



## Daily Compliance Activity Report

Trade Date: 12/24/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	AJG	B	10,000	22.52	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	ANF	SS	5,000	35.16	n/a	4-Dec	250.00	5.0
JP MORGAN VENTURES	046	AOL	S	5,800	24.07	n/a	n/a	290.00	5.0
JP MORGAN VENTURES	046	BMJ	S	5,800	25.74	n/a	n/a	290.00	5.0
STRONG/MARK GRONET	030	CBB	S	15,000	3.45	n/a	n/a	450.00	3.0
MAIRS AND POWER INV	030	DCI	S	10,000	43.32	n/a	n/a	500.00	5.0
STRONG/MARK GRONET	030	EVC	S	2,590	3.50	n/a	n/a	77.70	3.0
STRONG/MARK GRONET	030	HIL	B	10,000	6.59	n/a	n/a	300.00	3.0
STRONG/MARK GRONET	030	HTS	B	5,000	29.09	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	JCG	B	20,788	45.41	n/a	n/a	1,039.40	5.0
EXIS CAPITAL	044	KSS	B	5,000	55.07	n/a	4-Dec	250.00	5.0
EXIS CAPITAL	044	M	B	20,000	17.83	n/a	4-Dec	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	NDY	B	10,000	24.15	n/a	n/a	400.00	4.0
STRONG/MARK GRONET	030	SMMX	B	400	4.79	n/a	n/a	12.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CONIFER/ISF	025	SRS	S	5,000	7.16	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	WFR	S	6,300	13.50	n/a	n/a	315.00	5.0
EXIS CAPITAL	044	ZQK	B	25,000	2.28	n/a	18-Dec	1,250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>7,274.10</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/23	SANDLER CAPITAL (SANDOMINBU)	226	NTRS	SS	25,000	51.53	n/a	14-Dec	1250.00 5.0
AO,CRT	12/23	SANDLER O'NEILL ASSET (SANOJPMBS)	031	NTRS	SS	25,000	51.53	n/a	14-Dec	1250.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	7,274.10
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>7,274.10</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