



## Daily Compliance Activity Report

Trade Date: 02/22/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	AMG	S	7,500	70.00	n/a	22-Feb	375.00	5.0
BALYASNY ASSET MGMT	044	AMR	S	10,200	9.04	n/a	n/a	408.00	4.0
CATAPULT	040	AMTD	B	27,500	17.68	n/a	n/a	1,375.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>50,000</b>	<b>35.60</b>	<b>n/a</b>	<b>17-Feb</b>	<b>2,000.00</b>	<b>4.0</b>
CAMBIAR CAP	046	ART	B	19,410	23.66	n/a	17-Feb	776.40	4.0
SUN AMERICA ASSET MGMT	030	BKS	B	8,484	21.75	n/a	n/a	339.36	4.0
CATAPULT	040	BK	B	75,000	29.06	n/a	13-Feb	3,750.00	5.0
11:11 CAPITAL CORP	046	BSX	S	75,000	7.86	n/a	n/a	3,750.00	5.0
BALYASNY ASSET MGMT	044	BWA	S	10,000	38.38	n/a	12-Feb	500.00	5.0
BNP PARIBAS SEC	040	CAKE	B	5,000	23.82	n/a	12-Feb	200.00	4.0
MTB INV ADV	034	CKEC	B	25,300	8.57	n/a	n/a	759.00	3.0
MACKLOWE ASSET MGMT	041	CL	B	100,000	82.13	n/a	22-Feb	4,000.00	4.0
BAIRD INVESTMENT	047	COG	B	15,375	41.77	n/a	21-Jan	768.75	5.0
CHART WELL ADV	028	DFS	B	99,895	13.86	n/a	22-Feb	3,995.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	DLTR	SS	997	50.13	n/a	16-Feb	39.88	4.0
LEVIN CAPITAL STRATEGIES	012	DLTR	S	15,000	50.08	n/a	16-Feb	450.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>DLTR</b>	<b>B</b>	<b>1,211</b>	<b>50.14</b>	<b>n/a</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>DLTR</b>	<b>S</b>	<b>1,211</b>	<b>50.15</b>	<b>n/a</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	EV	B	5,000	30.23	n/a	18-Feb	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FLR	S	120,000	46.49	n/a	n/a	3,600.00	3.0
LEVIN CAPITAL STRATEGIES	012	F	B	30,000	11.34	n/a	3-Feb	1,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>10,000</b>	<b>23.17</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	GIL	SS	20,000	24.18	n/a	10-Feb	1,000.00	5.0
KACELA CAPITAL	034	GIS	S	10,000	72.07	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	GLD	B	75,000	108.91	n/a	n/a	3,750.00	5.0
EXIS CAPITAL	044	GPS	SS	10,000	19.76	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	HD	S	75,000	30.34	n/a	11-Feb	3,750.00	5.0
CASTLEROCK	040	HOG	SS	64,238	24.33	n/a	n/a	2,569.52	4.0
KACELA CAPITAL	034	HSY	S	20,000	39.74	n/a	n/a	800.00	4.0
SACM	044	HUM	S	5,091	47.91	n/a	n/a	178.19	3.5
CSFB GLOBAL PROPRIETARY	041	IP	S	18,000	23.81	n/a	3-Feb	900.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	IP	B	10,000	23.73	n/a	3-Feb	500.00	5.0
DIAMONDBACK CAP MGMT	232	IVZ	B	50,000	19.66	n/a	12-Feb	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>20,000</b>	<b>17.07</b>	<b>n/a</b>	<b>10-Feb</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	JOYG	B	5,000	50.29	n/a	22-Feb	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	JWN	SS	15,000	36.15	n/a	22-Feb	600.00	4.0
SACC-SCHWARTZ	044	LECO	B	25,000	49.13	n/a	n/a	875.00	3.5
AVESTA CAP	229	LOW	B	200,000	23.22	n/a	22-Feb	6,000.00	3.0
SAXON WOODS ADVISORS	242	LOW	S	10,000	23.05	n/a	22-Feb	400.00	4.0
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.55	n/a	n/a	600.00	6.0
SUN AMERICA ASSET MGMT	030	MHP	B	6,524	35.30	n/a	n/a	260.96	4.0
EXIS CAPITAL	044	M	B	10,000	18.66	n/a	22-Feb	500.00	5.0
HIGHBRIDGE CAP	041	M	S	200	18.60	n/a	22-Feb	8.00	4.0
METROPOLITAN CAPITAL	044	M	S	30,000	18.61	n/a	22-Feb	1,500.00	5.0
LAGRANGE CAP ADV	048	PAG	B	20,000	14.90	n/a	22-Feb	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	PBR	C	25,000	42.86	n/a	n/a	1,000.00	4.0
MACKLOWE ASSET MGMT	041	PG	S	140,000	63.42	n/a	22-Feb	5,600.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	84,000	22.51	n/a	26-Jan	4,200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	PKG	S	46,100	22.26	n/a	26-Jan	2,305.00	5.0
SNYDER CAPITAL	038	PRXL	S	76,575	21.03	n/a	n/a	3,063.00	4.0
CAXTON PART	040	RKT	B	1,100	41.45	n/a	n/a	38.52	3.5
PARTNER REINSURANCE	033	RSH	B	42,600	20.57	n/a	n/a	1,704.00	4.0
SIGMA CAPITAL ASSOCIATES	041	RT	B	175,000	8.20	n/a	n/a	6,125.00	3.5
CATAPULT	040	SCHW	S	25,000	18.85	n/a	n/a	1,250.00	5.0
CATAPULT	040	SD	B	25,000	8.51	n/a	n/a	1,250.00	5.0
BAIRD INVESTMENT	047	SII	S	31,680	39.98	n/a	n/a	1,584.00	5.0
ARCHON CAPITAL	035	SPWRA	S	89,000	19.80	n/a	n/a	2,670.00	3.0
CATAPULT	040	STT	SS	9,700	46.72	n/a	13-Feb	485.00	5.0
CATAPULT	040	STT	S	65,300	46.93	n/a	13-Feb	3,265.00	5.0
SCOPUS FUND	041	TIN	S	16,500	19.04	n/a	9-Feb	825.00	5.0
WAGONHOUND/NIC	048	TIN	S	42,325	18.44	n/a	9-Feb	1,693.00	4.0
SACM	044	TMO	S	66,700	47.82	n/a	n/a	2,334.50	3.5
SACM	044	UNH	B	67,674	33.04	n/a	n/a	2,368.59	3.5
SUN AMERICA ASSET MGMT	030	URI	B	60,000	7.42	n/a	n/a	2,400.00	4.0
PZENA INV ADV	044	VLO	B	102,250	17.78	n/a	n/a	3,578.88	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	WDR	S	10,000	33.50	n/a	18-Feb	500.00	5.0
CATAPULT	040	WFC	B	2,500	28.12	n/a	21-Jan	125.00	5.0
EXIS CAPITAL	044	XLI	B	20,000	28.95	n/a	n/a	600.00	3.0
AVESTA CAP	229	X	S	50,000	53.85	n/a	n/a	1,500.00	3.0
<b>TOTAL (Trade Date):</b>							<b>109,043.35</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/16	SAB CAPITAL (SABCGOLDMA)	034	GGWPQ	B	121,500	12.01	n/a	n/a	6075.00 5.0
AO,CRT	02/16	SAB CAPITAL (SABCGOLDMA)	034	GGWPQ	B	121,500	12.01	n/a	n/a	4860.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-1,215.00</b>
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TOTAL (Trade Date) :	109,043.35
TOTAL (AO, CXL, CRT) :	-1,215.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>107,828.35</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