



Daily Compliance Activity Report

Trade Date: 01/21/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BALYASNY ASSET MGMT	044	AB	S	17,664	29.01	n/a	19-Jan	883.20 5.0
HIGHBRIDGE CAP	041	AEO	B	70,900	16.63	n/a	8-Jan	2,836.00 4.0
BRANDWINE	028	AES	B	10,700	13.48	n/a	n/a	428.00 4.0
BRAZOS	031	AGCO	S	19,000	33.14	n/a	4-Jan	570.00 3.0
BRANDWINE	028	ALL	B	13,200	30.92	n/a	n/a	528.00 4.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	30.67	n/a	8-Jan	400.00 4.0
EXIS CAPITAL	044	ASH	S	25,000	40.18	n/a	13-Jan	1,250.00 5.0
APEX CAPITAL MGMT.	091	ATVI	SS	100,000	10.57	n/a	n/a	4,000.00 4.0
ROSEDALE CAPITAL	046	AXL	B	10,000	9.69	n/a	4-Jan	500.00 5.0
KAILIX INV ADV	048	BHP	B	30,000	74.68	n/a	n/a	1,500.00 5.0
NEUBERGER BERMAN	036	BRC	S	30,800	30.22	n/a	n/a	1,232.00 4.0
NEUBERGER BERMAN	036	CAM	S	140,800	40.79	n/a	n/a	5,632.00 4.0
BRANDWINE	028	CA	B	12,800	23.45	n/a	n/a	512.00 4.0
SCOPIA CAPITAL	048	CMCSK	S	175,000	15.28	n/a	n/a	7,000.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	30,000	34.50	n/a	21-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	CVS	S	20,000	33.25	n/a	n/a	800.00	4.0
JANA CAPITAL	044	C	S	1,500,000	3.26	n/a	21-Jan	26,250.00	1.8
BAIRD INVESTMENT	047	EL	B	10,175	53.26	n/a	4-Jan	508.75	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.73	n/a	n/a	600.00	6.0
WEISS PECK	040	FL	B	3,900	11.91	n/a	19-Jan	195.00	5.0
GRUSS CAPITAL	045	FOR	SS	13,000	20.03	n/a	4-Jan	390.00	3.0
ROTHSCHILD ASSET	040	FUL	B	10,494	22.32	n/a	n/a	419.76	4.0
AVESTA CAP	229	F	B	100,000	11.41	n/a	6-Jan	3,000.00	3.0
SMITH MGMT LLC	029	F	B	200,000	11.44	n/a	6-Jan	8,000.00	4.0
BRANDWINE	028	GPS	B	11,000	19.27	n/a	n/a	440.00	4.0
NEUBERGER BERMAN	036	HEI	B	19,100	44.26	n/a	n/a	764.00	4.0
NEUBERGER BERMAN	036	HUBG	S	16,500	28.03	n/a	n/a	660.00	4.0
TRELLUS PARTNERS LP	028	ITW	B	20,000	46.02	n/a	4-Jan	1,000.00	5.0
DENVER INST. ADV	046	IVZ	S	100,000	21.64	n/a	19-Jan	4,000.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	40.25	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRANITE CAPITAL	045	JPM	S	23,000	42.79	n/a	21-Jan	1,150.00	5.0
M&I FUNDS	047	JPM	B	12,500	42.08	n/a	21-Jan	500.00	4.0
NEUBERGER BERMAN	036	JPM	B	39,900	41.13	n/a	21-Jan	1,596.00	4.0
PILOT ROCK	028	JWN	SS	25,000	35.30	n/a	8-Jan	1,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	51.34	n/a	8-Jan	400.00	4.0
ENTRUST CAPITAL	040	LMT	B	39,800	77.72	n/a	11-Jan	1,990.00	5.0
GRUSS CAPITAL	045	LULU	SS	1,250	31.61	n/a	n/a	37.50	3.0
RBC CAPITAL MARKETS	040	LVS	B	20,000	17.43	n/a	4-Jan	800.00	4.0
BRANDWINE	028	L	B	11,800	37.12	n/a	n/a	472.00	4.0
BRANDWINE	028	MDT	B	13,000	44.63	n/a	n/a	520.00	4.0
BASIX	033	MTW	B	18,000	12.35	n/a	12-Jan	540.00	3.0
BRANDWINE	028	M	B	13,400	16.06	n/a	8-Jan	536.00	4.0
EXIS CAPITAL	044	M	B	10,000	16.20	n/a	8-Jan	500.00	5.0
SANDLER O'NEILL ASSET	031	NTRS	B	75,000	54.13	n/a	20-Jan	3,750.00	5.0
BALYASNY ASSET MGMT	044	PAG	S	20,000	16.37	n/a	4-Jan	1,000.00	5.0
FRIESS MGMT	033	PAG	B	237,300	16.39	n/a	4-Jan	9,492.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	30,000	22.36	n/a	7-Jan	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MISSOURI VALLEY PART	046	PRU	B	8,435	51.89	n/a	n/a	421.75	5.0
CRAMER ROSENTHAL/SCOTT	012	RDK	C	7,000	27.08	n/a	n/a	280.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	29.82	n/a	n/a	1,600.00	4.0
NEUBERGER BERMAN	036	SLH	B	63,950	36.06	n/a	n/a	2,558.00	4.0
MISSOURI VALLEY PART	046	STT	B	9,710	46.23	n/a	20-Jan	485.50	5.0
RAINIER INV MGMT	035	TIF	B	206,720	42.50	n/a	n/a	8,268.80	4.0
SCOPUS FUND	041	TIN	B	10,000	18.89	n/a	7-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	80,000	37.08	n/a	8-Jan	3,200.00	4.0
EXIS CAPITAL	044	TJX	SS	20,000	37.45	n/a	8-Jan	1,000.00	5.0
BALYASNY ASSET MGMT	044	TROW	B	20,000	52.02	n/a	19-Jan	1,000.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	10,000	27.40	n/a	14-Jan	400.00	4.0
HARBORWATCH/DIAMBACK	232	UTX	S	25,000	70.29	n/a	n/a	1,250.00	5.0
TROUBH PART	067	WFC	S	25,000	27.81	n/a	21-Jan	1,250.00	5.0
BRANDWINE	028	WIN	B	10,700	10.64	n/a	n/a	428.00	4.0
CRAMER ROSENTHAL/SCOTT	012	WSO	C	6,000	51.42	n/a	n/a	240.00	4.0

