



## Daily Compliance Activity Report

Trade Date: 03/17/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ACV	S	47,980	27.40	n/a	3-Mar	1,919.20	4.0
SHEFFIELD ASSET MGMT	031	AEO	S	50,000	19.03	n/a	11-Mar	2,500.00	5.0
KAILIX INV ADV	048	APC	S	10,000	73.56	n/a	3-Mar	500.00	5.0
SANDLER O'NEILL ASSET	031	BAC	B	50,000	17.22	n/a	15-Mar	2,500.00	5.0
WINSLOW CAPITAL	030	BAX	S	3,100	58.39	n/a	n/a	124.00	4.0
FIRST NY SEC/CHRIS	041	BBY	B	15,000	39.88	n/a	n/a	750.00	5.0
ROTHSCHILD ASSET	040	BIG	B	18,200	36.44	n/a	4-Mar	728.00	4.0
EXIS CAPITAL	044	BONT	B	10,000	12.64	n/a	n/a	500.00	5.0
WAGONHOUND/NIC	048	CAKE	S	5,949	26.77	n/a	12-Feb	237.96	4.0
SENATOR INVESTMENT GROUP	036	CA	B	150,000	23.46	n/a	n/a	4,500.00	3.0
GREEN ARROW DOUG	040	CMA	SS	21,100	38.03	n/a	n/a	1,055.00	5.0
GLOBAL 56 LLC	060	DAN	B	2,000	11.95	n/a	25-Feb	100.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	15.50	n/a	17-Mar	2,500.00	5.0
HARBORWATCH/DIAMBACK	232	DHR	S	10,000	77.49	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	DKS	S	50,000	26.63	n/a	9-Mar	1,750.00	3.5
NORTHWESTERN MUTUAL LIFE	047	DOW	B	24,700	30.47	n/a	2-Feb	988.00	4.0
NMLF	047	DOW	B	300	30.47	n/a	2-Feb	12.00	4.0
CUMBERLAND	239	EXH	S	20,000	26.12	n/a	10-Mar	800.00	4.0
RBC CAPITAL MARKETS	040	FBR	S	20,000	22.29	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	FCX	S	2,800	82.44	n/a	n/a	112.00	4.0
FRIESS MGMT	033	F	S	1,390,800	13.66	n/a	3-Mar	55,632.00	4.0
OZ MGMT	040	F	SS	250,000	13.98	n/a	3-Mar	7,500.00	3.0
ROSEDALE CAPITAL	046	F	S	30,000	13.61	n/a	3-Mar	1,500.00	5.0
TRAFELET & COMP.	028	F	SS	85,000	13.62	n/a	3-Mar	3,400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	200,000	46.11	n/a	5-Mar	6,000.00	3.0
SYSTEMATIC FINANCIAL MGT	035	GES	S	98,425	46.47	n/a	5-Mar	2,952.75	3.0
FIRST NEW YORK LEDDY	035	GE	S	50,000	18.20	n/a	n/a	3,000.00	6.0
ST OF MICHIAN	047	GE	S	1,000,000	18.04	n/a	n/a	30,000.00	3.0
THOMAS WEISEL ASSET MGMT	035	HGSI	B	4,032	31.42	n/a	n/a	120.96	3.0
LISTED ERR	099	HGSI	B	1,200	31.22	n/a	n/a	0.00	0.0
LISTED ERR	099	HGSI	S	1,200	31.24	n/a	n/a	0.00	0.0
AVESTA CAP	229	HON	B	25,000	42.86	n/a	1-Mar	750.00	3.0
ST OF MICHIAN	047	HON	B	70,000	42.73	n/a	1-Mar	2,100.00	3.0
BMO NESBITT BURNS	041	IP	SS	25,000	26.36	n/a	3-Feb	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GCORE MANAGEMENT	041	IP	S	20,000	26.20	n/a	3-Feb	1,000.00	5.0
<b>MASTERS CAPITAL MANAGE</b>	<b>091</b>	<b>IP</b>	<b>S</b>	<b>150,000</b>	<b>26.18</b>	<b>n/a</b>	<b>3-Feb</b>	<b>6,000.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	IP	S	30,000	26.31	n/a	3-Feb	1,200.00	4.0
SANDLER CAPITAL	226	IP	B	180,000	26.18	n/a	3-Feb	10,800.00	6.0
ADAGE CAPITAL MGMT	030	JCP	B	121,743	30.70	n/a	5-Mar	3,652.29	3.0
SCOPUS FUND	041	JEC	S	18,158	44.83	n/a	n/a	907.90	5.0
ASCEND PARTNERS	033	JWN	S	25,000	39.73	n/a	5-Mar	1,250.00	5.0
RAIL-SPLITTER	031	LMT	B	3,000	85.08	n/a	12-Mar	150.00	5.0
