



## Daily Compliance Activity Report

Trade Date: 03/10/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALT INVESTMENT	041	AEO	SS	50,000	18.11	n/a	5-Mar	2,500.00	5.0
LATEFF MGMT	035	ALK	S	5,250	39.85	n/a	n/a	630.00	12.0
CASTLEROCK	040	AMAT	SS	330,646	12.50	n/a	n/a	13,225.84	4.0
GEORGE WEISS	034	ANN	S	13,000	19.00	n/a	n/a	520.00	4.0
ISLE RIDGE PARTNERS	041	AN	B	14,300	19.02	n/a	12-Feb	572.00	4.0
MILLENIUM PARTNERS	028	AXL	SS	10,000	9.97	n/a	8-Feb	400.00	4.0
MILLENIUM PARTNERS	028	AXL	S	15,000	10.02	n/a	8-Feb	600.00	4.0
IRIDIAN ASSET MGMT.	036	BRCD	S	100,000	5.74	n/a	n/a	5,000.00	5.0
ISLE RIDGE PARTNERS	041	BWA	B	12,100	36.94	n/a	12-Feb	484.00	4.0
WAGONHOUND/NIC	048	CAKE	S	4,497	25.90	n/a	12-Feb	179.88	4.0
EPOCH INV MGMT	030	CAM	S	2,750	43.52	n/a	n/a	82.50	3.0
OSS CAPITAL/KEVIN DANN	067	CCK	S	50,000	27.24	n/a	n/a	1,500.00	3.0
MORTAR ROCK	033	CMI	SS	22,500	60.77	n/a	3-Feb	900.00	4.0
EPOCH INV MGMT	030	COL	S	3,250	60.56	n/a	1-Feb	97.50	3.0
ARCHON CAPITAL	035	CPHD	SS	15,000	19.04	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	CPO	S	3,800	35.15	n/a	n/a	114.00	3.0
EXIS CAPITAL	044	CSCO	B	25,000	25.99	n/a	n/a	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	DAL	B	100,000	13.37	n/a	n/a	4,000.00	4.0
MILLENIUM PARTNERS	028	DAN	B	25,000	11.95	n/a	25-Feb	1,000.00	4.0
HARBORWATCH/DIAMBACK	232	DD	B	10,000	34.98	n/a	26-Feb	500.00	5.0
EPOCH INV MGMT	030	DRC	S	1,929	31.69	n/a	n/a	57.87	3.0
COUGAR TRADING	044	DVN	B	10,000	72.10	n/a	19-Jan	500.00	5.0
WHITE PINE CAPITAL	030	EPIQ	S	5,700	12.12	n/a	n/a	285.00	5.0
CUMBERLAND	239	EXH	S	20,000	25.65	n/a	10-Mar	800.00	4.0
IRIDIAN ASSET MGMT.	036	EXH	B	180,000	25.55	n/a	10-Mar	9,000.00	5.0
ARMATURE CAPITAL	041	FLS	B	15,000	105.03	n/a	n/a	600.00	4.0
EXIS CAPITAL	044	FL	SS	15,000	13.55	n/a	10-Mar	750.00	5.0
WEISS PECK	040	FL	S	94,710	13.56	n/a	10-Mar	4,735.50	5.0
ROARING BLUE LION MGMT	012	GCO	S	10,000	28.81	n/a	n/a	400.00	4.0
EPOCH INV MGMT	030	GPC	S	5,250	40.54	n/a	n/a	157.50	3.0
BALYASNY ASSET MGMT	044	GYMB	B	25,000	46.00	n/a	5-Mar	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	GYMB	B	7,500	46.04	n/a	5-Mar	300.00	4.0
EXIS CAPITAL	044	GYMB	B	10,000	47.30	n/a	5-Mar	500.00	5.0
RBC CAPITAL MARKETS	040	IP	B	25,000	25.08	n/a	3-Feb	1,000.00	4.0
EXIS CAPITAL	044	JAH	SS	20,000	34.88	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>50,000</b>	<b>18.63</b>	<b>n/a</b>	<b>10-Feb</b>	<b>2,000.00</b>	<b>4.0</b>
EMERSON CAPITAL MGMT	048	JNY	B	27,000	18.58	n/a	10-Feb	1,080.00	4.0
HOTCHKIS & WILEY	035	JNY	S	103,200	18.48	n/a	10-Feb	5,160.00	5.0
RBC CAPITAL MARKETS	040	JWN	SS	5,000	39.13	n/a	5-Mar	200.00	4.0
ISLE RIDGE PARTNERS	041	LEA	S	13,300	74.21	n/a	8-Feb	532.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LL</b>	<b>B</b>	<b>20,000</b>	<b>23.82</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
DAVIDSON KEMPNER ADVISOR	040	LPX	B	25,000	8.26	n/a	23-Feb	1,250.00	5.0
MILLENIUM PARTNERS	028	LPX	SS	35,000	8.30	n/a	23-Feb	1,400.00	4.0
THE JAY GOLDMAN	028	LVS	S	15,000	19.30	n/a	10-Mar	600.00	4.0
OSS CAPITAL/KEVIN DANN	067	LYV	B	50,000	14.00	n/a	n/a	1,500.00	3.0
EPOCH INV MGMT	030	MAS	S	4,100	14.66	n/a	n/a	123.00	3.0
