



Daily Compliance Activity Report

Trade Date: 01/25/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	AEO	B	18,636	16.24	n/a	8-Jan	745.44	4.0
DAVIDSON KEMPNER ADVISOR	040	AKS	S	25,000	21.46	n/a	n/a	1,250.00	5.0
METROPOLITAN CAPITAL	044	AXL	B	17,600	8.94	n/a	4-Jan	880.00	5.0
MADISON ST PARTNERS LLC	046	AXP	B	50,000	39.13	n/a	22-Jan	2,500.00	5.0
ROTHSCHILD ASSET	040	AXP	B	38,865	38.75	n/a	22-Jan	1,554.60	4.0
VISIUM/BALY BOBBY	044	AXP	S	15,000	38.01	n/a	22-Jan	750.00	5.0
SANDLER O'NEILL ASSET	031	BEN	B	4,800	102.43	n/a	25-Jan	240.00	5.0
NEUBERGER BERMAN	036	BEXP	B	16,303	13.38	n/a	n/a	652.12	4.0
HIGHBRIDGE CAP	041	BTU	B	16,100	45.43	n/a	n/a	644.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CCL	C	14,100	33.62	n/a	n/a	564.00	4.0
BUCK CAPITAL MGMT	001	COH	B	60,000	34.31	n/a	21-Jan	2,400.00	4.0
ISLE RIDGE PARTNERS	041	CPKI	S	20,000	13.67	n/a	19-Jan	800.00	4.0
CATAPULT	040	CQB	S	49,700	14.93	n/a	n/a	1,988.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	20,000	25.89	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	CVS	S	9,771	33.17	n/a	n/a	390.84	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	DAN	B	57,600	10.08	n/a	6-Jan	2,880.00	5.0
MILLENIUM PARTNERS	028	DF	B	16,578	18.28	n/a	n/a	663.12	4.0
MILLENIUM PARTNERS	028	DISH	B	15,176	19.02	n/a	n/a	607.04	4.0
LATEFF MGMT	035	ENR	B	2,500	59.02	n/a	17-Dec	500.00	20.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.66	n/a	n/a	600.00	6.0
FIRST NY SEC/CHRIS	041	F	B	50,000	10.73	n/a	6-Jan	2,500.00	5.0
LONG OAR GLOBAL INV	040	F	B	132,000	10.82	n/a	6-Jan	3,960.00	3.0
BUCK CAPITAL MGMT	001	GES	B	10,000	40.23	n/a	n/a	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	153,263	40.19	n/a	n/a	4,597.89	3.0
SANDLER CAPITAL	226	HAL	S	72,200	30.12	n/a	n/a	4,332.00	6.0
BUCK CAPITAL MGMT	001	HBI	B	10,000	23.04	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	HEI	B	19,800	43.19	n/a	n/a	792.00	4.0
NEUBERGER BERMAN	036	HUBG	S	15,900	26.81	n/a	n/a	636.00	4.0
BMO NESBITT BURNS	041	IP	B	50,000	24.95	n/a	25-Jan	2,500.00	5.0
NEWLAND CAPITAL MGT	067	IP	B	50,000	24.69	n/a	25-Jan	2,000.00	4.0
OZ MGMT	040	IP	B	50,000	25.03	n/a	25-Jan	1,500.00	3.0
RBC CAPITAL MARKETS	040	IP	B	15,000	25.08	n/a	25-Jan	600.00	4.0
BALYASNY ASSET MGMT	044	IVZ	S	48,600	21.09	n/a	25-Jan	2,430.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MUHLENKAMP FUND	046	IVZ	S	200,000	21.01	n/a	25-Jan	10,000.00	5.0
MILLENIUM PARTNERS	028	JNY	B	16,997	15.21	n/a	4-Jan	679.88	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	50.94	n/a	8-Jan	400.00	4.0
ISLE RIDGE PARTNERS	041	KSS	S	15,000	50.39	n/a	8-Jan	600.00	4.0
LEVEL GLOBAL SHARED ACCT	257	KSS	S	50,000	50.27	n/a	8-Jan	1,500.00	3.0
EPOCH INV MGMT	030	LH	S	25,000	73.02	n/a	n/a	750.00	3.0
NEUBERGER BERMAN	036	LNC	B	41,800	24.96	n/a	n/a	1,672.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LOW	B	50,000	22.17	n/a	16-Nov	1,750.00	3.5
NEUBERGER BERMAN	036	LUFK	B	10,900	68.16	n/a	n/a	436.00	4.0
PAULSON & CO INC	041	MGM	B	1,000,000	11.77	n/a	6-Nov	30,000.00	3.0
