



Daily Compliance Activity Report

Trade Date: 01/22/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	40,000	40.15	n/a	n/a	1,600.00	4.0
PECONIC PARTNERS	036	ABX	S	200,000	36.89	n/a	n/a	10,000.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	10,000	16.36	n/a	8-Jan	400.00	4.0
EXIS CAPITAL	044	AEO	SS	20,000	16.38	n/a	8-Jan	1,000.00	5.0
NEUBERGER BERMAN	036	AKR	B	37,900	16.67	n/a	n/a	1,516.00	4.0
BUCK CAPITAL MGMT	001	AMR	SS	150,000	7.99	n/a	n/a	4,500.00	3.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	30.03	n/a	8-Jan	400.00	4.0
JMP ASSET MGMT	210	ANF	S	15,400	30.05	n/a	8-Jan	770.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	34.15	n/a	8-Jan	800.00	4.0
METROPOLITAN CAPITAL	044	AXL	B	18,400	9.04	n/a	4-Jan	920.00	5.0
GRUBER MACBAINE	033	BBBY	B	10,000	39.73	n/a	n/a	400.00	4.0
DAVIDSON KEMPNER ADVISOR	040	BMJ	C	10,000	24.60	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	BRC	S	33,100	30.12	n/a	n/a	1,324.00	4.0
METROPOLITAN CAPITAL	044	CAKE	B	14,600	21.30	n/a	19-Jan	730.00	5.0
TROUBH PART	067	CBG	S	35,000	13.00	n/a	n/a	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	CEC	S	10,000	35.25	n/a	n/a	500.00	5.0
TROUBH PART	067	COH	B	10,000	34.26	n/a	21-Jan	500.00	5.0
NEW JERSEY DIV OF INV.	030	CPB	S	50,000	32.85	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	40,000	25.87	n/a	n/a	1,600.00	4.0
JMP ASSET MGMT	210	CTRN	B	2,453	30.66	n/a	n/a	122.65	5.0
NEUBERGER BERMAN	036	CVC	S	55,500	26.00	n/a	n/a	2,220.00	4.0
PARTNER REINSURANCE	033	C	S	94,400	3.30	n/a	21-Jan	2,832.00	3.0
PARA	033	C	S	5,600	3.30	n/a	21-Jan	168.00	3.0
CHARTER OAK	033	DAN	B	40,000	10.17	n/a	6-Jan	2,000.00	5.0
TRELLUS PARTNERS LP	028	DAN	B	30,000	10.58	n/a	6-Jan	1,500.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	13.72	n/a	21-Jan	2,500.00	5.0
SCHOTTENFELD ASSOC	041	DPZ	B	3,699	10.81	n/a	19-Jan	110.97	3.0
ISLE RIDGE PARTNERS	041	DTG	B	20,000	25.33	n/a	n/a	800.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.72	n/a	n/a	1,200.00	6.0
DIAMONDBACK CAP MGMT	232	FLS	C	10,000	102.12	n/a	n/a	500.00	5.0
GRUSS CAPITAL	045	FOR	S	5,000	18.99	n/a	4-Jan	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	F	B	500,000	10.83	n/a	6-Jan	15,000.00	3.0
MERRILL ASSET/BLACKROCK	214	GCO	B	29,200	24.67	n/a	n/a	1,168.00	4.0
BUCK CAPITAL MGMT	001	GES	B	70,000	40.36	n/a	n/a	2,800.00	4.0
AVESTA CAP	229	GE	B	250,000	16.63	n/a	n/a	7,500.00	3.0
STELLIAM INV ADV	034	GE	B	25,000	16.42	n/a	n/a	1,250.00	5.0
SLS CAPITAL LLC	224	GGWPQ	S	42,500	10.32	n/a	n/a	1,700.00	4.0
NEUBERGER BERMAN	036	HEI	B	22,200	43.69	n/a	n/a	888.00	4.0
WAGONHOUND/NIC	048	HSC	S	11,976	32.53	n/a	4-Jan	479.04	4.0
NEUBERGER BERMAN	036	HUBG	S	35,900	26.69	n/a	n/a	1,436.00	4.0
RBC CAPITAL MARKETS	040	IGT	B	10,000	21.02	n/a	22-Jan	400.00	4.0
SCOPUS FUND	041	IP	B	30,450	24.94	n/a	22-Jan	1,522.50	5.0
BALYASNY ASSET MGMT	044	IVZ	S	25,000	20.92	n/a	19-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	39.29	n/a	n/a	400.00	4.0
NEW JERSEY DIV OF INV.	030	JEC	S	30,000	40.26	n/a	n/a	1,200.00	4.0
PILOT ROCK	028	JWN	SS	25,000	35.24	n/a	8-Jan	1,000.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	15,000	35.02	n/a	8-Jan	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JMP ASSET MGMT	210	KR	B	11,343	21.58	n/a	n/a	567.15	5.0
ARCHON CAPITAL	035	LOGI	SS	10,000	17.63	n/a	n/a	300.00	3.0
COBALT	041	LOW	B	100,000	22.83	n/a	16-Nov	5,000.00	5.0
GRUBER MACBAIN	033	LOW	B	10,000	22.87	n/a	16-Nov	400.00	4.0
NEUBERGER BERMAN	036	LUFK	B	12,600	67.50	n/a	n/a	504.00	4.0
NEW JERSEY DIV OF INV.	030	LXP	B	25,000	6.08	n/a	n/a	1,000.00	4.0
NEW JERSEY DIV OF INV.	030	MIC	S	75,000	12.76	n/a	n/a	3,000.00	4.0
BASIX	033	MTW	B	27,000	11.86	n/a	12-Jan	810.00	3.0
SLS CAPITAL LLC	224	M	B	139,000	15.84	n/a	8-Jan	5,560.00	4.0
DAVIDSON KEMPNER ADVISOR	040	OSK	B	10,000	34.87	n/a	n/a	500.00	5.0
BASIX	033	PAG	B	45,000	14.97	n/a	22-Jan	1,350.00	3.0
BMO NESBITT BURNS	041	PAG	B	25,000	15.48	n/a	22-Jan	1,250.00	5.0
LAGRANGE CAP ADV	048	PAG	B	10,000	15.45	n/a	22-Jan	500.00	5.0
BRAZOS	031	PKG	B	33,500	21.80	n/a	22-Jan	1,005.00	3.0
GRUSS CAPITAL	045	PLD	S	10,000	12.47	n/a	n/a	300.00	3.0
JMP ASSET MGMT	210	PSS	S	8,389	19.69	n/a	n/a	419.45	5.0
WEISS PECK	040	RBA	SS	15,760	21.17	n/a	n/a	788.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAILIX INV ADV	048	ROC	B	10,000	23.17	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	SLH	B	29,046	35.38	n/a	n/a	1,161.84	4.0
KAILIX INV ADV	048	SOA	B	25,000	12.27	n/a	n/a	1,250.00	5.0
MAIRS AND POWER INV	030	TGT	S	10,000	50.25	n/a	22-Jan	500.00	5.0
CASEY CAPITAL	067	TIN	B	15,000	18.36	n/a	22-Jan	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	70,000	17.67	n/a	22-Jan	3,500.00	5.0
MILLENIUM PARTNERS	028	TIN	B	25,000	17.79	n/a	22-Jan	1,000.00	4.0
SCHOTTENFELD ASSOC	041	TIN	S	50,000	18.44	n/a	22-Jan	1,500.00	3.0
SLS CAPITAL LLC	224	TIN	B	53,500	18.35	n/a	22-Jan	2,140.00	4.0
BUCK CAPITAL MGMT	001	TJX	S	10,000	36.76	n/a	8-Jan	400.00	4.0
MERRILL ASSET/BLACKROCK	214	TLB	B	82,400	10.84	n/a	n/a	3,296.00	4.0
BERMAN CAPITAL MGMT	046	UYG	S	35,000	5.69	n/a	n/a	1,050.00	3.0
NEW JERSEY DIV OF INV.	030	WEC	B	100,000	49.65	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	42.12	n/a	4-Jan	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	24,000	41.50	n/a	4-Jan	1,200.00	5.0
GRUSS CAPITAL	045	WY	SS	3,000	41.23	n/a	4-Jan	90.00	3.0
SYSTEMATIC FINANCIAL MGT	035	XL	S	450,000	16.63	n/a	n/a	13,500.00	3.0

