



Daily Compliance Activity Report

Trade Date: 01/05/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORWARD MGMT	033	AIRV	S	1,000	7.62	n/a	n/a	50.00	5.0
CADIAN CAPITAL	067	ANF	S	100,000	35.50	n/a	5-Jan	4,000.00	4.0
CIRCLE T/SES PART	035	AN	B	45,000	19.39	n/a	4-Jan	1,800.00	4.0
OZ MGMT	040	AN	B	100,000	19.59	n/a	4-Jan	3,000.00	3.0
FORWARD MGMT	033	ASEI	B	115	79.59	n/a	n/a	5.75	5.0
FORWARD MGMT	033	AXL	B	1,050	9.30	n/a	4-Jan	52.50	5.0
JP MORGAN VENTURES	046	AXL	S	25,000	9.24	n/a	4-Jan	750.00	3.0
MILLRACE FUND LP	028	AXL	S	10,000	9.56	n/a	4-Jan	300.00	3.0
RBC CAPITAL MARKETS	040	AXL	S	30,000	9.34	n/a	4-Jan	1,200.00	4.0
TRELLUS PARTNERS LP	028	AXL	S	219,700	9.39	n/a	4-Jan	6,591.00	3.0
VISIUM/BALY BOBBY	044	BKE	SS	20,000	30.65	n/a	n/a	1,000.00	5.0
MILLENNIUM-ANDEW	031	BUCY	SS	30,000	64.72	n/a	22-Dec	1,800.00	6.0
DIAMONDBACK CAP MGMT	232	CPKI	B	59,300	13.54	n/a	4-Jan	2,965.00	5.0
BUCK CAPITAL MGMT	001	CRI	S	10,000	27.31	n/a	n/a	400.00	4.0
DAVIDSON KEMPNER ADVISOR	040	CX	C	50,000	12.55	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	CZZ	B	15,000	8.94	n/a	n/a	750.00	5.0
KENNEDY CAPITAL	046	DPZ	B	50,000	8.74	n/a	4-Jan	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	DPZ	B	15,976	8.70	n/a	4-Jan	479.28	3.0
SYSTEMATIC FINANCIAL MGT	035	DSW	S	25,000	26.49	n/a	17-Dec	750.00	3.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.82	n/a	n/a	600.00	6.0
RBC CAPITAL MARKETS	040	FDO	B	20,000	27.51	n/a	4-Jan	800.00	4.0
THIRD COAST CAPITAL	035	FDO	B	10,000	27.19	n/a	4-Jan	500.00	5.0
NEUBERGER BERMAN	036	FHN	S	10,500	13.42	n/a	n/a	420.00	4.0
PAW PARTNERS	045	FL	SS	8,500	11.33	n/a	4-Jan	425.00	5.0
THIRD COAST CAPITAL	035	FL	B	35,000	11.47	n/a	4-Jan	1,750.00	5.0
PAW PARTNERS	045	FRED	SS	4,400	10.13	n/a	n/a	220.00	5.0
LISTED ERR	099	FRED	B	2,200	10.01	n/a	n/a	0.00	0.0
LISTED ERR	099	FRED	S	2,200	10.00	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	F	S	25,000	11.06	n/a	4-Jan	1,000.00	4.0
FORWARD MGMT	033	GSS	S	4,200	3.36	n/a	n/a	210.00	5.0
COOPER CREEK PART	028	GYMB	B	7,500	44.59	n/a	5-Jan	300.00	4.0
GRISANTI BROWN & PARTNER	048	HAWK	B	6,300	24.47	n/a	n/a	315.00	5.0
EXIS CAPITAL	044	HBAN	S	15,000	3.65	n/a	n/a	750.00	5.0
MACKLOWE ASSET MGMT	041	HD	SS	25,000	28.93	n/a	18-Nov	1,000.00	4.0
NEUBERGER BERMAN	036	JCI	S	5,600	27.79	n/a	4-Jan	224.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CADIAN CAPITAL	067	JCP	S	50,000	27.18	n/a	5-Jan	2,000.00	4.0
PZENA INV ADV	044	JCP	B	27,500	27.14	n/a	5-Jan	962.54	3.5
FORWARD MGMT	033	JNS	B	670	13.93	n/a	5-Jan	33.50	5.0
SANDLER O'NEILL ASSET	031	JNS	B	3,500	13.75	n/a	5-Jan	175.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	10,000	16.63	n/a	4-Jan	400.00	4.0
PAW PARTNERS	045	JOSB	SS	2,200	43.95	n/a	n/a	110.00	5.0
MILLENNIUM-ANDEW	031	JOYG	B	56,600	56.63	n/a	8-Dec	3,396.00	6.0
