



Daily Compliance Activity Report

Trade Date: 01/11/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	AAPL	B	12,600	212.09	n/a	n/a	630.00	5.0
AVESTA CAP	229	AA	S	200,000	17.53	n/a	n/a	6,000.00	3.0
CAXTON PART	040	AA	S	132,720	17.21	n/a	n/a	4,645.21	3.5
WINSLOW CAPITAL	030	ACN	B	500	42.60	n/a	n/a	20.00	4.0
OZ MGMT	040	AMTD	B	150,000	18.80	n/a	n/a	4,500.00	3.0
WINSLOW CAPITAL	030	AMT	B	500	43.78	n/a	n/a	20.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	31,000	32.39	n/a	8-Jan	1,240.00	4.0
TRELLUS PARTNERS LP	028	AXL	S	100,000	10.52	n/a	4-Jan	5,000.00	5.0
WINSLOW CAPITAL	030	BAX	B	700	58.80	n/a	n/a	28.00	4.0
LEVEL GLOBAL SHARED ACCT	257	BBBY	C	75,000	41.55	n/a	n/a	2,250.00	3.0
1798 CAPITAL MGMT	040	BKC	SS	75,000	18.48	n/a	11-Jan	3,750.00	5.0
COLUMBIA PARTNERS	028	BK	S	146,764	29.03	n/a	11-Jan	5,870.56	4.0
WINSLOW CAPITAL	030	BLK	B	100	242.54	n/a	8-Jan	4.00	4.0
DIAMONDBACK CAP MGMT	232	CCE	B	25,000	21.02	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	CCL	B	500	33.46	n/a	n/a	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CLF	B	300	52.95	n/a	n/a	12.00	4.0
AVESTA CAP	229	CSCO	S	300,000	24.49	n/a	n/a	9,000.00	3.0
GLOBAL 56 LLC	060	DAN	S	2,500	12.31	n/a	6-Jan	125.00	5.0
TOCQUEVILLE	067	DBD	S	25,000	31.30	n/a	23-Nov	1,250.00	5.0
WINSLOW CAPITAL	030	DE	B	200	59.95	n/a	30-Nov	8.00	4.0
WINSLOW CAPITAL	030	DHR	B	600	77.72	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	ECL	B	400	45.94	n/a	7-Jan	16.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.79	n/a	n/a	600.00	6.0
CUMBERLAND	239	EXH	B	10,000	22.84	n/a	4-Jan	400.00	4.0
WINSLOW CAPITAL	030	FCX	B	200	87.95	n/a	n/a	8.00	4.0
WAGONHOUND/NIC	048	FL	B	47,105	12.25	n/a	8-Jan	1,884.20	4.0
WINSLOW CAPITAL	030	FTI	B	300	59.40	n/a	n/a	12.00	4.0
PLATTE RIVER CAPITAL	240	F	S	10,000	11.83	n/a	6-Jan	400.00	4.0
JMP ASSET MGMT	210	GCO	S	2,500	28.59	n/a	n/a	125.00	5.0
CATAPULT	040	GE	B	11,358	16.67	n/a	n/a	567.90	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JMP ASSET MGMT	210	GME	B	18,000	20.35	n/a	n/a	900.00	5.0
WINSLOW CAPITAL	030	GS	B	200	170.92	n/a	11-Jan	8.00	4.0
NEW JERSEY DIV OF INV.	030	GT	B	200,000	16.12	n/a	n/a	8,000.00	4.0
RBC CAPITAL MARKETS	040	HD	B	5,000	28.70	n/a	18-Nov	200.00	4.0
NEUBERGER BERMAN	036	HMSY	S	6,800	49.56	n/a	n/a	272.00	4.0
WINSLOW CAPITAL	030	HPQ	B	1,400	52.10	n/a	n/a	56.00	4.0
HOTCHKIS & WILEY	035	H	S	202,700	29.80	n/a	n/a	10,135.00	5.0
WINSLOW CAPITAL	030	IBM	B	200	129.24	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	ICE	B	200	108.21	n/a	n/a	8.00	4.0
