

Daily Compliance Activity Report Trade Date: 02/18/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
EPOCH INV MGMT	030	AAPL	S	50	201.89	n/a	n/a	1.50	3.0
BUCK CAPITAL MGMT	001	AAP	В	40,000	39.53	n/a	n/a	1,600.00	4.0
CENTURION PARTNERS	041	AMR	В	30,000	8.75	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	AWI	S	900	36.93	n/a	n/a	27.00	3.0
SANDLER O'NEILL ASSET	031	BLK	В	600	211.40	n/a	12-Feb	30.00	5.0
ROYCE TRADING	216	BZ	В	13,000	4.73	n/a	n/a	390.00	3.0
WAGONHOUND/NIC	048	CAKE	S	7,039	23.49	n/a	12-Feb	281.56	4.0
MTB INV ADV	034	CKEC	В	7,100	8.11	n/a	n/a	213.00	3.0
EPOCH INV MGMT	030	CMS	S	2,050	15.17	n/a	n/a	61.50	3.0
EPOCH INV MGMT	030	COL	S	450	54.58	n/a	1-Feb	13.50	3.0
EPOCH INV MGMT	030	CPO	S	800	33.19	n/a	n/a	24.00	3.0
EPOCH INV MGMT	030	CW	S	1,850	30.38	n/a	n/a	55.50	3.0
M&I FUNDS	047	DLTR	S	10,964	49.83	n/a	16-Feb	438.56	4.0
WAGONHOUND/NIC	048	DPZ	S	10,260	12.25	n/a	19-Jan	410.40	4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
MAIRS AND POWER INV	030	EMR	S	20,000	47.42	n/a	n/a	1,000.00	5.0	
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.53	n/a	n/a	600.00	6.0	
HARVEST MGMT	039	FL	В	20,000	12.74	n/a	3-Feb	1,000.00	5.0	
PARTNER REINSURANCE	033	FL	В	29,550	12.73	n/a	3-Feb	1,182.00	4.0	
CENTURION PARTNERS	041	F	В	50,000	11.40	n/a	3-Feb	2,000.00	4.0	
CRAMER ROSENTHAL/SCOTT	012	GEF	В	1,400	50.04	n/a	n/a	56.00	4.0	
MTB INV ADV	034	GIII	S	16,657	19.94	n/a	n/a	832.85	5.0	
EPOCH INV MGMT	030	GPC	S	350	40.27	n/a	n/a	10.50	3.0	
CRAMER ROSENTHAL/SCOTT	012	HPQ	В	1,500	50.69	n/a	n/a	60.00	4.0	
RAMIUS CAP	040	HSC	В	92,000	30.61	n/a	1-Feb	3,680.00	4.0	
COBALT	041	IBM	В	50,000	127.32	n/a	n/a	2,500.00	5.0	
CRAMER ROSENTHAL/SCOTT	012	IFF	В	1,600	42.16	n/a	18-Feb	64.00	4.0	
DIAMONDBACK CAP MGMT	232	IR	В	20,000	33.35	n/a	16-Feb	1,000.00	5.0	
EPOCH INV MGMT	030	ISBC	S	2,500	11.90	n/a	n/a	75.00	3.0	
HUNTER GLOBAL INVESTOR	067	IWM	SS	30,000	62.52	n/a	n/a	900.00	3.0	
SAXON WOODS ADVISORS	242	JNJ	В	493,200	64.38	n/a	n/a	14,796.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
HUNTER GLOBAL INVESTOR	067	JPM	S	100,000	40.28	n/a	13-Feb	5,000.00	5.0
EXIS CAPITAL	044	KSS	В	9,000	50.81	n/a	5-Feb	450.00	5.0
KENNEDY CAPITAL	046	LIZ	S	12,700	5.97	n/a	7-0ct	381.00	3.0
EXIS CAPITAL	044	LTD	В	20,000	21.24	n/a	n/a	1,000.00	5.0
KADE CAPITAL LLC	036	LVS	В	10,000	16.72	n/a	18-Feb	500.00	5.0
TRELLUS PARTNERS LP	028	LVS	В	50,000	15.95	n/a	18-Feb	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	MAN	В	1,400	53.40	n/a	n/a	56.00	4.0
EPOCH INV MGMT	030	MAS	S	900	13.89	n/a	n/a	27.00	3.0
EPOCH INV MGMT	030	MNRO	S	800	34.27	n/a	n/a	24.00	3.0
BASIX	033	MTW	S	28,000	12.33	n/a	5-Feb	840.00	3.0
EPOCH INV MGMT	030	NSR	S	1,550	23.41	n/a	n/a	46.50	3.0
COLUMBUS CIRCLE	036	NTAP	В	16,700	31.24	n/a	n/a	668.00	4.0
WADDELL AND REED	047	NTAP	В	287,800	31.47	n/a	n/a	8,634.00	3.0
CRAMER ROSENTHAL/SCOTT	012	OMC	В	1,700	36.85	n/a	n/a	68.00	4.0
CRAMER ROSENTHAL/SCOTT	012	PBR	В	2,500	41.94	n/a	n/a	100.00	4.0
CAXTON PART	040	RKT	В	18,461	39.95	n/a	n/a	646.15	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/	Shr.
