

Daily Compliance Activity Report Trade Date: 02/12/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					101		MALLIGI	TREEDE VIO	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BROADARCH CAP/OLD NEWC	070	ANF	В	3,300	33.10	n/a	12-Feb	132.00	4.0
JP MORGAN VENTURES	046	AOL	В	10,000	23.89	n/a	n/a	500.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	S	3,000	23.02	n/a	n/a	120.00	4.0
EATON VANCE MGMT	039	ВМҮ	S	10,651	23.68	n/a	n/a	319.53	3.0
CIRCLE T/SES PART	035	BYD	В	15,000	7.90	n/a	n/a	600.00	4.0
ROYCE TRADING	216	BZ	В	10,000	4.74	n/a	n/a	300.00	3.0
SMITH MGMT LLC	029	BZ	В	25,000	4.72	n/a	n/a	750.00	3.0
WEISS PECK	040	CAKE	SS	9,480	22.25	n/a	12-Feb	474.00	5.0
PROSPECTOR PARTNERS LLC	036	CCE	S	3,000	19.32	n/a	n/a	120.00	4.0
AVESTA CAP	229	CSCO	В	100,000	23.62	n/a	n/a	3,000.00	3.0
L.R.BURTSCHY & CO	045	DAN	В	10,000	10.06	n/a	6-Jan	600.00	6.0
CATAPULT	040	EP	В	25,000	10.01	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	В	10,000	1.49	n/a	n/a	600.00	6.0
MERRILL ASSET/BLACKROCK	214	FBN	S	49,500	4.98	n/a	n/a	1,980.00	4.0
BUCK CAPITAL MGMT	001	GES	В	10,000	39.70	n/a	5-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
EATON VANCE MGMT	039	HAL	S	19,509	29.72	n/a	n/a	585.27	3.0
SONTERRA CAP	041	HBAN	SS	60,000	4.69	n/a	n/a	1,200.00	2.0
NEWLAND CAPITAL MGT	067	JBHT	S	10,000	31.65	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	JNY	В	10,000	15.47	n/a	10-Feb	500.00	5.0
EXIS CAPITAL	044	КВН	S	20,000	16.52	n/a	n/a	1,000.00	5.0
US BANCORP	030	KO	В	149,519	54.03	n/a	n/a	7,475.95	5.0
DIAMONDBACK CAP MGMT	232	KSS	S	35,000	49.73	n/a	5-Feb	1,750.00	5.0
BASIX	033	LM	В	10,500	25.63	n/a	12-Feb	315.00	3.0
HIGHBRIDGE CAP	041	MOT	S	50,000	7.07	n/a	n/a	2,000.00	4.0
EATON VANCE MGMT	039	MRK	S	13,006	36.31	n/a	n/a	390.18	3.0
RBC CAPITAL MARKETS	040	MTL	SS	5,000	22.61	n/a	n/a	200.00	4.0
PHILADELPHIA FINANCIAL	033	OZM	S	30,700	13.79	n/a	12-Feb	1,228.00	4.0
ISLE RIDGE PARTNERS	041	PIR	S	35,000	5.64	n/a	n/a	1,400.00	4.0
PROSPECTOR PARTNERS LLC	036	PPS	S	3,000	17.35	n/a	n/a	120.00	4.0
CARDINAL CAPITAL	044	RRD	В	109,700	19.25	n/a	n/a	5,485.00	5.0
	EATON VANCE MGMT SONTERRA CAP NEWLAND CAPITAL MGT EXIS CAPITAL EXIS CAPITAL US BANCORP DIAMONDBACK CAP MGMT BASIX HIGHBRIDGE CAP EATON VANCE MGMT RBC CAPITAL MARKETS PHILADELPHIA FINANCIAL ISLE RIDGE PARTNERS PROSPECTOR PARTNERS LLC	EATON VANCE MGMT 039 SONTERRA CAP 041 NEWLAND CAPITAL MGT 067 EXIS CAPITAL 044 EXIS CAPITAL 044 US BANCORP 030 DIAMONDBACK CAP MGMT 232 BASIX 033 HIGHBRIDGE CAP 041 EATON VANCE MGMT 039 RBC CAPITAL MARKETS 040 PHILADELPHIA FINANCIAL 033 ISLE RIDGE PARTNERS 041 PROSPECTOR PARTNERS LLC 036	EATON VANCE MGMT SONTERRA CAP NEWLAND CAPITAL MGT EXIS CAPITAL US BANCORP DIAMONDBACK CAP MGMT HIGHBRIDGE CAP HIGHBRIDGE CAP REC CAPITAL MARKETS PHILADELPHIA FINANCIAL PROSPECTOR PARTNERS LLC O41 HBAN HBAN HBAN HBAN JNY KBH WHA KBH WHA WHA KBH WHA WHA WHA WHA WHA WHA WHA W	EATON VANCE MGMT 039 HAL S SONTERRA CAP 041 HBAN SS NEWLAND CAPITAL MGT 067 JBHT S EXIS CAPITAL 044 JNY B EXIS CAPITAL 044 KBH S US BANCORP 030 KO B DIAMONDBACK CAP MGMT 232 KSS S BASIX 033 LM B HIGHBRIDGE CAP 041 MOT S EATON VANCE MGMT 039 MRK S RBC CAPITAL MARKETS 040 MTL SS PHILADELPHIA FINANCIAL 033 OZM S ISLE RIDGE PARTNERS LLC 036 PPS S	EATON VANCE MGMT 039 HAL S 19,509 SONTERRA CAP 041 HBAN SS 60,000 NEWLAND CAPITAL MGT 067 JBHT S 10,000 EXIS CAPITAL 044 JNY B 10,000 EXIS CAPITAL 044 KBH S 20,000 US BANCORP 030 KO B 149,519 DIAMONDBACK CAP MGMT 232 KSS S 35,000 BASIX 033 LM B 10,500 HIGHBRIDGE CAP 041 MOT S 50,000 EATON VANCE MGMT 039 MRK S 13,006 RBC CAPITAL MARKETS 040 MTL SS 5,000 PHILADELPHIA FINANCIAL 033 OZM S 30,700 ISLE RIDGE PARTNERS 1LC 036 PPS S 3,000	EATON VANCE MGMT 039 HAL S 19,509 29.72 SONTERRA CAP 041 HBAN SS 60,000 4.69 NEWLAND CAPITAL MGT 067 JBHT S 10,000 31.65 EXIS CAPITAL 044 JNY B 10,000 15.47 EXIS CAPITAL 044 KBH S 20,000 16.52 US BANCORP 030 KO B 149,519 54.03 DIAMONDBACK CAP MGMT 232 KSS S 35,000 49.73 BASIX 033 LM B 10,500 25.63 HIGHBRIDGE CAP 041 MOT S 50,000 7.07 EATON VANCE MGMT 039 MRK S 13,006 36.31 RBC CAPITAL MARKETS 040 MTL SS 5,000 22.61 PHILADELPHIA FINANCIAL 033 OZM S 30,700 13.79 ISLE RIDGE PARTNERS 041 PIR S 35,000 5.64 PROSPECTOR PARTNERS LLC 036 PPS S 3,000 17.35	EATON VANCE MGMT 039 HAL S 19,509 29.72 n/a SONTERRA CAP 041 HBAN SS 60,000 4.69 n/a NEWLAND CAPITAL MGT 067 JBHT S 10,000 31.65 n/a EXIS CAPITAL 044 JNY B 10,000 15.47 n/a EXIS CAPITAL 044 KBH S 20,000 16.52 n/a US BANCORP 030 KO B 149,519 54.03 n/a DIAMONDBACK CAP MGMT 232 KSS S 35,000 49.73 n/a BASIX 033 LM B 10,500 25.63 n/a HIGHBRIDGE CAP 041 MOT S 50,000 7.07 n/a EATON VANCE MGMT 039 MRK S 13,006 36.31 n/a PHILADELPHIA FINANCIAL 033 OZM S 30,700 13.79 n/a ISLE RIDGE PARTNERS 1LC 036 PPS S 3,000 17.35 n/a	EATON VANCE MGMT 039 HAL S 19,509 29.72	EATON VANCE MGMT 039 HAL S 19,509 29.72