TOTAL (Trade Date):

124,564.26

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/20	STELLIAM INV ADV (STLLGSBULK)	034	DAL	S	20,000	13.13	n/a	n/a	1000.00 5.0
AO,CRT	01/20	STELLIAM INV ADV (STLLMSEXEC)	034	DAL	S	20,000	13.13	n/a	n/a	1000.00 5.0
AO,CRT	01/19	ADAGE CAPITAL MGMT (ADAGESHORT)	030	JCP	B	80,400	26.20	n/a	8-Jan	3216.00 4.0
AO,CXL	01/19	ADAGE CAPITAL MGMT (ADAGLONG)	030	JCP	B	80,400	26.20	n/a	8-Jan	3216.00 4.0
AO,CXL	01/19	CR INTRINIC INVESTMENT (CRINGSPB)	044	JCP	SS	250,000	26.18	n/a	8-Jan	10000.00 4.0
AO,CRT	01/19	CR INTRINIC INVESTMENT (CRINGSPB)	044	JCP	SS	250,000	26.18	n/a	8-Jan	8750.00 3.5
CRT	01/21	BASIX (BASIUBS)	033	MTW	B	18,000	12.35	n/a	12-Jan	540.00 3.0
TOTAL (AO, CXL, CRT) :										-710.00

TOTAL (Trade Date) :	124,564.26
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TOTAL (RUN DATE) / NFS :	123,854.26
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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