



Daily Compliance Activity Report

Trade Date: 03/24/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	ACV	SS	5,000	26.60	n/a	3-Mar	200.00	4.0
ADAGE CAPITAL MGMT	030	ADM	B	15,000	28.34	n/a	22-Mar	450.00	3.0
RBC CAPITAL MARKETS	040	ADM	B	25,000	28.66	n/a	22-Mar	1,000.00	4.0
THOMAS WEISEL ASSET MGMT	035	AGP	B	5,373	33.38	n/a	n/a	161.19	3.0
HARBORWATCH/DIAMBACK	232	ASH	B	10,000	53.26	n/a	11-Mar	500.00	5.0
ROSEDALE CAPITAL	046	AXL	S	10,000	11.26	n/a	8-Feb	500.00	5.0
CHILTON CAPITAL MGMT.	036	BAC	B	250,000	17.70	n/a	15-Mar	7,500.00	3.0
HOLDEN CAPITAL MGMT	035	BKC	SS	50,000	20.38	n/a	9-Mar	2,500.00	5.0
CHART WELL ADV	028	BMC	S	36,200	38.73	n/a	n/a	1,448.00	4.0
RAINIER INV MGMT	035	BUCY	B	172,030	68.19	n/a	22-Feb	6,881.20	4.0
PATTEN & PATTEN	067	CAG	S	600	26.02	n/a	n/a	30.00	5.0
GCORE MANAGEMENT	041	CAT	SS	3,000	61.84	n/a	28-Jan	150.00	5.0
PATTEN & PATTEN	067	COP	S	400	52.56	n/a	n/a	20.00	5.0
SANDLER O'NEILL ASSET	031	C	S	150,000	4.15	n/a	16-Mar	3,000.00	2.0
SAC COHEN	044	EAT	B	250,000	20.49	n/a	n/a	8,750.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY BOBBY	044	FL	B	25,000	14.81	n/a	10-Mar	1,250.00	5.0
TROUBH PART	067	F	SS	100,000	13.78	n/a	3-Mar	5,000.00	5.0
SAC COHEN	044	GME	B	50,000	21.87	n/a	n/a	1,750.00	3.5
ADAGE CAPITAL MGMT	030	HAIN	SS	10,000	17.71	n/a	n/a	300.00	3.0
SAC COHEN	044	HD	SS	200,000	32.31	n/a	23-Feb	7,000.00	3.5
SAC COHEN	044	HOG	S	250,000	27.86	n/a	n/a	8,750.00	3.5
THOMPSON SIEGAL&WALMSLEY	029	IP	B	27,200	26.19	n/a	3-Feb	1,088.00	4.0
T. ROWE PRICE	033	JCG	S	65,600	45.09	n/a	n/a	2,624.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	165,898	33.13	n/a	5-Mar	4,976.94	3.0
EXIS CAPITAL	044	JCP	B	5,000	33.02	n/a	5-Mar	250.00	5.0
PATTEN & PATTEN	067	JWN	S	400	40.69	n/a	5-Mar	20.00	5.0
EXIS CAPITAL	044	KSS	B	10,000	56.48	n/a	5-Mar	500.00	5.0
BASIX	033	LEA	B	17,000	80.26	n/a	8-Feb	510.00	3.0
ISLE RIDGE PARTNERS	041	LEA	B	2,800	80.54	n/a	8-Feb	112.00	4.0
OZ MGMT	040	LEA	B	48,500	80.28	n/a	8-Feb	1,455.00	3.0
SENVEST PART	045	LVS	S	20,000	22.08	n/a	23-Mar	1,000.00	5.0
HARBORWATCH/DIAMBACK	232	MEE	S	25,000	52.20	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JAT CAPITAL MANAGEMENT	041	MGM	SS	41,700	12.60	n/a	12-Mar	1,668.00	4.0
HOLLIS CAPITAL	033	MS	B	10,000	29.55	n/a	10-Mar	500.00	5.0
BNP PARIBAS SEC	040	MW	SS	5,000	24.72	n/a	n/a	200.00	4.0
SAC COHEN	044	M	B	100,000	21.80	n/a	5-Mar	3,500.00	3.5
PATTEN & PATTEN	067	OXY	S	200	82.80	n/a	n/a	10.00	5.0
DSG CAPITAL	225	OZM	S	10,000	14.52	n/a	n/a	400.00	4.0
AVESTA CAP	229	PG	S	100,000	63.72	n/a	18-Mar	3,000.00	3.0
SCOPUS FUND	041	PIR	S	20,000	6.70	n/a	n/a	1,000.00	5.0
GEORGE WEISS	034	PM	SS	25,000	51.93	n/a	n/a	1,000.00	4.0
ADAGE CAPITAL MGMT	030	RL	B	73,759	84.75	n/a	23-Mar	2,212.77	3.0
EXIS CAPITAL	044	SKS	S	40,000	9.16	n/a	n/a	2,000.00	5.0
MELLON/BANK OF NEW YORK	046	SM	S	33,700	34.67	n/a	n/a	1,685.00	5.0
PATTEN & PATTEN	067	SNY	B	500	37.24	n/a	n/a	25.00	5.0
MILLENIUM PARTNERS	028	SOA	S	20,000	15.67	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	SONC	B	10,100	10.50	n/a	n/a	505.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GCORE MANAGEMENT	041	TYC	B	5,000	37.14	n/a	29-Jan	250.00	5.0
SCOPUS FUND	041	UTX	SS	20,000	73.14	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	VFC	SS	5,000	80.36	n/a	12-Feb	250.00	5.0
PATTEN & PATTEN	067	V	S	100	88.67	n/a	12-Mar	5.00	5.0
SAC COHEN	044	WAG	B	100,000	35.57	n/a	n/a	3,500.00	3.5
BRAZOS	031	WTSLA	B	40,800	4.57	n/a	n/a	1,224.00	3.0
BRAX	031	WTSLA	B	7,400	4.57	n/a	n/a	222.00	3.0
TOTAL (Trade Date):								95,883.10	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/23	SOLARIS INV MGMT (SOLA429)	029	BTI	S	150	67.83	n/a	n/a	7.50 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA391)	029	BTI	S	500	67.83	n/a	n/a	25.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA49)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA453)	029	BTI	S	600	67.83	n/a	n/a	30.00 5.0
