



## Daily Compliance Activity Report

Trade Date: 02/02/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AAP</b>	<b>B</b>	<b>209,380</b>	<b>41.02</b>	<b>n/a</b>	<b>n/a</b>	<b>8,375.20</b>	<b>4.0</b>
LEVEL GLOBAL SHARED ACCT	257	AAP	C	50,000	41.03	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	AA	B	30,000	13.81	n/a	n/a	1,200.00	4.0
CHART WELL ADV	028	AGO	B	19,075	23.20	n/a	n/a	763.00	4.0
SOUTH POINT CAP	067	AMSC	SS	50,000	36.13	n/a	n/a	2,500.00	5.0
ROTHSCHILD ASSET	040	ANH	S	9,980	7.07	n/a	n/a	399.20	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>SS</b>	<b>50,000</b>	<b>15.78</b>	<b>n/a</b>	<b>n/a</b>	<b>1,500.00</b>	<b>3.0</b>
THOMPSON SIEGAL&WALMSLEY	029	ARG	S	11,800	44.66	n/a	29-Jan	461.00	3.7
EXIS CAPITAL	044	ARO	B	10,000	34.23	n/a	29-Jan	500.00	5.0
PLATTE RIVER CAPITAL	240	AVP	B	15,000	31.86	n/a	12-Jan	600.00	4.0
EXIS CAPITAL	044	BAC	B	20,000	15.56	n/a	21-Jan	0.00	0.0
RAMIUS CAP	040	BAC	B	56,400	15.56	n/a	21-Jan	2,256.00	4.0
SANDLER O'NEILL ASSET	031	BEN	B	5,000	101.04	n/a	29-Jan	250.00	5.0
UBS OCONNOR	031	BEN	C	50,000	101.94	n/a	29-Jan	1,500.00	3.0
SANDLER O'NEILL ASSET	031	BK	B	25,000	29.38	n/a	2-Feb	1,250.00	5.0
SANDLER O'NEILL ASSET	031	BLK	B	10,000	211.41	n/a	2-Feb	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAP/ROSEN FOR BOBBY	044	BRCD	B	100,000	6.73	n/a	n/a	3,500.00	3.5
SMITH MGMT LLC	029	BZ	S	551,957	5.31	n/a	n/a	22,078.28	4.0
CONIFER/ISF	025	CA	S	3,100	22.09	n/a	n/a	155.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>CA</b>	<b>B</b>	<b>100</b>	<b>22.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	CHS	S	30,000	13.64	n/a	n/a	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	75,500	13.88	n/a	n/a	2,642.50	3.5
SANDLER O'NEILL ASSET	031	COF	SS	4,950	38.00	n/a	28-Jan	247.50	5.0
BAIRD INVESTMENT	047	COG	B	11,050	40.92	n/a	21-Jan	552.50	5.0
EXIS CAPITAL	044	COH	SS	20,000	35.71	n/a	21-Jan	1,000.00	5.0
CAERUS GLOBAL	041	COST	B	5,000	58.05	n/a	n/a	150.00	3.0
GOLD SACHS SPECIAL SIT	030	CRDN	B	41,000	19.55	n/a	n/a	2,050.00	5.0
CATAPULT	040	DOW	SS	15,000	27.95	n/a	2-Feb	750.00	5.0
S.A.C. HEALTHCARE BOBBY	044	EBS	B	5,000	14.34	n/a	n/a	175.00	3.5
S.A.C. CAP/ORENSTEIN	044	EEM	SS	50,000	39.43	n/a	n/a	1,750.00	3.5
DIAMONDBACK CAP MGMT	232	EL	C	50,000	56.26	n/a	1-Feb	2,500.00	5.0
IRIDIAN ASSET MGMT.	036	EMN	S	30,930	59.51	n/a	n/a	1,546.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	EMR	S	20,000	46.29	n/a	n/a	1,000.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	B	9,000	20.03	n/a	1-Feb	360.00	4.0
CATAPULT	040	EXPD	SS	13,400	34.71	n/a	n/a	670.00	5.0
NEUBERGER BERMAN	036	FFIV	B	26,200	49.61	n/a	n/a	1,048.00	4.0
