



## Daily Compliance Activity Report

Trade Date: 01/28/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BALYASNY ASSET MGMT	044	AB	S	20,000	26.52	n/a	25-Jan	1,000.00 5.0
RAINIER INV MGMT	035	ALK	B	35,860	34.59	n/a	n/a	1,793.00 5.0
DSM CAPITAL PARTNERS	032	ALTH	B	66,815	7.14	n/a	n/a	3,340.75 5.0
MERRILL ASSET/BLACKROCK	214	AVT	B	7,100	26.89	n/a	n/a	284.00 4.0
OZ MGMT	040	AXL	B	100,000	9.49	n/a	4-Jan	3,000.00 3.0
PNC CAPITAL ADV	028	AXP	S	51,750	37.43	n/a	28-Jan	2,070.00 4.0
OWL CREEK INV	032	BAC	B	860,000	15.43	n/a	21-Jan	25,800.00 3.0
SANDLER O'NEILL ASSET	031	BEN	S	10,000	102.77	n/a	28-Jan	500.00 5.0
SANDLER O'NEILL ASSET	031	BLK	B	200	217.21	n/a	29-Jan	10.00 5.0
JP MORGAN VENTURES	046	BTU	B	10,000	44.71	n/a	n/a	500.00 5.0
JP MORGAN VENTURES	046	BUCY	B	25,000	55.12	n/a	6-Jan	1,250.00 5.0
BALYASNY ASSET MGMT	044	BWA	B	40,000	34.63	n/a	4-Jan	2,000.00 5.0
SMITH MGMT LLC	029	BZ	S	105,000	5.29	n/a	n/a	4,200.00 4.0
CASEY CAPITAL	067	CBT	B	7,000	25.37	n/a	28-Jan	350.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	CLX	B	50,000	59.70	n/a	17-Dec	2,000.00	4.0
MERRILL ASSET/BLACKROCK	214	CMCSK	B	17,600	15.16	n/a	n/a	704.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>20,000</b>	<b>34.91</b>	<b>n/a</b>	<b>21-Jan</b>	<b>800.00</b>	<b>4.0</b>
GOLD SACHS SPECIAL SIT	030	CRDN	B	6,700	19.44	n/a	n/a	335.00	5.0
MILLENIUM PARTNERS	028	CSX	B	20,000	43.95	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	DAN	B	20,000	10.41	n/a	6-Jan	1,000.00	5.0
OZ MGMT	040	DAN	B	150,000	10.59	n/a	6-Jan	4,500.00	3.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	13.55	n/a	28-Jan	2,500.00	5.0
ENTRUST CAPITAL	040	ETN	B	26,200	62.73	n/a	26-Jan	1,310.00	5.0
UBS OCONNOR	031	EV	SS	46,100	29.65	n/a	25-Jan	1,383.00	3.0
BMO NESBITT BURNS	041	F	B	25,000	11.58	n/a	27-Jan	1,250.00	5.0
OZ MGMT	040	F	C	230,902	11.50	n/a	27-Jan	4,618.04	2.0
ST OF MICHIAN	047	F	B	900,000	11.45	n/a	27-Jan	27,000.00	3.0
EXIS CAPITAL	044	GCO	B	25,000	23.84	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	GE	B	100,000	16.37	n/a	n/a	4,000.00	4.0
HOLDEN CAPITAL MGMT	035	GNTX	B	70,000	18.56	n/a	4-Jan	3,500.00	5.0
EXIS CAPITAL	044	GYMB	S	15,316	39.12	n/a	8-Jan	765.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SPARTA ASSET MGMT	035	GYMB	B	41,000	38.92	n/a	8-Jan	1,230.00	3.0
ARMATURE CAPITAL	041	IP	S	20,000	23.19	n/a	25-Jan	800.00	4.0
OZ MGMT	040	IP	S	115,451	23.49	n/a	25-Jan	3,463.53	3.0
BROADARCH CAP/OLD NEWC	070	IR	B	1,200	33.03	n/a	4-Jan	48.00	4.0
BALYASNY ASSET MGMT	044	IVZ	B	25,000	20.22	n/a	29-Jan	1,250.00	5.0
CROSS CAPITAL	031	IVZ	B	38,300	20.44	n/a	29-Jan	1,532.00	4.0
EXIS CAPITAL	044	IWM	SS	20,000	60.77	n/a	n/a	1,000.00	5.0
ST OF MICHIAN	047	IWM	S	220,000	60.59	n/a	n/a	6,600.00	3.0
DIAMONDBACK CAP MGMT	232	JNS	B	25,000	12.97	n/a	28-Jan	1,250.00	5.0
RBC CAPITAL MARKETS	040	JNS	SS	75,000	13.01	n/a	28-Jan	3,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>65,300</b>	<b>14.38</b>	<b>n/a</b>	<b>28-Jan</b>	<b>2,612.00</b>	<b>4.0</b>
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>JNY</b>	<b>B</b>	<b>3,000</b>	<b>14.30</b>	<b>n/a</b>	<b>28-Jan</b>	<b>180.00</b>	<b>6.0</b>
EXIS CAPITAL	044	JNY	B	25,000	14.38	n/a	28-Jan	1,250.00	5.0
JP MORGAN VENTURES	046	JOYG	B	20,000	46.32	n/a	7-Jan	1,000.00	5.0
BROADARCH CAP/OLD NEWC	070	LOW	SS	900	21.92	n/a	16-Nov	36.00	4.0
SENATOR INVESTMENT GROUP	036	LPX	S	35,000	7.16	n/a	25-Jan	1,400.00	4.0
NEUBERGER BERMAN	036	LUFK	B	10,500	64.81	n/a	n/a	420.00	4.0
POINT BLANK CAPITAL	028	MPXL	B	40,000	3.53	n/a	15-Dec	2,000.00	5.0
JENNISON	032	MSFT	S	630,409	29.21	n/a	n/a	23,325.13	3.7

