



Daily Compliance Activity Report

Trade Date: 09/24/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARSCH CAPITAL	034	AAP	C	148,680	39.02	n/a	n/a	4,460.40	3.0
PATTEN & PATTEN	067	ACL	B	175	142.02	18-Sep	21-Sep	8.75	5.0
COUGAR TRADING	044	AEO	S	5,000	16.49	21-Sep	21-Sep	250.00	5.0
DIAMONDBACK CAP MGMT	232	AER	B	25,000	9.19	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	AGN	S	500	57.07	18-Sep	21-Sep	25.00	5.0
MERRILL ASSET/BLACKROCK	214	AMSC	S	39,700	29.67	n/a	n/a	1,786.50	4.5
BUCK CAPITAL MGMT	001	ANF	B	150,000	32.89	3-Jun	21-Sep	6,000.00	4.0
EXIS CAPITAL	044	ANF	B	2,500	33.00	3-Jun	21-Sep	125.00	5.0
LEVIN CAPITAL STRATEGIES	012	ANF	C	25,000	32.57	3-Jun	21-Sep	1,000.00	4.0
WAGONHOUND/NIC	048	ARG	S	12,190	47.75	24-Sep	24-Sep	487.60	4.0
BUCK CAPITAL MGMT	001	ARO	S	30,000	42.87	n/a	4-Sep	1,200.00	4.0
CIRCLE T/SES PART	035	AXL	B	30,000	7.00	18-Sep	18-Sep	1,200.00	4.0
OZ MGMT	040	AXL	S	30,500	7.18	18-Sep	18-Sep	915.00	3.0
SCHOTTENFELD ASSOC	041	AXP	S	10,000	33.20	24-Sep	24-Sep	500.00	5.0
THE JAY GOLDMAN	034	AXP	S	50,000	33.36	24-Sep	24-Sep	2,000.00	4.0
KARSCH CAPITAL	034	AZO	C	20,000	143.13	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Manny Korman		BAC.U	B	500	18.5900	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BIG	S	50,000	23.57	25-Aug	10-Sep	2,000.00	4.0
MERRILL ASSET/BLACKROCK	214	BIG	B	29,100	23.74	25-Aug	10-Sep	1,309.50	4.5
THE JAY GOLDMAN	034	BIG	S	20,000	23.71	25-Aug	10-Sep	800.00	4.0
EXIS CAPITAL	044	BKE	S	5,000	31.40	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	BP	B	825	54.04	n/a	n/a	41.25	5.0
Õ Manny Korman		CCW	B	500	24.8500	n/a	n/a	0.00	0.0
Õ Manny Korman		CRP	B	500	25.0000	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CVX	S	1,000	70.93	n/a	n/a	50.00	5.0
SCHOTTENFELD ASSOC	041	C	S	25,000	4.53	17-Sep	21-Sep	750.00	3.0
EXIS CAPITAL	044	DECK	B	2,500	82.71	n/a	n/a	125.00	5.0
SANDLER O'NEILL ASSET	031	DFS	SS	50,000	15.77	17-Sep	23-Sep	2,500.00	5.0
JP MORGAN VENTURES	046	DSW	B	15,000	16.74	26-Aug	26-Aug	750.00	5.0
SCHOTTENFELD ASSOC	041	DYN	B	100,000	2.28	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	ENDP	SS	3,600	22.51	n/a	21-Sep	144.00	4.0
BMO NESBITT BURNS	041	ENDP	S	1,900	22.50	n/a	21-Sep	76.00	4.0
UBS OCONNOR	031	EV	S	37,500	26.89	19-May	23-Sep	1,125.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLRACE FUND LP	028	FL	B	5,000	11.67	21-Sep	21-Sep	200.00	4.0
PATTEN & PATTEN	067	FO	S	500	43.07	n/a	n/a	25.00	5.0
DSG CAPITAL	225	F	B	6,000	7.49	27-Aug	2-Sep	300.00	5.0
MILLENIUM PARTNERS	028	F	B	40,000	7.52	27-Aug	2-Sep	1,200.00	3.0
OZ MGMT	040	F	B	125,000	7.48	27-Aug	2-Sep	3,750.00	3.0
TRELLUS PARTNERS LP	028	F	B	25,000	7.30	27-Aug	2-Sep	750.00	3.0