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	067	SOA	S	100	14.15	n/a	n/a	4.00 4.0	
CHARTER OAK	033	SYMC	В	50,000	16.78	n/a	n/a	2,000.00 4.0	
JP MORGAN VENTURES	046	TIF	В	15,000	41.31	n/a	n/a	750.00 5.0	
BROADARCH CAP/OLD NEWC	070	TIN	В	6,400	16.95	n/a	9-Feb	256.00 4.0	
PROSPECTOR PARTNERS LLC	036	TR	S	4,000	26.23	n/a	n/a	160.00 4.0	
RBC CAPITAL MARKETS	040	TSN	S	10,000	15.77	n/a	n/a	400.00 4.0	
HARBORWATCH/DIAMBACK	232	TXT	SS	25,000	18.31	n/a	n/a	1,250.00 5.0	
RBC CAPITAL MARKETS	040	WYNN	В	5,000	63.06	n/a	9-Feb	200.00 4.0	
RBC CAPITAL MARKETS	040	XLB	В	25 , 000	30.72	n/a	n/a	1,000.00 4.0	

TOTAL (Trade Date): 41,214.93

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	Shr.
AO,	02/11	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	CELG	В	20,000	56.22	n/a	n/a	1000.00	5.0
AO,CXL	02/09	ROARING BLUE LION MGMT (ROARMAIN)	012	GCO	В	6 , 500	21.77	n/a	n/a	325.00	5.0
AO, CRT	02/09	ROARING BLUE LION MGMT (ROARMAIN)	012	GCO	В	6 , 500	21.77	n/a	n/a	260.00	4.0
CRT	02/12	SONTERRA CAP (SONTMSBULK)	041	HBAN	SS	60,000	4.69	n/a	n/a	1200.00	2.0
CRT	02/12	HIGHBRIDGE CAP (HIBCUBSNEW)	041	MOT	S	50,000	7.07	n/a	n/a	2000.00	4.0
TOTAL	OTAL (AO, CXL, CRT): 4,135.00										

TOTAL (RUN DATE) / NFS:	45,349.93
TOTAL (AO, CXL, CRT):	4,135.00
TOTAL (Trade Date):	41,214.93

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