



Daily Compliance Activity Report

Trade Date: 02/10/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|------------|------------|---------------|------------|
| CAERUS GLOBAL | 041 | AEO | B | 30,000 | 15.97 | n/a | 5-Feb | 900.00 | 3.0 |
| EPOCH INV MGMT | 030 | AET | B | 41,600 | 28.62 | n/a | n/a | 1,248.00 | 3.0 |
| LINCOLN SQUARE CAP MGMT | 031 | AJG | B | 4,000 | 22.87 | n/a | n/a | 200.00 | 5.0 |
| ARCHON CAPITAL | 035 | ARRAY | SS | 40,000 | 7.28 | n/a | n/a | 1,200.00 | 3.0 |
| ROSEDALE CAPITAL | 046 | AXL | S | 13,800 | 8.79 | n/a | 8-Feb | 552.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | BEN | S | 2,400 | 98.01 | n/a | 9-Feb | 120.00 | 5.0 |
| EXIS CAPITAL | 044 | BIG | B | 5,000 | 29.85 | n/a | 10-Feb | 250.00 | 5.0 |
| JP MORGAN VENTURES | 046 | BKC | B | 16,000 | 18.05 | n/a | 5-Feb | 800.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BKS | SS | 20,000 | 20.22 | n/a | n/a | 800.00 | 4.0 |
| ROYCE TRADING | 216 | BZ | B | 14,000 | 4.77 | n/a | n/a | 420.00 | 3.0 |
| SMITH MGMT LLC | 029 | BZ | B | 120,000 | 4.67 | n/a | n/a | 3,600.00 | 3.0 |
| ISLE RIDGE PARTNERS | 041 | CAKE | SS | 5,000 | 22.17 | n/a | 8-Feb | 200.00 | 4.0 |
| OVERLAND PARK CAP | 041 | CAKE | SS | 40,000 | 21.71 | n/a | 8-Feb | 1,600.00 | 4.0 |
| GRANITE CAPITAL | 045 | DECK | S | 12,000 | 94.89 | n/a | n/a | 600.00 | 5.0 |
| HUNTER GLOBAL INVESTOR | 067 | DOV | B | 119,000 | 42.18 | n/a | n/a | 5,950.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|---------------|------------|
| MACKLOWE ASSET MGMT | 041 | EAT | B | 30,000 | 17.23 | n/a | n/a | 1,200.00 | 4.0 |
| SAC ADV/LEE | 044 | GPN | B | 75,000 | 45.29 | n/a | n/a | 2,625.00 | 3.5 |
| EATON VANCE MGMT | 039 | HAL | B | 49,621 | 29.03 | n/a | n/a | 1,488.63 | 3.0 |
| BUCK CAPITAL MGMT | 001 | HBI | B | 20,000 | 22.77 | n/a | n/a | 800.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | HD | B | 5,553 | 28.71 | n/a | 14-Jan | 222.12 | 4.0 |
| ROTHSCHILD ASSET | 040 | HGG | S | 10,650 | 18.90 | n/a | n/a | 426.00 | 4.0 |
| ROYCE TRADING | 216 | HNT | S | 7,400 | 23.07 | n/a | n/a | 370.00 | 5.0 |
| SUN AMERICA ASSET MGMT | 030 | HNZ | B | 3,428 | 43.62 | n/a | n/a | 137.12 | 4.0 |
| CASTLE ARK | 031 | ICE | S | 68,160 | 95.49 | n/a | n/a | 4,089.60 | 6.0 |
| KAILIX INV ADV | 048 | IR | S | 10,000 | 33.49 | n/a | 4-Jan | 500.00 | 5.0 |
| KAILIX INV ADV | 048 | ITW | S | 10,000 | 42.86 | n/a | 28-Jan | 500.00 | 5.0 |
| EXIS CAPITAL | 044 | JNY | B | 20,000 | 15.70 | n/a | 10-Feb | 1,000.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | LPX | S | 40,000 | 6.85 | n/a | 25-Jan | 1,600.00 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | MW | SS | 100,000 | 20.12 | n/a | n/a | 3,500.00 | 3.5 |
| EXIS CAPITAL | 044 | M | B | 10,000 | 16.78 | n/a | 5-Feb | 500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| SUN AMERICA ASSET MGMT | 030 | NOC | B | 2,746 | 59.39 | n/a | 5-Feb | 109.84 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | NTRS | B | 23,500 | 50.73 | n/a | 9-Feb | 1,175.00 | 5.0 |
| MKT MAKER | 099 | NTRS | B | 56 | 49.99 | n/a | 9-Feb | 0.00 | 0.0 |
| TYEE/TYGH | 035 | OMX | B | 22,000 | 13.67 | n/a | n/a | 880.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | PFE | B | 8,190 | 17.90 | n/a | n/a | 327.60 | 4.0 |
| HUNTER GLOBAL INVESTOR | 067 | PH | B | 90,000 | 55.63 | n/a | 20-Jan | 4,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PVH | B | 20,000 | 39.19 | n/a | 12-Jan | 800.00 | 4.0 |
| FIRST NY SEC/CHRIS | 041 | Q | B | 10,000 | 4.27 | n/a | n/a | 500.00 | 5.0 |
| LINCOLN SQUARE CAP MGMT | 031 | RISK | S | 5,000 | 18.13 | n/a | n/a | 250.00 | 5.0 |
| EXIS CAPITAL | 044 | SKS | B | 20,000 | 6.50 | n/a | n/a | 1,000.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | TIN | B | 30,000 | 17.15 | n/a | 9-Feb | 1,500.00 | 5.0 |
| ELM RIDGE ADVISORS | 044 | TIN | B | 68,312 | 16.96 | n/a | 9-Feb | 2,732.48 | 4.0 |
| COUGAR TRADING | 044 | TM | B | 5,000 | 75.93 | n/a | n/a | 250.00 | 5.0 |
| PATTEN & PATTEN | 067 | VXX | S | 10,035 | 32.27 | n/a | n/a | 501.75 | 5.0 |
| SUN AMERICA ASSET MGMT | 030 | VZ | B | 4,765 | 28.70 | n/a | n/a | 190.60 | 4.0 |
| EPOCH INV MGMT | 030 | WMT | B | 20,950 | 53.19 | n/a | 1-Feb | 628.50 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| OVERLAND PARK CAP | 041 | YUM | B | 15,000 | 33.23 | n/a | 5-Feb | 600.00 | 4.0 |
| TOTAL (Trade Date): | | | | | | | | 53,344.24 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|------|--------|-----|--------|-------|--------------|-------------|
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| TOTAL (AO, CXL, CRT): | | | | | | | | | 0.00 |
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|---------------------|--|--|--|--|--|--|--|--|-----------|
| TOTAL (Trade Date): | | | | | | | | | 53,344.24 |
|---------------------|--|--|--|--|--|--|--|--|-----------|

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|-----------------------|--|--|--|--|--|--|--|--|------|
| TOTAL (AO, CXL, CRT): | | | | | | | | | 0.00 |
|-----------------------|--|--|--|--|--|--|--|--|------|

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|-------------------------|--|--|--|--|--|--|--|--|-----------|
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 53,344.24 |
|-------------------------|--|--|--|--|--|--|--|--|-----------|

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