



Daily Compliance Activity Report

Trade Date: 02/03/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEISS PECK	040	AEO	S	13,520	16.59	n/a	29-Jan	676.00	5.0
CIRCLE T/SES PART	035	AN	S	30,000	18.32	n/a	4-Jan	1,200.00	4.0
WOOSTER CAPITAL	035	AN	S	50,000	18.40	n/a	4-Jan	2,500.00	5.0
NUMERIC	060	ASH	B	67,900	43.98	n/a	26-Jan	2,037.00	3.0
NEUBERGER BERMAN	036	AVT	B	36,700	27.48	n/a	n/a	1,468.00	4.0
CENTURION PARTNERS	041	AXL	B	30,000	9.92	n/a	4-Jan	1,200.00	4.0
OZ MGMT	040	AXL	B	50,000	10.34	n/a	4-Jan	1,500.00	3.0
FORD FDN.	032	AXP	S	15,000	38.63	n/a	3-Feb	600.00	4.0
ROSEDALE CAPITAL	046	AXP	B	20,000	38.62	n/a	3-Feb	1,000.00	5.0
FORD FDN.	032	BAC	S	20,000	15.60	n/a	21-Jan	800.00	4.0
BROADARCH CAP/OLD NEWC	070	BA	B	300	61.63	n/a	3-Feb	12.00	4.0
KAILIX INV ADV	048	BA	B	15,000	61.54	n/a	3-Feb	750.00	5.0
WAGONHOUND/NIC	048	BBBY	S	1,060	39.66	n/a	n/a	42.40	4.0
ROYCE TRADING	216	BIIB	B	300	54.10	n/a	n/a	15.00	5.0
PZENA INV ADV	044	BJS	S	11,200	21.50	n/a	n/a	392.09	3.5
BUCK CAPITAL MGMT	001	BKS	SS	20,000	19.50	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	BZ	B	15,000	5.33	n/a	n/a	450.00	3.0
ROYCE TRADING	216	BZ	B	11,000	5.33	n/a	n/a	550.00	5.0
SMITH MGMT LLC	029	BZ	S	178,700	5.35	n/a	n/a	7,148.00	4.0
MATRIX ASSET ADV.	036	CCL	S	5,000	34.66	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	25,000	13.70	n/a	n/a	875.00	3.5
BROADARCH CAP/OLD NEWC	070	CNX	B	1,700	50.31	n/a	n/a	68.00	4.0
GOLD SACHS SPECIAL SIT	030	CRDN	B	26,762	19.74	n/a	n/a	1,338.10	5.0
ROSEDALE CAPITAL	046	CSCO	S	10,000	23.23	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	CVS	B	5,000	32.71	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	CWTR	S	13,580	4.55	n/a	n/a	679.00	5.0
MISSOURI VALLEY PART	046	C	S	167,465	3.41	n/a	21-Jan	5,023.95	3.0
OZ MGMT	040	DAN	B	35,000	10.91	n/a	6-Jan	1,050.00	3.0
LEVEL GLOBAL SHARED ACCT	257	DLTR	B	50,000	50.99	n/a	1-Feb	1,500.00	3.0
RBC CAPITAL MARKETS	040	DLTR	S	5,000	51.51	n/a	1-Feb	200.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.55	n/a	n/a	600.00	6.0
GRUSS CAPITAL	045	FOR	S	5,000	17.83	n/a	25-Jan	150.00	3.0
BALYASNY ASSET MGMT	044	F	SS	100,000	11.57	n/a	3-Feb	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	GCO	S	14,403	22.66	n/a	n/a	720.15	5.0
ISLE RIDGE PARTNERS	041	GPS	S	22,500	19.06	n/a	n/a	900.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	30,000	22.62	n/a	n/a	1,200.00	4.0
COOPER CREEK PART	028	IP	B	10,000	23.01	n/a	3-Feb	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	220,000	22.96	n/a	3-Feb	11,000.00	5.0
ELM RIDGE ADVISORS	044	IP	B	264,300	23.07	n/a	3-Feb	10,572.00	4.0
MILLENIUM PARTNERS	028	IP	S	10,000	22.98	n/a	3-Feb	400.00	4.0
SCOPUS FUND	041	IP	B	50,800	22.73	n/a	3-Feb	2,540.00	5.0
TRELLUS PARTNERS LP	028	IP	B	20,000	22.83	n/a	3-Feb	1,000.00	5.0
