



Daily Compliance Activity Report

Trade Date: 01/27/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AAP	SS	10,000	40.57	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	AGCO	SS	20,000	31.80	n/a	4-Jan	800.00	4.0
NWQ INVESTMENT MGMT CO	048	AIN	S	22,800	19.91	n/a	n/a	912.00	4.0
ENTRUST CAPITAL	040	ALGN	B	46,800	16.36	n/a	n/a	2,340.00	5.0
SANDLER O'NEILL ASSET	031	AMG	B	15,000	63.48	n/a	27-Jan	750.00	5.0
FORD FDN.	032	BA	S	14,000	59.82	n/a	4-Jan	560.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	BIG	B	6,900	28.96	n/a	12-Jan	241.50	3.5
DALTON GREINER	012	BRC	S	25,359	29.04	n/a	n/a	1,267.95	5.0
AVESTA CAP	229	BTU	S	50,000	45.67	n/a	n/a	1,500.00	3.0
BROADARCH CAP/OLD NEWC	070	BTU	B	1,700	45.54	n/a	n/a	68.00	4.0
RBC CAPITAL MARKETS	040	BWA	B	15,000	35.09	n/a	4-Jan	600.00	4.0
NORTHPOINT	030	BZ	S	37,200	5.35	n/a	n/a	1,116.00	3.0
SMITH MGMT LLC	029	BZ	S	425,000	5.44	n/a	n/a	17,000.00	4.0
FORD FDN.	032	CAT	B	17,000	53.53	n/a	21-Oct	680.00	4.0
RBC CAPITAL MARKETS	040	CAT	SS	10,000	53.69	n/a	21-Oct	400.00	4.0
ISLE RIDGE PARTNERS	041	CCL	S	25,000	33.60	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	CE	B	1,000	32.32	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	CNW	B	3,500	28.98	n/a	n/a	140.00	4.0
M&I FUNDS	047	COF	B	22,232	35.77	n/a	26-Jan	889.28	4.0
BUCK CAPITAL MGMT	001	COH	B	60,000	34.87	n/a	21-Jan	2,400.00	4.0
STRONG/MARK GRONET	030	COMS	S	800,000	7.48	n/a	n/a	24,000.00	3.0
JMP ASSET MGMT	210	CTRN	B	4,547	30.78	n/a	n/a	180.85	2.5
BROADARCH CAP/OLD NEWC	070	DOV	B	1,700	42.89	n/a	n/a	68.00	4.0
JP MORGAN VENTURES	046	DRI	B	15,000	36.66	n/a	19-Jan	750.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	FDO	SS	9,440	30.46	n/a	6-Jan	330.40	3.5
MASTERS CAPITAL MANAGE	091	F	S	50,000	11.54	n/a	27-Jan	2,000.00	4.0
OZ MGMT	040	F	SS	230,902	11.41	n/a	27-Jan	6,927.06	3.0
THOMAS WEISEL ASSET MGMT	035	GDP	B	4,940	22.73	n/a	n/a	148.20	3.0
LEVEL GLOBAL SHARED ACCT	257	GIL	S	12,400	21.59	n/a	4-Jan	372.00	3.0
MORTAR ROCK	033	GPI	SS	17,500	29.18	n/a	4-Jan	700.00	4.0
BROADARCH CAP/OLD NEWC	070	GWW	SS	800	99.13	n/a	26-Jan	32.00	4.0
SPARTA ASSET MGMT	035	GYMB	B	15,000	39.47	n/a	8-Jan	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	HON	S	500	40.30	n/a	16-Dec	20.00	4.0
ROSEDALE CAPITAL	046	INTC	S	20,000	20.15	n/a	n/a	1,000.00	5.0
ARMATURE CAPITAL	041	IP	S	30,000	23.70	n/a	25-Jan	1,200.00	4.0
TRELLUS PARTNERS LP	028	IP	B	50,000	23.68	n/a	25-Jan	2,500.00	5.0
BROADARCH CAP/OLD NEWC	070	IR	B	2,200	33.75	n/a	4-Jan	88.00	4.0
HUNTER GLOBAL INVESTOR	067	IR	SS	100,000	33.79	n/a	4-Jan	5,000.00	5.0
DB ALTERNATIVE DBAG LDN	034	IVZ	S	10,000	20.47	n/a	26-Jan	500.00	5.0
BROADARCH CAP/OLD NEWC	070	JCI	SS	2,500	29.31	n/a	22-Jan	100.00	4.0
BROADARCH CAP/OLD NEWC	070	JEC	SS	2,000	39.17	n/a	n/a	80.00	4.0
SANDLER O'NEILL ASSET	031	JNS	S	40,000	12.59	n/a	27-Jan	2,000.00	5.0
SANDLER O'NEILL ASSET	031	JPM	S	200,000	39.33	n/a	21-Jan	10,000.00	5.0
DIAMONDBACK CAP MGMT	232	K	C	50,000	55.08	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	LUFK	B	7,700	66.21	n/a	n/a	308.00	4.0
LEVEL GLOBAL SHARED ACCT	257	LULU	C	20,000	29.09	n/a	n/a	600.00	3.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.40	n/a	n/a	600.00	6.0
