



Daily Compliance Activity Report

Trade Date: 03/01/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	150,000	17.46	n/a	26-Feb	6,000.00	4.0
ISLE RIDGE PARTNERS	041	AEO	B	37,500	17.21	n/a	26-Feb	1,500.00	4.0
RAINIER INV MGMT	035	ALK	B	75,000	36.67	n/a	n/a	3,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	ALV	S	10,000	45.05	n/a	1-Feb	400.00	4.0
BALYASNY ASSET MGMT	044	ANF	S	15,000	37.03	n/a	26-Feb	750.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	100,000	36.42	n/a	26-Feb	4,000.00	4.0
THE JAY GOLDMAN	028	ARO	B	20,000	34.61	n/a	26-Feb	800.00	4.0
LAGRANGE CAP ADV	048	AVP	S	20,000	30.80	n/a	22-Feb	1,000.00	5.0
OZ MGMT	040	AXL	B	100,000	10.15	n/a	8-Feb	3,000.00	3.0
LATEFF MGMT	035	BMS	B	1,000	29.58	n/a	n/a	200.00	20.0
BENNETT LAWRENCE	045	BUCY	C	4,100	63.94	n/a	22-Feb	164.00	4.0
ROYCE TRADING	216	BZ	B	5,000	4.82	n/a	n/a	150.00	3.0
OZ MGMT	040	CAL	S	58,346	21.34	n/a	n/a	1,750.38	3.0
BAIRD INVESTMENT	047	CAM	B	16,425	41.53	n/a	n/a	821.25	5.0
RBC CAPITAL MARKETS	040	CCE	B	10,000	25.61	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
M&I FUNDS	047	CMG	S	20,000	108.09	n/a	12-Feb	800.00	4.0
HIGHBRIDGE CAP	041	COH	S	31,736	37.02	n/a	21-Jan	1,269.44	4.0
WAGONHOUND/NIC	048	CVGI	B	3,078	5.15	n/a	n/a	92.34	3.0
LATEFF MGMT	035	DAL	S	1,750	13.19	n/a	n/a	175.00	10.0
HARBORWATCH/DIAMBACK	232	DOW	C	30,000	28.73	n/a	2-Feb	1,500.00	5.0
COOPER CREEK PART	028	DPZ	B	3,200	12.63	n/a	25-Feb	128.00	4.0
ENTRUST CAPITAL	040	DPZ	S	58,750	12.77	n/a	25-Feb	2,937.50	5.0
BMO NESBITT BURNS	041	ENDP	SS	5,000	22.40	n/a	1-Mar	350.00	7.0
CUMBERLAND	239	EXH	S	35,000	23.28	n/a	19-Jan	1,400.00	4.0
RBC CAPITAL MARKETS	040	FBR	B	25,000	18.62	n/a	n/a	1,000.00	4.0
BNP PARIBAS SEC	040	FL	S	10,000	13.21	n/a	3-Feb	400.00	4.0
HOOVER INV. MGMT	033	FL	B	177,700	13.29	n/a	3-Feb	7,108.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	S	30,000	12.03	n/a	1-Mar	1,200.00	4.0
OZ MGMT	040	F	B	150,000	11.81	n/a	1-Mar	4,500.00	3.0
OZ MGMT	040	F	S	150,000	12.21	n/a	1-Mar	4,500.00	3.0
COOPER CREEK PART	028	GYMB	B	10,000	44.41	n/a	26-Feb	400.00	4.0
NEUBERGER BERMAN	036	IVZ	B	100,000	20.08	n/a	12-Feb	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	JCP	B	10,000	27.97	n/a	26-Feb	400.00	4.0
THE JAY GOLDMAN	028	JCP	B	25,000	27.55	n/a	26-Feb	1,000.00	4.0
SONTERRA CAP	041	JEC	SS	10,000	39.41	n/a	n/a	400.00	4.0
AVESTA CAP	229	JPM	S	200,000	41.68	n/a	26-Feb	6,000.00	3.0
GCORE MANAGEMENT	041	KMB	SS	15,000	60.80	n/a	25-Jan	750.00	5.0
RBC CAPITAL MARKETS	040	KMB	SS	10,000	60.71	n/a	25-Jan	400.00	4.0
KENNEDY CAPITAL	046	LIZ	S	100,000	7.10	n/a	7-Oct	3,000.00	3.0
HIGHBRIDGE CAP	041	LTD	B	24,456	22.40	n/a	n/a	978.24	4.0
CIRCLE T/SES PART	035	LVS	S	10,000	17.06	n/a	24-Feb	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	MMM	C	20,000	80.81	n/a	18-Feb	800.00	4.0