SIGMA CAP BOBBY	044	ITT	SS	25,000	50.31	n/a	23-Nov	1,000.00	4.0
RBC CAPITAL MARKETS	040	JCP	B	25,000	26.01	n/a	29-Jan	1,000.00	4.0
SANDLER O'NEILL ASSET	031	JNS	B	20,000	12.15	n/a	3-Feb	1,000.00	5.0
FORD FDN.	032	JPM	S	12,500	40.37	n/a	21-Jan	500.00	4.0
MISSOURI VALLEY PART	046	JPM	B	13,720	40.46	n/a	21-Jan	686.00	5.0
THE JAY GOLDMAN	028	JWN	B	10,000	35.62	n/a	29-Jan	400.00	4.0
ROYCE TRADING	216	KCI	B	100	41.30	n/a	n/a	5.00	5.0
TRELLUS PARTNERS LP	028	KMX	SS	50,000	21.46	n/a	n/a	2,500.00	5.0
CAERUS GLOBAL	041	KSS	S	25,000	51.71	n/a	29-Jan	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	B	35,000	38.97	n/a	3-Feb	1,750.00	5.0
KAILIX INV ADV	048	LEA	S	12,500	72.01	n/a	8-Jan	625.00	5.0
S.A.C. HEALTHCARE BOBBY	044	LLY	B	20,000	35.27	n/a	n/a	700.00	3.5
BUCK CAPITAL MGMT	001	LL	S	20,000	24.73	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	LNC	B	41,900	25.86	n/a	n/a	1,676.00	4.0
RBC CAPITAL MARKETS	040	LOW	B	5,000	21.90	n/a	16-Nov	200.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	70,000	20.28	n/a	n/a	2,800.00	4.0
RAINIER INV MGMT	035	MDRX	B	75,090	17.49	n/a	n/a	3,754.50	5.0
AELTUS/ING IVESTMENT MGT	215	MDT	B	32,100	43.97	n/a	n/a	1,123.50	3.5
DELTEC ASSET MGMT.	040	MTW	B	13,020	11.45	n/a	12-Jan	651.00	5.0
GEORGE WEISS	034	MTW	B	50,000	11.56	n/a	12-Jan	2,000.00	4.0
RBC CAPITAL MARKETS	040	MW	SS	10,000	20.66	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	M	B	5,000	16.22	n/a	29-Jan	200.00	4.0
M&I FUNDS	047	NOC	S	32,952	58.37	n/a	2-Feb	1,318.08	4.0
JAT CAPITAL MANAGEMENT	041	NVDA	S	75,300	16.74	n/a	n/a	3,012.00	4.0
COLONIAL FUND LLC	036	PAG	B	50,000	14.39	n/a	22-Jan	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	PAG	S	15,000	14.17	n/a	22-Jan	750.00	5.0
CAERUS GLOBAL	041	PIR	B	25,000	5.23	n/a	n/a	750.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	70,000	21.80	n/a	26-Jan	3,500.00	5.0
S.A.C.HABER/BOBBY	044	PNC	S	100,000	54.10	n/a	n/a	3,500.00	3.5
FORD FDN.	032	PRU	S	5,000	50.66	n/a	n/a	200.00	4.0
CUMBERLAND	239	RIMM	S	25,000	66.94	n/a	n/a	1,000.00	4.0
WHALE ROCK CAP	030	RIMM	B	47,087	66.84	n/a	n/a	1,883.48	4.0
BUCK CAPITAL MGMT	001	RL	B	10,000	79.59	n/a	28-Jan	400.00	4.0
CAERUS GLOBAL	041	ROST	S	15,000	46.01	n/a	n/a	450.00	3.0
RBC CAPITAL MARKETS	040	ROST	SS	10,000	46.05	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	SKS	S	20,000	6.75	n/a	n/a	1,000.00	5.0
BERMAN CAPITAL MGMT	046	SPY	B	15,000	109.92	n/a	n/a	450.00	3.0
TROUBH PART	067	STT	S	15,000	44.40	n/a	20-Jan	750.00	5.0
AAD CAPITAL	048	TIN	B	9,300	17.84	n/a	25-Jan	279.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	180,000	18.04	n/a	25-Jan	9,000.00	5.0
RBC CAPITAL MARKETS	040	TJX	B	5,000	38.77	n/a	29-Jan	200.00	4.0
