



Daily Compliance Activity Report

Trade Date: 01/26/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SPARTA ASSET MGMT	035	ACV	S	31,649	28.70	n/a	21-Dec	949.47	3.0
CAERUS GLOBAL	041	AEO	B	15,000	16.16	n/a	8-Jan	450.00	3.0
SANDLER O'NEILL ASSET	031	AMG	B	5,000	64.99	n/a	25-Jan	250.00	5.0
GCORE MANAGEMENT	041	ATVI	B	20,000	10.14	n/a	n/a	1,000.00	5.0
GREEN ARROW DOUG	040	AXP	S	25,000	38.80	n/a	26-Jan	1,250.00	5.0
CIRCLE T/SES PART	035	BBY	B	10,000	37.48	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	BEXP	B	73,300	13.56	n/a	n/a	2,932.00	4.0
BUCK CAPITAL MGMT	001	BKS	SS	20,000	19.93	n/a	n/a	800.00	4.0
CASTLEROCK	040	BKS	SS	59,336	19.66	n/a	n/a	2,373.44	4.0
EXIS CAPITAL	044	BWA	S	10,000	36.63	n/a	4-Jan	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	CBE	SS	18,000	42.37	n/a	23-Nov	720.00	4.0
MERRILL ASSET/BLACKROCK	214	CHD	S	7,500	61.14	n/a	13-Jan	300.00	4.0
RBC CAPITAL MARKETS	040	CLF	B	25,000	43.00	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	COH	B	120,000	34.77	n/a	21-Jan	4,800.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	10,000	26.13	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JMP ASSET MGMT	210	CTRN	B	4,800	31.05	n/a	n/a	240.00	5.0
LAGRANGE CAP ADV	048	C	B	30,000	3.18	n/a	21-Jan	900.00	3.0
METROPOLITAN CAPITAL	044	DAN	S	34,200	10.46	n/a	6-Jan	1,710.00	5.0
MERRILL ASSET/BLACKROCK	214	DBRN	B	28,000	24.14	n/a	n/a	1,120.00	4.0
CATAPULT	040	EBAY	B	35,000	24.11	n/a	n/a	1,400.00	4.0
GCORE MANAGEMENT	041	ERTS	SS	10,000	16.80	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.64	n/a	n/a	600.00	6.0
LEVIN CAPITAL STRATEGIES	012	FDO	SS	25,000	30.52	n/a	6-Jan	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	F	SS	100,000	11.33	n/a	6-Jan	5,000.00	5.0
OZ MGMT	040	F	B	230,902	11.37	n/a	6-Jan	6,927.06	3.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	24.02	n/a	n/a	800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	96,737	40.59	n/a	n/a	2,902.11	3.0
MILLENIUM PARTNERS	028	GE	SS	50,000	16.56	n/a	n/a	2,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GIL	S	12,600	21.73	n/a	4-Jan	378.00	3.0
ISLE RIDGE PARTNERS	041	GNTX	S	30,000	17.49	n/a	4-Jan	1,200.00	4.0
CADIAN CAPITAL	067	GYMB	SS	25,000	39.66	n/a	8-Jan	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/JOHN MAGUIE	039	HD	S	14,700	27.77	n/a	14-Jan	514.50	3.5
NEUBERGER BERMAN	036	HUBG	S	13,200	26.57	n/a	n/a	528.00	4.0
HUNTER GLOBAL INVESTOR	067	INTC	B	100,000	20.18	n/a	n/a	4,000.00	4.0
EXIS CAPITAL	044	IP	B	50,000	24.52	n/a	25-Jan	2,500.00	5.0
OZ MGMT	040	IP	B	30,451	24.75	n/a	25-Jan	913.53	3.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	15.23	n/a	4-Jan	800.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	JNY	B	8,400	15.27	n/a	4-Jan	294.00	3.5
GRISANTI BROWN & PARTNER	048	JRCC	S	8,900	16.95	n/a	n/a	445.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	30,000	35.09	n/a	8-Jan	1,200.00	4.0
ISLE RIDGE PARTNERS	041	JWN	B	40,000	35.46	n/a	8-Jan	1,600.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	5,000	35.64	n/a	8-Jan	200.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	50,000	50.59	n/a	8-Jan	2,000.00	4.0
ISLE RIDGE PARTNERS	041	KSS	S	17,500	50.58	n/a	8-Jan	700.00	4.0
GREEN ARROW DOUG	040	LIZ	S	50,000	5.14	n/a	7-Oct	2,000.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	LOW	B	17,000	22.10	n/a	16-Nov	595.00	3.5
NEUBERGER BERMAN	036	LUFK	B	11,600	66.62	n/a	n/a	464.00	4.0
LEVEL GLOBAL SHARED ACCT	257	LULU	C	30,000	29.13	n/a	n/a	900.00	3.0