BRIGADE CAPITAL MGMT	029	M	S	50,000	19.86	n/a	26-Feb	1,500.00	3.0
LAGRANGE CAP ADV	048	M	S	20,000	19.71	n/a	26-Feb	1,000.00	5.0
THE JAY GOLDMAN	028	M	SS	35,000	19.37	n/a	26-Feb	1,400.00	4.0
LAGRANGE CAP ADV	048	NFLX	SS	10,000	69.00	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	NFLX	S	2,900	67.47	n/a	n/a	145.00	5.0
LATEFF MGMT	035	NOK	B	1,500	13.26	n/a	n/a	165.00	11.0
BUCK CAPITAL MGMT	001	NTY	SS	25,000	46.97	n/a	n/a	1,000.00	4.0
HARBORWATCH/DIAMBACK	232	NUE	C	15,000	42.32	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	PEP	S	50,000	63.28	n/a	n/a	2,500.00	5.0
LATEFF MGMT	035	PFE	B	600	17.69	n/a	n/a	132.00	22.0
COHE & STEERS	041	RYN	S	41,909	42.55	n/a	27-Jan	1,676.36	4.0
BMO NESBITT BURNS	041	SHPGY	B	5,000	64.89	n/a	1-Mar	350.00	7.0
EXIS CAPITAL	044	SKS	S	65,000	7.16	n/a	n/a	3,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	31.62	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	047	SLB	S	11,575	61.19	n/a	n/a	578.75	5.0
HIGHBRIDGE CAP	041	SPLS	B	27,000	25.80	n/a	n/a	1,080.00	4.0
LEVIN CAPITAL STRATEGIES	012	SPW	SS	25,000	61.20	n/a	n/a	1,000.00	4.0
HARBORWATCH/DIAMBACK	232	STLD	S	10,000	16.28	n/a	n/a	500.00	5.0
MILLRACE FUND LP	028	SUP	B	12,100	14.75	n/a	1-Mar	484.00	4.0
SUN AMERICA ASSET MGMT	030	SYMC	S	114,900	16.58	n/a	n/a	4,596.00	4.0
BALYASNY ASSET MGMT	044	TGT	S	10,000	52.23	n/a	23-Feb	500.00	5.0
MAIRS AND POWER INV	030	TGT	S	10,000	51.77	n/a	23-Feb	600.00	6.0
SCOPUS FUND	041	TIN	S	59,928	19.13	n/a	9-Feb	2,996.40	5.0
COUGAR TRADING	044	TM	SS	5,000	73.34	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	TSN	S	2,000	17.15	n/a	n/a	260.00	13.0
ROYCE TRADING	216	WDC	B	1,100	40.29	n/a	n/a	55.00	5.0
RBC CAPITAL MARKETS	040	WMS	S	7,500	38.75	n/a	n/a	300.00	4.0
BALYASNY ASSET MGMT	044	WMT	S	25,000	53.83	n/a	18-Feb	1,250.00	5.0
RBC CAPITAL MARKETS	040	WRC	B	12,500	42.94	n/a	28-Jan	500.00	4.0
COHE & STEERS	041	WY	S	111,514	41.67	n/a	24-Feb	4,460.56	4.0
S.A.C. CAP/ORENSTEIN	044	XLB	SS	200,000	31.85	n/a	n/a	7,000.00	3.5
LATEFF MGMT	035	XOM	B	1,000	65.31	n/a	n/a	280.00	28.0
TOTAL (Trade Date) :								111,683.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/26	MILLENIU PARTNERS (MILPMLICS)	028	CRI	S	15,000	28.34	n/a	n/a	600.00 4.0
AO,CXL	02/26	MILLENIU PARTNERS (MILPML)	028	CRI	S	15,000	28.34	n/a	n/a	600.00 4.0
CRT	03/01	CUMBERLAND (CUMBMS04)	239	EXH	S	35,000	23.28	n/a	19-Jan	1400.00 4.0
AO,CRT	02/26	MILLENIU PARTNERS (MILPMLICS)	028	TWX	SS	22,749	28.86	n/a	n/a	909.96 4.0
AO,CXL	02/26	MILLENIU PARTNERS (MILPML)	028	TWX	SS	22,749	28.86	n/a	n/a	909.96 4.0

TOTAL (AO, CXL, CRT) :	1,400.00
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TOTAL (Trade Date) :	111,683.22
TOTAL (AO, CXL, CRT) :	1,400.00

TOTAL (RUN DATE) / NFS :	113,083.22
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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