGMT	041	LVS	B	25,000	17.37	n/a	n/a	1,000.00	4.0
ROTHSCHILD ASSET	040	LZB	B	8,860	8.35	n/a	n/a	398.70	4.5
AVESTA CAP	229	MGM	SS	100,000	12.05	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	MGM	SS	20,000	12.05	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	214	MKSI	B	8,000	19.34	n/a	n/a	360.00	4.5
T. ROWE PRICE	033	MWV	S	32,000	22.88	n/a	n/a	1,280.00	4.0
RBC CAPITAL MARKETS	040	M	SS	10,000	18.81	n/a	5-Oct	400.00	4.0
SUN AMERICA ASSET MGMT	030	NCMI	S	3,600	16.44	n/a	n/a	144.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	NEM	B	200,000	46.25	n/a	n/a	8,000.00	4.0
UNITED STATES PENSION	032	NKE	B	90,000	63.93	n/a	n/a	4,500.00	5.0
HOLDEN CAPITAL MGMT	035	NLY	S	30,000	17.42	n/a	n/a	1,500.00	5.0
IRIDIAN ASSET MGMT.	036	PKG	B	108,270	20.23	n/a	2-Oct	5,413.50	5.0
BUCK CAPITAL MGMT	001	PSS	B	20,000	18.31	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	PSUN	S	15,000	5.10	n/a	n/a	750.00	5.0
SUN AMERICA ASSET MGMT	030	QCOM	S	300	42.74	n/a	n/a	12.00	4.0
CATAPULT	040	RBA	S	14,800	23.53	n/a	n/a	740.00	5.0
BUCK CAPITAL MGMT	001	RCL	S	47,100	23.97	n/a	n/a	1,884.00	4.0
BUCK CAPITAL MGMT	001	RL	B	10,000	74.79	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	SPR	SS	10,000	17.91	n/a	n/a	500.00	5.0
FRONTIER	039	SWKS	B	393,800	12.36	n/a	n/a	15,752.00	4.0
ASCEND PARTNERS	033	TGT	B	70,000	47.98	n/a	6-Oct	3,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	161,000	16.66	n/a	2-Oct	8,050.00	5.0
NEWCASTLE FUNDS	255	TIN	B	50,000	16.85	n/a	2-Oct	2,000.00	4.0
ASCEND PARTNERS	033	TJX	S	15,000	38.42	n/a	5-Oct	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TLB	B	50,000	9.37	n/a	n/a	1,500.00	3.0
KENNEDY CAPITAL	046	VCI	S	100,000	18.86	n/a	n/a	4,000.00	4.0
SCOPUS FUND	041	VCI	B	10,000	18.71	n/a	n/a	500.00	5.0
LISTED ERR	099	VCI	B	5,200	18.91	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	VRSN	S	12,400	23.83	n/a	n/a	496.00	4.0
UBS OCONNOR	031	WDR	B	75,000	28.12	n/a	6-Oct	2,250.00	3.0
SIGMA CAPITAL ASSOCIATES	041	WSM	S	135,052	21.11	n/a	n/a	5,402.08	4.0
NEWCASTLE FUNDS	255	YUM	C	86,000	35.19	n/a	6-Oct	3,440.00	4.0
TOTAL (Trade Date):								129,942.68	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	DSM CAPITAL PARTNERS (DSMCSTRSFI)	032	MCD	B	2,400	56.95	n/a	2-Oct	120.00 5.0
AO,CXL	10/05	DSM CAPITAL PARTNERS (DSMCCALSTR)	032	MCD	B	2,400	56.95	n/a	2-Oct	120.00 5.0
AO,CXL	10/05	CUMBERLAND (CUMBMS04)	038	SMH	B	25,000	24.55	n/a	n/a	1000.00 4.0
AO,CRT	10/05	CUMBERLAND (CUMBMS04)	038	SMH	B	25,000	24.55	n/a	n/a	750.00 3.0
TOTAL (AO, CXL, CRT) :										-250.00

TOTAL (Trade Date) :	129,942.68
TOTAL (AO, CXL, CRT) :	-250.00

TOTAL (RUN DATE) / NFS :	129,692.68
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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