FIRST NY SEC/CHRIS	041	INTC	B	25,000	20.97	n/a	n/a	1,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	INTC	S	90,800	21.07	n/a	n/a	4,540.00	5.0
OZ MGMT	040	IP	SS	34,500	26.82	n/a	7-Jan	1,035.00	3.0
SANDLER O'NEILL ASSET	031	IVZ	B	15,000	23.13	n/a	11-Jan	750.00	5.0
WINSLOW CAPITAL	030	IVZ	B	800	23.51	n/a	11-Jan	32.00	4.0
DIAMONDBACK CAP MGMT	232	JNS	B	25,000	14.90	n/a	8-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	40,000	16.89	n/a	4-Jan	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	JPM	B	1,500	44.48	n/a	11-Jan	60.00	4.0
WINSLOW CAPITAL	030	KSS	B	400	52.49	n/a	8-Jan	16.00	4.0
BASIX	033	LEA	B	18,000	72.39	n/a	8-Jan	540.00	3.0
SANDLER O'NEILL ASSET	031	LM	SS	15,000	31.07	n/a	8-Jan	750.00	5.0
JMP ASSET MGMT	210	LNK	SS	15,000	20.11	n/a	n/a	750.00	5.0
GRUBER MACBAINE	033	LOW	B	25,000	23.34	n/a	16-Nov	1,000.00	4.0
1798 CAPITAL MGMT	040	MAT	B	50,000	19.95	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	MGM	SS	30,000	11.16	n/a	6-Nov	1,200.00	4.0
MATRIX ASSET ADV.	036	MHP	S	4,800	33.76	n/a	n/a	192.00	4.0
WINSLOW CAPITAL	030	MHS	B	1,100	65.27	n/a	n/a	44.00	4.0
AVESTA CAP	229	MMM	S	50,000	84.06	n/a	7-Jan	1,500.00	3.0
WINSLOW CAPITAL	030	MON	B	400	84.73	n/a	7-Jan	16.00	4.0
DELTEC ASSET MGMT.	040	MTW	S	14,000	13.20	n/a	4-Jan	700.00	5.0
TRUST CO/COWEN/CALF.	040	MWV	S	16,000	28.64	n/a	16-Nov	800.00	5.0
BUCK CAPITAL MGMT	001	M	B	30,400	16.49	n/a	8-Jan	1,216.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	M	B	20,000	16.60	n/a	8-Jan	1,000.00	5.0
WINSLOW CAPITAL	030	OXY	B	200	83.04	n/a	n/a	8.00	4.0
FRIESS MGMT	033	PAG	B	240,000	17.20	n/a	4-Jan	9,600.00	4.0
SCOPUS FUND	041	PAG	B	10,000	17.32	n/a	4-Jan	500.00	5.0
WINSLOW CAPITAL	030	PBR	B	400	48.09	n/a	n/a	16.00	4.0
AVESTA CAP	229	PG	S	100,000	59.36	n/a	4-Jan	3,000.00	3.0
HIGHBRIDGE CAP	041	PKG	SS	20,746	24.05	n/a	7-Jan	829.84	4.0
OZ MGMT	040	PKG	SS	15,200	24.23	n/a	7-Jan	456.00	3.0
WINSLOW CAPITAL	030	SLB	B	300	70.38	n/a	n/a	12.00	4.0
ARCHON CAPITAL	035	SPWRA	B	70,000	25.98	n/a	n/a	2,100.00	3.0
WINSLOW CAPITAL	030	SU	B	600	37.37	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	SWN	B	1,200	49.80	n/a	4-Jan	48.00	4.0
WINSLOW CAPITAL	030	TGT	B	400	50.25	n/a	7-Jan	16.00	4.0
WINSLOW CAPITAL	030	UNP	B	700	67.39	n/a	n/a	28.00	4.0
WINSLOW CAPITAL	030	UTX	B	500	71.71	n/a	n/a	20.00	4.0
WINSLOW CAPITAL	030	V	B	800	86.55	n/a	5-Jan	32.00	4.0
MATRIX ASSET ADV.	036	WAG	S	2,800	37.12	n/a	n/a	112.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	WAG	B	500	37.07	n/a	n/a	20.00	4.0
1798 CAPITAL MGMT	040	WFMI	B	10,000	28.80	n/a	n/a	500.00	5.0
PRINCIPLE CAPITAL	040	WMT	S	40,000	53.84	n/a	4-Jan	0.00	0.0
