



Daily Compliance Activity Report

Trade Date: 02/08/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
CUMBERLAND	239	AAP	B	96,600	41.34	n/a	n/a	3,864.00 4.0
VISIUM/BALY BOBBY	044	ACN	B	15,000	40.08	n/a	n/a	750.00 5.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	15.89	n/a	5-Feb	800.00 4.0
HARVEST MGMT	039	AEO	B	40,000	15.91	n/a	5-Feb	2,000.00 5.0
BASIX	033	AOS	B	10,000	42.28	n/a	8-Feb	300.00 3.0
HARVEST MGMT	039	ARO	SS	19,000	33.68	n/a	5-Feb	950.00 5.0
DIAMONDBACK CAP MGMT	232	AYI	SS	10,000	35.36	n/a	n/a	500.00 5.0
SANDLER O'NEILL ASSET	031	BEN	B	5,000	97.98	n/a	8-Feb	250.00 5.0
SANDLER CAPITAL	226	BRKB	S	80,000	73.90	n/a	n/a	4,800.00 6.0
ROYCE TRADING	216	BZ	B	25,000	4.68	n/a	n/a	750.00 3.0
SAC CAPITAL/JOHN MAGUIE	039	CAKE	S	11,900	21.44	n/a	8-Feb	416.50 3.5
WEISS PECK	040	CAKE	C	17,360	21.50	n/a	8-Feb	868.00 5.0
HUNTER GLOBAL INVESTOR	067	CHK	B	40,700	24.59	n/a	n/a	2,035.00 5.0
BUCK CAPITAL MGMT	001	COH	B	10,000	34.51	n/a	21-Jan	400.00 4.0
HIGHFIELDS CAP MGMT	039	CVS	S	100,000	32.88	n/a	n/a	5,000.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	CXO	B	25,000	45.21	n/a	n/a	1,250.00	5.0
KLEINHEINZ CAP PART	031	DNR	B	25,000	14.18	n/a	n/a	1,250.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	DRI	B	5,486	37.85	n/a	19-Jan	192.01	3.5
TOKIO MARINE ASSET MGMT	045	ESRX	S	3,900	84.72	n/a	n/a	156.00	4.0
SIGMA CAPITAL ASSOCIATES	041	F	B	50,000	11.15	n/a	3-Feb	1,750.00	3.5
ROTHSCHILD ASSET	040	HAS	S	11,627	34.90	n/a	n/a	465.08	4.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	22.03	n/a	n/a	800.00	4.0
SCOPUS FUND	041	HBI	B	5,000	21.91	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	HD	SS	50,000	28.78	n/a	14-Jan	2,000.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	HD	S	14,000	28.71	n/a	14-Jan	490.00	3.5
CATAPULT	040	HUN	B	30,000	11.53	n/a	n/a	1,500.00	5.0
KENNEDY CAPITAL	046	HWKN	B	4,421	19.92	n/a	n/a	176.84	4.0
SOUTH POINT CAP	067	IMAX	SS	50,000	12.06	n/a	n/a	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	22.66	n/a	3-Feb	1,250.00	5.0
EXIS CAPITAL	044	JCI	SS	20,000	27.74	n/a	22-Jan	1,000.00	5.0
PZENA INV ADV	044	JCP	B	6,357	24.50	n/a	5-Feb	222.51	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	JNS	B	20,000	11.99	n/a	8-Feb	1,000.00	5.0
EXIS CAPITAL	044	JNY	B	20,000	14.80	n/a	29-Jan	1,000.00	5.0
MERRILL ASSET/BLACKROCK	214	JNY	B	2,500	14.50	n/a	29-Jan	100.00	4.0
PHILADELPHIA FINANCIAL	033	JOE	S	15,600	27.83	n/a	n/a	624.00	4.0
TOKIO MARINE ASSET MGMT	045	LEA	B	12,000	69.66	n/a	8-Feb	480.00	4.0
SAXON WOODS ADVISORS	242	LLY	B	200,000	35.02	n/a	n/a	6,000.00	3.0
SAC CAPITAL/JOHN MAGUIE	039	LOW	B	15,000	21.86	n/a	16-Nov	525.00	3.5
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.39	n/a	n/a	600.00	6.0
CATAPULT	040	MAS	S	25,000	14.08	n/a	n/a	1,250.00	5.0
MADISON ST PARTNERS LLC	046	MCD	B	20,000	63.48	n/a	8-Feb	1,000.00	5.0
TOKIO MARINE ASSET MGMT	045	MET	S	19,300	34.25	n/a	n/a	772.00	4.0
