



Daily Compliance Activity Report

Trade Date: 01/19/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|--------------|---------------|------------|
| EPOCH INV MGMT | 030 | AAPL | B | 3,250 | 211.96 | n/a | n/a | 97.50 | 3.0 |
| JP MORGAN VENTURES | 046 | AEO | S | 85,000 | 17.07 | n/a | 8-Jan | 4,250.00 | 5.0 |
| EPOCH INV MGMT | 030 | AET | B | 27,350 | 32.97 | n/a | n/a | 820.50 | 3.0 |
| EPOCH INV MGMT | 030 | AMP | B | 14,850 | 41.90 | n/a | n/a | 445.50 | 3.0 |
| TRUSTCO/SUNTRUST | 040 | AOS | B | 15,952 | 44.65 | n/a | 23-Nov | 622.12 | 3.9 |
| EPOCH INV MGMT | 030 | APC | B | 11,700 | 65.78 | n/a | 19-Jan | 351.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | ARO | B | 10,000 | 34.42 | n/a | 8-Jan | 400.00 | 4.0 |
| TROUBH PART | 067 | BAC | B | 25,000 | 16.33 | n/a | 14-Jan | 1,250.00 | 5.0 |
| BROADARCH CAP/OLD NEWC | 255 | BRCD | B | 18,100 | 7.83 | n/a | n/a | 724.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | CCE | B | 10,794 | 21.20 | n/a | n/a | 431.76 | 4.0 |
| CATAPULT | 040 | CE | B | 15,000 | 33.03 | n/a | n/a | 750.00 | 5.0 |
| NEUBERGER BERMAN | 036 | CPLA | S | 16,400 | 74.09 | n/a | n/a | 656.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 255 | CSCO | B | 5,700 | 24.80 | n/a | n/a | 228.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | C | B | 50,000 | 3.55 | n/a | 19-Jan | 1,500.00 | 3.0 |

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|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|---------------|------------|
| BROADARCH CAP/OLD NEWC | 255 | DAN | B | 6,000 | 11.74 | n/a | 6-Jan | 240.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | DBRN | B | 5,000 | 25.10 | n/a | n/a | 200.00 | 4.0 |
| GRUSS CAPITAL | 045 | DEI | S | 10,000 | 15.02 | n/a | n/a | 300.00 | 3.0 |
| GRUSS CAPITAL | 045 | DEL | SS | 1,000 | 53.23 | n/a | n/a | 30.00 | 3.0 |
| PLATTE RIVER CAPITAL | 240 | DE | S | 10,500 | 57.09 | n/a | 30-Nov | 420.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | DFS | B | 32,400 | 14.70 | n/a | 15-Jan | 1,620.00 | 5.0 |
| EPOCH INV MGMT | 030 | DHR | B | 9,400 | 76.74 | n/a | n/a | 282.00 | 3.0 |
| SAC TRADING TOM LEDDY | 035 | DLTR | SS | 25,000 | 49.58 | n/a | 4-Jan | 875.00 | 3.5 |
| EPOCH INV MGMT | 030 | DVA | B | 13,900 | 62.05 | n/a | n/a | 417.00 | 3.0 |
| FIRST NEW YORK LEDDY | 035 | ETFC | B | 10,000 | 1.81 | n/a | n/a | 600.00 | 6.0 |
| TRUSTCO/SUNTRUST | 040 | FL | B | 13,795 | 12.19 | n/a | 19-Jan | 538.02 | 3.9 |
| BROADARCH CAP/OLD NEWC | 255 | GD | B | 1,000 | 70.48 | n/a | 4-Jan | 40.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GES | B | 10,000 | 42.70 | n/a | n/a | 400.00 | 4.0 |
| MTB INV ADV | 034 | GMCR | B | 10,375 | 82.90 | n/a | n/a | 518.75 | 5.0 |
| SPARTA ASSET MGMT | 035 | GYMB | B | 17,305 | 42.17 | n/a | 8-Jan | 519.15 | 3.0 |

