



# Daily Compliance Activity Report

Trade Date: 03/25/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHFIELDS CAP MGMT	039	APOL	B	200,000	62.61	n/a	n/a	8,000.00	4.0
SCOPUS FUND	041	ARM	S	21,515	14.18	n/a	n/a	1,075.75	5.0
BROADARCH CAP/OLD NEWC	070	ATI	B	2,200	54.53	n/a	n/a	88.00	4.0
SAXON WOODS ADVISORS	242	BBY	B	21,300	43.32	n/a	n/a	852.00	4.0
SCOPUS FUND	041	BBY	SS	40,000	42.79	n/a	n/a	2,000.00	5.0
THE JAY GOLDMAN	028	BJ	S	40,000	36.35	n/a	n/a	1,600.00	4.0
EXIS CAPITAL	044	BONT	B	2,325	12.59	n/a	n/a	116.25	5.0
BAIRD INVESTMENT	047	BUCY	S	6,950	70.07	n/a	22-Feb	347.50	5.0
BALYASNY ASSET MGMT	044	BWA	S	20,000	37.84	n/a	12-Feb	1,000.00	5.0
BROADARCH CAP/OLD NEWC	070	BWA	B	3,100	38.12	n/a	12-Feb	124.00	4.0
ARCHON CAPITAL	035	CAKE	B	27,200	27.48	n/a	12-Feb	816.00	3.0
M&I FUNDS	047	CHS	B	16,627	14.17	n/a	5-Feb	665.08	4.0
SAC CAPITAL/JOHN MAGUIE	039	CHS	B	17,000	14.17	n/a	5-Feb	595.00	3.5
ROXBURY CAPITAL MGMT	035	CMVT	S	46,900	8.76	n/a	n/a	1,876.00	4.0
LISTED ERR	099	CMVT	B	2	8.70	n/a	n/a	0.00	0.0
LISTED ERR	099	CMVT	S	2	8.76	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	COST	B	20,000	60.20	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MARINER/TRICADIA	041	CXW	B	10,000	19.79	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	C	S	250,000	4.30	n/a	16-Mar	5,000.00	2.0
AVENUE CAPITAL MGMT	070	DAN	S	100,000	13.20	n/a	25-Feb	4,000.00	4.0
GLOBAL 56 LLC	060	DAN	S	2,000	13.02	n/a	25-Feb	100.00	5.0
THIRD POINT MGMT	044	DAN	B	100,000	13.19	n/a	25-Feb	4,000.00	4.0
TRELLUS PARTNERS LP	028	DAN	S	20,000	13.01	n/a	25-Feb	1,000.00	5.0
GCORE MANAGEMENT	041	DOX	B	35,000	30.74	n/a	n/a	1,750.00	5.0
MELLON/BANK OF NEW YORK	046	DRI	S	15,600	44.73	n/a	23-Mar	780.00	5.0
MELLON/BANK OF NEW YORK	046	EAT	B	63,520	20.30	n/a	n/a	3,176.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.61	n/a	n/a	600.00	6.0
CRAMER ROSENTHAL/SCOTT	012	ETR	S	40,100	79.40	n/a	n/a	1,604.00	4.0
SENVEST PART	045	FOR	S	15,000	19.77	n/a	5-Feb	750.00	5.0
TRELLUS PARTNERS LP	028	FOR	B	10,000	19.64	n/a	5-Feb	500.00	5.0
MILLENIUM PARTNERS	028	HOG	SS	5,000	28.03	n/a	n/a	200.00	4.0
NEWLAND CAPITAL MGT	067	HSC	S	5,000	32.14	n/a	1-Feb	200.00	4.0
CATAPULT	040	IBM	B	10,000	130.36	n/a	n/a	400.00	4.0
CIRCLE T/SES PART	035	IGT	S	25,000	17.84	n/a	9-Feb	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	IP	B	90,400	26.18	n/a	3-Feb	3,616.00	4.0
GCORE MANAGEMENT	041	IRM	S	35,000	27.28	n/a	n/a	1,750.00	5.0
MILLENIUM PARTNERS	028	ITW	S	25,000	47.35	n/a	28-Jan	1,000.00	4.0
CATAPULT	040	IVZ	B	10,000	20.88	n/a	2-Mar	500.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	JCG	S	6,000	46.36	n/a	n/a	210.00	3.5
COLONIAL FUND LLC	036	JCI	B	25,000	33.39	n/a	22-Jan	1,250.00	5.0
MATRIX ASSET ADV.	036	JCI	S	4,000	33.26	n/a	22-Jan	160.00	4.0
