



Daily Compliance Activity Report

Trade Date: 02/17/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| BUCK CAPITAL MGMT | 001 | ANN | B | 20,000 | 15.59 | n/a | n/a | 800.00 | 4.0 |
| MACKLOWE ASSET MGMT | 041 | ARO | SS | 20,000 | 34.73 | n/a | 5-Feb | 800.00 | 4.0 |
| GLOBAL 56 LLC | 060 | AXL | B | 2,500 | 8.75 | n/a | 8-Feb | 100.00 | 4.0 |
| ROYCE TRADING | 216 | BZ | B | 10,000 | 4.85 | n/a | n/a | 300.00 | 3.0 |
| MISP | 048 | CAT | S | 16,875 | 57.75 | n/a | 28-Jan | 843.75 | 5.0 |
| JP MORGAN VENTURES | 046 | DE | SS | 30,000 | 56.64 | n/a | 30-Nov | 1,500.00 | 5.0 |
| EPOCH INV MGMT | 030 | DHR | B | 36,600 | 75.09 | n/a | n/a | 1,098.00 | 3.0 |
| BASCOM HILL PARTNERS LLC | 033 | EV | SS | 20,000 | 29.82 | n/a | 12-Feb | 600.00 | 3.0 |
| UBS OCONNOR | 031 | EV | C | 10,000 | 29.78 | n/a | 12-Feb | 300.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | GIL | S | 50,000 | 24.70 | n/a | 10-Feb | 2,000.00 | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | GIL | S | 25,000 | 24.49 | n/a | 10-Feb | 750.00 | 3.0 |
| SUN AMERICA ASSET MGMT | 030 | GPN | B | 18,500 | 44.40 | n/a | n/a | 740.00 | 4.0 |
| ISLE RIDGE PARTNERS | 041 | HD | B | 20,000 | 29.95 | n/a | 11-Feb | 800.00 | 4.0 |
| CONIFER/ISF | 025 | IBM | B | 1,500 | 126.01 | n/a | n/a | 60.00 | 4.0 |
| CIRCLE T/SES PART | 035 | IGT | B | 5,000 | 18.34 | n/a | 9-Feb | 200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| TRELLUS PARTNERS LP | 028 | IP | S | 40,000 | 24.24 | n/a | 3-Feb | 2,000.00 | 5.0 |
| WEISS PECK | 040 | JWN | S | 12,990 | 35.31 | n/a | 5-Feb | 649.50 | 5.0 |
| M&I FUNDS | 047 | KMB | S | 3,215 | 59.53 | n/a | 25-Jan | 128.60 | 4.0 |
| KENNEDY CAPITAL | 046 | LIZ | S | 23,785 | 5.97 | n/a | 7-Oct | 713.55 | 3.0 |
| MISP | 048 | LMT | B | 13,025 | 75.70 | n/a | 2-Feb | 651.25 | 5.0 |
| CIRCLE T/SES PART | 035 | LVS | S | 5,000 | 17.61 | n/a | 16-Feb | 200.00 | 4.0 |
| AVESTA CAP | 229 | MSFT | B | 300,000 | 28.47 | n/a | n/a | 9,000.00 | 3.0 |
| MISP | 048 | NOC | S | 16,325 | 59.53 | n/a | 5-Feb | 816.25 | 5.0 |
| ROYCE TRADING | 216 | OEH | B | 10,000 | 11.69 | n/a | n/a | 500.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | OZM | B | 18,100 | 12.98 | n/a | 12-Feb | 724.00 | 4.0 |
| MISP | 048 | PCP | B | 8,225 | 110.86 | n/a | 22-Jan | 411.25 | 5.0 |
| M&I FUNDS | 047 | PM | S | 3,846 | 49.66 | n/a | n/a | 153.84 | 4.0 |
| BALYASNY ASSET MGMT | 044 | PVH | S | 20,000 | 42.40 | n/a | 12-Jan | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PVH | B | 15,000 | 42.55 | n/a | 12-Jan | 600.00 | 4.0 |
| LISTED ERR | 099 | PVH | S | 25,000 | 42.75 | n/a | 12-Jan | 0.00 | 0.0 |
| CAXTON PART | 040 | RKT | B | 2,874 | 39.62 | n/a | n/a | 100.59 | 3.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------------|------------|----------|----------------|--------------|------------|------------|------------------|------------|
| CAXTON PART | 040 | RKT | B | 47,126 | 39.62 | n/a | n/a | 1,649.42 | 3.5 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 120,000 | 30.28 | n/a | n/a | 4,800.00 | 4.0 |
| MISP | 048 | TEN | B | 26,275 | 20.47 | n/a | n/a | 1,313.75 | 5.0 |
| BROADARCH CAP/OLD NEWC | 070 | TIN | B | 7,700 | 18.33 | n/a | 9-Feb | 308.00 | 4.0 |
| ROSEDALE CAPITAL | 046 | TIN | B | 10,200 | 18.04 | n/a | 9-Feb | 510.00 | 5.0 |
| COUGAR TRADING | 044 | TM | SS | 15,000 | 74.31 | n/a | n/a | 750.00 | 5.0 |
| EXIS CAPITAL | 044 | UA | B | 5,000 | 25.78 | n/a | 29-Jan | 250.00 | 5.0 |
| ROSEDALE CAPITAL | 046 | VOD | B | 20,000 | 22.12 | n/a | n/a | 1,000.00 | 5.0 |
| BULL PATH CAPITAL | 044 | WFMI | B | 17,539 | 33.53 | n/a | n/a | 876.95 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 39,998.70 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|------------------------------|------|--------|-----|--------|-------|-----|----------|-----------------|
| CRT | 02/17 | JP MORGAN VENTURES (JPMVJPM) | 046 | DE | SS | 30,000 | 56.64 | n/a | 30-Nov | 1500.00 5.0 |
| CRT | 02/17 | COUGAR TRADING (COUGPB MS) | 044 | TM | SS | 15,000 | 74.31 | n/a | n/a | 750.00 5.0 |
| CRT | 02/17 | ROSEDALE CAPITAL (ROSEGS) | 046 | VOD | B | 20,000 | 22.12 | n/a | n/a | 1000.00 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 3,250.00 |

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|------------------------|-----------|
| TOTAL (Trade Date) : | 39,998.70 |
| TOTAL (AO, CXL, CRT) : | 3,250.00 |

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| TOTAL (RUN DATE) / NFS : | 43,248.70 |
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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