BMO NESBITT BURNS	041	FOR	B	5,000	18.63	n/a	25-Jan	250.00	5.0
S.A.C. HEALTHCARE BOBBY	044	FRX	B	35,000	29.95	n/a	1-Feb	878.00	1.8
S.A.C. HEALTHCARE BOBBY	044	FRX	SS	10,000	30.32	n/a	1-Feb	350.00	3.5
LEVIN CAPITAL STRATEGIES	012	F	S	50,000	11.37	n/a	1-Feb	2,000.00	4.0
OZ MGMT	040	F	B	200,000	11.41	n/a	1-Feb	6,000.00	3.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	200,000	41.86	n/a	n/a	6,000.00	3.0
OHIO PERS	047	GLW	S	106,000	18.48	n/a	26-Jan	3,180.00	3.0
ROTHSCHILD ASSET	040	HGG	S	3,160	20.81	n/a	n/a	126.40	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	70,000	24.00	n/a	25-Jan	3,500.00	5.0
HARBORWATCH/DIAMBACK	232	IP	B	20,000	23.95	n/a	25-Jan	1,000.00	5.0
KAILIX INV ADV	048	IR	S	20,000	34.77	n/a	4-Jan	1,000.00	5.0
KAILIX INV ADV	048	ITW	S	15,000	44.05	n/a	28-Jan	750.00	5.0
TRUSTCO/SUNTRUST	040	JNY	B	27,252	15.12	n/a	29-Jan	1,062.85	3.9

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	KFT	B	25,000	28.53	n/a	n/a	1,000.00	4.0
KAILIX INV ADV	048	LEA	S	7,500	70.35	n/a	8-Jan	375.00	5.0
NEUBERGER BERMAN	036	LPS	S	121,700	38.99	n/a	n/a	4,868.00	4.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.40	n/a	n/a	600.00	6.0
MILLENIUM PARTNERS	028	MAS	S	35,000	14.67	n/a	n/a	1,400.00	4.0
PORTER-ORLIN-FELDMAN	044	MBI	B	60,000	5.28	n/a	n/a	3,000.00	5.0
RAINIER INV MGMT	035	MDRX	B	107,970	17.49	n/a	n/a	4,318.80	4.0
CRAMER ROSENTHAL/SCOTT	012	MOGA	B	32,900	31.04	n/a	n/a	1,316.00	4.0
TYEE/TYGH	035	OMX	B	100,000	14.29	n/a	n/a	4,000.00	4.0
KLEINHEINZ CAP PART	031	OXY	B	50,000	80.69	n/a	n/a	2,500.00	5.0
FIRST NY SEC/CHRIS	041	PAG	B	20,000	14.41	n/a	22-Jan	1,000.00	5.0
LAGRANGE CAP ADV	048	PAG	B	10,000	14.31	n/a	22-Jan	500.00	5.0
SCHOTTENFELD ASSOC	041	PAG	B	13,400	14.15	n/a	22-Jan	402.00	3.0
RBC CAPITAL MARKETS	040	PCAR	B	7,400	36.17	n/a	1-Feb	296.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	22.19	n/a	26-Jan	2,500.00	5.0
DSG CAPITAL	225	PKG	B	20,000	22.26	n/a	26-Jan	700.00	3.5
CASTLEROCK	040	PRGO	SS	29,402	45.08	n/a	2-Feb	1,176.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. HEALTHCARE BOBBY	044	PRGO	SS	20,000	45.81	n/a	2-Feb	700.00	3.5
HOLLIS CAPITAL	033	PSS	SS	5,000	19.98	n/a	n/a	250.00	5.0
RAMIUS CAP	040	PTRY	B	135,000	13.29	n/a	n/a	5,400.00	4.0
CAERUS GLOBAL	041	RL	B	11,500	83.95	n/a	28-Jan	345.00	3.0
EXIS CAPITAL	044	RL	B	10,000	83.47	n/a	28-Jan	500.00	5.0
SAXON WOODS ADVISORS	242	SCHW	S	10,000	18.26	n/a	n/a	400.00	4.0
WEISS PECK	040	SCVL	SS	6,180	18.54	n/a	n/a	309.00	5.0
STANDARD PACIFIC CAPITAL	040	SKS	B	100,000	6.76	n/a	n/a	4,000.00	4.0
