



Daily Compliance Activity Report

Trade Date: 02/24/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	AA	SS	300,000	13.04	n/a	n/a	9,000.00	3.0
BALYASNY ASSET MGMT	044	AB	S	30,000	26.45	n/a	12-Feb	1,500.00	5.0
STERLING JOHNSTON	035	AEO	B	7,450	16.75	n/a	5-Feb	298.00	4.0
SANDLER O'NEILL ASSET	031	AMG	S	2,100	71.01	n/a	22-Feb	105.00	5.0
PATTEN & PATTEN	067	APD	B	1,000	69.79	n/a	5-Feb	50.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	34.59	n/a	5-Feb	800.00	4.0
CATAPULT	040	AVY	S	29,000	31.67	n/a	1-Feb	1,450.00	5.0
DSG CAPITAL	225	AXL	S	10,000	9.48	n/a	8-Feb	400.00	4.0
ROSEDALE CAPITAL	046	AXL	S	15,000	9.53	n/a	8-Feb	600.00	4.0
CATAPULT	040	BAC	B	20,000	16.04	n/a	24-Feb	1,000.00	5.0
BALYASNY ASSET MGMT	044	BEN	S	30,000	100.75	n/a	18-Feb	1,500.00	5.0
ROYCE TRADING	216	BZ	B	13,000	4.62	n/a	n/a	390.00	3.0
BMO NESBITT BURNS	041	COG	B	5,000	40.03	n/a	23-Feb	500.00	10.0
TROUBH PART	067	COH	B	20,000	37.06	n/a	21-Jan	1,000.00	5.0
MILLRACE FUND LP	028	CPKI	B	1,200	15.11	n/a	19-Feb	48.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	DIN	S	15,000	28.33	n/a	n/a	750.00	5.0
ASCEND PARTNERS	033	DLTR	SS	100,000	55.58	n/a	24-Feb	5,000.00	5.0
RBC CAPITAL MARKETS	040	DLTR	B	5,000	54.37	n/a	24-Feb	200.00	4.0
KENNEDY CAPITAL	046	DPZ	S	39,100	12.48	n/a	19-Jan	1,564.00	4.0
BNP PARIBAS SEC	040	ELY	S	11,205	7.90	n/a	n/a	448.20	4.0
PATTEN & PATTEN	067	EWG	B	5,275	20.00	n/a	n/a	263.75	5.0
SEMINOLE CAP	036	EXPE	B	80,000	22.60	n/a	n/a	4,000.00	5.0
RBC CAPITAL MARKETS	040	FDO	B	10,000	33.06	n/a	1-Feb	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	FLR	S	29,110	45.18	n/a	n/a	873.30	3.0
ADAGE CAPITAL MGMT	030	FL	B	203,800	12.68	n/a	3-Feb	8,152.00	4.0
WAGONHOUND/NIC	048	FL	S	47,105	12.90	n/a	3-Feb	1,884.20	4.0
BALYASNY ASSET MGMT	044	F	SS	139,798	11.77	n/a	3-Feb	4,193.94	3.0
UBS OCONNOR	031	GS	C	13,000	157.14	n/a	13-Feb	390.00	3.0
BMO NESBITT BURNS	041	HSP	S	4,000	51.50	n/a	n/a	320.00	8.0
HARBORWATCH/DIAMBACK	232	ITW	SS	50,000	45.45	n/a	28-Jan	2,500.00	5.0
KLEINHEINZ CAP PART	031	JCP	B	35,000	27.89	n/a	22-Feb	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	JCP	B	8,550	28.02	n/a	22-Feb	427.50	5.0
PATTEN & PATTEN	067	JNJ	S	100	63.38	n/a	n/a	5.00	5.0
CRAMER ROSENTHAL/SCOTT	012	JNS	B	32,000	12.19	n/a	12-Feb	1,280.00	4.0
PATTEN & PATTEN	067	KMB	S	200	60.39	n/a	25-Jan	10.00	5.0
PILOT ROCK	028	KSS	B	110,241	51.35	n/a	23-Feb	4,409.64	4.0
RBC CAPITAL MARKETS	040	KSS	B	7,500	50.91	n/a	23-Feb	300.00	4.0
THE JAY GOLDMAN	028	KSS	B	10,000	51.31	n/a	23-Feb	400.00	4.0
MORTAR ROCK	033	LBTYA	B	10,000	26.02	n/a	n/a	400.00	4.0
PILOT ROCK	028	LEG	B	100,000	19.27	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	LL	B	60,000	22.72	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	21.14	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	LTD	B	35,000	21.16	n/a	n/a	1,750.00	5.0
CIRCLE T/SES PART	035	LVS	S	25,000	16.09	n/a	24-Feb	1,000.00	4.0
SAC TRADIN/BINDER	044	LVS	B	20,000	16.24	n/a	24-Feb	700.00	3.5
