



Daily Compliance Activity Report

Trade Date: 03/22/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	067	ADM	B	50,000	29.15	n/a	22-Mar	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	ALV	S	10,000	52.20	n/a	1-Feb	300.00	3.0
GLOBAL 56 LLC	060	ARM	S	1,500	12.93	n/a	n/a	75.00	5.0
WAGONHOUND/NIC	048	AXL	S	64,445	10.86	n/a	8-Feb	2,577.80	4.0
THE JAY GOLDMAN	028	BJ	B	10,000	35.71	n/a	n/a	400.00	4.0
FINDLAY PARK PART	259	BK	B	20,172	30.50	n/a	9-Mar	1,008.60	5.0
BMO NESBITT BURNS	041	BZ	B	50,000	5.82	n/a	n/a	2,500.00	5.0
T. ROWE PRICE	033	COH	B	43,400	38.51	n/a	21-Jan	1,736.00	4.0
BNP PARIBAS SEC	040	CRU	S	5,000	15.84	n/a	n/a	200.00	4.0
ROTHSCHILD ASSET	040	CTL	S	24,930	35.11	n/a	n/a	997.20	4.0
SANDLER O'NEILL ASSET	031	C	S	50,000	4.05	n/a	16-Mar	1,000.00	2.0
MKT MAKER	099	DLTR	S	100	60.00	n/a	24-Feb	0.00	0.0
MERRILL ASSET/BLACKROCK	214	FHN	B	46,500	14.15	n/a	n/a	1,860.00	4.0
CHILTON CAPITAL MGMT.	036	FSIN	S	191	11.50	n/a	n/a	5.73	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	214	FWLT	B	7,800	26.77	n/a	n/a	312.00	4.0
OZ MGMT	040	F	SS	290,666	12.96	n/a	3-Mar	8,719.98	3.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	29.21	n/a	n/a	800.00	4.0
CATAPULT	040	HAR	B	15,000	44.69	n/a	9-Feb	600.00	4.0
THE JAY GOLDMAN	028	HOT	B	5,000	43.36	n/a	n/a	200.00	4.0
THE JAY GOLDMAN	028	HOT	SS	6,000	42.00	n/a	n/a	240.00	4.0
EXIS CAPITAL	044	HWD	B	30,000	9.58	n/a	n/a	1,500.00	5.0
SUFFOLK CAPITAL MGMT	040	IBM	S	140,000	127.34	n/a	n/a	5,600.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	300,000	31.80	n/a	5-Mar	9,000.00	3.0
RAIL-SPLITTER	031	JNS	B	60,800	13.97	n/a	n/a	3,040.00	5.0
OSS CAPITAL/KEVIN DANN	067	KR	SS	50,000	21.50	n/a	n/a	1,500.00	3.0
EXIS CAPITAL	044	LIZ	B	25,000	6.86	n/a	7-Oct	1,250.00	5.0
ENTRUST CAPITAL	040	LMT	S	20,500	86.25	n/a	12-Mar	1,025.00	5.0
BALYASNY ASSET MGMT	044	LTD	S	25,000	24.74	n/a	n/a	1,250.00	5.0
SAXON WOODS ADVISORS	242	LTD	B	285,600	25.18	n/a	n/a	8,568.00	3.0
THE JAY GOLDMAN	028	LVS	B	13,000	19.04	n/a	10-Mar	520.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	LVS	S	10,000	20.79	n/a	10-Mar	400.00	4.0
PHILADELPHIA FINANCIAL	033	MF	B	44,703	7.04	n/a	n/a	1,788.12	4.0
BROADARCH CAP/OLD NEWC	070	MGM	B	1,500	11.98	n/a	12-Mar	60.00	4.0
ROSEDALE CAPITAL	046	MSFT	S	10,000	29.55	n/a	n/a	500.00	5.0
ADAGE CAPITAL MGMT	030	M	S	650,000	21.24	n/a	5-Mar	19,500.00	3.0
JP MORGAN VENTURES	046	M	B	20,000	21.26	n/a	5-Mar	1,000.00	5.0