ISLE RIDGE PARTNERS	041	M	B	30,000	16.42	n/a	5-Feb	1,200.00	4.0
PILOT ADV	242	M	B	18,000	16.60	n/a	5-Feb	720.00	4.0
TYEE/TYGH	035	OMX	B	50,000	13.51	n/a	n/a	2,000.00	4.0
GRANITE CAPITAL	045	PAG	B	15,000	15.13	n/a	22-Jan	750.00	5.0
HARBORWATCH/DIAMBACK	232	PHM	S	50,000	11.33	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OVERLAND PARK CAP	041	PIR	S	50,000	4.99	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	39.16	n/a	12-Jan	800.00	4.0
CATAPULT	040	R	SS	31,120	32.68	n/a	n/a	1,556.00	5.0
ENTRUST CAPITAL	040	SUP	B	62,400	14.00	n/a	4-Jan	3,120.00	5.0
ROSEDALE CAPITAL	046	TBT	B	10,000	46.95	n/a	n/a	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TJX	S	100,000	37.95	n/a	5-Feb	3,000.00	3.0
COUGAR TRADING	044	TM	SS	15,000	73.03	n/a	n/a	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TRW	B	20,000	22.44	n/a	n/a	700.00	3.5
HIGHFIELDS CAP MGMT	039	WAG	B	100,000	33.61	n/a	n/a	5,000.00	5.0
GREEN ARROW DOUG	040	WRC	B	25,000	38.79	n/a	28-Jan	1,250.00	5.0
PZENA INV ADV	044	XOM	B	19,500	64.56	n/a	n/a	682.57	3.5
TOTAL (Trade Date) :								78,815.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	02/05	PNC CAPITAL ADV (PNCMIX0003)	028	CMI	B	30	49.71	n/a	3-Feb	1.20	4.0
AO,	02/05	PNC CAPITAL ADV (PNCMCARM11)	028	CMI	B	750	49.71	n/a	3-Feb	30.00	4.0
AO,	02/05	PNC CAPITAL ADV (PNCMNAOMNI)	028	CMI	B	12,895	49.71	n/a	3-Feb	515.80	4.0
AO,CXL	02/05	CATAPULT (CATADEUTCH)	040	DD	B	15,000	32.80	n/a	26-Jan	0.00	0.0
AO,CRT	02/05	CATAPULT (CATADEUTCH)	040	DD	B	15,000	32.80	n/a	26-Jan	750.00	5.0
AO,	02/05	PNC CAPITAL ADV (PNCMCARM11)	028	INTC	B	1,840	19.28	n/a	n/a	73.60	4.0
AO,	02/05	PNC CAPITAL ADV (PNCMNAOMNI)	028	INTC	B	33,930	19.28	n/a	n/a	1357.20	4.0
AO,	02/05	PNC CAPITAL ADV (PNCMIX0003)	028	INTC	B	80	19.28	n/a	n/a	3.20	4.0
AO,CXL	02/05	SANDLER O'NEILL ASSET (SANOJPMBS)	031	IVZ	S	23,400	18.50	n/a	8-Feb	1170.00	5.0
AO,CRT	02/05	SANDLER O'NEILL ASSET (SANOJPMBS)	031	IVZ	S	24,300	18.50	n/a	8-Feb	1215.00	5.0
AO,CXL	02/05	SANDLER O'NEILL ASSET (SANO)	031	IVZ	S	1,600	18.50	n/a	8-Feb	80.00	5.0
AO,CRT	02/05	SANDLER O'NEILL ASSET (SANO)	031	IVZ	S	700	18.50	n/a	8-Feb	35.00	5.0
AO,CXL	02/02	RAINIER INV MGMT (RAINRESFLO)	035	MDRX	B	410	17.49	n/a	n/a	16.40	4.0
AO,CRT	02/02	RAINIER INV MGMT (RAINRESFLO)	035	MDRX	B	410	17.49	n/a	n/a	16.40	4.0
AO,CXL	02/05	CASTLEROCK (CASTMERRIL)	040	PBI	B	108,737	22.50	n/a	n/a	4.00	0.0
AO,	02/05	CASTLEROCK (CASTMERRIL)	040	PBI	B	31,469	22.50	n/a	n/a	1258.76	4.0
AO,	02/05	CASTLEROCK (CASTUBS)	040	PBI	B	77,268	22.50	n/a	n/a	3090.72	4.0
AO,CXL	02/04	ISLE RIDGE PARTNERS (ISLECSFB)	041	WMT	B	28,642	53.33	n/a	1-Feb	1145.68	4.0
AO,CRT	02/04	MILLENIUM PARTNERS (MILPMLICS)	041	WMT	B	28,642	53.33	n/a	1-Feb	1145.68	4.0
TOTAL (AO, CXL, CRT) :										7,076.48	

TOTAL (Trade Date):	78,815.51
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TOTAL (RUN DATE) / NFS:	85,891.99
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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