RBC CAPITAL MARKETS	040	JWN	B	10,000	37.81	n/a	5-Jan	400.00	4.0
MACKLOWE ASSET MGMT	041	KFT	B	40,000	28.33	n/a	n/a	1,600.00	4.0
SANDLER O'NEILL ASSET	031	LM	SS	15,000	30.03	n/a	5-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	19.11	n/a	n/a	1,200.00	4.0
NEUBERGER BERMAN	036	LTD	B	87,600	19.10	n/a	n/a	3,504.00	4.0
EMERSON CAPITAL MGMT	048	LVLTT	B	25,000	1.64	n/a	n/a	1,000.00	4.0
TROUBH PART	067	MOT	S	50,000	7.99	n/a	n/a	2,500.00	5.0
OZ MGMT	040	MTW	B	125,000	10.91	n/a	4-Jan	3,750.00	3.0
FORWARD MGMT	033	NTRI	S	530	28.74	n/a	n/a	26.50	5.0
FORWARD MGMT	033	ONXX	S	250	29.65	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORWARD MGMT	033	OSIP	S	400	31.11	n/a	n/a	20.00	5.0
FORWARD MGMT	033	OSTK	S	560	13.57	n/a	n/a	28.00	5.0
COUGAR TRADING	044	OZM	B	10,000	14.22	n/a	5-Jan	500.00	5.0
BALYASNY ASSET MGMT	044	PAG	B	25,000	15.81	n/a	4-Jan	1,250.00	5.0
SCOPUS FUND	041	PAG	B	25,000	16.01	n/a	4-Jan	1,250.00	5.0
TRELLUS PARTNERS LP	028	PAG	B	40,000	15.49	n/a	4-Jan	2,000.00	5.0
GRISANTI BROWN & PARTNER	048	PCX	S	3,700	17.99	n/a	n/a	185.00	5.0
NEUBERGER BERMAN	036	PETS	B	47,100	17.71	n/a	n/a	1,884.00	4.0
KLEINHEINZ CAP PART	031	QCOM	B	75,000	47.98	n/a	n/a	3,750.00	5.0
FIRST NEW YORK NICK	029	Q	B	10,000	4.46	n/a	n/a	500.00	5.0
CADIAN CAPITAL	067	RL	B	7,400	81.83	n/a	4-Jan	296.00	4.0
CATAPULT	040	SCHN	B	10,000	49.85	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	SJM	S	7,500	61.72	n/a	n/a	300.00	4.0
TROUBH PART	067	SUP	B	10,000	15.97	n/a	4-Jan	500.00	5.0
M&I FUNDS	047	SWN	S	6,700	51.80	n/a	4-Jan	268.00	4.0
RAMIUS CAP	040	SWSI	S	81,800	16.44	n/a	n/a	3,272.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	SY	B	14,750	43.29	n/a	n/a	590.00	4.0
FORWARD MGMT	033	TIE	B	700	13.59	n/a	n/a	35.00	5.0
RBC CAPITAL MARKETS	040	TSN	SS	50,000	12.22	n/a	n/a	2,000.00	4.0
NEUBERGER BERMAN	036	VNO	S	4,300	69.41	n/a	n/a	172.00	4.0
GRISANTI BROWN & PARTNER	048	WBC	S	3,260	26.72	n/a	4-Jan	163.00	5.0
CADIAN CAPITAL	067	WFMI	S	60,300	27.25	n/a	n/a	2,412.00	4.0
NEUBERGER BERMAN	036	WHR	S	5,800	80.77	n/a	n/a	232.00	4.0
DALTON GREINER	012	WMT	B	24,870	53.89	n/a	4-Jan	1,243.50	5.0
LEVEL GLOBAL SHARED ACCT	257	WRC	B	28,600	44.41	n/a	4-Jan	858.00	3.0
TOTAL (Trade Date) :								84,436.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/04	UBS OCONNOR (UBSOBOA)	031	COWN	S	55,901	5.94	n/a	n/a	1677.03 3.0
AO,CRT	01/04	COBALT (COBAGS)	041	GT	B	100,000	14.52	n/a	n/a	5000.00 5.0
AO,CXL	01/04	COBALT (COBAUBS)	041	GT	B	100,000	14.52	n/a	n/a	5000.00 5.0

TOTAL (AO, CXL, CRT) :	1,677.03
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TOTAL (Trade Date) :	84,436.07
TOTAL (AO, CXL, CRT) :	1,677.03

TOTAL (RUN DATE) / NFS:	86,113.10
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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