

Daily Compliance Activity Report Trade Date: 01/04/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
FORWARD MGMT	033	AA	В	4,130	16.65	n/a	n/a	206.50	5.0	
FORWARD MGMT	033	AEM	S	3,350	56.21	n/a	n/a	167.50	5.0	
SCHOTTENFELD ASSOC	041	AEO	В	50,000	17.25	n/a	4-Jan	1,500.00	3.0	
ROARING BLUE LION MGMT	012	AMG	В	3,600	68.70	n/a	4-Jan	144.00	4.0	
EXIS CAPITAL	044	ANF	В	5,000	35.08	n/a	4-Dec	250.00	5.0	
ARCHON CAPITAL	035	ANGO	S	5,000	16.25	n/a	n/a	150.00	3.0	
FORWARD MGMT	033	AUY	S	10,150	11.79	n/a	n/a	507.50	5.0	
GLOBAL 56 LLC	060	AXL	S	2,500	8.69	n/a	4-Jan	125.00	5.0	
NEW JERSEY DIV OF INV.	030	BKE	S	20,000	29.69	n/a	n/a	800.00	4.0	
VISIUM/BALY BOBBY	044	BKE	SS	17,500	29.66	n/a	n/a	875.00	5.0	
DALTON GREINER	012	CAKE	S	65 , 000	21.76	n/a	4-Jan	3,250.00	5.0	
UBS OCONNOR	031	COWN	S	39,008	5.94	n/a	n/a	1,170.24	3.0	
FORWARD MGMT	033	С	S	17,700	3.40	n/a	4-Jan	885.00	5.0	
NEW JERSEY DIV OF INV.	030	DAL	S	50,000	11.11	n/a	n/a	2,000.00	4.0	
BALYASNY ASSET MGMT	044	DBRN	S	20,000	23.84	n/a	n/a	1,000.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
WAGONHOUND/NIC	048	DPZ	В	29,435	8.63	n/a	4-Jan	883.05	3.0	
FORWARD MGMT	033	DVN	В	1,490	76.57	n/a	4-Jan	74.50	5.0	
NEW JERSEY DIV OF INV.	030	ECL	S	20,000	45.11	n/a	4-Jan	800.00	4.0	
FORWARD MGMT	033	EP	S	14,330	10.32	n/a	n/a	716.50	5.0	
FIRST NEW YORK LEDDY	035	ETFC	В	10,000	1.84	n/a	n/a	600.00	6.0	
POINT BLANK CAPITAL	028	EXH	В	3,000	22.55	n/a	4-Jan	150.00	5.0	
FORWARD MGMT	033	FCX	S	3,375	83.46	n/a	n/a	168.75	5.0	
CONIFER/ISF	025	FL	В	3,500	11.24	n/a	4-Jan	175.00	5.0	
FORWARD MGMT	033	F	В	10,300	10.28	n/a	4-Jan	515.00	5.0	
TRELLUS PARTNERS LP	028	F	В	100,000	10.07	n/a	4-Jan	5,000.00	5.0	
WAGONHOUND/NIC	048	GFA	В	6,039	32.95	n/a	n/a	241.56	4.0	
FORWARD MGMT	033	GLW	В	3,450	19.56	n/a	4-Jan	172.50	5.0	
BUCK CAPITAL MGMT	001	GPS	В	28,000	20.66	n/a	n/a	1,120.00	4.0	
FORWARD MGMT	033	GPS	S	7,900	20.54	n/a	n/a	395.00	5.0	
COBALT	041	GT	В	100,000	14.52	n/a	n/a	5,000.00	5.0	
FORWARD MGMT	033	HPQ	В	1,950	52.45	n/a	n/a	97.50	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
ROSEDALE CAPITAL	046	INTC	S	20,000	20.92	n/a	n/a	1,000.00	5.0
FORWARD MGMT	033	JCP	S	2,560	27.16	n/a	4-Dec	128.00	5.0
BUCK CAPITAL MGMT	001	KSS	В	20,000	54.25	n/a	4-Jan	800.00	4.0
NEW JERSEY DIV OF INV.	030	KSU	S	30,000	33.64	n/a	n/a	1,200.00	4.0
FORWARD MGMT	033	LLL	В	1,150	87.97	n/a	n/a	57.50	5.0
BUCK CAPITAL MGMT	001	LL	S	10,000	25.73	n/a	n/a	400.00	4.0
NEWLAND CAPITAL MGT	067	LSTR	S	10,000	39.56	n/a	n/a	400.00	4.0
SAC TRADIN/BINDER	044	LVS	В	60,000	16.00	n/a	4-Jan	2,100.00	3.5
FORWARD MGMT	033	MDT	В	2,300	43.90	n/a	n/a	115.00	5.0