BROADARCH CAP/OLD NEWC	070	MCK	B	1,000	60.39	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	MMM	S	10,000	82.38	n/a	25-Jan	500.00	5.0
BASIX	033	MTW	B	40,000	11.36	n/a	12-Jan	1,200.00	3.0
SCOPUS FUND	041	MWV	B	29,551	25.29	n/a	25-Jan	1,477.55	5.0
T. ROWE PRICE	033	MWV	B	185,200	24.96	n/a	25-Jan	7,408.00	4.0
BROADARCH CAP/OLD NEWC	070	NVLS	B	1,000	22.44	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	ODFL	S	5,800	27.07	n/a	n/a	232.00	4.0
LAGRANGE CAP ADV	048	PAG	B	10,000	14.10	n/a	22-Jan	500.00	5.0
HUNTER GLOBAL INVESTOR	067	PEP	B	86,814	59.96	n/a	n/a	4,340.70	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	36,000	22.16	n/a	26-Jan	1,800.00	5.0
NWQ INVESTMENT MGMT CO	048	PKG	S	6,600	22.20	n/a	26-Jan	264.00	4.0
DIAMONDBACK CAP MGMT	232	PNK	B	25,000	8.45	n/a	n/a	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	PTV	B	9,600	23.64	n/a	n/a	384.00	4.0
BROADARCH CAP/OLD NEWC	070	PXD	B	400	45.43	n/a	19-Jan	16.00	4.0
ISLE RIDGE PARTNERS	041	RCL	B	22,500	25.00	n/a	n/a	900.00	4.0
BROADARCH CAP/OLD NEWC	070	RFMD	B	1,600	4.10	n/a	n/a	64.00	4.0
DIAMONDBACK CAP MGMT	232	RJET	B	25,000	5.15	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	SSO	SS	10,000	36.80	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	STI	B	20,000	24.33	n/a	n/a	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	51.86	n/a	27-Jan	875.00	3.5
COOPER CREEK PART	028	TIN	B	10,000	18.13	n/a	25-Jan	400.00	4.0
RBC CAPITAL MARKETS	040	TIN	B	25,000	17.90	n/a	25-Jan	1,000.00	4.0
SLS CAPITAL LLC	224	TIN	B	14,300	18.27	n/a	25-Jan	572.00	4.0
COUGAR TRADING	044	TM	SS	10,000	80.22	n/a	n/a	500.00	5.0
MORTAR ROCK	033	TM	SS	12,500	81.64	n/a	n/a	500.00	4.0
TRELLUS PARTNERS LP	028	TM	SS	5,600	82.51	n/a	n/a	280.00	5.0
DB ALTERNATIVE DBAG LDN	034	TROW	B	3,000	52.00	n/a	27-Jan	150.00	5.0
BROADARCH CAP/OLD NEWC	070	UTX	B	2,200	67.61	n/a	n/a	88.00	4.0
HUNTER GLOBAL INVESTOR	067	UTX	SS	50,000	67.52	n/a	n/a	2,500.00	5.0
SUFFOLK CAPITAL MGMT	040	WFC	S	250,000	27.45	n/a	21-Jan	10,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	40.15	n/a	4-Jan	400.00	4.0
RBC CAPITAL MARKETS	040	WSM	B	5,000	20.19	n/a	n/a	200.00	4.0
JP MORGAN VENTURES	046	XRT	B	20,000	35.00	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date):								137,290.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/26	GREEN ARROW DOUG (GADRCITI)	040	AXP	S	25,000	38.80	n/a	26-Jan	1250.00 5.0
AO,CXL	01/26	GREEN ARROW DOUG (GADRCSUSE)	040	AXP	S	25,000	38.80	n/a	26-Jan	1250.00 5.0
AO,CXL	01/25	LONG OAR GLOBAL INV (LONGGSPB)	040	F	B	132,000	10.82	n/a	27-Jan	3960.00 3.0
AO,CRT	01/25	LONG OAR GLOBAL INV (LONGGSPB)	040	F	B	132,000	10.82	n/a	27-Jan	5280.00 4.0
AO,CRT	01/26	GREEN ARROW DOUG (GADRCITI)	040	LIZ	S	50,000	5.14	n/a	7-Oct	2500.00 5.0
AO,CXL	01/26	GREEN ARROW DOUG (GADRJPM)	040	LIZ	S	50,000	5.14	n/a	7-Oct	2000.00 4.0
CRT	01/27	COUGAR TRADING (COUGPB MS)	044	TM	SS	10,000	80.22	n/a	n/a	500.00 5.0
AO,CRT	01/26	GREEN ARROW DOUG (GADRCITI)	040	WSM	SS	25,000	20.84	n/a	n/a	1250.00 5.0
AO,CXL	01/26	GREEN ARROW DOUG (GADRCSUSE)	040	WSM	SS	25,000	20.84	n/a	n/a	1250.00 5.0
TOTAL (AO, CXL, CRT) :										2,320.00
TOTAL (Trade Date) :										137,290.49
TOTAL (AO, CXL, CRT) :										2,320.00
TOTAL (RUN DATE) / NFS :										139,610.49

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