



Daily Compliance Activity Report

Trade Date: 03/12/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AEIS	B	36,000	15.43	n/a	n/a	1,800.00	5.0
FARALLON CAP MGMT	040	AGU	B	105,000	71.29	n/a	n/a	4,200.00	4.0
BERMAN CAPITAL MGMT	046	ARO	B	3,500	28.62	n/a	12-Mar	105.00	3.0
BROADARCH CAP/OLD NEWC	070	A	B	1,100	33.64	n/a	n/a	44.00	4.0
SUN AMERICA ASSET MGMT	030	BKS	S	72,200	20.47	n/a	n/a	2,888.00	4.0
KLEINHEINZ CAP PART	031	BMV	B	100,000	25.93	n/a	n/a	5,000.00	5.0
EXIS CAPITAL	044	BONT	B	16,100	12.85	n/a	n/a	805.00	5.0
MILLENIUUM PARTNERS	028	BWA	B	10,000	37.44	n/a	12-Feb	400.00	4.0
SMITH MGMT LLC	029	BZ	S	100,000	5.54	n/a	n/a	3,000.00	3.0
BROADARCH CAP/OLD NEWC	070	CAT	SS	3,000	59.89	n/a	28-Jan	120.00	4.0
MILLENIUUM PARTNERS	028	CHD	SS	16,979	68.31	n/a	3-Mar	679.16	4.0
HARBORWATCH/DIAMBACK	232	CLF	S	10,000	63.44	n/a	n/a	500.00	5.0
GALT INVESTMENT	041	CPKI	S	10,000	16.95	n/a	19-Feb	500.00	5.0
BROADARCH CAP/OLD NEWC	070	CSX	S	1,000	50.90	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	CTV	B	1,200	29.07	n/a	n/a	48.00	4.0
ROTHSCHILD ASSET	040	CYT	B	49,074	44.38	n/a	n/a	1,962.96	4.0
TRELLUS PARTNERS LP	028	DAN	S	34,900	12.13	n/a	25-Feb	1,745.00	5.0
MILLENIUM PARTNERS	028	DPS	SS	17,500	35.02	n/a	n/a	700.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.66	n/a	n/a	600.00	6.0
BROADARCH CAP/OLD NEWC	070	ETN	SS	2,300	73.66	n/a	1-Mar	92.00	4.0
HARBORWATCH/DIAMBACK	232	FCX	S	10,000	81.19	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	FLR	S	2,700	45.86	n/a	n/a	108.00	4.0
LEVIN CAPITAL STRATEGIES	012	FL	S	100,000	14.46	n/a	10-Mar	4,000.00	4.0
DSG CAPITAL	225	F	SS	10,000	13.25	n/a	3-Mar	500.00	5.0
DSG CAPITAL	225	F	S	10,000	13.25	n/a	3-Mar	500.00	5.0
LAGRANGE CAP ADV	048	F	SS	10,000	13.27	n/a	3-Mar	500.00	5.0
MILLENIUM PARTNERS	028	F	SS	100,000	13.11	n/a	3-Mar	4,000.00	4.0
OZ MGMT	040	F	SS	250,000	13.10	n/a	3-Mar	5,000.00	2.0
SOROS	036	F	S	250,000	13.11	n/a	3-Mar	10,000.00	4.0
ROYCE TRADING	216	GCO	S	5,000	29.28	n/a	n/a	250.00	5.0
MILLENIUM PARTNERS	028	GE	S	50,000	16.62	n/a	n/a	2,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GIL	S	25,000	26.27	n/a	10-Feb	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	GLT	B	2,600	14.50	n/a	n/a	104.00	4.0
EXIS CAPITAL	044	GYMB	B	10,000	51.30	n/a	11-Mar	500.00	5.0
MILLENIUUM PARTNERS	028	HNZ	SS	33,957	46.27	n/a	n/a	1,358.28	4.0
BROADARCH CAP/OLD NEWC	070	IP	B	4,600	25.59	n/a	3-Feb	184.00	4.0
BROADARCH CAP/OLD NEWC	070	IR	B	1,700	34.84	n/a	16-Feb	68.00	4.0
MELLON/BANK OF NEW YORK	046	ISPH	B	65,190	7.04	n/a	n/a	3,259.50	5.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	18.57	n/a	10-Feb	800.00	4.0
HOTCHKIS & WILEY	035	JNY	S	143,900	18.54	n/a	10-Feb	7,195.00	5.0
BROADARCH CAP/OLD NEWC	070	KMB	SS	2,000	59.69	n/a	3-Mar	80.00	4.0
MILLENIUUM PARTNERS	028	KMB	SS	23,345	60.15	n/a	3-Mar	933.80	4.0
BROADARCH CAP/OLD NEWC	070	KMT	S	3,400	30.16	n/a	26-Feb	136.00	4.0
MILLENIUUM PARTNERS	028	K	SS	45,594	52.52	n/a	n/a	1,823.76	4.0
STANDARD PACIFIC CAPITAL	040	LEA	B	45,000	74.21	n/a	8-Feb	2,250.00	5.0
BROADARCH CAP/OLD NEWC	070	LRCX	B	1,500	34.83	n/a	n/a	60.00	4.0
AVESTA CAP	229	LVS	S	200,000	19.46	n/a	10-Mar	6,000.00	3.0
ROTHSCHILD ASSET	040	MW	S	31,010	23.61	n/a	n/a	1,240.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALT INVESTMENT	041	PLCE	B	25,000	42.15	n/a	10-Mar	1,250.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	4,000	42.29	n/a	10-Mar	160.00	4.0
BROADARCH CAP/OLD NEWC	070	PLL	B	1,200	38.69	n/a	n/a	48.00	4.0