COUGAR TRADING	044	M	S	25,000	17.28	n/a	4-Jan	1,250.00	5.0
THE JAY GOLDMAN	028	М	SS	70,000	17.23	n/a	4-Jan	2,800.00	4.0
CATAPULT	040	NITE	SS	25 , 000	15.59	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	NVR	S	273	700.02	n/a	n/a	10.92	4.0
FORWARD MGMT	033	OMC	S	11,400	39.62	n/a	n/a	570.00	5.0
FORWARD MGMT	033	ORCL	В	4,115	24.85	n/a	n/a	205.75	5.0
NEUBERGER BERMAN	036	PETS	В	21,600	17.82	n/a	n/a	864.00	4.0
	ROSEDALE CAPITAL FORWARD MGMT BUCK CAPITAL MGMT NEW JERSEY DIV OF INV. FORWARD MGMT BUCK CAPITAL MGMT NEWLAND CAPITAL MGT SAC TRADIN/BINDER FORWARD MGMT COUGAR TRADING THE JAY GOLDMAN CATAPULT WAGONHOUND/NIC FORWARD MGMT FORWARD MGMT	ROSEDALE CAPITAL 046 FORWARD MGMT 033 BUCK CAPITAL MGMT 001 NEW JERSEY DIV OF INV. 030 FORWARD MGMT 033 BUCK CAPITAL MGMT 001 NEWLAND CAPITAL MGT 067 SAC TRADIN/BINDER 044 FORWARD MGMT 033 COUGAR TRADING 044 THE JAY GOLDMAN 028 CATAPULT 040 WAGONHOUND/NIC 048 FORWARD MGMT 033 FORWARD MGMT 033	ROSEDALE CAPITAL 046 INTC FORWARD MGMT 033 JCP BUCK CAPITAL MGMT 001 KSS NEW JERSEY DIV OF INV. 030 KSU FORWARD MGMT 033 LLL BUCK CAPITAL MGMT 001 LL NEWLAND CAPITAL MGT 067 LSTR SAC TRADIN/BINDER 044 LVS FORWARD MGMT 033 MDT COUGAR TRADING 044 M THE JAY GOLDMAN 028 M CATAPULT 040 NITE WAGONHOUND/NIC 048 NVR FORWARD MGMT 033 OMC FORWARD MGMT 033 ORCL	ROSEDALE CAPITAL 046 INTC S FORWARD MGMT 033 JCP S BUCK CAPITAL MGMT 001 KSS B NEW JERSEY DIV OF INV. 030 KSU S FORWARD MGMT 033 LLL B BUCK CAPITAL MGMT 001 LL S NEWLAND CAPITAL MGT 067 LSTR S SAC TRADIN/BINDER 044 LVS B FORWARD MGMT 033 MDT B COUGAR TRADING 044 M S THE JAY GOLDMAN 028 M SS CATAPULT 040 NITE SS WAGONHOUND/NIC 048 NVR S FORWARD MGMT 033 OMC S FORWARD MGMT 033 OMC S	ROSEDALE CAPITAL 046 INTC S 20,000 FORWARD MGMT 033 JCP S 2,560 BUCK CAPITAL MGMT 001 KSS B 20,000 NEW JERSEY DIV OF INV. 030 KSU S 30,000 FORWARD MGMT 033 LLL B 1,150 BUCK CAPITAL MGMT 001 LL S 10,000 NEWLAND CAPITAL MGT 067 LSTR S 10,000 SAC TRADIN/BINDER 044 LVS B 60,000 FORWARD MGMT 033 MDT B 2,300 COUGAR TRADING 044 M S 25,000 THE JAY GOLDMAN 028 M SS 70,000 CATAPULT 040 NITE SS 25,000 WAGONHOUND/NIC 048 NVR S 273 FORWARD MGMT 033 OMC S 11,400 FORWARD MGMT 033 ORCL B 4,115 <	FORWARD MGMT 033 JCP S 20,000 20.92 BUCK CAPITAL MGMT 001 KSS B 20,000 54.25 NEW JERSEY DIV OF INV. 030 KSU S 30,000 33.64 FORWARD MGMT 033 LLL B 1,150 87.97 BUCK CAPITAL MGMT 001 LL S 10,000 25.73 NEWLAND CAPITAL MGMT 067 LSTR S 10,000 39.56 SAC TRADIN/BINDER 044 LVS B 60,000 16.00 FORWARD MGMT 033 MDT B 2,300 43.90 COUGAR TRADING 044 M S 25,000 17.28 THE JAY GOLDMAN 028 M SS 70,000 17.23 CATAPULT 040 NITE SS 25,000 15.59 WAGONHOUND/NIC 048 NVR S 273 700.02 