



## Daily Compliance Activity Report

Trade Date: 03/29/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	ALV	S	951	51.78	n/a	23-Mar	38.04	4.0
VISIUM/BALY BOBBY	044	AN	B	20,000	19.05	n/a	12-Feb	1,000.00	5.0
WAGONHOUND/NIC	048	AN	S	25,575	19.00	n/a	12-Feb	1,023.00	4.0
DSG CAPITAL	225	AXL	S	6,900	10.55	n/a	8-Feb	276.00	4.0
HOOVER INV. MGMT	033	AYI	B	13,600	42.00	n/a	n/a	544.00	4.0
EXIS CAPITAL	044	BONT	B	5,000	12.90	n/a	n/a	250.00	5.0
LAGRANGE CAP ADV	048	BONT	SS	10,000	12.80	n/a	n/a	500.00	5.0
KENNEDY CAPITAL	046	CBK	B	29,800	7.96	n/a	n/a	894.00	3.0
BALYASNY ASSET MGMT	044	CHRW	SS	15,000	56.13	n/a	n/a	750.00	5.0
COLUMBUS CIRCLE	036	COO	S	4,349	38.36	n/a	n/a	173.96	4.0
GREEN ARROW DOUG	040	CPKI	S	20,000	16.99	n/a	19-Feb	1,000.00	5.0
SENATOR INVESTMENT GROUP	036	FCX	B	25,000	82.54	n/a	n/a	750.00	3.0
LAGRANGE CAP ADV	048	FII	B	5,000	26.15	n/a	2-Mar	250.00	5.0
CENTURION PARTNERS	041	F	B	50,000	13.64	n/a	3-Mar	2,000.00	4.0
CIRCLE T/SES PART	035	F	B	100,000	13.59	n/a	3-Mar	4,000.00	4.0
FRIESS MGMT	033	F	S	1,848,200	13.53	n/a	3-Mar	73,928.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	F	B	40,000	13.52	n/a	3-Mar	1,600.00	4.0
OZ MGMT	040	F	C	116,268	13.64	n/a	3-Mar	3,488.04	3.0
RBC CAPITAL MARKETS	040	GR	B	2,900	71.01	n/a	15-Mar	116.00	4.0
SIGMA CAPITAL ASSOCIATES	041	HAS	SS	10,000	38.89	n/a	n/a	350.00	3.5
RBC CAPITAL MARKETS	040	HOTT	B	100,000	6.42	n/a	n/a	4,000.00	4.0
STELLIAM INV ADV	034	INCY	S	5,000	14.20	n/a	n/a	250.00	5.0
AVESTA CAP	229	INTC	S	100,000	22.37	n/a	n/a	3,000.00	3.0
HOOVER INV. MGMT	033	IPCM	B	10,800	35.67	n/a	n/a	432.00	4.0
AVESTA CAP	229	IP	S	100,000	25.13	n/a	26-Mar	3,000.00	3.0
HOOVER INV. MGMT	033	ITRI	B	1,400	74.84	n/a	n/a	56.00	4.0
WAGONHOUND/NIC	048	JCI	S	6,875	32.72	n/a	26-Mar	275.00	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	85,000	8.42	n/a	26-Mar	4,250.00	5.0
DSM CAPITAL PARTNERS	032	MCD	S	31,950	66.68	n/a	9-Mar	1,597.50	5.0
TROUBH PART	067	MGM	B	25,000	12.63	n/a	12-Mar	1,250.00	5.0
COBALT	041	MU	B	100,000	10.70	n/a	n/a	5,000.00	5.0
LAGRANGE CAP ADV	048	PAG	B	30,000	14.82	n/a	23-Mar	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WESLEY CAPITAL	029	PCL	B	30,000	38.36	n/a	26-Mar	1,200.00	4.0
EPOCH INV MGMT	030	PX	B	1,550	81.78	n/a	18-Feb	46.50	3.0
EPOCH INV MGMT	030	Q	B	7,250	5.21	n/a	n/a	217.50	3.0
MELLON/BANK OF NEW YORK	046	RA	B	23,100	11.56	n/a	n/a	1,155.00	5.0