S.A.C. HEALTHCARE BOBBY	044	TEVA	S	25,000	57.34	n/a	2-Feb	875.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>10,000</b>	<b>50.83</b>	<b>n/a</b>	<b>1-Feb</b>	<b>400.00</b>	<b>4.0</b>
CAERUS GLOBAL	041	TGT	S	13,500	50.93	n/a	1-Feb	405.00	3.0
MTB INV ADV	034	THS	S	18,150	38.81	n/a	n/a	907.50	5.0
COUGAR TRADING	044	TM	SS	7,500	78.19	n/a	n/a	375.00	5.0
RAINIER INV MGMT	035	TROW	B	13,620	51.16	n/a	29-Jan	681.00	5.0
AVESTA CAP	229	TYC	B	100,000	36.42	n/a	29-Jan	3,000.00	3.0
ARMATURE CAPITAL	041	UTX	SS	30,000	68.02	n/a	n/a	1,200.00	4.0
S.A.C. HEALTHCARE BOBBY	044	WCRX	SS	15,000	26.05	n/a	1-Feb	525.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	WHR	B	370,675	82.38	n/a	n/a	11,120.25	3.0
MTB INV ADV	034	WMS	S	8,800	38.09	n/a	n/a	440.00	5.0
EXIS CAPITAL	044	WRC	SS	10,000	39.36	n/a	28-Jan	500.00	5.0
CAXTON PART	040	WY	B	153,870	42.39	n/a	25-Jan	5,385.48	3.5
CSFB GLOBAL PROPRIETARY	041	WY	B	37,500	41.29	n/a	25-Jan	1,875.00	5.0
RAMIUS CAP	040	WY	B	5,500	42.10	n/a	25-Jan	220.00	4.0
JP MORGAN VENTURES	046	XLF	SS	17,200	14.53	n/a	n/a	860.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>163,652.04</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/01	UBS OCONNOR (UBSOMS)	031	AMG	S	29,450	64.08	n/a	2-Feb	883.50 3.0
AO,CXL	02/01	UBS OCONNOR (UBSOJPMBS)	031	AMG	S	29,450	64.08	n/a	2-Feb	883.50 3.0
AO,	02/01	ROYCE TRADING (ROYC279)	216	BIIB	B	1,100	53.11	n/a	n/a	55.00 5.0
AO,CRT	02/01	LISTED ERR (LISTED ERR)	099	BPW	B	2,000	10.47	n/a	n/a	0.00 0.0
AO,	02/01	LISTED ERR (LISTED ERR)	099	BPW	S	2,000	10.34	n/a	n/a	0.00 0.0
CRT	02/02	BAIRD INVESTMENT (BAIRVB240M)	047	COG	B	525	40.92	n/a	21-Jan	26.25 5.0
AO,	02/01	JMP ASSET MGMT (JMPABOABA)	210	CTRN	B	3,700	30.49	n/a	n/a	185.00 5.0
AO,	02/01	JMP ASSET MGMT (JMPAGS)	210	GME	B	2,919	19.93	n/a	n/a	145.95 5.0
AO,	02/01	JMP ASSET MGMT (JMPABOABA)	210	GME	B	3,081	19.93	n/a	n/a	154.05 5.0
AO,	02/01	ROYCE TRADING (ROYC279)	216	IVZ	B	3,000	19.34	n/a	29-Jan	150.00 5.0
AO,CRT	01/29	MILLENIU PARTNERS (MILPMLICS)	028	M	S	30,000	16.09	n/a	29-Jan	1200.00 4.0
AO,CXL	01/29	MILLENIU PARTNERS (MILPCREDSU)	028	M	S	30,000	16.09	n/a	29-Jan	1200.00 4.0
AO,CXL	01/28	CONIFER/ISF (CONIISFRIP)	025	OCR	S	5,000	24.77	n/a	n/a	200.00 4.0
AO,	01/28	CONIFER/ISF (CONIISFRIP)	025	OCR	S	5,000	24.77	n/a	n/a	250.00 5.0
CRT	02/02	COUGAR TRADING (COUGPB MS)	044	TM	SS	7,500	78.19	n/a	n/a	375.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,141.25</b>

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TOTAL (Trade Date):	163,652.04
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TOTAL (AO, CXL, CRT):	1,141.25
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>164,793.29</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