



## Daily Compliance Activity Report

Trade Date: 02/18/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	AAPL	S	50	201.89	n/a	n/a	1.50	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AAP</b>	<b>B</b>	<b>40,000</b>	<b>39.53</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
CENTURION PARTNERS	041	AMR	B	30,000	8.75	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	AWI	S	900	36.93	n/a	n/a	27.00	3.0
SANDLER O'NEILL ASSET	031	BLK	B	600	211.40	n/a	12-Feb	30.00	5.0
ROYCE TRADING	216	BZ	B	13,000	4.73	n/a	n/a	390.00	3.0
WAGONHOUND/NIC	048	CAKE	S	7,039	23.49	n/a	12-Feb	281.56	4.0
MTB INV ADV	034	CKEC	B	7,100	8.11	n/a	n/a	213.00	3.0
EPOCH INV MGMT	030	CMS	S	2,050	15.17	n/a	n/a	61.50	3.0
EPOCH INV MGMT	030	COL	S	450	54.58	n/a	1-Feb	13.50	3.0
EPOCH INV MGMT	030	CPO	S	800	33.19	n/a	n/a	24.00	3.0
EPOCH INV MGMT	030	CW	S	1,850	30.38	n/a	n/a	55.50	3.0
M&I FUNDS	047	DLTR	S	10,964	49.83	n/a	16-Feb	438.56	4.0
WAGONHOUND/NIC	048	DPZ	S	10,260	12.25	n/a	19-Jan	410.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	EMR	S	20,000	47.42	n/a	n/a	1,000.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.53	n/a	n/a	600.00	6.0
HARVEST MGMT	039	FL	B	20,000	12.74	n/a	3-Feb	1,000.00	5.0
PARTNER REINSURANCE	033	FL	B	29,550	12.73	n/a	3-Feb	1,182.00	4.0
CENTURION PARTNERS	041	F	B	50,000	11.40	n/a	3-Feb	2,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	GEF	B	1,400	50.04	n/a	n/a	56.00	4.0
MTB INV ADV	034	GIII	S	16,657	19.94	n/a	n/a	832.85	5.0
EPOCH INV MGMT	030	GPC	S	350	40.27	n/a	n/a	10.50	3.0
CRAMER ROSENTHAL/SCOTT	012	HPQ	B	1,500	50.69	n/a	n/a	60.00	4.0
RAMIUS CAP	040	HSC	B	92,000	30.61	n/a	1-Feb	3,680.00	4.0
COBALT	041	IBM	B	50,000	127.32	n/a	n/a	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IFF	B	1,600	42.16	n/a	18-Feb	64.00	4.0
DIAMONDBACK CAP MGMT	232	IR	B	20,000	33.35	n/a	16-Feb	1,000.00	5.0
EPOCH INV MGMT	030	ISBC	S	2,500	11.90	n/a	n/a	75.00	3.0
HUNTER GLOBAL INVESTOR	067	IWM	SS	30,000	62.52	n/a	n/a	900.00	3.0
SAXON WOODS ADVISORS	242	JNJ	B	493,200	64.38	n/a	n/a	14,796.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	JPM	S	100,000	40.28	n/a	13-Feb	5,000.00	5.0
EXIS CAPITAL	044	KSS	B	9,000	50.81	n/a	5-Feb	450.00	5.0
KENNEDY CAPITAL	046	LIZ	S	12,700	5.97	n/a	7-Oct	381.00	3.0
EXIS CAPITAL	044	LTD	B	20,000	21.24	n/a	n/a	1,000.00	5.0
KADE CAPITAL LLC	036	LVS	B	10,000	16.72	n/a	18-Feb	500.00	5.0
TRELLUS PARTNERS LP	028	LVS	B	50,000	15.95	n/a	18-Feb	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	MAN	B	1,400	53.40	n/a	n/a	56.00	4.0
EPOCH INV MGMT	030	MAS	S	900	13.89	n/a	n/a	27.00	3.0
EPOCH INV MGMT	030	MNRO	S	800	34.27	n/a	n/a	24.00	3.0
BASIX	033	MTW	S	28,000	12.33	n/a	5-Feb	840.00	3.0
EPOCH INV MGMT	030	NSR	S	1,550	23.41	n/a	n/a	46.50	3.0
COLUMBUS CIRCLE	036	NTAP	B	16,700	31.24	n/a	n/a	668.00	4.0
WADDELL AND REED	047	NTAP	B	287,800	31.47	n/a	n/a	8,634.00	3.0
CRAMER ROSENTHAL/SCOTT	012	OMC	B	1,700	36.85	n/a	n/a	68.00	4.0
CRAMER ROSENTHAL/SCOTT	012	PBR	B	2,500	41.94	n/a	n/a	100.00	4.0
CAXTON PART	040	RKT	B	18,461	39.95	n/a	n/a	646.15	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	RYL	S	1,450	23.37	n/a	n/a	43.50	3.0
EPOCH INV MGMT	030	SVR	S	2,950	16.58	n/a	n/a	88.50	3.0
BRIGADE CAPITAL MGMT	029	SVU	B	50,000	15.71	n/a	n/a	1,500.00	3.0
EPOCH INV MGMT	030	TCBI	S	1,500	16.78	n/a	n/a	45.00	3.0
EPOCH INV MGMT	030	THG	S	800	41.53	n/a	n/a	24.00	3.0
AVESTA CAP	229	TJX	B	50,000	39.05	n/a	5-Feb	1,500.00	3.0
ROTHSCHILD ASSET	040	TMP	S	5,901	36.11	n/a	n/a	236.04	4.0
HUNTER GLOBAL INVESTOR	067	TROW	S	40,000	49.40	n/a	12-Feb	1,600.00	4.0
COBALT	041	TYC	B	50,000	35.34	n/a	29-Jan	2,500.00	5.0
EXIS CAPITAL	044	UA	B	5,000	25.80	n/a	29-Jan	250.00	5.0
EPOCH INV MGMT	030	VR	S	1,750	26.77	n/a	n/a	52.50	3.0
EPOCH INV MGMT	030	WAB	S	900	38.61	n/a	n/a	27.00	3.0
DSG CAPITAL	225	WFT	B	25,000	15.55	n/a	n/a	750.00	3.0
RAMIUS CAP	040	WY	S	134,000	40.26	n/a	5-Feb	5,360.00	4.0
EXIS CAPITAL	044	ZQK	B	13,200	2.24	n/a	18-Dec	660.00	5.0

