



Daily Compliance Activity Report

Trade Date: 02/05/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CAPITAL/JOHN MAGUIE	039	AEO	S	6,500	15.72	n/a	5-Feb	227.50	3.5
BUCK CAPITAL MGMT	001	ANN	SS	30,000	14.40	n/a	n/a	1,200.00	4.0
ROYCE TRADING	216	APOL	S	1,900	59.48	n/a	n/a	95.00	5.0
SONTERRA CAP	041	ARG	B	25,000	61.00	n/a	5-Feb	1,000.00	4.0
WEISS PECK	040	AVP	C	2,660	29.35	n/a	5-Feb	133.00	5.0
ROSEDALE CAPITAL	046	AXL	B	20,000	8.59	n/a	4-Jan	800.00	4.0
TRELLUS PARTNERS LP	028	AXL	S	12,400	9.28	n/a	4-Jan	372.00	3.0
SAC CAPITAL/JOHN MAGUIE	039	BIG	B	3,000	29.54	n/a	1-Feb	105.00	3.5
SANDLER O'NEILL ASSET	031	BLK	S	5,000	206.47	n/a	3-Feb	250.00	5.0
METROPOLITAN CAPITAL	044	BWA	B	5,600	34.50	n/a	4-Jan	280.00	5.0
ROYCE TRADING	216	BZ	B	11,000	4.65	n/a	n/a	330.00	3.0
HIGHBRIDGE CAP	041	CCI	B	50,453	34.82	n/a	n/a	2,018.12	4.0
PNC CAPITAL ADV	028	CMI	B	57,128	49.71	n/a	3-Feb	2,290.89	4.3
1798 CAPITAL MGMT	040	COH	SS	10,000	33.18	n/a	21-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	COH	B	40,000	33.77	n/a	21-Jan	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	CSCO	B	254,312	23.41	n/a	n/a	10,172.48	4.0
TRELLUS PARTNERS LP	028	DAN	B	46,400	9.58	n/a	6-Jan	1,392.00	3.0
CATAPULT	040	DD	B	15,000	32.80	n/a	26-Jan	0.00	0.0
CAERUS GLOBAL	041	DG	B	10,000	21.94	n/a	1-Feb	300.00	3.0
SOUTH POINT CAP	067	EEM	B	100,000	36.89	n/a	n/a	5,000.00	5.0
WHALE ROCK CAP	030	EFII	S	17,262	11.28	n/a	n/a	690.48	4.0
CRAMER ROSENTHAL/SCOTT	012	EMR	C	5,000	45.06	n/a	n/a	200.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.47	n/a	n/a	600.00	6.0
CUMBERLAND	239	FNF	SS	10,000	13.26	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	F	SS	50,000	10.70	n/a	3-Feb	2,500.00	5.0
TRELLUS PARTNERS LP	028	F	B	100,000	10.62	n/a	3-Feb	5,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	21.63	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	38.45	n/a	5-Feb	400.00	4.0
MILLENIUM PARTNERS	028	GE	B	50,000	15.42	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	20,000	21.73	n/a	28-Jan	800.00	4.0
COLUMBIA PARTNERS	028	GNTX	SS	56,628	18.86	n/a	29-Jan	2,265.12	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GPS	B	70,000	19.83	n/a	n/a	2,800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	HBI	S	150,000	21.42	n/a	n/a	4,500.00	3.0
SCOPUS FUND	041	HBI	B	47,800	21.50	n/a	n/a	2,390.00	5.0
SAXON WOODS ADVISORS	242	HES	S	61,000	56.59	n/a	n/a	2,440.00	4.0
WHALE ROCK CAP	030	HPQ	B	61,467	47.31	n/a	n/a	2,458.68	4.0
KENNEDY CAPITAL	046	HWKN	B	20,579	19.78	n/a	n/a	823.16	4.0
PNC CAPITAL ADV	028	INTC	B	142,263	19.28	n/a	n/a	5,690.52	4.0
BUCK CAPITAL MGMT	001	IR	B	10,000	32.39	n/a	4-Jan	400.00	4.0
HARBORWATCH/DIAMBACK	232	ITW	S	20,000	42.02	n/a	28-Jan	1,000.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	25,000	18.50	n/a	3-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	50,000	14.66	n/a	29-Jan	2,000.00	4.0
EXIS CAPITAL	044	JNY	S	20,000	14.50	n/a	29-Jan	1,000.00	5.0
MERRILL ASSET/BLACKROCK	214	JNY	B	34,500	14.62	n/a	29-Jan	1,380.00	4.0
TRUSTCO/SUNTRUST	040	JNY	B	63,800	14.52	n/a	29-Jan	2,488.20	3.9
BUCK CAPITAL MGMT	001	JWN	B	1,500	34.08	n/a	5-Feb	60.00	4.0
HUNTER GLOBAL INVESTOR	067	JWN	SS	100,000	33.64	n/a	5-Feb	5,000.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	KR	SS	10,000	21.07	n/a	n/a	350.00	3.5
BUCK CAPITAL MGMT	001	KSS	B	30,000	49.26	n/a	5-Feb	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAPITAL MGMT	040	LOW	B	15,000	21.53	n/a	16-Nov	750.00	5.0
HUNTER GLOBAL INVESTOR	067	MAN	SS	100,000	51.22	n/a	n/a	5,000.00	5.0