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	M	SS	1,200	15.65	n/a	8-Jan	48.00	4.0
PILOT ADV	242	M	B	19,000	15.69	n/a	8-Jan	760.00	4.0
TROUBH PART	067	NYT	S	20,000	12.98	n/a	n/a	1,000.00	5.0
ISLE RIDGE PARTNERS	041	OCR	S	5,000	24.77	n/a	n/a	200.00	4.0
WEINTRAUB CAPITAL MGT.	040	OI	S	150,000	28.36	n/a	n/a	6,000.00	4.0
LAGRANGE CAP ADV	048	PAG	B	4,424	13.84	n/a	22-Jan	221.20	5.0
THOMPSON SIEGAL&WALMSLEY	029	PCAR	SS	11,300	35.56	n/a	4-Jan	339.00	3.0
HUNTER GLOBAL INVESTOR	067	PEP	B	13,186	60.00	n/a	n/a	659.30	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	10,000	22.01	n/a	26-Jan	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>25,000</b>	<b>40.08</b>	<b>n/a</b>	<b>12-Jan</b>	<b>1,000.00</b>	<b>4.0</b>
SONTERRA CAP	041	SAI	SS	25,000	18.21	n/a	n/a	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	SMED	B	25,000	7.50	n/a	n/a	1,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	SWK	B	25,000	52.23	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	SYX	SS	10,000	27.54	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	51.98	n/a	27-Jan	875.00	3.5
JP MORGAN VENTURES	046	TJX	SS	10,000	38.47	n/a	8-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	TM	SS	2,500	77.45	n/a	n/a	125.00	5.0
BALYASNY ASSET MGMT	044	TROW	S	67,000	51.22	n/a	27-Jan	3,350.00	5.0
DB ALTERNATIVE DBAG LDN	034	TROW	B	1,500	49.97	n/a	27-Jan	75.00	5.0
RBC CAPITAL MARKETS	040	VALE	SS	40,000	26.43	n/a	n/a	1,600.00	4.0
BALYASNY ASSET MGMT	044	WDR	SS	20,000	30.69	n/a	28-Jan	1,000.00	5.0
RBC CAPITAL MARKETS	040	WDR	B	30,000	31.39	n/a	28-Jan	1,200.00	4.0
AVESTA CAP	229	WMT	SS	100,000	52.61	n/a	4-Jan	3,000.00	3.0
BUCK CAPITAL MGMT	001	WRC	B	25,000	40.58	n/a	28-Jan	1,000.00	4.0
EGS ASSOCIATES LP	091	WRC	B	4,000	40.45	n/a	28-Jan	240.00	6.0
<b>TOTAL (Trade Date):</b>								<b>183,402.75</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/27	JMP ASSET MGMT (JMPABOABA)	210	CTRN	B	930	30.78	n/a	n/a	0.00 0.0
AO,CRT	01/27	JMP ASSET MGMT (JMPABOABA)	210	CTRN	B	930	30.78	n/a	n/a	46.50 5.0
CRT	01/28	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	OI	S	150,000	28.36	n/a	n/a	6000.00 4.0
<b>CRT</b>	<b>01/28</b>	<b>EGS ASSOCIATES LP (EGASBANC O)</b>	<b>091</b>	<b>WRC</b>	<b>B</b>	<b>4,000</b>	<b>40.45</b>	<b>n/a</b>	<b>28-Jan</b>	<b>240.00 6.0</b>
AO,CXL	01/27	JP MORGAN VENTURES (JPMVJPM)	046	XRT	B	20,000	35.00	n/a	n/a	1000.00 5.0
AO,CRT	01/27	JP MORGAN VENTURES (JPMVJPM)	046	XRT	B	20,000	35.00	n/a	n/a	600.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>5,886.50</b>
TOTAL (Trade Date) :										183,402.75
TOTAL (AO, CXL, CRT) :										5,886.50
<b>TOTAL (RUN DATE) / NFS:</b>										<b>189,289.25</b>

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