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**TOTAL (Trade Date):**

**70,080.06**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/17	MISSION POINT (MISPCSMAS)	048	CAT	S	16,875	57.75	n/a	28-Jan	843.75 5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	CAT	S	16,875	57.75	n/a	28-Jan	843.75 5.0
AO,CXL	02/17	CONIFER/ISF (CONIISFRIP)	025	IBM	B	1,500	126.01	n/a	n/a	60.00 4.0
AO,CRT	02/17	CONIFER/ISF (CONIISFRIP)	025	IBM	B	1,500	126.01	n/a	n/a	75.00 5.0
AO,CRT	02/17	MISSION POINT (MISPCSMAS)	048	LMT	B	13,025	75.70	n/a	2-Feb	651.25 5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	LMT	B	13,025	75.70	n/a	2-Feb	651.25 5.0
AO,CRT	02/17	MISSION POINT (MISPCSMAS)	048	NOC	S	16,325	59.53	n/a	5-Feb	816.25 5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	NOC	S	16,325	59.53	n/a	5-Feb	816.25 5.0
AO,	02/17	THIRD COAST CAPITAL (3CAPPBOA)	035	PAG	B	25,000	15.54	n/a	17-Feb	1250.00 5.0
AO,CRT	02/17	MISSION POINT (MISPCSMAS)	048	PCP	B	8,225	110.86	n/a	22-Jan	411.25 5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	PCP	B	8,225	110.86	n/a	22-Jan	411.25 5.0
AO,	02/17	LISTED ERR (LISTED ERR)	099	PVH	B	25,000	42.72	n/a	18-Feb	0.00 0.0
AO,CRT	02/17	MISSION POINT (MISPCSMAS)	048	TEN	B	26,275	20.47	n/a	n/a	1313.75 5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	TEN	B	26,275	20.47	n/a	n/a	1313.75 5.0
AO,	02/17	SEVE (SEVEGSBULK)	067	VRSN	S	8,000	24.05	n/a	n/a	240.00 3.0
AO,	02/17	SEVE (SEVEUBSPB)	067	VRSN	S	2,000	24.05	n/a	n/a	60.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,565.00</b>

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TOTAL (Trade Date):	70,080.06
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>71,645.06</b>
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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