RBC CAPITAL MARKETS	040	MCD	B	5,000	63.89	n/a	22-Jan	200.00	4.0
MERRILL ASSET/BLACKROCK	214	MDC	B	23,300	33.97	n/a	n/a	932.00	4.0
BASIX	033	MTW	B	17,000	10.67	n/a	5-Feb	510.00	3.0
BUCK CAPITAL MGMT	001	M	B	20,000	16.45	n/a	5-Feb	800.00	4.0
EXIS CAPITAL	044	M	B	20,000	15.87	n/a	5-Feb	1,000.00	5.0
EXIS CAPITAL	044	M	S	20,000	16.14	n/a	5-Feb	1,000.00	5.0
FIRST NY SEC/CHRIS	041	M	B	10,000	16.40	n/a	5-Feb	500.00	5.0
RBC CAPITAL MARKETS	040	M	B	10,000	15.97	n/a	5-Feb	400.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	M	B	4,300	15.89	n/a	5-Feb	150.50	3.5
SLS CAPITAL LLC	224	M	B	75,500	16.47	n/a	5-Feb	3,020.00	4.0
ROTHSCHILD ASSET	040	NEU	S	11,950	84.20	n/a	n/a	478.00	4.0
TYEE/TYGH	035	OMX	B	50,000	13.33	n/a	n/a	2,000.00	4.0
WHALE ROCK CAP	030	ORCL	B	246,820	23.53	n/a	n/a	9,872.80	4.0
MERRILL ASSET/BLACKROCK	214	PAG	B	39,000	14.38	n/a	22-Jan	1,560.00	4.0
CASTLEROCK	040	PBI	B	108,737	22.50	n/a	n/a	4.00	0.0
LEVIN CAPITAL STRATEGIES	012	PBI	S	100,000	22.50	n/a	n/a	4,000.00	4.0
GABELLI FUNDS	040	PFWD	B	1,200	10.97	n/a	n/a	60.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	PIR	B	20,000	4.80	n/a	n/a	600.00	3.0
MERRILL ASSET/BLACKROCK	214	PLCE	S	150	35.75	n/a	5-Feb	6.00	4.0
PROSPECTOR PARTNERS LLC	036	PPS	S	20,000	18.26	n/a	n/a	800.00	4.0
HOLLIS CAPITAL	033	RIG	SS	6,000	81.41	n/a	n/a	300.00	5.0
PARTNER REINSURANCE	033	RSH	B	19,350	18.91	n/a	n/a	774.00	4.0
GRISANTI BROWN & PARTNER	048	SPR	S	8,200	17.35	n/a	5-Feb	410.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	SWY	SS	10,000	21.87	n/a	n/a	350.00	3.5
SAC CAPITAL/JOHN MAGUIE	039	TGT	B	1,700	48.63	n/a	4-Feb	59.50	3.5
SCOPUS FUND	041	TIN	S	40,000	16.44	n/a	4-Feb	2,000.00	5.0
COUGAR TRADING	044	TM	B	22,500	73.50	n/a	n/a	1,125.00	5.0
COUGAR TRADING	044	TM	SS	5,000	72.29	n/a	n/a	250.00	5.0
PENNANT CAP MGMT	029	TROW	B	420,000	48.31	n/a	3-Feb	12,600.00	3.0
ROYCE TRADING	216	UUP	B	800	23.62	n/a	n/a	40.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	VFC	B	400	70.68	n/a	28-Jan	14.00	3.5
ROARING BLUE LION MGMT	012	WBC	S	10,800	25.58	n/a	4-Feb	432.00	4.0
SOUTH POINT CAP	067	WLP	S	75,000	61.64	n/a	n/a	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	WRC	B	55,631	38.20	n/a	28-Jan	1,668.93	3.0
BUCK CAPITAL MGMT	001	WY	B	10,000	38.79	n/a	5-Feb	400.00	4.0
COHE & STEERS	091	WY	B	37,000	39.13	n/a	5-Feb	1,480.00	4.0
CASTLE ARK	031	XTO	S	104,860	44.47	n/a	n/a	6,291.60	6.0
TOTAL (Trade Date):								146,140.48	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/04	STELLIAM INV ADV (STLLGSBULK)	034	CRR	B	25,000	63.09	n/a	4-Feb	1250.00 5.0
AO,CXL	02/04	STELLIAM INV ADV (STLLMSEXEC)	034	CRR	B	25,000	63.09	n/a	4-Feb	1250.00 5.0
AO,CXL	02/02	RAINIER INV MGMT (RAINAAARET)	035	MDRX	B	400	17.49	n/a	n/a	16.00 4.0
AO,CRT	02/02	RAINIER INV MGMT (RAINAAARET)	035	MDRX	B	2,390	17.49	n/a	n/a	95.60 4.0
AO,CXL	02/02	RAINIER INV MGMT (RAINABXAIR)	035	MDRX	B	2,390	17.49	n/a	n/a	95.60 4.0
AO,CRT	02/02	RAINIER INV MGMT (RAINABXAIR)	035	MDRX	B	400	17.49	n/a	n/a	16.00 4.0
CRT	02/05	COUGAR TRADING (COUGPB MS)	044	TM	B	22,500	73.50	n/a	n/a	1125.00 5.0
AO,CXL	02/04	MILLENIUM KOZLOW (MILKKOZLO)	028	WFMI	SS	5,000	27.62	n/a	n/a	200.00 4.0
AO,CRT	02/04	MILLRACE FUND LP (MILRGS)	028	WFMI	SS	5,000	27.62	n/a	n/a	200.00 4.0

TOTAL (AO, CXL, CRT) :	1,125.00
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TOTAL (Trade Date):	146,140.48
TOTAL (AO, CXL, CRT):	1,125.00

TOTAL (RUN DATE) / NFS:	147,265.48
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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