COUGAR TRADING	044	TM	SS	12,500	74.80	n/a	n/a	625.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	TM	SS	5,000	72.71	n/a	n/a	250.00	5.0
FORD FDN.	032	TRV	S	7,500	50.51	n/a	n/a	300.00	4.0
SIGMA CAP BOBBY	044	TWX	B	25,000	28.10	n/a	n/a	1,000.00	4.0
ARMATURE CAPITAL	041	WY	B	10,000	42.05	n/a	25-Jan	400.00	4.0
EXIS CAPITAL	044	XLI	SS	25,000	28.27	n/a	n/a	1,250.00	5.0
WHALE ROCK CAP	030	XXIA	B	25,380	7.43	n/a	n/a	1,015.20	4.0
HIGHBRIDGE CAP	041	YHOO	B	195,649	15.44	n/a	n/a	7,825.96	4.0
MATRIX ASSET ADV.	036	YHOO	S	9,900	15.42	n/a	n/a	297.00	3.0
ISLE RIDGE PARTNERS	041	YUM	S	22,500	35.34	n/a	3-Feb	900.00	4.0
TOTAL (Trade Date) :								138,983.41	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/02	EXIS CAPITAL (EXISOPUSGS)	044	BAC	B	7,400	15.56	n/a	21-Jan	0.00 0.0
AO,CRT	02/02	EXIS CAPITAL (EXISOPUSGS)	044	BAC	B	7,400	15.56	n/a	21-Jan	370.00 5.0
AO,CXL	02/02	EXIS CAPITAL (EXISRBC)	044	BAC	B	12,600	15.56	n/a	21-Jan	0.00 0.0
AO,CRT	02/02	EXIS CAPITAL (EXISRBC)	044	BAC	B	12,600	15.56	n/a	21-Jan	630.00 5.0
AO,	02/02	LISTED ERR (LISTED ERR)	099	CA	S	100	22.15	n/a	n/a	0.00 0.0
AO,CXL	02/02	CONIFER/ISF (CONIISFRIP)	025	CA	S	3,100	22.09	n/a	n/a	155.00 5.0
AO,CRT	02/02	CONIFER/ISF (CONIISFRIP)	025	CA	S	3,000	22.09	n/a	n/a	150.00 5.0
AO,	02/01	JMP ASSET MGMT (JMPAGS)	210	CTRN	B	1,801	30.49	n/a	n/a	90.05 5.0
AO,CXL	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 (JMPABOABA)	210	CTRN	B	1,899	30.49	n/a	n/a	94.95 5.0
AO,CXL	02/02	BMO NESBITT BURNS (BMONFLIP)	041	FOR	B	5,000	18.63	n/a	25-Jan	250.00 5.0
AO,CRT	02/02	BMO NESBITT BURNS (BMONFLIP)	041	FOR	B	5,000	18.63	n/a	25-Jan	500.00 10.0
AO,CXL	02/02	S.A.C. HEALTHCARE BOBBY (SHELCARE)	044	FRX	B	10,000	29.95	n/a	1-Feb	3.00 0.0
AO,CRT	02/02	S.A.C. HEALTHCARE BOBBY (SHELCARE)	044	FRX	B	10,000	29.95	n/a	1-Feb	350.00 3.5
CRT	02/03	ROSEDALE CAPITAL (ROSEGS)	046	PAG	S	15,000	14.17	n/a	22-Jan	750.00 5.0
AO,CXL	02/02	MTB INV ADV (MTBIMAIN O)	034	THS	S	150	38.81	n/a	n/a	7.50 5.0
AO,CRT	02/02	MTB INV ADV (MTBIMAIN O)	034	THS	S	650	38.81	n/a	n/a	32.50 5.0
AO,CXL	02/02	MTB INV ADV (MTBISMCAPI)	034	THS	S	18,000	38.81	n/a	n/a	900.00 5.0
AO,CRT	02/02	MTB INV ADV (MTBISMCAPI)	034	THS	S	17,500	38.81	n/a	n/a	875.00 5.0
AO,CXL	02/02	JP MORGAN VENTURES (JPMVJPM)	046	XLF	SS	17,200	14.53	n/a	n/a	860.00 5.0
AO,CRT	02/02	JP MORGAN VENTURES (JPMVJPM)	046	XLF	SS	17,200	14.53	n/a	n/a	516.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
CRT	02/03	MATRIX ASSET ADV. (MATXVALLMH)	036	YHOO	S	9,900	15.42	n/a	n/a	297.00	3.0

TOTAL (AO, CXL, CRT) :	2,295.00
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TOTAL (Trade Date) :	138,983.41
TOTAL (AO, CXL, CRT) :	2,295.00

TOTAL (RUN DATE) / NFS :	141,278.41
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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