RBC CAPITAL MARKETS	040	POT	SS	10,000	124.23	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	RKT	S	3,300	42.54	n/a	n/a	132.00	4.0
GALT INVESTMENT	041	RRGB	S	10,000	25.00	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	SHW	SS	1,800	65.58	n/a	18-Feb	72.00	4.0
EXIS CAPITAL	044	SKS	B	20,000	8.19	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	SKS	S	47,000	8.26	n/a	n/a	2,350.00	5.0
BERMAN CAPITAL MGMT	046	SPY	B	10,000	115.93	n/a	n/a	300.00	3.0
GALT INVESTMENT	041	SUMR	S	10,000	6.76	n/a	n/a	500.00	5.0
MILLRACE FUND LP	028	SUP	B	5,000	15.56	n/a	1-Mar	200.00	4.0
SCHOTTENFELD ASSOC	041	TIN	B	20,000	19.39	n/a	9-Feb	600.00	3.0
EPOCH INV MGMT	030	TJX	B	145,800	42.19	n/a	5-Mar	4,374.00	3.0
COUGAR TRADING	044	TM	B	5,000	77.31	n/a	n/a	250.00	5.0
BROADARCH CAP/OLD NEWC	070	TOT	SS	1,200	58.62	n/a	n/a	48.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	TRA	SS	117,800	46.33	n/a	n/a	4,712.00	4.0
FARR	040	TRA	SS	32,200	46.33	n/a	n/a	1,288.00	4.0
BROADARCH CAP/OLD NEWC	070	UTX	SS	1,600	71.36	n/a	n/a	64.00	4.0
BROADARCH CAP/OLD NEWC	070	VAL	SS	4,000	29.22	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	VMC	SS	1,300	45.51	n/a	n/a	52.00	4.0
STANDARD PACIFIC CAPITAL	040	VNO	S	22,500	73.37	n/a	n/a	1,125.00	5.0
MELLON/BANK OF NEW YORK	046	VOLC	S	33,000	24.00	n/a	n/a	1,650.00	5.0
FARALLON CAP MGMT	040	WAB	B	18,156	42.49	n/a	n/a	726.24	4.0
FARR	040	WAB	B	7,600	42.49	n/a	n/a	304.00	4.0
WAGONHOUND/NIC	048	WBMD	S	687	45.58	n/a	n/a	27.48	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	S	50,000	53.97	n/a	18-Feb	1,750.00	3.5
IMPALA ASSET MMT	012	X	B	100,000	61.49	n/a	n/a	4,000.00	4.0
TOTAL (Trade Date) :								107,372.58	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/11	FARR (FARRCS)	040	ANW	S	7,300	27.48	n/a	n/a	292.00 4.0
AO,CXL	03/11	FARALLON CAP MGMT (FARABULK F)	040	ANW	SS	25,000	27.48	n/a	n/a	1000.00 4.0
AO,CRT	03/11	FARALLON CAP MGMT (FARABULK F)	040	ANW	SS	17,700	27.48	n/a	n/a	708.00 4.0
AO,CXL	03/11	SMITH MGMT LLC (SMITJPMORG)	029	BZ	S	600,000	5.47	n/a	n/a	24000.00 4.0
AO,CRT	03/11	SMITH MGMT LLC (SMITJPMORG)	029	BZ	S	600,000	5.47	n/a	n/a	18000.00 3.0
AO,CXL	03/11	CSL CAPITAL MGMT (CSLCMSPB)	039	OIH	B	3,000	125.83	n/a	n/a	150.00 5.0
AO,CRT	03/11	CSL CAPITAL MGMT (CSLCMSPB)	039	OIH	B	3,000	125.83	n/a	n/a	120.00 4.0
AO,	03/11	FARR (FARRCS)	040	PSYS	B	12,800	29.07	n/a	n/a	384.00 3.0
AO,CXL	03/11	FARALLON CAP MGMT (FARABULK F)	040	PSYS	B	75,000	29.07	n/a	n/a	3000.00 4.0
AO,CRT	03/11	FARALLON CAP MGMT (FARABULK F)	040	PSYS	B	62,200	29.07	n/a	n/a	1866.00 3.0
AO,CXL	03/11	CSL CAPITAL MGMT (CSLCMSPB)	039	SHAW	B	10,000	34.90	n/a	n/a	500.00 5.0
AO,CRT	03/11	CSL CAPITAL MGMT (CSLCMSPB)	039	SHAW	B	10,000	34.90	n/a	n/a	400.00 4.0
AO,CRT	03/09	PROSPECTOR PARTNERS LLC (PROSMERR)	036	SJT	S	1,700	22.09	n/a	n/a	68.00 4.0
AO,CXL	03/09	PROSPECTOR PARTNERS LLC (PROSFULLYM)	036	SJT	S	1,700	22.09	n/a	n/a	68.00 4.0
AO,	03/11	FARR (FARRCS)	040	WAB	B	10,230	41.72	n/a	n/a	409.20 4.0
AO,CXL	03/11	FARALLON CAP MGMT (FARABULK F)	040	WAB	B	34,630	41.72	n/a	n/a	1385.20 4.0
AO,CRT	03/11	FARALLON CAP MGMT (FARABULK F)	040	WAB	B	24,400	41.72	n/a	n/a	976.00 4.0
AO,CXL	03/11	CSL CAPITAL MGMT (CSLCMSPB)	039	XOM	B	2,000	67.20	n/a	n/a	100.00 5.0
AO,CRT	03/11	CSL CAPITAL MGMT (CSLCMSPB)	039	XOM	B	2,000	67.20	n/a	n/a	80.00 4.0
TOTAL (AO, CXL, CRT) :										-6,900.00

TOTAL (Trade Date):	107,372.58
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TOTAL (RUN DATE) / NFS:	100,472.58
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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