

Daily Compliance Activity Report Trade Date: 03/23/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	AMR	S	75 , 000	8.82	n/a	n/a	2,250.00 3.0	
CATAPULT	040	AN	В	50,000	19.56	n/a	12-Feb	2,000.00 4.0	
GLOBAL 56 LLC	060	ARM	S	3,000	13.26	n/a	n/a	150.00 5.0	
SCOPUS FUND	041	AXL	S	75 , 000	11.14	n/a	8-Feb	3,750.00 5.0	
AVESTA CAP	229	BAC	S	300,000	17.00	n/a	15-Mar	9,000.00 3.0	
CASTLEROCK	040	BEC	SS	42,615	64.49	n/a	n/a	1,704.60 4.0	
GREEN ARROW DOUG	040	BKC	В	25,000	20.53	n/a	9-Mar	1,250.00 5.0	
SOLARIS INV MGMT	029	BTI	S	30,000	67.83	n/a	n/a	1,500.00 5.0	
SUN AMERICA ASSET MGMT	030	BWLD	В	1,862	49.31	n/a	n/a	74.48 4.0	
TROUBH PART	067	DAI	В	10,000	46.80	n/a	n/a	500.00 5.0	
LAGRANGE CAP ADV	048	DELL	S	31,200	15.08	n/a	n/a	1,560.00 5.0	
SUN AMERICA ASSET MGMT	030	DF	В	2,720	15.68	n/a	n/a	108.80 4.0	
FIRST NEW YORK LEDDY	035	ETFC	В	10,000	1.59	n/a	n/a	600.00 6.0	
BARROW HANLEY MEWHINNEY	031	ETR	S	17,200	80.07	n/a	n/a	602.00 3.5	

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.	
BROADARCH CAP/OLD NEWC	070	GD	S	1,600	76.54	n/a	2-Feb	64.00	4.0	
M&I FUNDS	047	GES	В	7,346	47.95	n/a	18-Mar	293.84	4.0	
YORK CAPITAL	036	GE	S	329 , 099	18.35	n/a	n/a	11,518.47	3.5	
CAERUS GLOBAL	041	GIL	В	25,000	26.46	n/a	22-Mar	1,000.00	4.0	
SAC COHEN	044	GME	В	25,000	22.17	n/a	n/a	875.00	3.5	
EXIS CAPITAL	044	HWD	В	10,000	9.90	n/a	n/a	500.00	5.0	
SOLARIS INV MGMT	029	IGT	В	50,000	17.91	n/a	9-Feb	2,500.00	5.0	
BARROW HANLEY MEWHINNEY	031	INTC	В	399,300	22.69	n/a	n/a	13,975.50	3.5	
T. ROWE PRICE	033	JCG	S	63,800	45.71	n/a	n/a	2,552.00	4.0	
ADAGE CAPITAL MGMT	030	JCP	В	234,102	33.02	n/a	5-Mar	7,023.06	3.0	
SAC COHEN	044	JCP	S	150,000	33.60	n/a	5-Mar	5,250.00	3.5	
RAIL-SPLITTER	031	JNS	В	50,400	14.11	n/a	n/a	2,520.00	5.0	
EXIS CAPITAL	044	JNY	В	5,000	18.35	n/a	10-Feb	250.00	5.0	
BNP PARIBAS SEC	040	KFT	В	10,000	30.59	n/a	n/a	400.00	4.0	
M&I FUNDS	047	LAZ	S	47,903	36.16	n/a	9-Mar	1,916.12	4.0	
SCOPUS FUND	041	LIZ	S	14,000	7.15	n/a	7-0ct	700.00	5.0	