RBC CAPITAL MARKETS	040	MON	S	10,000	71.56	n/a	26-Feb	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	MOT	S	50,000	7.11	n/a	n/a	1,750.00	3.5
CHARTER OAK	033	MS	B	100,000	30.00	n/a	10-Mar	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	MTW	S	72,575	12.66	n/a	5-Feb	3,628.75	5.0
BMO NESBITT BURNS	041	M	SS	31,200	20.90	n/a	5-Mar	1,560.00	5.0
EXIS CAPITAL	044	M	B	2,546	21.15	n/a	5-Mar	127.30	5.0
SCOPUS FUND	041	M	B	15,000	21.23	n/a	5-Mar	750.00	5.0
LUCID PARTNERS	067	NP	S	10,000	17.22	n/a	3-Mar	400.00	4.0
EPOCH INV MGMT	030	NYX	S	9,100	28.47	n/a	n/a	273.00	3.0
RBC CAPITAL MARKETS	040	PAAS	SS	25,000	22.59	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PAG</b>	<b>B</b>	<b>30,000</b>	<b>15.74</b>	<b>n/a</b>	<b>22-Feb</b>	<b>1,200.00</b>	<b>4.0</b>
CAXTON PART	040	PCAR	B	145,211	39.73	n/a	1-Feb	5,082.40	3.5
EATON VANCE MGMT	039	PFE	S	200,000	17.27	n/a	n/a	6,000.00	3.0
GEORGE WEISS	034	PLCE	B	15,000	42.12	n/a	10-Mar	450.00	3.0
HARVEST MGMT	039	PLCE	B	10,000	40.84	n/a	10-Mar	500.00	5.0
THIRD COAST CAPITAL	035	PLCE	B	10,000	41.04	n/a	10-Mar	500.00	5.0
ISLE RIDGE PARTNERS	041	PNK	B	20,000	8.83	n/a	n/a	800.00	4.0
ISLE RIDGE PARTNERS	041	RA	B	10,300	11.28	n/a	n/a	412.00	4.0
EXIS CAPITAL	044	RL	SS	5,000	82.35	n/a	4-Feb	250.00	5.0
L.R.BURTSCHY & CO	045	RSH	B	10,000	22.50	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
T. ROWE PRICE	033	SAI	S	159,800	19.45	n/a	n/a	6,392.00	4.0
PZENA INV ADV	044	SHW	B	12,275	64.57	n/a	18-Feb	429.63	3.5
CASTLE ARK	031	STJ	S	174,200	37.92	n/a	n/a	10,452.00	6.0
EXIS CAPITAL	044	VFC	SS	5,000	79.83	n/a	12-Feb	250.00	5.0
EPOCH INV MGMT	030	V	S	5,150	89.80	n/a	19-Feb	154.50	3.0
HUNTER GLOBAL INVESTOR	067	V	S	54,600	91.55	n/a	19-Feb	2,730.00	5.0
EPOCH INV MGMT	030	WAB	S	3,950	41.06	n/a	n/a	118.50	3.0
SAC CAP/ROSEN FOR BOBBY	044	WDR	B	75,000	34.34	n/a	2-Mar	2,625.00	3.5
FARALLON CAP MGMT	040	WLP	S	7,028	62.00	n/a	n/a	281.12	4.0
EPOCH INV MGMT	030	WRC	S	4,150	46.46	n/a	2-Mar	124.50	3.0
SIGMA CAPITAL ASSOCIATES	041	WYN	S	25,000	24.10	n/a	n/a	875.00	3.5
THIRD COAST CAPITAL	035	ZLC	B	70,000	3.19	n/a	n/a	3,500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>127,602.29</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/09	TRAFELET & COMP. (TRAFFIDE)	028	BZ	B	300,000	5.65	n/a	n/a	12000.00 4.0
AO,	03/08	CAMBIAR CAP (CAMB1113)	046	CBE	S	50	47.53	n/a	1-Mar	2.00 4.0
AO,CXL	03/08	TRUSTCO/SUNTRUST (TRUS1113)	046	CBE	S	50	47.53	n/a	1-Mar	2.00 4.0
AO,CXL	03/05	OSS CAPITAL/KEVIN DANN (OSSCCITI)	067	PSA	B	3,581	86.49	n/a	n/a	179.05 5.0
AO,CRT	03/05	OSS CAPITAL/KEVIN DANN (OSSCCITI)	067	PSA	B	3,581	86.49	n/a	n/a	107.43 3.0
AO,	03/09	1798 CAPITAL MGMT (1798MS)	040	PXP	B	25,000	32.94	n/a	n/a	1250.00 5.0
AO,CXL	03/09	1798 CAPITAL MGMT (1798GS)	040	PXP	B	25,000	32.94	n/a	n/a	1250.00 5.0
AO,CRT	03/09	CATAPULT (CATADEUTCH)	028	STI	S	10,000	26.19	n/a	n/a	500.00 5.0
AO,CXL	03/09	MILLENIUM PARTNERS (MILPCSTARS)	028	STI	S	10,000	26.19	n/a	n/a	400.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>12,028.38</b>

TOTAL (Trade Date) :	127,602.29
TOTAL (AO, CXL, CRT) :	12,028.38

<b>TOTAL (RUN DATE) / NFS :</b>	<b>139,630.67</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