WINSLOW CAPITAL	030	WMT	B	300	53.88	n/a	4-Jan	12.00	4.0
CATAPULT	040	WRC	B	21,000	45.84	n/a	4-Jan	840.00	4.0
LEVEL GLOBAL SHARED ACCT	257	WRC	B	30,000	45.88	n/a	4-Jan	900.00	3.0
WINSLOW CAPITAL	030	WU	B	500	19.90	n/a	n/a	20.00	4.0
1798 CAPITAL MGMT	040	YUM	C	25,000	35.26	n/a	11-Jan	1,250.00	5.0
TOTAL (Trade Date):							112,081.71		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/08	MINDSHARE CAPITAL MGMT (MINDJHCCF)	046	AMCS	S	11,465	5.40	n/a	n/a	458.60 4.0
AO,	01/08	MINDSHARE CAPITAL MGMT (MINDLUTHST)	046	AMCS	S	9,500	5.40	n/a	n/a	380.00 4.0
AO,	01/08	MINDSHARE CAPITAL MGMT (MINDLEICAL)	046	AMCS	S	142,195	5.40	n/a	n/a	5687.80 4.0
AO,	01/08	MINDSHARE CAPITAL MGMT (MINDLGAHYN)	046	AMCS	S	1,650	5.40	n/a	n/a	66.00 4.0
AO,	01/08	MINDSHARE CAPITAL MGMT (MINDLEIMSR)	046	AMCS	S	83,265	5.40	n/a	n/a	3330.60 4.0
AO,	01/08	MINDSHARE CAPITAL MGMT (MINDQUADGR)	046	AMCS	S	24,120	5.40	n/a	n/a	964.80 4.0
AO,CXL	01/08	CATAPULT (CATADEUTCH)	040	CAT	SS	10,000	59.70	n/a	21-Oct	400.00 4.0
AO,CRT	01/08	CATAPULT (CATADEUTCH)	040	CAT	SS	10,000	59.70	n/a	21-Oct	500.00 5.0
AO,CXL	01/08	CATAPULT (CATADEUTCH)	040	ECL	SS	36,648	44.97	n/a	7-Jan	1465.92 4.0
AO,CRT	01/08	CATAPULT (CATADEUTCH)	040	ECL	SS	36,648	44.97	n/a	7-Jan	1832.40 5.0
AO,CXL	01/08	CATAPULT (CATADEUTCH)	040	ETN	B	30,000	65.76	n/a	4-Jan	1200.00 4.0
AO,CRT	01/08	CATAPULT (CATADEUTCH)	040	ETN	B	30,000	65.76	n/a	4-Jan	1500.00 5.0
AO,CXL	01/08	CATAPULT (CATADEUTCH)	040	GGC	B	12,500	18.11	n/a	n/a	500.00 4.0
AO,CRT	01/08	CATAPULT (CATADEUTCH)	040	GGC	B	12,500	18.11	n/a	n/a	625.00 5.0
AO,CXL	01/08	SCOPUS FUND (SCOPGS)	041	PKG	SS	11,875	24.31	n/a	7-Jan	593.75 5.0
AO,CRT	01/08	SCOPUS FUND (SCOPGS)	041	PKG	SS	11,250	24.31	n/a	7-Jan	562.50 5.0
AO,CXL	01/08	SCOPUS FUND (SCOPUBS)	041	PKG	SS	50,625	24.31	n/a	7-Jan	2531.25 5.0
AO,CRT	01/08	SCOPUS FUND (SCOPUBS)	041	PKG	SS	51,250	24.31	n/a	7-Jan	2562.50 5.0
AO,CXL	01/08	GALT INVESTMENT (GALTGS)	041	TITN	B	25,000	12.99	n/a	n/a	1250.00 5.0
AO,CRT	01/08	GALT INVESTMENT (GALTGS)	041	TITN	B	25,000	12.99	n/a	n/a	1000.00 4.0
AO,CXL	01/08	CATAPULT (CATADEUTCH)	040	UTX	SS	40,000	70.61	n/a	n/a	1600.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/08	CATAPULT (CATADEUTCH)	040	UTX	SS	40,000	70.61	n/a	n/a	2000.00 5.0

TOTAL (AO, CXL, CRT) :									11,929.28	
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TOTAL (Trade Date) :									112,081.71	
TOTAL (AO, CXL, CRT) :									11,929.28	

TOTAL (RUN DATE) / NFS :									124,010.99	
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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