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
CAERUS GLOBAL	041	LOW	S	25,000	24.56	n/a	22-Feb	1,000.00	4.0	
SUN AMERICA ASSET MGMT	030	LSTZA	В	1,701	51.35	n/a	n/a	68.04	4.0	
BUCK CAPITAL MGMT	001	LTD	В	20,000	25.07	n/a	n/a	800.00	4.0	
BROADARCH CAP/OLD NEWC	070	LVS	В	2,200	21.58	n/a	23-Mar	88.00	4.0	
CAERUS GLOBAL	041	LVS	S	10,000	20.96	n/a	23-Mar	400.00	4.0	
BROADARCH CAP/OLD NEWC	070	MGM	S	1,500	12.74	n/a	12-Mar	60.00	4.0	
T. ROWE PRICE	033	MON	В	456,100	72.51	n/a	26-Feb	13,683.00	3.0	
EXIS CAPITAL	044	М	В	20,000	21.51	n/a	5-Mar	1,000.00	5.0	
SAC COHEN	044	М	В	275 , 000	21.86	n/a	5-Mar	9,625.00	3.5	
T. ROWE PRICE	033	NSM	S	27,500	14.97	n/a	n/a	1,100.00	4.0	
COLUMBUS CIRCLE	036	NUS	В	5,400	29.00	n/a	n/a	216.00	4.0	
PHILADELPHIA FINANCIAL	033	PAG	SS	30,000	15.42	n/a	23-Mar	1,200.00	4.0	
SCOPUS FUND	041	PIR	S	20,000	6.81	n/a	n/a	1,000.00	5.0	
SCOPUS FUND	041	PVH	В	10,000	55.99	n/a	23-Mar	500.00	5.0	
SYSTEMATIC FINANCIAL MGT	035	PVH	S	140,500	56.06	n/a	23-Mar	4,215.00	3.0	
FIRST NEW YORK NICK	029	Q	S	10,000	5.36	n/a	n/a	500.00	5.0	
CHILTON CAPITAL MGMT.	036	RHI	S	60 , 799	31.34	n/a	n/a	1,823.97	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
KLEINHEINZ CAP PART	031	RL	В	30,000	85.00	n/a	23-Mar	1,500.00	5.0
EGS ASSOCIATES LP	091	SAH	В	10,000	12.54	n/a	n/a	600.00	6.0
PROSPECTOR PARTNERS LLC	036	SJT	S	10,000	20.41	n/a	n/a	400.00	4.0
SCOPUS FUND	041	SKX	В	13,500	35.19	n/a	n/a	675.00	5.0
CATAPULT	040	SPLS	SS	25,000	23.93	n/a	n/a	1,000.00	4.0
MILLENIUM PARTNERS	028	SWY	SS	40,000	24.12	n/a	n/a	1,600.00	4.0
DAVIDSON KEMPNER ADVISOR	040	TGI	В	10,000	68.94	n/a	n/a	500.00	5.0
CAERUS GLOBAL	041	TIF	S	10,000	47.62	n/a	n/a	400.00	4.0
COBALT	041	TIN	В	47,000	21.60	n/a	9-Feb	2,350.00	5.0
PHILADELPHIA FINANCIAL	033	TRAD	S	30,000	6.96	n/a	n/a	1,200.00	4.0
SONTERRA CAP	041	TRN	SS	20,000	20.45	n/a	n/a	800.00	4.0
STELLIAM INV ADV	034	UNH	В	15,000	33.21	n/a	n/a	750.00	5.0
GRANAHAN INV	039	WDR	В	35,200	36.17	n/a	2-Mar	1,408.00	4.0
MAIRS AND POWER INV	030	WFC	S	20,000	30.45	n/a	9-Mar	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	XEC	S	10,000	59.07	n/a	n/a	400.00	4.0
	EGS ASSOCIATES LP PROSPECTOR PARTNERS LLC SCOPUS FUND CATAPULT MILLENIUM PARTNERS DAVIDSON KEMPNER ADVISOR CAERUS GLOBAL COBALT PHILADELPHIA FINANCIAL SONTERRA CAP STELLIAM INV ADV GRANAHAN INV MAIRS AND POWER INV	EGS ASSOCIATES LP PROSPECTOR PARTNERS LLC O36 SCOPUS FUND O41 CATAPULT O40 MILLENIUM PARTNERS O28 DAVIDSON KEMPNER ADVISOR CAERUS GLOBAL COBALT O41 PHILADELPHIA FINANCIAL SONTERRA CAP O41 STELLIAM INV ADV O39 MAIRS AND POWER INV O30	RLEINHEINZ CAP PART 031 RL EGS ASSOCIATES LP 091 SAH PROSPECTOR PARTNERS LLC 036 SJT SCOPUS FUND 041 SKX CATAPULT 040 SPLS MILLENIUM PARTNERS 028 SWY DAVIDSON KEMPNER ADVISOR 040 TGI CAERUS GLOBAL 041 TIF COBALT 041 TIN PHILADELPHIA FINANCIAL 033 TRAD SONTERRA CAP 041 TRN STELLIAM INV ADV 034 UNH GRANAHAN INV 039 WDR MAIRS AND POWER INV 030 WFC	EGS ASSOCIATES LP PROSPECTOR PARTNERS LLC O36 SJT S SCOPUS FUND O41 SKX B CATAPULT O40 SPLS SS MILLENIUM PARTNERS O28 SWY SS DAVIDSON KEMPNER ADVISOR O41 TIF S COBALT O41 TIN B PHILADELPHIA