TRELLUS PARTNERS LP	028	LVS	B	25,000	16.12	n/a	24-Feb	1,250.00	5.0
RBC CAPITAL MARKETS	040	MCD	B	10,000	65.21	n/a	9-Feb	400.00	4.0
CATAPULT	040	MMM	SS	20,000	80.03	n/a	18-Feb	1,000.00	5.0
PLATTE RIVER CAPITAL	240	MPER	B	20,000	3.93	n/a	24-Feb	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JENNISON	032	MSFT	S	300,000	28.69	n/a	n/a	11,100.00	3.7
UBS OCONNOR	031	MS	S	70,000	27.45	n/a	13-Feb	2,100.00	3.0
BMO NESBITT BURNS	041	MYL	B	5,000	19.30	n/a	24-Feb	400.00	8.0
THE JAY GOLDMAN	028	M	SS	25,000	19.42	n/a	24-Feb	1,000.00	4.0
METROPOLITAN CAPITAL	044	NDAQ	S	55,000	18.60	n/a	n/a	2,750.00	5.0
SEMINOLE CAP	036	NFLX	B	5,000	65.21	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	NKE	B	15,000	64.51	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	NTY	SS	10,000	44.91	n/a	n/a	400.00	4.0
LAGRANGE CAP ADV	048	PAG	B	7,802	14.34	n/a	22-Feb	390.10	5.0
HUNTER GLOBAL INVESTOR	067	PEP	S	50,000	62.06	n/a	n/a	2,500.00	5.0
BROADARCH CAP/OLD NEWC	070	PG	B	1,400	63.53	n/a	22-Feb	56.00	4.0
MERRILL ASSET/BLACKROCK	214	PLCE	S	14,050	35.76	n/a	5-Feb	562.00	4.0
BENCHMARK	025	PMFG	B	5,000	15.97	n/a	n/a	200.00	4.0
SNYDER CAPITAL	033	PRXL	S	22,500	20.51	n/a	n/a	900.00	4.0
NEWLAND CAPITAL MGT	067	PTV	S	10,000	23.90	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	PX	S	1,000	75.90	n/a	18-Feb	50.00	5.0
PILOT ROCK	028	RL	B	33,452	80.51	n/a	4-Feb	1,338.08	4.0
BMO NESBITT BURNS	041	RRC	SS	2,000	50.09	n/a	24-Feb	200.00	10.0
FRIESS MGMT	033	SCHW	B	260,700	18.46	n/a	n/a	10,428.00	4.0
EXIS CAPITAL	044	SKS	B	20,000	7.06	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	10,000	39.25	n/a	23-Feb	400.00	4.0
COUGAR TRADING	044	TM	B	15,000	73.69	n/a	n/a	750.00	5.0
COUGAR TRADING	044	TM	SS	5,000	73.87	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	WDR	C	25,000	33.40	n/a	18-Feb	1,250.00	5.0
RBC CAPITAL MARKETS	040	WDR	B	30,000	33.23	n/a	18-Feb	1,200.00	4.0
GLENHILL CAPITAL	212	WFMI	B	50,000	34.64	n/a	n/a	2,500.00	5.0
EATON VANCE MGMT	039	WMT	B	50,000	53.91	n/a	18-Feb	1,500.00	3.0
EGS ASSOCIATES LP	091	WRC	B	3,000	41.82	n/a	28-Jan	180.00	6.0
MACKLOWE ASSET MGMT	041	XLP	B	100,000	27.10	n/a	n/a	4,000.00	4.0
TOTAL (Trade Date):								122,466.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/23	UNITED STATES PENSION (USXXUSE)	032	SPLS	S	325,000	25.47	n/a	n/a	13000.00 4.0
AO,CXL	02/23	UNITED STATES PENSION (USXXRETIRE)	032	SPLS	S	325,000	25.47	n/a	n/a	13000.00 4.0
AO,CRT	02/23	LISTED ERR (LISTED ERR)	99	TIN	S	4,700	18.72	n/a	9-Feb	0.00 0.0
CRT	02/24	COUGAR TRADING (COUGPB MS)	044	TM	B	15,000	73.69	n/a	n/a	750.00 5.0
AO,CXL	02/23	RK CAPTIAL MGMT (RKCAFIDELI)	045	WSM	B	85,000	21.32	n/a	n/a	4250.00 5.0
AO,CRT	02/23	RK CAPTIAL MGMT (RKCAMS)	045	WSM	B	85,000	21.32	n/a	n/a	4250.00 5.0
TOTAL (AO, CXL, CRT) :										750.00

TOTAL (Trade Date) :	122,466.71
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TOTAL (RUN DATE) / NFS :	123,216.71
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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