



## Daily Compliance Activity Report

Trade Date: 01/06/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AMZN	B	5,000	132.01	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	ANF	B	20,000	35.73	n/a	5-Jan	800.00	4.0
CIRCLE T/SES PART	035	AN	S	45,000	19.60	n/a	4-Jan	1,800.00	4.0
OZ MGMT	040	AN	S	25,000	20.31	n/a	4-Jan	750.00	3.0
BMO NESBITT BURNS	041	AXL	S	50,000	9.45	n/a	4-Jan	2,500.00	5.0
JP MORGAN VENTURES	046	AXL	S	20,000	9.58	n/a	4-Jan	600.00	3.0
MILLRACE FUND LP	028	AXL	S	10,000	9.63	n/a	4-Jan	300.00	3.0
TRELLUS PARTNERS LP	028	AXL	S	50,000	9.55	n/a	4-Jan	1,500.00	3.0
TROUBH PART	067	AXL	S	50,000	9.51	n/a	4-Jan	2,500.00	5.0
RBC CAPITAL MARKETS	040	BG	S	10,000	68.44	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	214	BKC	S	13,050	18.75	n/a	4-Jan	522.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHA</b>	<b>B</b>	<b>5,000</b>	<b>44.06</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
BNP PARIBAS SEC	040	DAN	B	25,000	11.70	n/a	6-Jan	1,000.00	4.0
DSG CAPITAL	225	DAN	B	25,000	11.96	n/a	6-Jan	1,250.00	5.0
FIRST NY SEC/CHRIS	041	DAN	S	10,000	12.11	n/a	6-Jan	500.00	5.0
ISLE RIDGE PARTNERS	041	DAN	B	20,000	12.07	n/a	6-Jan	800.00	4.0
SCHOTTENFELD ASSOC	041	DAN	S	50,000	12.12	n/a	6-Jan	1,500.00	3.0
THE JAY GOLDMAN	028	DAN	B	15,000	12.09	n/a	6-Jan	600.00	4.0
TRELLUS PARTNERS LP	028	DAN	B	60,000	11.88	n/a	6-Jan	3,000.00	5.0
LAGRANGE CAP ADV	048	DLTR	SS	5,000	50.00	n/a	4-Jan	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	DLTR	B	15,000	48.94	n/a	4-Jan	450.00	3.0
KENNEDY CAPITAL	046	DPZ	B	51,700	9.00	n/a	4-Jan	1,551.00	3.0
KLEINHEINZ CAP PART	031	EGO	B	75,000	14.95	n/a	n/a	3,750.00	5.0
OZ MGMT	040	ERTS	SS	85,657	18.37	n/a	n/a	2,569.71	3.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.81	n/a	n/a	1,200.00	6.0
CATAPULT	040	EV	SS	12,500	31.19	n/a	5-Jan	625.00	5.0
RBC CAPITAL MARKETS	040	FDO	SS	5,000	30.66	n/a	6-Jan	200.00	4.0
PAW PARTNERS	045	FRED	SS	5,100	10.13	n/a	n/a	255.00	5.0
BMO NESBITT BURNS	041	F	SS	50,000	11.34	n/a	6-Jan	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	F	S	20,000	11.37	n/a	6-Jan	800.00	4.0
ROSEDALE CAPITAL	046	F	S	10,000	11.38	n/a	6-Jan	500.00	5.0
COOPER CREEK PART	028	GYMB	B	5,000	45.43	n/a	5-Jan	200.00	4.0
RBC CAPITAL MARKETS	040	IPI	B	10,000	31.83	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	IP	SS	40,000	28.44	n/a	4-Jan	2,000.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	10,100	23.00	n/a	5-Jan	505.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>137,000</b>	<b>16.96</b>	<b>n/a</b>	<b>4-Jan</b>	<b>5,480.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JWN	B	10,000	37.43	n/a	5-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	KG	B	8,000	12.69	n/a	4-Jan	320.00	4.0
LONG OAR GLOBAL INV	040	LKQX	B	19,000	19.68	n/a	n/a	760.00	4.0
SANDLER O'NEILL ASSET	031	LM	SS	10,000	30.48	n/a	5-Jan	500.00	5.0
BMO NESBITT BURNS	041	LPX	B	20,000	7.04	n/a	4-Nov	600.00	3.0
BMO NESBITT BURNS	041	LPX	S	25,000	7.05	n/a	4-Nov	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	S	50,000	17.23	n/a	5-Jan	1,750.00	3.5
COUGAR TRADING	044	PAG	B	15,000	16.01	n/a	4-Jan	750.00	5.0
SCOPUS FUND	041	PAG	B	2,500	15.94	n/a	4-Jan	125.00	5.0
DSM CAPITAL PARTNERS	032	PEP	B	3,200	62.00	n/a	n/a	160.00	5.0
BMO NESBITT BURNS	041	PKG	S	24,000	23.83	n/a	4-Jan	1,200.00	5.0
NWQ INVESTMENT MGMT CO	048	PKG	B	1,900	23.72	n/a	4-Jan	76.00	4.0
