



Daily Compliance Activity Report

Trade Date: 09/30/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	10,000	12.75	n/a	31-Jul	500.00	5.0
GREEN ARROW CAPITAL	034	AMG	B	10,000	64.70	3-Aug	23-Sep	400.00	4.0
EXIS CAPITAL	044	AMR	S	25,000	7.87	n/a	n/a	0.00	0.0
SOUTH POINT CAP	067	AMSC	B	25,000	32.69	n/a	n/a	1,250.00	5.0
NEWLAND CAPITAL MGT	067	ANW	S	3,300	23.25	n/a	n/a	132.00	4.0
LAGRANGE CAP ADV	048	AN	B	2,686	17.60	3-Aug	5-Aug	134.30	5.0
DIAMONDBACK CAP MGMT	232	AXP	S	25,000	34.61	24-Sep	30-Sep	1,250.00	5.0
EXIS CAPITAL	044	BBY	B	5,000	37.28	n/a	27-Jul	250.00	5.0
EXIS CAPITAL	044	BKE	S	3,345	34.05	n/a	n/a	167.25	5.0
SAXON WOODS ADVISORS	038	BKE	B	10,600	34.08	n/a	n/a	424.00	4.0
SCOPUS FUND	041	BUCY	B	15,000	35.55	n/a	27-Jul	750.00	5.0
NEWCASTLE FUNDS	255	CAB	B	20,000	13.36	n/a	n/a	800.00	4.0
CLOVIS CAPITAL	012	CAT	SS	100,000	50.78	n/a	5-Aug	4,000.00	4.0
CATAPULT	040	CE	SS	25,000	24.83	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	DECK	B	4,439	83.46	n/a	n/a	221.95	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	DIS	SS	545,000	27.40	n/a	n/a	27,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	B	25,000	48.59	21-Sep	24-Sep	1,000.00	4.0
IRONBOUND CAPITAL	012	DRI	B	71,000	33.02	17-Sep	30-Sep	2,130.00	3.0
CONIFER/ISF	025	EMC	S	1,000	17.20	n/a	n/a	50.00	5.0
BMO NESBITT BURNS	041	ENDP	B	3,000	22.31	n/a	30-Sep	90.00	3.0
NEWLAND CAPITAL MGT	067	ENTG	S	25,000	4.93	n/a	n/a	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	EV	C	50,000	28.08	19-May	23-Sep	2,500.00	5.0
BASIX	033	FL	B	32,000	11.99	21-Sep	25-Sep	960.00	3.0
EXIS CAPITAL	044	FL	B	20,000	12.24	21-Sep	25-Sep	1,000.00	5.0
PARTNER REINSURANCE	033	FL	B	32,700	11.91	21-Sep	25-Sep	1,308.00	4.0
LAGRANGE CAP ADV	048	F	B	20,000	7.26	27-Aug	29-Sep	1,000.00	5.0
OZ MGMT	040	F	S	187,566	7.33	27-Aug	29-Sep	5,626.98	3.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	24.20	n/a	10-Jan	800.00	4.0
JP MORGAN VENTURES	046	GIS	S	20,000	63.68	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	GYMB	S	5,000	48.25	21-Sep	21-Sep	250.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	1,100	22.56	6-Aug	24-Sep	55.00	5.0
CLOVIS CAPITAL	012	IWM	B	250,000	59.85	n/a	n/a	10,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	IWM	B	30,000	60.05	n/a	n/a	900.00	3.0
EXIS CAPITAL	044	JCG	S	5,000	35.66	n/a	30-Jan	250.00	5.0
HUNTER GLOBAL INVESTOR	067	JNJ	SS	246,000	60.82	n/a	22-Apr	12,300.00	5.0
EXIS CAPITAL	044	JWN	B	5,000	30.14	n/a	23-Sep	250.00	5.0
JP MORGAN VENTURES	046	JWN	S	40,000	30.39	n/a	23-Sep	2,000.00	5.0
BUCK CAPITAL MGMT	001	KCP	S	20,000	10.19	n/a	28-Sep	800.00	4.0
CATAPULT	040	LEN	SS	25,000	14.70	n/a	n/a	1,250.00	5.0
SAXON WOODS ADVISORS	038	LOW	S	137,600	21.09	2-Sep	2-Sep	5,504.00	4.0
ARAGON GLOBAL	041	MCD	SS	12,397	56.93	n/a	9-Sep	619.85	5.0
GREEN ARROW CAPITAL	034	MPXL	B	50,000	6.98	21-Sep	29-Sep	2,500.00	5.0
