



Daily Compliance Activity Report

Trade Date: 02/26/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	AB	S	70,236	26.86	n/a	12-Feb	3,511.80	5.0
RAINIER INV MGMT	035	ALK	B	48,500	34.66	n/a	n/a	2,425.00	5.0
SANDLER O'NEILL ASSET	031	AMG	S	7,200	71.01	n/a	22-Feb	360.00	5.0
SOUTH POINT CAP	067	AMSC	B	19,600	27.92	n/a	n/a	980.00	5.0
CRAMER ROSENTHAL/SCOTT	012	CBI	B	53,500	21.59	n/a	n/a	2,140.00	4.0
HARBORWATCH/DIAMBACK	232	COL	C	15,000	56.22	n/a	1-Feb	750.00	5.0
MILLENIUUM PARTNERS	028	CPB	B	16,600	33.35	n/a	n/a	664.00	4.0
MILLRACE FUND LP	028	CPKI	B	400	15.20	n/a	19-Feb	16.00	4.0
MILLENIUUM PARTNERS	028	CRI	S	15,000	28.34	n/a	n/a	600.00	4.0
CUMBERLAND	239	CRR	B	2,000	60.10	n/a	4-Feb	80.00	4.0
CATAPULT	040	DD	B	20,000	33.46	n/a	26-Feb	1,000.00	5.0
WAGONHOUND/NIC	048	DECK	S	5,313	121.04	n/a	n/a	212.52	4.0
GREEN ARROW DOUG	040	DPS	B	13,900	31.30	n/a	n/a	695.00	5.0
BUCK CAPITAL MGMT	001	DPZ	SS	40,000	12.62	n/a	25-Feb	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.60	n/a	n/a	600.00	6.0
HOPL	025	EXPE	S	182,941	22.32	n/a	n/a	7,317.64	4.0
BUCK CAPITAL MGMT	001	FDO	SS	40,000	33.15	n/a	1-Feb	1,600.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	60,000	23.83	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	40.77	n/a	5-Feb	800.00	4.0
MILLENIUM PARTNERS	028	GE	B	50,000	16.05	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	GPS	S	110,000	21.51	n/a	n/a	4,400.00	4.0
GALT INVESTMENT	041	GYMB	B	20,000	43.38	n/a	26-Feb	1,000.00	5.0
MILLENIUM PARTNERS	028	JBHT	S	10,000	35.35	n/a	n/a	400.00	4.0
WADDELL AND REED	047	JNPR	B	206,400	27.95	n/a	n/a	6,192.00	3.0
CRAMER ROSENTHAL/SCOTT	012	JNS	B	14,500	12.17	n/a	12-Feb	580.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	16.88	n/a	10-Feb	800.00	4.0
DIAMONDBACK CAP MGMT	232	JPM	S	10,000	42.14	n/a	26-Feb	500.00	5.0
CATAPULT	040	KO	SS	30,000	52.81	n/a	n/a	1,500.00	5.0
HUNTER GLOBAL INVESTOR	067	KO	SS	150,000	52.58	n/a	n/a	7,500.00	5.0
BUCK CAPITAL MGMT	001	LL	B	15,000	22.16	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	S	50,000	22.21	n/a	n/a	2,000.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	S	6,000	16.30	n/a	24-Feb	240.00	4.0
BROADARCH CAP/OLD NEWC	070	MGM	B	1,500	10.64	n/a	18-Feb	60.00	4.0
ISLE RIDGE PARTNERS	041	MHK	B	9,700	51.45	n/a	n/a	388.00	4.0
HOPL	025	MMC	B	106,758	23.22	n/a	n/a	4,270.32	4.0
HOPL	025	MTW	S	100,000	11.45	n/a	5-Feb	4,000.00	4.0
RBC CAPITAL MARKETS	040	OZM	B	25,000	13.27	n/a	12-Feb	1,000.00	4.0