BRIGADE CAPITAL MGMT	029	PLCE	B	10,508	33.49	n/a	5-Jan	315.24	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>20,000</b>	<b>22.19</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
FIRST NEW YORK NICK	029	Q	B	20,000	4.51	n/a	n/a	1,000.00	5.0
SANDLER CAPITAL	226	RHI	S	104,070	28.96	n/a	n/a	6,244.20	6.0
RBC CAPITAL MARKETS	040	SEED	SS	40,000	13.00	n/a	n/a	1,600.00	4.0
SCOPUS FUND	041	SKS	B	10,000	7.25	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	SOA	B	10,000	13.22	n/a	n/a	400.00	4.0
CASTLE ARK	031	SWN	B	115,292	51.08	n/a	4-Jan	6,917.52	6.0
BNP PARIBAS SEC	040	TEN	SS	10,000	20.54	n/a	n/a	400.00	4.0
DSM CAPITAL PARTNERS	032	TGT	B	4,500	49.29	n/a	4-Jan	225.00	5.0
EXIS CAPITAL	044	TGT	B	10,000	49.66	n/a	4-Jan	500.00	5.0
SANDLER O'NEILL ASSET	031	TROW	B	4,900	54.84	n/a	5-Jan	245.00	5.0
PARTNER REINSURANCE	033	TWC	S	30,450	41.44	n/a	n/a	1,218.00	4.0
MACKLOWE ASSET MGMT	041	WAG	SS	35,000	36.56	n/a	n/a	1,400.00	4.0
MERRILL ASSET/BLACKROCK	214	WAG	B	22,000	36.54	n/a	n/a	880.00	4.0
BMO NESBITT BURNS	041	WCRX	B	5,000	28.46	n/a	6-Jan	200.00	4.0
BMO NESBITT BURNS	041	WY	SS	30,000	45.03	n/a	4-Jan	1,500.00	5.0
OVERLAND PARK CAP	041	ZZ	B	23,000	3.27	n/a	n/a	920.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>77,263.67</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/05	THOMPSON SIEGAL&WALMSLEY (THOS4237)	029	DTG	B	1,850	26.89	n/a	n/a	74.00 4.0
AO,	01/05	THOMPSON SIEGAL&WALMSLEY (THOS4236)	029	DTG	B	1,700	26.89	n/a	n/a	68.00 4.0
AO,	01/05	THOMPSON SIEGAL&WALMSLEY (THOS4232)	029	DTG	B	1,250	26.89	n/a	n/a	50.00 4.0
AO,	01/05	THOMPSON SIEGAL&WALMSLEY (THOS4223)	029	DTG	B	2,500	26.89	n/a	n/a	100.00 4.0
AO,	01/05	THOMPSON SIEGAL&WALMSLEY (THOS4074)	029	DTG	B	1,400	26.89	n/a	n/a	56.00 4.0
AO,	01/05	THOMPSON SIEGAL&WALMSLEY (THOS4020)	029	DTG	B	1,800	26.89	n/a	n/a	72.00 4.0
AO,	01/05	THOMPSON SIEGAL&WALMSLEY (THOS4133)	029	DTG	B	1,500	26.89	n/a	n/a	60.00 4.0
AO,	01/05	OZ MGMT (OZFFCSFB)	040	F	B	6,106	10.46	n/a	6-Jan	183.18 3.0
AO,	01/05	OZ MGMT (OZFFMS)	040	F	B	4,384	10.46	n/a	6-Jan	131.52 3.0
AO,	01/05	OZ MGMT (OZFFGS)	040	F	B	3,690	10.46	n/a	6-Jan	110.70 3.0
AO,	01/05	OZ MGMT (OZFFGS)	040	F	B	948	10.46	n/a	6-Jan	28.44 3.0
AO,	01/05	OZ MGMT (OZFFGS)	040	F	B	134,872	10.46	n/a	6-Jan	4046.16 3.0
AO,CXL	01/04	NEW JERSEY DIV OF INV. (NEWJ5140)	030	KSU	S	30,000	33.64	n/a	n/a	1200.00 4.0
AO,CRT	01/04	NEW JERSEY DIV OF INV. (NEWJ5140)	030	KSU	S	30,000	33.64	n/a	n/a	1200.00 4.0
AO,	01/05	OZ MGMT (OZFFDB)	040	MOT	SS	150,000	7.98	n/a	n/a	4500.00 3.0
AO,	01/05	OZ MGMT (OZFFCSFB)	040	MOT	SS	6,792	7.98	n/a	n/a	203.76 3.0
AO,	01/05	OZ MGMT (OZFFCSFB)	040	MOT	SS	5,874	7.98	n/a	n/a	176.22 3.0
AO,	01/05	OZ MGMT (OZFFCSFB)	040	MOT	SS	6,616	7.98	n/a	n/a	198.48 3.0
AO,	01/05	OZ MGMT (OZFFMS)	040	MOT	SS	4,877	7.98	n/a	n/a	146.31 3.0
AO,	01/05	OZ MGMT (OZFFMS)	040	MOT	SS	4,218	7.98	n/a	n/a	126.54 3.0
AO,	01/05	OZ MGMT (OZFFGS)	040	MOT	SS	129,743	7.98	n/a	n/a	3892.29 3.0
AO,	01/05	OZ MGMT (OZFFGS)	040	MOT	SS	3,549	7.98	n/a	n/a	106.47 3.0
AO,	01/05	OZ MGMT (OZFFGS)	040	MOT	SS	4,104	7.98	n/a	n/a	123.12 3.0
AO,	01/05	OZ MGMT (OZFFGS)	040	MOT	SS	7,650	7.98	n/a	n/a	229.50 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>14,682.69</b>

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TOTAL (Trade Date):	77,263.67
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>91,946.36</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