



Daily Compliance Activity Report

Trade Date: 02/16/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	AEO	SS	10,000	16.21	n/a	5-Feb	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	25,000	34.93	n/a	12-Feb	875.00	3.5
GCORE MANAGEMENT	041	BAC	S	20,000	14.90	n/a	16-Feb	1,000.00	5.0
SANDLER O'NEILL ASSET	031	BK	B	50,000	27.62	n/a	13-Feb	2,500.00	5.0
BROADARCH CAP/OLD NEWC	070	BWA	B	1,500	37.09	n/a	12-Feb	60.00	4.0
ROYCE TRADING	216	BZ	B	20,000	4.79	n/a	n/a	600.00	3.0
SMITH MGMT LLC	029	BZ	B	69,400	4.76	n/a	n/a	2,082.00	3.0
LEVEL GLOBAL SHARED ACCT	257	COH	SS	50,000	35.47	n/a	21-Jan	1,500.00	3.0
HARBORWATCH/DIAMBACK	232	DHR	S	20,000	73.50	n/a	n/a	1,000.00	5.0
KENNEDY CAPITAL	046	DPZ	S	10,000	11.83	n/a	19-Jan	400.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.52	n/a	n/a	600.00	6.0
MERRILL ASSET/BLACKROCK	214	FBN	S	10,500	5.05	n/a	n/a	420.00	4.0
SAB CAPITAL	034	GGWPQ	B	121,500	12.01	n/a	n/a	6,075.00	5.0
GCORE MANAGEMENT	041	HOT	B	20,000	37.29	n/a	n/a	1,000.00	5.0
COBALT	041	IP	B	100,000	23.60	n/a	3-Feb	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	048	IR	B	10,000	31.28	n/a	16-Feb	400.00	4.0
EPOCH INV MGMT	030	IWM	S	31,200	61.58	n/a	n/a	936.00	3.0
GCORE MANAGEMENT	041	JPM	S	25,000	39.06	n/a	13-Feb	1,250.00	5.0
MACKLOWE ASSET MGMT	041	LVS	SS	60,872	17.51	n/a	16-Feb	2,434.88	4.0
MACKLOWE ASSET MGMT	041	LVS	S	124,128	17.36	n/a	16-Feb	4,965.12	4.0
TRUST CO/COWEN/CALF.	040	MAT	S	148,385	21.19	n/a	n/a	5,935.40	4.0
BROADARCH CAP/OLD NEWC	070	MGM	S	3,500	11.43	n/a	12-Feb	140.00	4.0
ARCHON CAPITAL	035	MIDD	B	5,000	43.85	n/a	4-Jan	150.00	3.0
EXIS CAPITAL	044	M	B	10,000	17.60	n/a	5-Feb	500.00	5.0
COLUMBUS CIRCLE	036	NTAP	B	16,559	32.09	n/a	n/a	662.36	4.0
LAGRANGE CAP ADV	048	PAG	B	500	15.35	n/a	22-Jan	25.00	5.0
SCOPUS FUND	041	PKG	B	50,000	21.92	n/a	26-Jan	2,500.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	150,000	21.43	n/a	n/a	6,000.00	4.0
KLEINHEINZ CAP PART	031	QCOM	B	50,000	38.99	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	RL	SS	10,000	78.41	n/a	4-Feb	500.00	5.0
RBC CAPITAL MARKETS	040	RSH	S	15,000	20.54	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	TIN	B	29,494	17.95	n/a	9-Feb	1,179.76	4.0
COUGAR TRADING	044	TM	SS	5,000	75.96	n/a	n/a	250.00	5.0
TOTAL (Trade Date):								54,540.52	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/11	LAGRANGE CAP ADV (LAGRJJEFF)	048	AXL	B	10,000	8.55	n/a	8-Feb	500.00 5.0
AO,CXL	02/11	LAGRANGE CAP ADV (LAGRUBSPB)	048	AXL	B	10,000	8.55	n/a	8-Feb	500.00 5.0
AO,CXL	02/12	HIGHBRIDGE CAP (HIBCUBSNEW)	041	MOT	S	50,000	7.07	n/a	n/a	2000.00 4.0
AO,CRT	02/12	HIGHBRIDGE CAP (HIBCUBSNEW)	041	MOT	S	50,000	7.07	n/a	n/a	1500.00 3.0
AO,CXL	02/09	ROARING BLUE LION MGMT (ROARMAIN)	012	PLCE	B	5,000	35.08	n/a	5-Feb	250.00 5.0
AO,CRT	02/09	ROARING BLUE LION MGMT (ROARMAIN)	012	PLCE	B	5,000	35.08	n/a	5-Feb	200.00 4.0
AO,CRT	02/11	LAGRANGE CAP ADV (LAGRJJEFF)	048	URI	B	11,400	7.05	n/a	n/a	570.00 5.0
AO,CXL	02/11	LAGRANGE CAP ADV (LAGRUBSPB)	048	URI	B	11,400	7.05	n/a	n/a	570.00 5.0

TOTAL (AO, CXL, CRT) :	-550.00
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TOTAL (Trade Date) :	54,540.52
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TOTAL (RUN DATE) / NFS :	53,990.52
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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