AO,CXL	03/23	SOLARIS INV MGMT (SOLA1)	029	BTI	S	30,000	67.83	n/a	n/a	1500.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA25)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA30)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA48)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA23)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA19)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA16)	029	BTI	S	1,400	67.83	n/a	n/a	70.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA14)	029	BTI	S	1,000	67.83	n/a	n/a	50.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA3)	029	BTI	S	1,400	67.83	n/a	n/a	70.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA6)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA4)	029	BTI	S	400	67.83	n/a	n/a	20.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA512)	029	BTI	S	5,600	67.83	n/a	n/a	280.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA495)	029	BTI	S	600	67.83	n/a	n/a	30.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA2143)	029	BTI	S	1,200	67.83	n/a	n/a	60.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1646)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA2009)	029	BTI	S	600	67.83	n/a	n/a	30.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA28)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1982)	029	BTI	S	300	67.83	n/a	n/a	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1891)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1871)	029	BTI	S	4,300	67.83	n/a	n/a	215.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA29)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1756)	029	BTI	S	2,000	67.83	n/a	n/a	100.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1633)	029	BTI	S	500	67.83	n/a	n/a	25.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/23	SOLARIS INV MGMT (SOLA1508)	029	BTI	S	150	67.83	n/a	n/a	7.50 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1628)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1695)	029	BTI	S	400	67.83	n/a	n/a	20.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1720)	029	BTI	S	300	67.83	n/a	n/a	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1629)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1626)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1610)	029	BTI	S	300	67.83	n/a	n/a	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA509)	029	BTI	S	300	67.83	n/a	n/a	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1099)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1138)	029	BTI	S	1,200	67.83	n/a	n/a	60.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA15)	029	BTI	S	400	67.83	n/a	n/a	20.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA443)	029	BTI	S	1,200	67.83	n/a	n/a	60.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA799)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA782)	029	BTI	S	200	67.83	n/a	n/a	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA934)	029	BTI	S	700	67.83	n/a	n/a	35.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA935)	029	BTI	S	1,200	67.83	n/a	n/a	60.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA662)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA533)	029	BTI	S	400	67.83	n/a	n/a	20.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA483)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA78)	029	BTI	S	100	67.83	n/a	n/a	5.00 5.0
AO,	03/23	MKT MAKER (MKT MAKER)	099	DLTR	B	100	60.00	n/a	24-Feb	0.00 0.0