BMO NESBITT BURNS	041	MRX	B	3,000	20.81	n/a	n/a	90.00	3.0
NEWCASTLE FUNDS	255	MSM	S	30,000	43.62	n/a	n/a	1,200.00	4.0
TRUSTCO/SUNTRUST	040	MTW	S	72,700	9.49	11-Sep	11-Sep	2,835.30	3.9
SIGMA CAPITAL ASSOCIATES	041	NKE	S	75,000	64.35	n/a	n/a	3,000.00	4.0
FIRST INV MGMT CO	029	NSC	B	9,800	43.28	n/a	n/a	490.00	5.0
NEWCASTLE FUNDS	255	OC	B	50,000	22.44	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	PAG	B	25,000	17.83	n/a	30-Jul	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	20.43	21-Jul	21-Jul	1,500.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	30,000	20.71	21-Jul	21-Jul	900.00	3.0
TRUSTCO/SUNTRUST	040	PKG	S	23,700	20.36	21-Jul	21-Jul	924.30	3.9
EXIS CAPITAL	044	PLCE	B	5,000	30.22	n/a	4-Sep	250.00	5.0
THE BOSTON COMPANY	039	PLCE	B	86,104	30.33	n/a	4-Sep	3,444.16	4.0
TRELLUS PARTNERS LP	028	PRGO	S	25,000	33.92	30-Sep	30-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	43.00	21-Sep	21-Sep	400.00	4.0
GREEN ARROW DOUG	040	RGC	S	25,000	12.43	n/a	n/a	1,250.00	5.0
HOTCHKIS & WILEY	035	RPM	S	31,800	18.37	n/a	n/a	1,590.00	5.0
CATAPULT	040	RRC	B	25,000	49.77	21-Sep	29-Sep	1,250.00	5.0
RAMIUS CAP	040	SCHN	SS	56,000	53.66	n/a	n/a	2,240.00	4.0
COBALT	041	SLM	B	100,000	8.85	12-Aug	30-Sep	3,000.00	3.0
M&I FUNDS	047	SOA	B	43,309	11.49	n/a	n/a	1,732.36	4.0
KARSCH CAPITAL	034	SWN	B	145,000	42.76	n/a	29-Sep	4,350.00	3.0
HOTCHKIS & WILEY	035	SWY	S	31,800	19.66	n/a	n/a	1,590.00	5.0
EXIS CAPITAL	044	TGT	B	5,000	46.34	3-Sep	22-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	TGT	S	5,000	46.87	3-Sep	22-Sep	250.00	5.0
NEWLAND CAPITAL MGT	067	TWI	B	15,000	8.98	n/a	n/a	600.00	4.0
AAD CAPITAL	048	UFS	B	5,000	35.20	n/a	n/a	200.00	4.0
BMO NESBITT BURNS	041	WCRX	SS	10,000	20.93	31-Aug	30-Sep	300.00	3.0
EXIS CAPITAL	044	WMT	B	5,000	49.08	11-May	13-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	44.12	21-Sep	21-Sep	400.00	4.0
BUCK CAPITAL MGMT	001	WSM	B	200,000	20.16	n/a	n/a	8,000.00	4.0
WAGONHOUND/NIC	048	WYNN	B	14,478	71.59	22-Sep	29-Sep	579.12	4.0
TOTAL (Trade Date):							141,288.57		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/29	IRIDIAN ASSET MGMT. (IRAM305)	036	EMN	S	150	55.20	n/a	n/a	7.50 5.0
AO,CXL	09/29	IRIDIAN ASSET MGMT. (IRAM302)	036	EMN	S	150	55.20	n/a	n/a	7.50 5.0
AO,CRT	09/29	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	S	20,000	3.74	n/a	n/a	1000.00 5.0
AO,CXL	09/29	FIRST NEW YORK NICK (FNYNGS)	029	Q	S	20,000	3.74	n/a	n/a	1000.00 5.0
AO,	09/29	PARTNER REINSURANCE (PARRPELCEQ)	033	SYMC	B	43,300	16.14	n/a	3-Apr	1732.00 4.0

TOTAL (AO, CXL, CRT) :	1,732.00
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TOTAL (Trade Date) :	141,288.57
TOTAL (AO, CXL, CRT) :	1,732.00

TOTAL (RUN DATE) / NFS :	143,020.57
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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