MORTAR ROCK	033	JCI	B	35,000	33.39	n/a	22-Jan	1,400.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	500,000	33.19	n/a	5-Mar	15,000.00	3.0
BNP PARIBAS SEC	040	JCP	S	2,500	33.25	n/a	5-Mar	100.00	4.0
KLEINHEINZ CAP PART	031	JCP	B	40,000	33.34	n/a	5-Mar	2,000.00	5.0
BROADARCH CAP/OLD NEWC	070	JEC	B	2,600	46.14	n/a	n/a	104.00	4.0
KACELA CAPITAL	034	KSS	S	30,000	56.28	n/a	5-Mar	1,200.00	4.0
MELLON/BANK OF NEW YORK	046	KSU	B	19,160	35.67	n/a	n/a	958.00	5.0
BNP PARIBAS SEC	040	K	B	3,087	54.25	n/a	n/a	123.48	4.0
BASIX	033	LEA	B	5,500	80.13	n/a	25-Mar	165.00	3.0
GRUBER MACBAIN	033	LOW	B	25,000	24.52	n/a	22-Feb	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	LTD	S	20,000	25.51	n/a	n/a	1,000.00	5.0
MELLON/BANK OF NEW YORK	046	LVS	S	59,560	20.91	n/a	23-Mar	2,978.00	5.0
BROADARCH CAP/OLD NEWC	070	MSFT	B	14,300	30.16	n/a	n/a	572.00	4.0
WINSLOW CAPITAL	030	MSFT	B	50,400	30.49	n/a	n/a	2,016.00	4.0
BROADARCH CAP/OLD NEWC	070	MU	B	1,500	10.66	n/a	n/a	60.00	4.0
SANDLER CAPITAL	226	NBR	SS	150,000	19.31	n/a	n/a	9,000.00	6.0
MILLENIUM PARTNERS	028	POOL	SS	5,000	23.33	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	PVH	B	5,000	56.64	n/a	23-Mar	250.00	5.0
BROADARCH CAP/OLD NEWC	070	RFMD	B	9,000	5.23	n/a	n/a	360.00	4.0
HOLLIS CAPITAL	033	RRC	S	5,000	46.61	n/a	24-Feb	250.00	5.0
RBC CAPITAL MARKETS	040	SBUX	B	10,000	24.82	n/a	21-Jan	400.00	4.0
OSS CAPITAL/KEVIN DANN	067	STEI	B	50,000	5.91	n/a	n/a	1,500.00	3.0
ADALY INV MGMT	031	SWM	B	13,000	47.40	n/a	n/a	650.00	5.0
BAIRD INVESTMENT	047	SWN	S	9,825	39.04	n/a	8-Mar	491.25	5.0
RAINIER INV MGMT	035	THO	B	20,750	31.19	n/a	n/a	830.00	4.0
JP MORGAN VENTURES	046	TIF	SS	10,000	47.12	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	TIN	B	25,000	21.21	n/a	9-Feb	1,000.00	4.0
PLATTE RIVER CAPITAL	240	TLAB	B	26,500	7.68	n/a	n/a	1,060.00	4.0
ROTHSCHILD ASSET	040	UIS	B	15,290	36.45	n/a	n/a	611.60	4.0
EXIS CAPITAL	044	VALE	SS	20,000	31.37	n/a	n/a	800.00	4.0
HIGHBRIDGE CAP	041	VZ	SS	90,000	30.34	n/a	n/a	3,600.00	4.0
SYSTEMATIC FINANCIAL MGT	035	WSM	S	226,850	27.56	n/a	n/a	6,805.50	3.0
<b>TOTAL (Trade Date) :</b>								<b>110,986.41</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/25	THE JAY GOLDMAN (GOLDGSBULK)	028	BJ	S	40,000	36.35	n/a	n/a	1600.00 4.0
AO,	03/24	THOMPSON SIEGAL&WALMSLEY (THOS4280)	029	CMI	S	21,950	62.40	n/a	17-Mar	439.00 2.0
CRT	03/25	THE JAY GOLDMAN (GOLDGSBULK)	028	COST	B	20,000	60.20	n/a	n/a	800.00 4.0
CRT	03/25	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	RFMD	B	9,000	5.23	n/a	n/a	360.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>3,199.00</b>
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TOTAL (Trade Date) :	110,986.41
TOTAL (AO, CXL, CRT) :	3,199.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>114,185.41</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