



Daily Compliance Activity Report

Trade Date: 02/11/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	10,000	11.00	n/a	4-Jan	500.00	5.0
ROSEDALE CAPITAL	046	AEO	S	20,000	16.02	n/a	5-Feb	1,000.00	5.0
THIRD COAST CAPITAL	035	ANF	S	10,000	32.89	n/a	5-Feb	500.00	5.0
SUN AMERICA ASSET MGMT	030	ARRS	B	50,000	9.74	n/a	n/a	2,000.00	4.0
CATAPULT	040	ATI	B	10,000	41.84	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	AXL	B	10,000	8.55	n/a	8-Feb	500.00	5.0
BROADARCH CAP/OLD NEWC	070	BWA	B	2,400	35.86	n/a	4-Jan	96.00	4.0
METROPOLITAN CAPITAL	044	BWA	B	22,400	35.95	n/a	4-Jan	1,120.00	5.0
ROYCE TRADING	216	BZ	B	12,000	4.72	n/a	n/a	360.00	3.0
SMITH MGMT LLC	029	BZ	B	55,000	4.77	n/a	n/a	1,650.00	3.0
OVERLAND PARK CAP	041	CAKE	SS	14,250	22.47	n/a	8-Feb	570.00	4.0
PZENA INV ADV	044	CA	B	72,175	21.74	n/a	n/a	2,526.13	3.5
CATAPULT	040	CBE	B	16,000	43.20	n/a	23-Nov	800.00	5.0
GALT INVESTMENT	041	CROX	S	75,000	7.68	n/a	n/a	2,250.00	3.0
RBC CAPITAL MARKETS	040	FOR	S	15,000	17.61	n/a	5-Feb	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	067	F	B	25,000	10.97	n/a	3-Feb	1,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	100,000	39.92	n/a	5-Feb	3,000.00	3.0
AVESTA CAP	229	GE	SS	500,000	15.65	n/a	n/a	15,000.00	3.0
NEWLAND CAPITAL MGT	067	GNRC	S	25,000	13.01	n/a	n/a	1,000.00	4.0
CATAPULT	040	IR	S	10,720	34.00	n/a	4-Jan	536.00	5.0
HARBORWATCH/DIAMBACK	232	ITW	B	10,000	43.87	n/a	28-Jan	500.00	5.0
EXIS CAPITAL	044	JNY	B	10,000	15.50	n/a	10-Feb	500.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	33.71	n/a	5-Feb	800.00	4.0
BROADARCH CAP/OLD NEWC	070	KSS	SS	400	49.42	n/a	5-Feb	16.00	4.0
THE JAY GOLDMAN	028	KSS	B	10,000	49.36	n/a	5-Feb	400.00	4.0
FIRST NEW YORK LEDDY	035	LVLTL	S	10,000	1.26	n/a	n/a	600.00	6.0
BUCK CAPITAL MGMT	001	MFB	B	10,000	14.80	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	MGM	SS	20,000	11.34	n/a	6-Nov	800.00	4.0
KADE CAPITAL LLC	036	MGM	S	25,000	10.78	n/a	6-Nov	1,250.00	5.0
CASTLEROCK	040	MON	SS	34,359	75.05	n/a	19-Jan	1,374.36	4.0
CATAPULT	040	MON	SS	10,000	75.73	n/a	19-Jan	500.00	5.0
PLATTE RIVER CAPITAL	240	MPEL	B	35,000	3.83	n/a	9-Feb	1,050.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COBALT	041	MU	S	100,000	8.57	n/a	n/a	4,000.00	4.0
PZENA INV ADV	044	NOC	B	21,350	58.91	n/a	5-Feb	747.25	3.5
PARTNER REINSURANCE	033	OMX	B	21,350	14.51	n/a	n/a	854.00	4.0
PHILADELPHIA FINANCIAL	033	OZM	S	48,800	13.86	n/a	11-Feb	1,952.00	4.0
RBC CAPITAL MARKETS	040	PCL	B	40,000	35.54	n/a	2-Feb	1,600.00	4.0
OVERLAND PARK CAP	041	PFCB	SS	5,000	41.09	n/a	11-Feb	200.00	4.0
VISIUM/BALY BOBBY	044	PFCB	S	20,000	40.76	n/a	11-Feb	1,000.00	5.0
SCOPUS FUND	041	RL	SS	20,000	79.03	n/a	4-Feb	1,000.00	5.0
RBC CAPITAL MARKETS	040	ROST	SS	5,000	45.29	n/a	n/a	200.00	4.0
ROYCE TRADING	216	SJM	B	500	59.53	n/a	n/a	25.00	5.0
BROADARCH CAP/OLD NEWC	070	TGT	B	900	49.18	n/a	4-Feb	36.00	4.0
BROADARCH CAP/OLD NEWC	070	TIN	B	5,100	16.92	n/a	9-Feb	204.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	368,288	16.90	n/a	9-Feb	14,731.52	4.0
CASTLEROCK	040	UA	SS	42,057	24.96	n/a	29-Jan	1,682.28	4.0
SCOPUS FUND	041	UA	B	49,800	24.97	n/a	29-Jan	2,490.00	5.0
WAGONHOUND/NIC	048	UHS	B	50,000	31.11	n/a	n/a	2,000.00	4.0
WAGONHOUND/NIC	048	UPL	B	10,000	45.78	n/a	19-Jan	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	URI	B	11,400	7.05	n/a	n/a	570.00	5.0
SUN AMERICA ASSET MGMT	030	WTSLA	S	131,300	3.68	n/a	n/a	3,939.00	3.0
FEDERATED INV/KAUFMAN	029	XRX	S	200,000	8.43	n/a	n/a	11,000.00	5.5
TOTAL (Trade Date):								92,579.54	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/11	ROSEDALE CAPITAL (ROSEGS)	046	AEO	S	20,000	16.02	n/a	5-Feb	1000.00 5.0
AO,	02/10	THOMPSON SIEGAL&WALMSLEY (THOS4085)	029	AGCO	S	1,200	31.58	n/a	10-Feb	24.00 2.0
AO,	02/10	THOMPSON SIEGAL&WALMSLEY (THOS4125)	029	AGCO	S	1,300	31.58	n/a	10-Feb	26.00 2.0
CRT	02/11	COBALT (COBAJPM)	041	MU	S	100,000	8.57	n/a	n/a	4000.00 4.0

TOTAL (AO, CXL, CRT) :	5,050.00
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TOTAL (Trade Date) :	92,579.54
TOTAL (AO, CXL, CRT) :	5,050.00

TOTAL (RUN DATE) / NFS:	97,629.54
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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