NEW JERSEY DIV OF INV.	030	MIC	S	25,000	12.69	n/a	n/a	1,000.00	4.0
MAIRS AND POWER INV	030	MMM	S	10,000	82.12	n/a	25-Jan	500.00	5.0
VISIUM/BALY BOBBY	044	MW	S	25,000	20.49	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAP	041	NYT	B	25,000	12.51	n/a	n/a	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	49,000	21.86	n/a	25-Jan	2,450.00	5.0
HIGHBRIDGE CAP	041	PKG	SS	5,000	21.54	n/a	25-Jan	200.00	4.0
OZ MGMT	040	PKG	B	50,000	21.57	n/a	25-Jan	1,500.00	3.0
METROPOLITAN CAPITAL	044	PLCE	B	8,300	32.31	n/a	8-Jan	415.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	PVH	B	10,000	41.54	n/a	12-Jan	500.00	5.0
KINGDON ASSET MGMT	041	RIMM	B	150,000	61.82	n/a	n/a	6,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	RL	SS	10,600	82.96	n/a	4-Jan	424.00	4.0
CAERUS GLOBAL	041	SHW	B	11,000	59.07	n/a	25-Jan	330.00	3.0
DAVIDSON KEMPNER ADVISOR	040	SLX	C	4,000	59.33	n/a	n/a	200.00	5.0
KAILIX INV ADV	048	TCK	B	10,000	37.07	n/a	n/a	500.00	5.0
MILLENIUM PARTNERS	028	TGT	B	5,393	50.70	n/a	22-Jan	215.72	4.0
JP MORGAN VENTURES	046	TIF	B	15,000	41.64	n/a	n/a	750.00	5.0
BASIX	033	TIN	B	20,000	18.27	n/a	25-Jan	600.00	3.0
BMO NESBITT BURNS	041	TIN	B	50,000	18.47	n/a	25-Jan	2,500.00	5.0
COUGAR TRADING	044	TIN	B	15,000	18.66	n/a	25-Jan	750.00	5.0
NEWLAND CAPITAL MGT	067	TIN	B	9,900	18.00	n/a	25-Jan	396.00	4.0
OZ MGMT	040	TIN	B	50,000	18.63	n/a	25-Jan	1,500.00	3.0
BALYASNY ASSET MGMT	044	TROW	S	20,000	51.67	n/a	25-Jan	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	TROW	B	10,000	51.43	n/a	25-Jan	500.00	5.0
MILLENIUM PARTNERS	028	TWX	B	10,247	27.06	n/a	n/a	409.88	4.0
HIGHBRIDGE CAP	041	VZ	B	75,000	30.68	n/a	n/a	3,000.00	4.0
HIGHBRIDGE CAP	041	WLT	B	7,000	68.35	n/a	n/a	280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	WY	B	7,000	41.45	n/a	25-Jan	280.00	4.0
HIGHBRIDGE CAP	041	YHOO	B	50,000	15.86	n/a	n/a	2,000.00	4.0
TOTAL (Trade Date):							126,295.53		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/22	JENNISON (JENN946)	032	ADBE	B	6,400	35.27	n/a	n/a	236.80 3.7
AO,	01/22	JENNISON (JENN689)	032	ADBE	B	13,000	35.27	n/a	n/a	481.00 3.7
AO,	01/22	JENNISON (JENN645)	032	ADBE	B	159,900	35.27	n/a	n/a	5916.30 3.7
AO,	01/22	JENNISON (JENN644)	032	ADBE	B	1,600	35.27	n/a	n/a	59.20 3.7
AO,CXL	01/21	JANA CAPITAL (JANAGOLDMA)	044	C	S	547,800	3.26	n/a	21-Jan	9586.50 1.8
AO,CRT	01/21	JANA CAPITAL (JANAABN AM)	044	C	S	547,800	3.26	n/a	21-Jan	9586.50 1.8
AO,	01/22	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	MJN	S	20,000	44.96	n/a	n/a	1000.00 5.0
AO,CXL	01/21	RAINIER INV MGMT (RAINHSBCCA)	035	TIF	B	320	42.50	n/a	n/a	12.80 4.0
AO,	01/21	RAINIER INV MGMT (RAINHSBCCA)	035	TIF	B	320	42.50	n/a	n/a	12.80 4.0

TOTAL (AO, CXL, CRT) :	7,693.30
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TOTAL (Trade Date) :	126,295.53
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TOTAL (AO, CXL, CRT) :	7,693.30
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TOTAL (RUN DATE) / NFS :	133,988.83
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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