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|--------------------------|------------|------------|----------|---------------|--------------|------------|--------------|---------------|------------|
| NEW JERSEY DIV OF INV. | 030 | HEV | B | 20,000 | 5.08 | n/a | n/a | 800.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 255 | HON | B | 3,300 | 42.94 | n/a | 16-Dec | 132.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 255 | HPQ | B | 3,700 | 52.63 | n/a | n/a | 148.00 | 4.0 |
| NEW JERSEY DIV OF INV. | 030 | HSY | S | 30,000 | 37.44 | n/a | n/a | 1,200.00 | 4.0 |
| SANDLER CAPITAL | 226 | IFF | B | 50,000 | 42.47 | n/a | 13-Jan | 3,000.00 | 6.0 |
| RBC CAPITAL MARKETS | 040 | IGT | SS | 10,000 | 20.20 | n/a | 13-Jan | 400.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 50,000 | 26.68 | n/a | 7-Jan | 2,500.00 | 5.0 |
| BROADARCH CAP/OLD NEWC | 255 | IR | B | 3,800 | 37.73 | n/a | 4-Jan | 152.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | ITW | B | 30,000 | 48.49 | n/a | 4-Jan | 1,500.00 | 5.0 |
| M&I FUNDS | 047 | IVZ | S | 7,404 | 22.93 | n/a | 19-Jan | 296.16 | 4.0 |
| ADAGE CAPITAL MGMT | 030 | JCP | B | 80,400 | 26.20 | n/a | 8-Jan | 3,216.00 | 4.0 |
| CR INTRINIC INVESTMENT | 044 | JCP | SS | 250,000 | 26.18 | n/a | 8-Jan | 10,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JNY | B | 20,000 | 16.61 | n/a | 4-Jan | 800.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 255 | JPM | B | 3,300 | 43.29 | n/a | 15-Jan | 132.00 | 4.0 |
| THE JAY GOLDMAN | 028 | JWN | S | 30,000 | 36.30 | n/a | 8-Jan | 1,200.00 | 4.0 |
| NEUBERGER BERMAN | 036 | KBW | S | 5,900 | 27.74 | n/a | n/a | 236.00 | 4.0 |