WAGONHOUND/NIC	048	F	B	25,000	7.39	27-Aug	2-Sep	750.00	3.0
WEINTRAUB CAPITAL MGT.	040	F	B	100,000	7.48	27-Aug	2-Sep	3,000.00	3.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	18.21	21-Sep	21-Sep	400.00	4.0
SCOPUS FUND	041	GIL	B	59,000	18.23	21-Sep	21-Sep	2,950.00	5.0
BUCK CAPITAL MGMT	001	GME	B	30,000	26.66	n/a	n/a	1,200.00	4.0
GRISANTI BROWN & PARTNER	048	GNW	S	10,300	11.88	n/a	n/a	515.00	5.0
S.A.C. HEALTHCARE BOBBY	044	GSK	B	10,000	38.89	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	GYMB	B	2,200	49.25	21-Sep	21-Sep	110.00	5.0
LEVIN CAPITAL STRATEGIES	012	HBI	C	25,000	21.46	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	214	HHS	S	12,600	13.18	n/a	n/a	567.00	4.5
PZENA INV ADV	044	HHS	B	2,817	13.04	n/a	n/a	98.60	3.5
PATTEN & PATTEN	067	HNZ	S	1,080	39.89	n/a	n/a	54.00	5.0
ACK ASSET	028	IP	SS	15,100	22.03	16-Sep	16-Sep	453.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	IP	SS	79,932	21.38	16-Sep	16-Sep	3,197.28	4.0
OZ MGMT	040	IP	SS	35,000	21.70	16-Sep	16-Sep	1,050.00	3.0
RBC CAPITAL MARKETS	040	IP	S	35,000	21.30	16-Sep	16-Sep	1,400.00	4.0
SCHOTTENFELD ASSOC	041	IP	B	40,000	21.58	16-Sep	16-Sep	1,200.00	3.0
TRELLUS PARTNERS LP	028	IP	C	20,000	21.30	16-Sep	16-Sep	1,000.00	5.0
BALYASNY ASSET MGMT	044	IVZ	S	125,000	21.62	6-Aug	24-Sep	6,250.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	40,000	35.23	n/a	30-Jan	1,600.00	4.0
KARSCH CAPITAL	034	KBH	S	179,830	18.66	n/a	n/a	5,394.90	3.0
BUCK CAPITAL MGMT	001	KCP	S	21,300	10.40	n/a	28-Sep	852.00	4.0
SIGMA CAP BOBBY	044	KG	B	25,000	10.50	14-Aug	21-Sep	1,000.00	4.0
PATTEN & PATTEN	067	KMB	B	850	58.47	27-Jul	27-Jul	42.50	5.0
ROBX	302	KO	S	99,800	52.65	n/a	n/a	3,992.00	4.0
EXIS CAPITAL	044	KSS	SS	5,000	54.74	21-Sep	21-Sep	250.00	5.0
PATTEN & PATTEN	067	LOW	S	3,500	21.60	2-Sep	2-Sep	175.00	5.0
BMO NESBITT BURNS	041	LPX	B	27,500	6.78	23-Sep	23-Sep	1,375.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	1.31	n/a	4-Jan	1,200.00	6.0
EXIS CAPITAL	044	MCD	B	20,000	55.84	n/a	9-Sep	1,000.00	5.0
GRISANTI BROWN & PARTNER	048	MDR	S	3,500	25.87	n/a	n/a	175.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	MGA	B	71,000	41.62	n/a	n/a	2,485.22	3.5
BTIG/KDI ADV	039	MIDD	B	200	55.35	23-Sep	23-Sep	8.00	4.0
BMO NESBITT BURNS	041	MRX	SS	1,500	20.85	n/a	n/a	60.00	4.0
BMO NESBITT BURNS	041	MRX	S	4,500	20.88	n/a	n/a	180.00	4.0
BASIX	033	MTW	B	20,000	9.72	11-Sep	11-Sep	600.00	3.0
MERRILL ASSET/BLACKROCK	214	MVL	S	14,350	49.86	n/a	n/a	645.75	4.5
BUCK CAPITAL MGMT	001	M	B	40,000	18.05	21-Sep	21-Sep	1,600.00	4.0
KLEINHEINZ CAP PART	031	NOV	S	150,000	41.58	n/a	n/a	7,500.00	5.0
S.A.C. HEALTHCARE BOBBY	044	NVO	B	5,000	62.14	n/a	n/a	200.00	4.0