TOTAL (Trade Date):

143,398.60

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/21	COLUMBUS CIRCLE (COLC3060)	036	EBAY	S	14,400	23.96	n/a	n/a	576.00 4.0
CRT	01/22	AVESTA CAP (AVESDEUTS)	229	GE	B	250,000	16.63	n/a	n/a	7500.00 3.0
AO,CXL	01/19	ADAGE CAPITAL MGMT (ADAGESHORT)	030	JCP	B	80,400	26.20	n/a	8-Jan	3216.00 4.0
AO,CRT	01/19	ADAGE CAPITAL MGMT (ADAGESHORT)	030	JCP	B	80,400	26.20	n/a	8-Jan	2412.00 3.0
AO,CXL	01/19	CR INTRINIC INVESTMENT (CRINGSPB)	044	JCP	SS	250,000	26.18	n/a	8-Jan	8750.00 3.5
AO,CRT	01/19	CR INTRINIC INVESTMENT (CRINGSPB)	044	JCP	SS	250,000	26.18	n/a	8-Jan	8750.00 3.5
CRT	01/22	SLS CAPITAL LLC (SLSCMSMAIN)	224	M	B	139,000	15.84	n/a	8-Jan	5560.00 4.0
CRT	01/22	BERMAN CAPITAL MGMT (BERMMS)	046	UYG	S	35,000	5.69	n/a	n/a	1050.00 3.0

TOTAL (AO, CXL, CRT) :	13,882.00
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TOTAL (Trade Date):	143,398.60
TOTAL (AO, CXL, CRT):	13,882.00

TOTAL (RUN DATE) / NFS:	157,280.60
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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