HARRIER HAWK MGMT	028	PBI	SS	24,000	22.99	n/a	n/a	960.00	4.0
RAMIUS CAP	040	PCL	B	57,000	35.95	n/a	2-Feb	2,280.00	4.0
GOLD SACHS SPECIAL SIT	030	PLCE	S	100,000	38.11	n/a	5-Feb	5,000.00	5.0
BROADARCH CAP/OLD NEWC	070	PPG	SS	1,000	61.19	n/a	26-Feb	40.00	4.0
CUMBERLAND	239	RDC	SS	2,000	25.87	n/a	n/a	80.00	4.0
RAMIUS CAP	040	RS	C	43,400	43.96	n/a	n/a	1,736.00	4.0
RAMIUS CAP	040	RYN	B	42,150	41.19	n/a	27-Jan	1,686.00	4.0
EXIS CAPITAL	044	SONC	B	15,000	8.50	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAMIUS CAP	040	STE	C	70,000	31.53	n/a	n/a	2,800.00	4.0
TROUBH PART	067	SUP	B	7,500	14.47	n/a	4-Jan	375.00	5.0
CIRCLE T/SES PART	035	SWY	B	20,000	24.93	n/a	n/a	800.00	4.0
MAIRS AND POWER INV	030	TGT	S	10,000	51.33	n/a	23-Feb	500.00	5.0
COUGAR TRADING	044	TM	B	10,000	74.74	n/a	n/a	500.00	5.0
RAMIUS CAP	040	TTC	C	35,700	43.93	n/a	n/a	1,428.00	4.0
MILLENIUM PARTNERS	028	TWX	SS	22,749	28.86	n/a	n/a	909.96	4.0
MILLENIUM PARTNERS	028	TWX	S	2,251	28.86	n/a	n/a	90.04	4.0
BMO NESBITT BURNS	041	UFS	B	14,400	53.44	n/a	n/a	720.00	5.0
MELLON/BANK OF NEW YORK	046	WMB	S	322,983	21.54	n/a	n/a	16,149.15	5.0
ROSEDALE CAPITAL	046	WYNN	S	10,000	63.72	n/a	26-Feb	500.00	5.0
EATON VANCE MGMT	039	XOM	S	108,598	65.23	n/a	n/a	3,257.94	3.0
GCORE MANAGEMENT	041	XRX	B	60,000	9.37	n/a	n/a	3,000.00	5.0
CUMBERLAND	239	ZION	B	15,000	18.30	n/a	n/a	600.00	4.0
TOTAL (Trade Date) :								108,944.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/25	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HTZ	B	19,900	9.25	n/a	n/a	796.00 4.0
AO,CRT	02/25	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HTZ	B	19,900	9.25	n/a	n/a	597.00 3.0
AO,CXL	02/25	BUCK CAPITAL MGMT (BUCKGIL)	001	HTZ	B	100	9.25	n/a	n/a	4.00 4.0
AO,CRT	02/25	BUCK CAPITAL MGMT (BUCKGIL)	001	HTZ	B	100	9.25	n/a	n/a	3.00 3.0
AO,CRT	02/25	GREEN ARROW DOUG (GADRCITI)	040	PNK	B	25,300	7.22	n/a	n/a	1265.00 5.0
AO,CXL	02/25	GREEN ARROW DOUG (GADRCUSE)	040	PNK	B	25,300	7.22	n/a	n/a	1265.00 5.0
AO,CRT	02/25	GREEN ARROW DOUG (GADRCITI)	040	TJX	SS	20,000	41.36	n/a	26-Feb	1000.00 5.0
AO,CXL	02/25	GREEN ARROW DOUG (GADRCUSE)	040	TJX	SS	20,000	41.36	n/a	26-Feb	1000.00 5.0
TOTAL (AO, CXL, CRT) :										-200.00

TOTAL (Trade Date):	108,944.37
TOTAL (AO, CXL, CRT):	-200.00

TOTAL (RUN DATE) / NFS:	108,744.37
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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