WINSLOW CAPITAL	030	MHS	S	1,100	64.52	n/a	n/a	44.00	4.0
KAILIX INV ADV	048	MOS	S	20,000	63.02	n/a	n/a	1,000.00	5.0
CHARTER OAK	033	MS	B	50,000	30.58	n/a	10-Mar	2,500.00	5.0
BNP PARIBAS SEC	040	M	SS	15,000	21.56	n/a	5-Mar	600.00	4.0
DIAMONDBACK CAP MGMT	232	M	S	50,000	21.38	n/a	5-Mar	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	NKE	B	50,000	70.90	n/a	n/a	2,500.00	5.0
CATAPULT	040	NTRS	SS	14,500	55.68	n/a	9-Mar	725.00	5.0
KAILIX INV ADV	048	NUE	B	25,000	45.69	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	PAG	SS	25,000	15.57	n/a	22-Feb	1,000.00	4.0
OSS CAPITAL/KEVIN DANN	067	PCL	B	160,000	38.25	n/a	2-Feb	4,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	PG	B	50,000	63.95	n/a	3-Mar	1,500.00	3.0
BMO NESBITT BURNS	041	PKG	S	25,000	25.53	n/a	26-Jan	1,250.00	5.0
WAGONHOUND/NIC	048	PNRA	B	2,002	78.77	n/a	12-Feb	80.08	4.0
THIRD POINT MGMT	044	PVH	B	25,000	54.00	n/a	16-Mar	1,000.00	4.0
CATAPULT	040	PWR	B	25,000	19.94	n/a	n/a	1,250.00	5.0
BNP PARIBAS SEC	040	SHW	B	25,000	65.73	n/a	18-Feb	1,000.00	4.0
EXIS CAPITAL	044	SKX	B	5,000	33.93	n/a	n/a	250.00	5.0
AMBER CAPITAL	046	SLE	S	250,000	14.06	n/a	n/a	10,000.00	4.0
CHILTON CAPITAL MGMT.	036	SPLS	S	200,000	23.64	n/a	n/a	6,000.00	3.0
FIRST NEW YORK LEDDY	035	SPY	B	5,000	116.68	n/a	n/a	300.00	6.0
MILLRACE FUND LP	028	SUP	B	800	15.85	n/a	1-Mar	32.00	4.0
TROUBH PART	067	SUP	B	10,000	15.97	n/a	1-Mar	500.00	5.0
BNP PARIBAS SEC	040	SVU	SS	5,000	17.38	n/a	n/a	200.00	4.0
BMO NESBITT BURNS	041	TIN	S	25,000	21.26	n/a	9-Feb	1,250.00	5.0
ELM RIDGE ADVISORS	044	TIN	S	36,800	21.56	n/a	9-Feb	1,472.00	4.0
SCOPUS FUND	041	TIN	B	10,000	20.64	n/a	9-Feb	500.00	5.0
SAXON WOODS ADVISORS	242	TNA	B	5,000	56.52	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WADDELL AND REED	047	UNP	S	202,985	73.42	n/a	n/a	8,119.40	4.0
BALYASNY ASSET MGMT	044	URBN	S	25,000	36.11	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	UTX	S	2,700	72.35	n/a	n/a	108.00	4.0
SENATOR INVESTMENT GROUP	036	VLO	SS	250,000	20.71	n/a	n/a	7,500.00	3.0
WINSLOW CAPITAL	030	V	S	8,100	92.05	n/a	12-Mar	324.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	WCRX	S	20,713	25.62	n/a	17-Mar	828.52	4.0
SENATOR INVESTMENT GROUP	036	WFC	S	50,000	30.46	n/a	9-Mar	1,500.00	3.0
SIGMA CAPITAL ASSOCIATES	041	WMT	S	100,000	55.91	n/a	18-Feb	3,500.00	3.5
IRIDIAN ASSET MGMT.	036	WRI	B	9,400	23.07	n/a	n/a	470.00	5.0
KAILIX INV ADV	048	X	S	20,000	62.83	n/a	n/a	1,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>230,345.06</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/15	SOUTH POINT CAP (SOPODBAB)	067	AONE	SS	50,000	15.45	n/a	n/a	2500.00 5.0
AO,CRT	03/15	SOUTH POINT CAP (SOPOFIDO)	067	AONE	SS	50,000	15.45	n/a	n/a	2500.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	230,345.06
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>230,345.06</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