AO,	03/23	SOLARIS INV MGMT (SOLA1982)	029	IGT	B	400	17.91	n/a	9-Feb	20.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1891)	029	IGT	B	300	17.91	n/a	9-Feb	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1871)	029	IGT	B	7,500	17.91	n/a	9-Feb	375.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA29)	029	IGT	B	200	17.91	n/a	9-Feb	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1756)	029	IGT	B	3,500	17.91	n/a	9-Feb	175.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1633)	029	IGT	B	900	17.91	n/a	9-Feb	45.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1508)	029	IGT	B	200	17.91	n/a	9-Feb	10.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/23	SOLARIS INV MGMT (SOLA1628)	029	IGT	B	300	17.91	n/a	9-Feb	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1695)	029	IGT	B	700	17.91	n/a	9-Feb	35.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1720)	029	IGT	B	700	17.91	n/a	9-Feb	35.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA60)	029	IGT	B	100	17.91	n/a	9-Feb	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA509)	029	IGT	B	400	17.91	n/a	9-Feb	20.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1138)	029	IGT	B	2,100	17.91	n/a	9-Feb	105.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA15)	029	IGT	B	600	17.91	n/a	9-Feb	30.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA443)	029	IGT	B	1,900	17.91	n/a	9-Feb	95.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA799)	029	IGT	B	300	17.91	n/a	9-Feb	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA790)	029	IGT	B	1,200	17.91	n/a	9-Feb	60.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA782)	029	IGT	B	300	17.91	n/a	9-Feb	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA934)	029	IGT	B	1,200	17.91	n/a	9-Feb	60.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA935)	029	IGT	B	2,100	17.91	n/a	9-Feb	105.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA533)	029	IGT	B	600	17.91	n/a	9-Feb	30.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA483)	029	IGT	B	200	17.91	n/a	9-Feb	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA78)	029	IGT	B	200	17.91	n/a	9-Feb	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA391)	029	IGT	B	1,000	17.91	n/a	9-Feb	50.00 5.0
AO,CXL	03/23	SOLARIS INV MGMT (SOLA1)	029	IGT	B	50,000	17.91	n/a	9-Feb	2500.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA25)	029	IGT	B	300	17.91	n/a	9-Feb	15.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA23)	029	IGT	B	100	17.91	n/a	9-Feb	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA16)	029	IGT	B	2,400	17.91	n/a	9-Feb	120.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA14)	029	IGT	B	1,600	17.91	n/a	9-Feb	80.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA3)	029	IGT	B	2,400	17.91	n/a	9-Feb	120.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA6)	029	IGT	B	200	17.91	n/a	9-Feb	10.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA4)	029	IGT	B	700	17.91	n/a	9-Feb	35.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA512)	029	IGT	B	10,700	17.91	n/a	9-Feb	535.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA495)	029	IGT	B	1,000	17.91	n/a	9-Feb	50.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA1898)	029	IGT	B	100	17.91	n/a	9-Feb	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA2143)	029	IGT	B	2,200	17.91	n/a	9-Feb	110.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA2122)	029	IGT	B	200	17.91	n/a	9-Feb	10.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/23	SOLARIS INV MGMT (SOLA1646)	029	IGT	B	100	17.91	n/a	9-Feb	5.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA2009)	029	IGT	B	1,000	17.91	n/a	9-Feb	50.00 5.0
AO,	03/23	SOLARIS INV MGMT (SOLA28)	029	IGT	B	100	17.91	n/a	9-Feb	5.00 5.0
AO,CXL	03/19	MISSION POINT (MISPCSMAS)	048	PH	S	2,000	65.91	n/a	20-Jan	80.00 4.0
AO,	03/19	MISSION POINT (MISPCSMAS)	048	PH	S	2,000	65.91	n/a	20-Jan	100.00 5.0
AO,CRT	03/23	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	S	10,000	5.36	n/a	n/a	500.00 5.0
AO,CXL	03/23	FIRST NEW YORK NICK (FNYNCLOSE)	029	Q	S	10,000	5.36	n/a	n/a	500.00 5.0
AO,CRT	03/23	GREEN ARROW DOUG (GADRCITI)	040	SWY	SS	40,000	24.12	n/a	n/a	2000.00 5.0
AO,CXL	03/23	MILLENIUM PARTNERS (MILPCSTARS)	028	SWY	SS	40,000	24.12	n/a	n/a	1600.00 4.0

TOTAL (AO, CXL, CRT) : **420.00**

TOTAL (Trade Date) : 95,883.10
TOTAL (AO, CXL, CRT) : 420.00

TOTAL (RUN DATE) / NFS : **96,303.10**

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