FORWARD MGMT 033 OMC S 11,400 39.62 FORWARD MGMT 033 OMC S 11,400 39.62	ROSEDALE CAPITAL 046 INTC S 20,000 20.92 n/a FORWARD MGMT 033 JCP S 2,560 27.16 n/a BUCK CAPITAL MGMT 001 KSS B 20,000 54.25 n/a NEW JERSEY DIV OF INV. 030 KSU S 30,000 33.64 n/a FORWARD MGMT 033 LLL B 1,150 87.97 n/a BUCK CAPITAL MGMT 001 LL S 10,000 25.73 n/a NEW LAND CAPITAL MGMT 067 LSTR S 10,000 39.56 n/a SAC TRADIN/BINDER 044 LVS B 60,000 16.00 n/a FORWARD MGMT 033 MDT B 2,300 43.90 n/a COUGAR TRADING 044 M S 25,000 17.28 n/a THE JAY GOLDMAN 028 M SS 70,000 17.23 n/a CATAPULT 040 NITE SS 25,000 17.23 n/a WAGONHOUND/NIC 048 NVR S 273 700.02 n/a FORWARD MGMT 033 OMC S 11,400 39.62 n/a FORWARD MGMT 033 OMC B 4,115 24.85 n/a	ROSEDALE CAPITAL 046 INTC S 20,000 20.92	ROSEDALE CAPITAL 046 INTC S 20,000 20.92 n/a n/a 1,000.00 FORWARD MGMT 033 JCP S 2,560 27.16 n/a 4-Dec 128.00 BUCK CAPITAL MGMT 001 KSS B 20,000 54.25 n/a 4-Jan 800.00 NEW JERSEY DIV OF INV. 030 KSU S 30,000 33.64 n/a n/a 1,200.00 FORWARD MGMT 033 LLL B 1,150 87.97 n/a n/a 57.50 BUCK CAPITAL MGMT 001 LL S 10,000 25.73 n/a n/a 400.00 NEWLAND CAPITAL MGT 067 LSTR S 10,000 39.56 n/a n/a 400.00 SAC TRADIN/BINDER 044 LVS B 60,000 16.00 n/a n/a 115.00 COUGAR TRADING 044 M S 25,000 17.28 n/a n/a 1,250.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORWARD MGMT	033	QCOM	В	2 , 175	46.94	n/a	n/a	108.75 5.0	
THE JAY GOLDMAN	028	TGT	В	50,000	48.60	n/a	4-Jan	2,000.00 4.0	
BUCK CAPITAL MGMT	001	TJX	В	80,000	36.28	n/a	4-Jan	3,200.00 4.0	
FORWARD MGMT	033	UNH	В	2,280	31.53	n/a	n/a	114.00 5.0	
ROARING BLUE LION MGMT	012	WBC	В	6,000	26.26	n/a	4-Jan	240.00 4.0	
FORWARD MGMT	033	WDC	S	2 , 065	45.26	n/a	n/a	103.25 5.0	
HIGHBRIDGE CAP	041	WMT	S	100,000	54.20	n/a	4-Jan	4,000.00 4.0	
LEVEL GLOBAL SHARED ACCT	257	WRC	В	71,400	42.76	n/a	4-Jan	2,142.00 3.0	
ARCHON CAPITAL	035	ZIXI	В	23,400	1.75	n/a	n/a	702.00 3.0	

TOTAL (Trade Date): 54,901.27

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	12/31	CLOVIS CAPITAL (CLOVGOLDMA)	012	CAT	SS	75,000	57.27	n/a	21-Oct	3000.00	4.0
AO,CRT	12/31	CLOVIS CAPITAL (CLOVGOLDMA)	012	CAT	SS	75,000	57.27	n/a	21-Oct	3750.00	5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTMERR)	067	DVY	В	500	44.57	n/a	n/a	25.00	5.0
AO, CRT	12/29	PATTEN & PATTEN (PATTSCHWAB)	067	DVY	В	500	44.57	n/a	n/a	25.00	5.0
AO,CXL	12/29	JANA CAPITAL (JANAGOLDMA)	044	HPT	В	4,500	23.90	n/a	n/a	180.00	4.0
AO,	12/29	JANA CAPITAL (JANAABN AM)	044	HPT	В	4,500	23.90	n/a	n/a	180.00	4.0

TOTAL (RUN DATE) / NFS:	55,651.27
TOTAL (AO, CXL, CRT):	750.00
TOTAL (Trade Date):	54,901.27

Legend:

O: 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