KARSCH CAPITAL	034	ORLY	C	140,920	36.65	n/a	n/a	4,227.60	3.0
COOPER CREEK PART	028	PAG	B	15,000	16.62	n/a	30-Jul	450.00	3.0
GRISANTI BROWN & PARTNER	048	PCX	S	8,500	12.04	n/a	n/a	425.00	5.0
BMO NESBITT BURNS	041	PKG	SS	25,000	19.40	21-Jul	21-Jul	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	75,000	19.30	21-Jul	21-Jul	3,750.00	5.0
OZ MGMT	040	PKG	SS	15,000	19.33	21-Jul	21-Jul	450.00	3.0
RBC CAPITAL MARKETS	040	PKG	S	94,000	19.21	21-Jul	21-Jul	3,760.00	4.0
SCOPUS FUND	041	RKT	SS	10,000	46.21	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	10,000	73.83	21-Sep	21-Sep	400.00	4.0
THE BOSTON COMPANY	039	RL	S	44,440	74.30	21-Sep	21-Sep	1,777.60	4.0
DAVIDSON INV ADV	035	RTN	B	36,265	47.38	n/a	n/a	1,450.60	4.0
METROPOLITAN CAPITAL	044	SKS	B	5,600	6.85	n/a	n/a	280.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	17.44	n/a	13-Mar	1,200.00	4.0
MERRILL ASSET/BLACKROCK	214	SPR	S	12,800	17.38	n/a	n/a	576.00	4.5
TRELLUS PARTNERS LP	028	SUP	B	1,787	13.74	10-Aug	10-Aug	89.35	5.0
TROUBH PART	067	SUP	B	23,600	14.22	10-Aug	10-Aug	1,180.00	5.0
ACK ASSET	028	TIN	SS	19,100	16.21	14-Aug	14-Aug	573.00	3.0
OZ MGMT	040	TIN	SS	50,000	16.14	14-Aug	14-Aug	1,500.00	3.0
PATTEN & PATTEN	067	T	B	1,500	27.37	n/a	4-Jan	75.00	5.0
EXIS CAPITAL	044	USB	S	25,000	22.06	n/a	n/a	1,250.00	5.0
BTIG/KDI ADV	039	WAG	B	17,000	33.55	n/a	n/a	680.00	4.0
FIRST NYS/FENLIN	035	WAG	B	35,000	33.53	n/a	n/a	1,400.00	4.0
GRISANTI BROWN & PARTNER	048	WBC	S	3,800	20.98	5-Aug	5-Aug	190.00	5.0
BMO NESBITT BURNS	041	WCRX	B	20,000	19.81	31-Aug	23-Sep	800.00	4.0
KARSCH CAPITAL	034	WFC	SS	203,000	28.53	n/a	n/a	6,090.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRISANTTI BROWN & PARTNER	048	WLT	S	1,600	61.49	n/a	n/a	80.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	43.33	21-Sep	21-Sep	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	30,000	36.44	n/a	3-Aug	1,500.00	5.0
OZ MGMT	040	WY	B	23,156	36.57	n/a	3-Aug	694.68	3.0
PATTEN & PATTEN	067	XOM	S	3,000	69.22	n/a	n/a	150.00	5.0
PZENA INV ADV	044	XOM	B	12,675	68.56	n/a	n/a	443.63	3.5
BUCK CAPITAL MGMT	001	YUM	SS	40,000	32.91	n/a	15-Jul	1,600.00	4.0
TOTAL (Trade Date):							136,076.71		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/23	PARTNER REINSURANCE (PARRPUSDEQ)	033	GIL	B	17,000	19.36	21-Sep	21-Sep	680.00 4.0
AO,	09/23	PARTNER REINSURANCE (PARRPELCEQ)	033	GIL	B	1,300	19.36	21-Sep	21-Sep	52.00 4.0
TOTAL (AO, CXL, CRT) :										732.00

TOTAL (Trade Date):	136,076.71
TOTAL (AO, CXL, CRT):	732.00

TOTAL (RUN DATE) / NFS:	136,808.71
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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