FINANCIAL O33 TRAD S SONTERRA CAP O41 TRN SS STELLIAM INV ADV O34 UNH B MAIRS AND POWER INV O30 WFC S	EGS ASSOCIATES LP 091 SAH B 10,000 PROSPECTOR PARTNERS LLC 036 SJT S 10,000 SCOPUS FUND 041 SKX B 13,500 CATAPULT 040 SPLS SS 25,000 MILLENIUM PARTNERS 028 SWY SS 40,000 DAVIDSON KEMPNER ADVISOR 040 TGI B 10,000 CAERUS GLOBAL 041 TIF S 10,000 COBALT 041 TIN B 47,000 PHILADELPHIA FINANCIAL 033 TRAD S 30,000 SONTERRA CAP 041 TRN SS 20,000 STELLIAM INV ADV 034 UNH B 15,000 GRANAHAN INV 039 WDR B 35,200 MAIRS AND POWER INV 030 WFC S 20,000	EGS ASSOCIATES LP 091 SAH B 10,000 12.54 PROSPECTOR PARTNERS LLC 036 SJT S 10,000 20.41 SCOPUS FUND 041 SKX B 13,500 35.19 CATAPULT 040 SPLS SS 25,000 23.93 MILLENIUM PARTNERS 028 SWY SS 40,000 24.12 DAVIDSON KEMPNER ADVISOR 040 TGI B 10,000 68.94 CAERUS GLOBAL 041 TIF S 10,000 47.62 COBALT 041 TIN B 47,000 21.60 PHILADELPHIA FINANCIAL 033 TRAD S SONTERRA CAP 041 TRN SS 20,000 20.45 STELLIAM INV ADV 034 UNH B 15,000 33.21 GRANAHAN INV 039 WDR B 35,200 36.17 MAIRS AND POWER INV 030 WFC S 20,000 30.45	EGS ASSOCIATES LP 091 SAH B 10,000 12.54 n/a PROSPECTOR PARTNERS LLC 036 SJT S 10,000 20.41 n/a SCOPUS FUND 041 SKX B 13,500 35.19 n/a CATAPULT 040 SPLS SS 25,000 23.93 n/a MILLENIUM PARTNERS 028 SWY SS 40,000 24.12 n/a DAVIDSON KEMPNER ADVISOR 040 TGI B 10,000 68.94 n/a CAERUS GLOBAL 041 TIF S 10,000 47.62 n/a COBALT 041 TIN B 47,000 21.60 n/a SONTERRA CAP 041 TRN SS 20,000 20.45 n/a STELLIAM INV ADV 034 UNH B 15,000 33.21 n/a MAIRS AND POWER INV 030 WFC S 20,000 30.45 n/a	REGINEEINZ CAF PART 031 RL B 30,000 85.00 n/a 23-Mar	RLEINHEINZ CAP PART 031 RL B 30,000 85.00 n/a 23-Mar 1,500.00 EGS ASSOCIATES LP 091 SAH B 10,000 12.54 n/a n/a 660.00 PROSPECTOR PARTNERS LLC 036 SJT S 10,000 20.41 n/a n/a 400.00 SCOPUS FUND 041 SKX B 13,500 35.19 n/a n/a 675.00 CATAPULT 040 SPLS SS 25,000 23.93 n/a n/a n/a 1,600.00 MILLENIUM PARTNERS 028 SWY SS 40,000 24.12 n/a n/a 1,600.00 DAVIDSON KEMPNER ADVISOR 040 TGT B 10,000 68.94 n/a n/a 500.00 CAERUS GLOBAL 041 TIN B 47,000 21.60 n/a 9-Feb 2,350.00 FHILADELPHIA FINANCIAL 033 TRAD S 30,000 6.96 n/a n/a 1,200.00 SONTERRA CAP 041 TRN SS 20,000 20.45 n/a n/a 800.00 STELLIAM INV ADV 034 UNH B 15,000 33.21 n/a n/a 750.00 GRANAHAN INV 039 NDR B 35,200 36.17 n/a 9-Mar 1,000.00 MATES AND POWER INV 030 NFC S 20,000 30.45 n/a 9-Mar 1,000.00

TOTAL (Trade Date): 128,249.88

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	03/22	FINDLAY PARK PART (FINDAMERSC)	259	BK	В	15,734	30.50	n/a	9-Mar	786.70	5.0
AO,	03/22	FINDLAY PARK PART (FINDAMERSC)	259	BK	В	19,842	30.50	n/a	9-Mar	992.10	5.0
AO,CXL	03/22	FINDLAY PARK PART (FINDRITAC)	259	BK	В	4,438	30.50	n/a	9-Mar	221.90	5.0
AO,	03/22	FINDLAY PARK PART (FINDRITAC)	259	BK	В	330	30.50	n/a	9-Mar	16.50	5.0
CRT	03/23	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	LVS	В	2,200	21.58	n/a	23-Mar	88.00	4.0
CRT	03/23	EGS ASSOCIATES LP (EGASBANC O)	091	SAH	В	10,000	12.54	n/a	n/a	600.00	6.0

TOTAL (RUN DATE) / NFS:	128,937.88
TOTAL (AO, CXL, CRT):	688.00
TOTAL (Trade Date):	128,249.88

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