



## Daily Compliance Activity Report

Trade Date: 03/16/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHART WELL ADV	028	AAWW	S	27,500	48.09	n/a	n/a	1,100.00	4.0
PENNANT CAP MGMT	029	AMR	S	400,000	9.70	n/a	n/a	8,000.00	2.0
GALT INVESTMENT	041	ANN	S	20,000	20.07	n/a	n/a	1,000.00	5.0
GLOBAL 56 LLC	060	ARM	S	2,000	12.55	n/a	n/a	100.00	5.0
CONIFER/ISF	025	ARTC	S	5,000	28.80	n/a	n/a	250.00	5.0
OSS CAPITAL/KEVIN DANN	067	AVY	SS	50,000	33.94	n/a	5-Mar	1,500.00	3.0
AVESTA CAP	229	BAC	B	300,000	17.00	n/a	15-Mar	9,000.00	3.0
ROTHSCHILD ASSET	040	BIG	B	1,270	36.08	n/a	4-Mar	50.80	4.0
SMITH MGMT LLC	029	BZ	S	300,000	5.68	n/a	n/a	9,000.00	3.0
AVESTA CAP	229	CTXS	S	150,000	48.68	n/a	n/a	4,500.00	3.0
MFP INVESTORS	032	DOW	S	10,000	30.50	n/a	2-Feb	500.00	5.0
NORTHWESTERN MUTUAL LIFE	047	DOW	B	24,700	30.39	n/a	2-Feb	988.00	4.0
NMLF	047	DOW	B	300	30.39	n/a	2-Feb	12.00	4.0
GREEN ARROW DOUG	040	EAT	B	50,000	19.45	n/a	n/a	2,500.00	5.0
MELLON/BANK OF NEW YORK	046	EFA	S	11,100	55.70	n/a	n/a	555.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.69	n/a	n/a	600.00	6.0
CUMBERLAND	239	EXH	S	9,804	26.20	n/a	10-Mar	392.16	4.0
BMO NESBITT BURNS	041	FOR	B	25,000	19.02	n/a	5-Feb	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	GES	S	120,000	46.60	n/a	5-Mar	3,600.00	3.0
EMERSON CAPITAL MGMT	048	GE	B	25,000	17.92	n/a	n/a	1,000.00	4.0
SAXON WOODS ADVISORS	242	GE	B	7,000	18.11	n/a	n/a	280.00	4.0
EXIS CAPITAL	044	GIL	B	10,000	26.24	n/a	10-Feb	500.00	5.0
MELLON/BANK OF NEW YORK	046	GLW	B	111,700	18.25	n/a	12-Mar	5,585.00	5.0
SOROS	036	GT	B	56,800	13.53	n/a	n/a	2,272.00	4.0
BENCHMARK	025	HE	B	7,500	22.56	n/a	n/a	300.00	4.0
GEORGE WEISS	034	HMIN	B	20,000	31.58	n/a	n/a	600.00	3.0
THE JAY GOLDMAN	028	HOT	B	9,000	41.78	n/a	n/a	360.00	4.0
MACKLOWE ASSET MGMT	041	IR	B	22,500	35.46	n/a	16-Feb	900.00	4.0
FRIESS MGMT	033	JCG	B	49,100	45.54	n/a	n/a	1,964.00	4.0
BMO NESBITT BURNS	041	KSS	SS	1,000	54.46	n/a	5-Mar	100.00	10.0
CHART WELL ADV	028	LL	S	16,050	24.29	n/a	n/a	642.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	214	LMT	S	348,089	84.57	n/a	12-Mar	13,923.56	4.0
CHART WELL ADV	028	LRN	S	22,675	22.80	n/a	n/a	907.00	4.0
GALT INVESTMENT	041	LTM	B	30,000	29.49	n/a	n/a	1,500.00	5.0
THE JAY GOLDMAN	028	LVS	S	17,500	18.87	n/a	10-Mar	700.00	4.0
OSS CAPITAL/KEVIN DANN	067	MAT	B	200,000	23.26	n/a	n/a	6,000.00	3.0
DAVIDSON KEMPNER ADVISOR	040	MOV	B	20,000	11.60	n/a	n/a	1,000.00	5.0
HARBORWATCH/DIAMBACK	232	MT	B	10,000	43.30	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	M	B	10,200	21.55	n/a	5-Mar	510.00	5.0
HUNTER GLOBAL INVESTOR	067	PEP	S	225,000	66.05	n/a	n/a	11,250.00	5.0
SAXON WOODS ADVISORS	242	PETS	B	10,000	23.32	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	PFCB	C	20,000	43.56	n/a	18-Feb	1,000.00	5.0
BMO NESBITT BURNS	041	PVH	B	5,000	52.87	n/a	16-Mar	500.00	10.0
IVORY CAPITAL	034	RIMM	S	86,600	75.10	n/a	n/a	4,330.00	5.0
PARTNER REINSURANCE	033	RSH	B	14,350	21.95	n/a	n/a	574.00	4.0
ROSEDALE CAPITAL	046	SCHW	S	25,000	18.46	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALT INVESTMENT	041	SONC	S	25,000	10.85	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	SQM	S	5,000	38.62	n/a	n/a	200.00	4.0
MILLRACE FUND LP	028	SUP	B	3,007	15.64	n/a	1-Mar	120.28	4.0
DAVIDSON KEMPNER ADVISOR	040	TDC	B	20,000	28.75	n/a	n/a	1,000.00	5.0
BMO NESBITT BURNS	041	TJX	SS	1,500	43.00	n/a	5-Mar	150.00	10.0
COUGAR TRADING	044	TM	B	5,000	78.79	n/a	n/a	250.00	5.0
MELLON/BANK OF NEW YORK	046	VWO	S	10,000	41.31	n/a	n/a	500.00	5.0
MELLON/BANK OF NEW YORK	046	WMB	S	13,250	22.70	n/a	n/a	662.50	5.0
BMO NESBITT BURNS	041	WMT	SS	1,000	55.85	n/a	18-Feb	100.00	10.0
SIGMA CAPITAL ASSOCIATES	041	WMT	S	50,000	55.94	n/a	18-Feb	1,750.00	3.5
EXIS CAPITAL	044	ZQK	B	10,000	4.30	n/a	12-Mar	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>109,978.30</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	03/15	FRIESS MGMT (FRISKSE1)	033	JCG	B	100	44.67	n/a	n/a	4.00	4.0
AO,	03/15	FRIESS MGMT (FRISKSE1MD)	033	JCG	B	100	44.67	n/a	n/a	4.00	4.0
AO,CRT	03/15	PENNANT CAP MGMT (PENAJPMORG)	029	TDG	S	8,400	52.31	n/a	n/a	252.00	3.0
AO,CXL	03/15	PENNANT CAP MGMT (PENAMSPB)	029	TDG	S	8,400	52.31	n/a	n/a	252.00	3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

TOTAL (Trade Date) :	109,978.30
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>109,978.30</b>
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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