EPOCH INV MGMT	030	RE	B	1,050	80.65	n/a	n/a	31.50	3.0
WESLEY CAPITAL	029	RYN	B	25,000	45.47	n/a	26-Mar	1,000.00	4.0
EXIS CAPITAL	044	SKS	B	10,000	8.64	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	TJX	B	2,250	43.09	n/a	5-Mar	67.50	3.0
EPOCH INV MGMT	030	TMO	B	2,300	50.34	n/a	n/a	69.00	3.0
EPOCH INV MGMT	030	TXN	B	2,100	24.78	n/a	n/a	63.00	3.0
EATON VANCE MGMT	039	T	B	100,000	26.43	n/a	n/a	3,000.00	3.0
EPOCH INV MGMT	030	UNH	B	1,300	32.60	n/a	n/a	39.00	3.0
BALYASNY ASSET MGMT	044	URBN	B	25,000	37.49	n/a	n/a	1,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	URBN	S	25,000	37.66	n/a	n/a	750.00	3.0
EPOCH INV MGMT	030	VTR	B	1,900	48.26	n/a	n/a	57.00	3.0
EATON VANCE MGMT	039	VZ	B	75,000	30.48	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOOVER INV. MGMT	033	WCC	B	12,100	35.05	n/a	n/a	484.00	4.0
EPOCH INV MGMT	030	WEC	B	1,900	49.68	n/a	n/a	57.00	3.0
EPOCH INV MGMT	030	WFR	B	2,900	14.65	n/a	n/a	87.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	46.70	n/a	2-Mar	400.00	4.0
FORD FDN.	032	ZMH	S	25,369	57.83	n/a	n/a	1,014.76	4.0
EXIS CAPITAL	044	ZQK	B	10,300	4.60	n/a	12-Mar	515.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>131,795.30</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/26	WEISS PECK (PECKOPPVAL)	040	CAKE	SS	4,400	27.24	n/a	12-Feb	220.00 5.0
AO,CXL	03/26	MILLENIU M PARTNERS (MILPCSTARS)	028	F	SS	25,000	13.81	n/a	3-Mar	1000.00 4.0
AO,CRT	03/26	MILLENIU M PARTNERS (MILPCSTARS)	028	F	SS	25,000	13.81	n/a	3-Mar	750.00 3.0
AO,	03/26	THOMPSON SIEGAL&WALMSLEY (THOS3358)	029	F	S	2,950	13.94	n/a	3-Mar	88.50 3.0
AO,	03/26	THOMPSON SIEGAL&WALMSLEY (THOS3336)	029	F	S	6,300	13.94	n/a	3-Mar	189.00 3.0
AO,	03/26	THOMPSON SIEGAL&WALMSLEY (THOS4280)	029	F	S	36,650	13.94	n/a	3-Mar	1099.50 3.0
AO,CXL	03/26	MILLENIU M PARTNERS (MILPCSTARS)	028	GE	B	25,000	18.36	n/a	n/a	1000.00 4.0
AO,CRT	03/26	MILLENIU M PARTNERS (MILPCSTARS)	028	GE	B	25,000	18.36	n/a	n/a	750.00 3.0
AO,CXL	03/26	CSBD (CSBDSASHA)	070	TIN	B	22,000	20.62	n/a	26-Mar	880.00 4.0
AO,CRT	03/26	CSFB GLOBAL PROPRIETARY (CSFBGLOBA)	041	TIN	B	22,000	20.62	n/a	26-Mar	1100.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,317.00</b>
TOTAL (Trade Date):										131,795.30
TOTAL (AO, CXL, CRT):										1,317.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>133,112.30</b>

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