



Daily Compliance Activity Report

Trade Date: 03/18/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	B	2,000	14.32	n/a	n/a	100.00	5.0
ARMATURE CAPITAL	041	AGU	SS	20,000	70.91	n/a	n/a	800.00	4.0
MILLRACE FUND LP	028	AXL	S	5,000	11.23	n/a	8-Feb	200.00	4.0
FINDLAY PARK PART	259	BK	B	54,328	30.40	n/a	9-Mar	2,716.40	5.0
PATTEN & PATTEN	067	BK	B	1,500	30.33	n/a	9-Mar	75.00	5.0
KLEINHEINZ CAP PART	031	BMV	B	50,000	26.05	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	BONT	B	10,000	12.60	n/a	n/a	500.00	5.0
CATAPULT	040	COF	SS	5,000	40.88	n/a	17-Mar	250.00	5.0
PROSPECTOR PARTNERS LLC	036	CPB	B	10,000	34.91	n/a	n/a	400.00	4.0
HARBORWATCH/DIAMBACK	232	DD	S	10,000	37.49	n/a	26-Feb	500.00	5.0
PATTEN & PATTEN	067	DOV	S	1,000	47.01	n/a	n/a	50.00	5.0
EXIS CAPITAL	044	DSW	SS	10,000	26.59	n/a	16-Mar	500.00	5.0
HUNTER GLOBAL INVESTOR	067	FDX	B	67,025	88.20	n/a	n/a	3,351.25	5.0
EXIS CAPITAL	044	F	SS	25,000	14.28	n/a	3-Mar	1,250.00	5.0
OZ MGMT	040	F	SS	100,000	13.98	n/a	3-Mar	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	GES	S	13,500	48.00	n/a	18-Mar	526.50	3.9
HARBORWATCH/DIAMBACK	232	GLW	S	25,000	19.28	n/a	17-Mar	1,250.00	5.0
ST OF MICHIAN	047	HON	B	130,000	43.31	n/a	1-Mar	3,900.00	3.0
RBC CAPITAL MARKETS	040	IP	B	10,000	26.45	n/a	3-Feb	400.00	4.0
WEINTRAUB CAPITAL MGT.	040	IP	S	100,000	26.21	n/a	3-Feb	4,000.00	4.0
BALYASNY ASSET MGMT	044	JCP	C	50,800	31.23	n/a	5-Mar	2,540.00	5.0
SAXON WOODS ADVISORS	242	LOGI	B	25,000	16.95	n/a	n/a	1,000.00	4.0
ADALY INV MGMT	031	OZM	B	30,000	14.70	n/a	2-Mar	1,200.00	4.0
HARBORWATCH/DIAMBACK	232	POT	C	10,000	123.49	n/a	n/a	500.00	5.0
THIRD POINT MGMT	044	PVH	B	25,000	53.99	n/a	16-Mar	1,000.00	4.0
GALT INVESTMENT	041	ROST	B	50,000	52.09	n/a	n/a	2,500.00	5.0
VISIUM/BALY BOBBY	044	ROST	C	12,500	51.95	n/a	n/a	625.00	5.0
PATTEN & PATTEN	067	SNY	B	1,000	38.81	n/a	n/a	50.00	5.0
ARMATURE CAPITAL	041	SOA	S	25,000	15.43	n/a	n/a	1,000.00	4.0
GALT INVESTMENT	041	SPLS	B	45,000	23.77	n/a	n/a	2,250.00	5.0
BASIX	033	TIN	S	23,000	21.56	n/a	9-Feb	690.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	TIN	S	30,000	21.61	n/a	9-Feb	1,200.00	4.0
EXIS CAPITAL	044	TJX	SS	5,000	42.97	n/a	5-Mar	250.00	5.0
COUGAR TRADING	044	TM	S	5,000	78.47	n/a	n/a	250.00	5.0
KAILIX INV ADV	048	VALE	B	20,000	30.71	n/a	n/a	1,000.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	WCRX	S	11,887	25.67	n/a	17-Mar	475.48	4.0
DIAMONDBACK CAP MGMT	232	XLE	SS	17,000	58.52	n/a	n/a	510.00	3.0
DIAMONDBACK CAP MGMT	232	XLI	C	17,000	30.84	n/a	n/a	510.00	3.0
DIAMONDBACK CAP MGMT	232	XOP	SS	46,000	43.50	n/a	n/a	1,380.00	3.0
HARVEST MGMT	039	ZUMZ	S	10,000	19.47	n/a	n/a	500.00	5.0
TOTAL (Trade Date):								45,699.63	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/17	CATAPULT (CATADEUTCH)	040	CMA	SS	21,100	38.03	n/a	n/a	1055.00 5.0
AO,CXL	03/17	GREEN ARROW DOUG (GADRCSUSE)	040	CMA	SS	21,100	38.03	n/a	n/a	1055.00 5.0
AO,CXL	03/17	ROSEDALE CAPITAL (ROSEGS)	046	F	S	30,000	13.61	n/a	3-Mar	1500.00 5.0
AO,CRT	03/17	ROSEDALE CAPITAL (ROSEGS)	046	F	S	30,000	13.61	n/a	3-Mar	1200.00 4.0
CRT	03/18	GALT INVESTMENT (GALTGS)	041	ROST	B	50,000	52.09	n/a	n/a	2500.00 5.0
AO,CXL	02/24	FRIESS MGMT (FRISIHM)	033	SCHW	B	900	18.46	n/a	n/a	36.00 4.0
AO,CRT	02/24	FRIESS MGMT (FRISIHM)	033	SCHW	B	900	18.46	n/a	n/a	36.00 4.0
AO,CXL	02/25	FRIESS MGMT (FRISIHM)	033	SCHW	B	600	18.16	n/a	n/a	24.00 4.0
AO,CRT	02/25	FRIESS MGMT (FRISIHM)	033	SCHW	B	600	18.16	n/a	n/a	24.00 4.0
AO,CXL	03/17	SENATOR INVESTMENT GROUP (SENAMS)	036	VLO	SS	250,000	20.71	n/a	n/a	7500.00 3.0
AO,	03/17	SENATOR INVESTMENT GROUP (SENAGS)	036	VLO	SS	250,000	20.71	n/a	n/a	7500.00 3.0
AO,	03/17	DIAMONDBACK CAP MGMT (DIAMGS)	232	XLI	C	32,000	30.79	n/a	n/a	960.00 3.0
TOTAL (AO, CXL, CRT) :										3,160.00
TOTAL (Trade Date):										45,699.63
TOTAL (AO, CXL, CRT):										3,160.00
TOTAL (RUN DATE) / NFS:										48,859.63

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