DAVIDSON KEMPNER ADVISOR	040	NCR	B	50,000	13.78	n/a	n/a	2,500.00	5.0
APEX CAPITAL MGMT.	261	PFE	B	200,000	17.21	n/a	n/a	8,000.00	4.0
GREEN ARROW DOUG	040	PLCE	SS	25,000	44.17	n/a	22-Mar	900.00	3.5
GCORE MANAGEMENT	041	ROST	B	25,000	54.40	n/a	n/a	1,250.00	5.0
MERRILL ASSET/BLACKROCK	214	SKT	S	24,700	44.27	n/a	n/a	988.00	4.0
MTB INV ADV	034	SKX	S	10,350	33.42	n/a	n/a	517.50	5.0
THOMAS WEISEL ASSET MGMT	035	SONO	S	3,830	32.06	n/a	n/a	114.90	3.0
LISTED ERR	099	SONO	B	1,900	32.03	n/a	n/a	0.00	0.0
LISTED ERR	099	SONO	S	1,900	32.00	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	SPY	C	5,000	116.57	n/a	n/a	250.00	5.0
TROUBH PART	067	SUP	B	10,500	16.10	n/a	1-Mar	525.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OSS CAPITAL/KEVIN DANN	067	SWY	SS	50,000	24.06	n/a	n/a	1,500.00	3.0
RAINIER INV MGMT	035	THO	B	2,450	31.08	n/a	n/a	98.00	4.0
MERRILL ASSET/BLACKROCK	214	TLB	B	90,000	11.35	n/a	n/a	3,600.00	4.0
PHILADELPHIA FINANCIAL	033	TRAD	S	3,000	6.95	n/a	n/a	120.00	4.0
BNP PARIBAS SEC	040	TSN	B	12,707	17.99	n/a	n/a	508.28	4.0
GREEN ARROW DOUG	040	WAG	B	15,282	35.00	n/a	n/a	611.28	4.0
1798 CAPITAL MGMT	040	WFT	S	40,000	15.78	n/a	n/a	2,000.00	5.0
SUFFOLK CAPITAL MGMT	040	WLP	B	153,500	64.97	n/a	n/a	6,140.00	4.0
DIAMONDBACK CAP MGMT	232	XLE	C	9,000	56.49	n/a	n/a	270.00	3.0
TOTAL (Trade Date) :								112,426.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/19	OMEGA ADVISORS (OMGABONY)	041	ADCT	B	44,400	7.33	n/a	n/a	1332.00 3.0
AO,CXL	03/19	OMEGA ADVISORS (OMGAMORGAN)	041	ADCT	B	44,400	7.33	n/a	n/a	1332.00 3.0
AO,CXL	03/18	FINDLAY PARK PART (FINDAMERSC)	259	BK	B	53,437	30.40	n/a	9-Mar	2671.85 5.0
AO,	03/18	FINDLAY PARK PART (FINDAMERSC)	259	BK	B	53,437	30.40	n/a	9-Mar	2671.85 5.0
AO,CXL	03/18	FINDLAY PARK PART (FINDRITAC)	259	BK	B	891	30.40	n/a	9-Mar	44.55 5.0
AO,	03/18	FINDLAY PARK PART (FINDRITAC)	259	BK	B	891	30.40	n/a	9-Mar	44.55 5.0
AO,	03/19	MISSION POINT (MISPCSMAS)	048	PH	S	2,000	65.91	n/a	20-Jan	80.00 4.0
AO,CXL	03/17	AMBER CAPITAL (AMBRSPC22)	046	SLE	S	250,000	14.06	n/a	n/a	10000.00 4.0
AO,CRT	03/17	AMBER CAPITAL (AMBRSPC22)	046	SLE	S	68,840	14.06	n/a	n/a	2753.60 4.0
AO,CRT	03/17	AMBER CAPITAL (AMBRUBS)	046	SLE	S	181,160	14.06	n/a	n/a	7246.40 4.0
TOTAL (AO, CXL, CRT) :										80.00

TOTAL (Trade Date) :	112,426.39
TOTAL (AO, CXL, CRT) :	80.00

TOTAL (RUN DATE) / NFS :	112,506.39
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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