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|------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| FIRST NY SEC/CHRIS | 041 | KSS | B | 10,000 | 51.70 | n/a | 8-Jan | 500.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | KSS | B | 30,000 | 51.65 | n/a | 8-Jan | 1,500.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | LEA | B | 15,000 | 71.12 | n/a | 8-Jan | 750.00 | 5.0 |
| EPOCH INV MGMT | 030 | LH | B | 9,750 | 76.81 | n/a | n/a | 292.50 | 3.0 |
| BROADARCH CAP/OLD NEWC | 255 | LII | B | 1,800 | 39.78 | n/a | n/a | 72.00 | 4.0 |
| NEUBERGER BERMAN | 036 | MET | B | 33,990 | 39.37 | n/a | n/a | 1,359.60 | 4.0 |
| NEW JERSEY DIV OF INV. | 030 | MOS | B | 10,000 | 62.96 | n/a | n/a | 400.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 255 | MSM | B | 3,000 | 46.90 | n/a | n/a | 120.00 | 4.0 |
| AVESTA CAP | 229 | MS | B | 100,000 | 31.06 | n/a | 14-Jan | 3,000.00 | 3.0 |
| BASIX | 033 | MTW | B | 23,000 | 13.34 | n/a | 12-Jan | 690.00 | 3.0 |
| NEW JERSEY DIV OF INV. | 030 | NCR | S | 50,000 | 12.52 | n/a | n/a | 2,000.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 255 | OXY | B | 1,200 | 78.75 | n/a | n/a | 48.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | PCU | S | 50,000 | 33.26 | n/a | n/a | 2,500.00 | 5.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | PVH | B | 1,900 | 43.45 | n/a | 12-Jan | 76.00 | 4.0 |
| NEUBERGER BERMAN | 036 | RRR | S | 30,000 | 7.38 | n/a | 4-Jan | 600.00 | 2.0 |
| NEUBERGER BERMAN | 036 | SLXP | B | 72,000 | 28.78 | n/a | n/a | 2,880.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|----------|---------------|-------------|------------|------------|------------------|------------|
| SANDLER O'NEILL ASSET | 031 | STT | B | 50,000 | 42.88 | n/a | 14-Jan | 2,500.00 | 5.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | STX | S | 34,900 | 18.14 | n/a | n/a | 1,396.00 | 4.0 |
| DC CAPITAL | 044 | TEN | S | 25,000 | 19.27 | n/a | n/a | 1,250.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | THO | B | 8,730 | 31.45 | n/a | n/a | 349.20 | 4.0 |
| SCOPUS FUND | 041 | TIN | SS | 10,000 | 20.70 | n/a | 7-Jan | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TLB | B | 40,000 | 9.97 | n/a | n/a | 1,200.00 | 3.0 |
| ARCHON CAPITAL | 035 | VAR | S | 13,000 | 49.20 | n/a | n/a | 390.00 | 3.0 |
| NEUBERGER BERMAN | 036 | VRSK | S | 114,200 | 27.99 | n/a | n/a | 4,568.00 | 4.0 |
| AVESTA CAP | 229 | WFC | B | 100,000 | 28.36 | n/a | 14-Jan | 3,000.00 | 3.0 |
| CARLSON CAPITAL | 203 | WFC | S | 70,000 | 28.31 | n/a | 14-Jan | 2,800.00 | 4.0 |
| GALT INVESTMENT | 041 | WTSLA | S | 25,000 | 3.50 | n/a | n/a | 1,000.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | WY | B | 17,000 | 44.58 | n/a | 4-Jan | 680.00 | 4.0 |
| CONIFER/ISF | 025 | XRX | B | 5,000 | 8.97 | n/a | n/a | 250.00 | 5.0 |
| EXIS CAPITAL | 044 | ZUMZ | SS | 20,000 | 13.53 | n/a | n/a | 1,000.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 82,909.76 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------------------------------|-------|--------------------------------------|------|--------|-----|---------|-------|-----|----------|------------------|
| AO,CXL | 01/15 | BUCK CAPITAL MGMT (BUCKJPMBS) | 001 | ARO | B | 400 | 34.81 | n/a | 8-Jan | 16.00 4.0 |
| AO,CRT | 01/15 | BUCK CAPITAL MGMT (BUCKJPMBS) | 001 | ARO | B | 9,600 | 34.81 | n/a | 8-Jan | 384.00 4.0 |
| AO,CXL | 01/15 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ARO | B | 9,600 | 34.81 | n/a | 8-Jan | 384.00 4.0 |
| AO,CRT | 01/15 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ARO | B | 400 | 34.81 | n/a | 8-Jan | 16.00 4.0 |
| AO,CXL | 01/14 | FORD FDN. (FORDMAIN) | 032 | COF | S | 50,000 | 41.58 | n/a | 15-Jan | 2500.00 5.0 |
| AO,CRT | 01/14 | FORD FDN. (FORDMAIN) | 032 | COF | S | 50,000 | 41.58 | n/a | 15-Jan | 2000.00 4.0 |
| AO,CXL | 01/15 | JMP ASSET MGMT (JMPAGS) | 210 | GCO | S | 1,176 | 24.97 | n/a | n/a | 58.80 5.0 |
| AO,CRT | 01/15 | JMP ASSET MGMT (JMPAGS) | 210 | GCO | S | 5,800 | 24.97 | n/a | n/a | 290.00 5.0 |
| AO,CXL | 01/15 | JMP ASSET MGMT (JMPABOABA) | 210 | GCO | S | 5,800 | 24.97 | n/a | n/a | 290.00 5.0 |
| AO,CRT | 01/15 | JMP ASSET MGMT (JMPABOABA) | 210 | GCO | S | 1,176 | 24.97 | n/a | n/a | 58.80 5.0 |
| AO,CXL | 01/15 | HUNTER GLOBAL INVESTOR (HUNTIJPMORG) | 067 | INTC | B | 100,000 | 20.86 | n/a | n/a | 4000.00 4.0 |
| AO,CRT | 01/15 | HUNTER GLOBAL INVESTOR (HUNTMS P) | 067 | INTC | B | 100,000 | 20.86 | n/a | n/a | 4000.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -500.00 |
| TOTAL (Trade Date) : | | | | | | | | | | 82,909.76 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -500.00 |
| TOTAL (RUN DATE) / NFS : | | | | | | | | | | 82,409.76 |

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