LEVEL GLOBAL SHARED ACCT	257	MCD	B	100,000	63.43	n/a	22-Jan	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MADISON ST PARTNERS LLC	046	MCD	B	15,000	63.41	n/a	22-Jan	750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	MLM	B	10,000	82.18	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	MS	S	20,000	28.03	n/a	21-Jan	1,000.00	5.0
TRUST CO/COWEN/CALF.	040	MYL	S	57,400	18.16	n/a	25-Jan	2,296.00	4.0
EXIS CAPITAL	044	M	B	25,000	15.80	n/a	8-Jan	1,250.00	5.0
EXIS CAPITAL	044	M	S	25,000	16.00	n/a	8-Jan	1,250.00	5.0
GRANITE CAPITAL	045	OVTI	S	40,000	14.14	n/a	n/a	2,000.00	5.0
ISLE RIDGE PARTNERS	041	PIR	S	25,000	5.04	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	PKG	B	25,000	22.26	n/a	26-Jan	1,250.00	5.0
BRAZOS	031	PKG	B	27,000	22.98	n/a	26-Jan	810.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	239,800	22.62	n/a	26-Jan	11,990.00	5.0
OZ MGMT	040	PKG	S	50,000	22.34	n/a	26-Jan	1,500.00	3.0
SCHOTTENFELD ASSOC	041	PKG	S	30,000	22.42	n/a	26-Jan	900.00	3.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	40.52	n/a	12-Jan	800.00	4.0
EXIS CAPITAL	044	PVH	B	20,000	40.53	n/a	12-Jan	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	RL	SS	4,400	83.18	n/a	4-Jan	176.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	SBUX	SS	7,500	22.68	n/a	21-Jan	262.50	3.5
CASTLEROCK	040	SHW	B	43,364	64.08	n/a	26-Jan	1,734.56	4.0
KEEFE BRUYETTE WOODS A	045	SLM	B	7,000	10.42	n/a	21-Jan	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	7,400	110.29	n/a	n/a	370.00	5.0
SHEFFIELD ASSET MGMT	031	SPY	SS	7,200	109.64	n/a	n/a	360.00	5.0
LISTED ERR	099	SPY	SS	2,200	110.05	n/a	n/a	0.00	0.0
LISTED ERR	099	SPY	S	2,200	110.05	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	SWK	B	18,800	54.04	n/a	n/a	752.00	4.0
COOPER CREEK PART	028	TIN	B	15,000	18.54	n/a	25-Jan	600.00	4.0
COUGAR TRADING	044	TIN	S	15,000	18.63	n/a	25-Jan	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	100,000	18.54	n/a	25-Jan	5,000.00	5.0
IRIDIAN ASSET MGMT.	036	TIN	B	56,190	18.73	n/a	25-Jan	2,809.50	5.0
OZ MGMT	040	TIN	B	17,951	18.70	n/a	25-Jan	538.53	3.0
SLS CAPITAL LLC	224	TIN	B	20,000	18.40	n/a	25-Jan	800.00	4.0
THIRD COAST CAPITAL	035	TIN	B	15,000	18.56	n/a	25-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	10,000	37.68	n/a	8-Jan	400.00	4.0
DIAMONDBACK CAP MGMT	232	TROW	S	20,000	52.02	n/a	25-Jan	1,000.00	5.0
BENCHMARK	025	TWI	S	7,500	8.44	n/a	n/a	300.00	4.0
TROUBH PART	067	TXT	B	35,000	20.97	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	UA	B	70,000	27.44	n/a	14-Jan	2,800.00	4.0
HUNTER GLOBAL INVESTOR	067	UTX	SS	68,000	68.57	n/a	n/a	3,400.00	5.0
GRISANTI BROWN & PARTNER	048	VLO	B	7,700	18.85	n/a	n/a	385.00	5.0
SYSTEMATIC FINANCIAL MGT	035	VZ	S	180,000	30.00	n/a	n/a	5,400.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	WDR	C	50,000	31.56	n/a	25-Jan	2,500.00	5.0
CAERUS GLOBAL	041	WMS	S	20,000	41.07	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	41.15	n/a	4-Jan	1,200.00	4.0
GREEN ARROW DOUG	040	WSM	SS	25,000	20.84	n/a	n/a	1,250.00	5.0
OZ MGMT	040	XOP	SS	100,000	41.65	n/a	n/a	3,000.00	3.0
KAILIX INV ADV	048	X	S	20,000	52.20	n/a	n/a	1,000.00	5.0
THIRD POINT MGMT	044	ZION	C	150,000	20.12	n/a	n/a	6,000.00	4.0
TOTAL (Trade Date) :								142,990.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/21	NEUBERGER BERMAN (NBER555024)	036	HUBG	S	100	28.03	n/a	n/a	4.00	4.0
AO,	01/21	NEUBERGER BERMAN (NBER502409)	036	HUBG	S	100	28.03	n/a	n/a	4.00	4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	142,990.20
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	142,990.20
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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