



Daily Compliance Activity Report

Trade Date: 02/12/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	ANF	B	3,300	33.10	n/a	12-Feb	132.00	4.0
JP MORGAN VENTURES	046	AOL	B	10,000	23.89	n/a	n/a	500.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	S	3,000	23.02	n/a	n/a	120.00	4.0
EATON VANCE MGMT	039	BMY	S	10,651	23.68	n/a	n/a	319.53	3.0
CIRCLE T/SES PART	035	BYD	B	15,000	7.90	n/a	n/a	600.00	4.0
ROYCE TRADING	216	BZ	B	10,000	4.74	n/a	n/a	300.00	3.0
SMITH MGMT LLC	029	BZ	B	25,000	4.72	n/a	n/a	750.00	3.0
WEISS PECK	040	CAKE	SS	9,480	22.25	n/a	12-Feb	474.00	5.0
PROSPECTOR PARTNERS LLC	036	CCE	S	3,000	19.32	n/a	n/a	120.00	4.0
AVESTA CAP	229	CSCO	B	100,000	23.62	n/a	n/a	3,000.00	3.0
L.R.BURTSCHY & CO	045	DAN	B	10,000	10.06	n/a	6-Jan	600.00	6.0
CATAPULT	040	EP	B	25,000	10.01	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.49	n/a	n/a	600.00	6.0
MERRILL ASSET/BLACKROCK	214	FBN	S	49,500	4.98	n/a	n/a	1,980.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	39.70	n/a	5-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	039	HAL	S	19,509	29.72	n/a	n/a	585.27	3.0
SONTERRA CAP	041	HBAN	SS	60,000	4.69	n/a	n/a	1,200.00	2.0
NEWLAND CAPITAL MGT	067	JBHT	S	10,000	31.65	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	JNY	B	10,000	15.47	n/a	10-Feb	500.00	5.0
EXIS CAPITAL	044	KBH	S	20,000	16.52	n/a	n/a	1,000.00	5.0
US BANCORP	030	KO	B	149,519	54.03	n/a	n/a	7,475.95	5.0
DIAMONDBACK CAP MGMT	232	KSS	S	35,000	49.73	n/a	5-Feb	1,750.00	5.0
BASIX	033	LM	B	10,500	25.63	n/a	12-Feb	315.00	3.0
HIGHBRIDGE CAP	041	MOT	S	50,000	7.07	n/a	n/a	2,000.00	4.0
EATON VANCE MGMT	039	MRK	S	13,006	36.31	n/a	n/a	390.18	3.0
RBC CAPITAL MARKETS	040	MTL	SS	5,000	22.61	n/a	n/a	200.00	4.0
PHILADELPHIA FINANCIAL	033	OZM	S	30,700	13.79	n/a	12-Feb	1,228.00	4.0
ISLE RIDGE PARTNERS	041	PIR	S	35,000	5.64	n/a	n/a	1,400.00	4.0
PROSPECTOR PARTNERS LLC	036	PPS	S	3,000	17.35	n/a	n/a	120.00	4.0
CARDINAL CAPITAL	044	RRD	B	109,700	19.25	n/a	n/a	5,485.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	067	SOA	S	100	14.15	n/a	n/a	4.00	4.0
CHARTER OAK	033	SYMC	B	50,000	16.78	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	TIF	B	15,000	41.31	n/a	n/a	750.00	5.0
BROADARCH CAP/OLD NEWC	070	TIN	B	6,400	16.95	n/a	9-Feb	256.00	4.0
PROSPECTOR PARTNERS LLC	036	TR	S	4,000	26.23	n/a	n/a	160.00	4.0
RBC CAPITAL MARKETS	040	TSN	S	10,000	15.77	n/a	n/a	400.00	4.0
HARBORWATCH/DIAMBACK	232	TXT	SS	25,000	18.31	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	040	WYNN	B	5,000	63.06	n/a	9-Feb	200.00	4.0
RBC CAPITAL MARKETS	040	XLB	B	25,000	30.72	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date) :								41,214.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/11	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	CELG	B	20,000	56.22	n/a	n/a	1000.00 5.0
AO,CXL	02/09	ROARING BLUE LION MGMT (ROARMAIN)	012	GCO	B	6,500	21.77	n/a	n/a	325.00 5.0
AO,CRT	02/09	ROARING BLUE LION MGMT (ROARMAIN)	012	GCO	B	6,500	21.77	n/a	n/a	260.00 4.0
CRT	02/12	SONTERRA CAP (SONTMSBULK)	041	HBAN	SS	60,000	4.69	n/a	n/a	1200.00 2.0
CRT	02/12	HIGHBRIDGE CAP (HIBCUBSNEW)	041	MOT	S	50,000	7.07	n/a	n/a	2000.00 4.0

TOTAL (AO, CXL, CRT) :**4,135.00**

TOTAL (Trade Date) :

41,214.93

TOTAL (AO, CXL, CRT) :

4,135.00

TOTAL (RUN DATE) / NFS:**45,349.93**

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