EPOCH INV MGMT	030	RYL	S	1,450	23.37	n/a	n/a	43.50	3.0
EPOCH INV MGMT	030	SVR	S	2 , 950	16.58	n/a	n/a	88.50	3.0
BRIGADE CAPITAL MGMT	029	SVU	В	50,000	15.71	n/a	n/a	1,500.00	3.0
EPOCH INV MGMT	030	TCBI	S	1,500	16.78	n/a	n/a	45.00	3.0
EPOCH INV MGMT	030	THG	S	800	41.53	n/a	n/a	24.00	3.0
AVESTA CAP	229	TJX	В	50,000	39.05	n/a	5-Feb	1,500.00	3.0
ROTHSCHILD ASSET	040	TMP	S	5,901	36.11	n/a	n/a	236.04	4.0
HUNTER GLOBAL INVESTOR	067	TROW	S	40,000	49.40	n/a	12-Feb	1,600.00	4.0
COBALT	041	TYC	В	50,000	35.34	n/a	29-Jan	2,500.00	5.0
EXIS CAPITAL	044	UA	В	5,000	25.80	n/a	29-Jan	250.00	5.0
EPOCH INV MGMT	030	VR	S	1,750	26.77	n/a	n/a	52.50	3.0
EPOCH INV MGMT	030	WAB	S	900	38.61	n/a	n/a	27.00	3.0
DSG CAPITAL	225	WFT	В	25,000	15.55	n/a	n/a	750.00	3.0
RAMIUS CAP	040	WY	S	134,000	40.26	n/a	5-Feb	5,360.00	4.0
EXIS CAPITAL	044	ZQK	В	13,200	2.24	n/a	18-Dec	660.00	5.0
	EPOCH INV MGMT EPOCH INV MGMT BRIGADE CAPITAL MGMT EPOCH INV MGMT EPOCH INV MGMT AVESTA CAP ROTHSCHILD ASSET HUNTER GLOBAL INVESTOR COBALT EXIS CAPITAL EPOCH INV MGMT DSG CAPITAL RAMIUS CAP	EPOCH INV MGMT 030 EPOCH INV MGMT 030 BRIGADE CAPITAL MGMT 029 EPOCH INV MGMT 030 EPOCH INV MGMT 030 AVESTA CAP 229 ROTHSCHILD ASSET 040 HUNTER GLOBAL INVESTOR 067 COBALT 041 EXIS CAPITAL 044 EPOCH INV MGMT 030 EPOCH INV MGMT 030 DSG CAPITAL 225 RAMIUS CAP 040	EPOCH INV MGMT 030 RYL EPOCH INV MGMT 030 SVR BRIGADE CAPITAL MGMT 029 SVU EPOCH INV MGMT 030 TCBI EPOCH INV MGMT 030 THG AVESTA CAP 229 TJX ROTHSCHILD ASSET 040 TMP HUNTER GLOBAL INVESTOR 067 TROW COBALT 041 TYC EXIS CAPITAL 044 UA EPOCH INV MGMT 030 VR EPOCH INV MGMT 030 WAB DSG CAPITAL 225 WFT RAMIUS CAP 040 WY	EPOCH INV MGMT 030 RYL S EPOCH INV MGMT 030 SVR S BRIGADE CAPITAL MGMT 029 SVU B EPOCH INV MGMT 030 TCBI S EPOCH INV MGMT 030 THG S AVESTA CAP 229 TJX B ROTHSCHILD ASSET 040 TMP S HUNTER GLOBAL INVESTOR 067 TROW S COBALT 041 TYC B EXIS CAPITAL 044 UA B EPOCH INV MGMT 030 VR S EPOCH INV MGMT 030 WAB S EPOCH INV MGMT 030 WAB S DSG CAPITAL 225 WFT B RAMIUS CAP 040 WY S	EPOCH INV MGMT 030 RYL S 1,450 EPOCH INV MGMT 030 SVR S 2,950 BRIGADE CAPITAL MGMT 029 SVU B 50,000 EPOCH INV MGMT 030 TCBI S 1,500 EPOCH INV MGMT 030 THG S 800 AVESTA CAP 229 TJX B 50,000 ROTHSCHILD ASSET 040 TMP S 5,901 HUNTER GLOBAL INVESTOR 067 TROW S 40,000 COBALT 041 TYC B 50,000 EXIS CAPITAL 044 UA B 5,000 EPOCH INV MGMT 030 VR S 1,750 EPOCH INV MGMT 030 WAB S 900 DSG CAPITAL 225 WFT B 25,000 RAMIUS CAP 040 WY S 134,000	EPOCH INV MGMT 030 RYL S 1,450 23.37 EPOCH INV MGMT 030 SVR S 2,950 16.58 BRIGADE CAPITAL MGMT 029 SVU B 50,000 15.71 EPOCH INV MGMT 030 TCBI S 1,500 16.78 EPOCH INV MGMT 030 THG S 800 41.53 AVESTA CAP 229 TJX B 50,000 39.05 ROTHSCHILD ASSET 040 TMP S 5,901 36.11 HUNTER GLOBAL INVESTOR 067 TROW S 40,000 49.40 COBALT 041 TYC B 50,000 35.34 EXIS CAPITAL 044 UA B 5,000 25.80 EPOCH INV MGMT 030 VR S 1,750 26.77 EPOCH INV MGMT 030 WAB S 900 38.61 DSG CAPITAL 225 WFT B 25,000 15.55 RAMIUS CAP 040 WY S 134,000 40.26	EPOCH INV MGMT 030 RYL S 1,450 23.37 n/a EPOCH INV MGMT 030 SVR S 2,950 16.58 n/a BRIGADE CAPITAL MGMT 029 SVU B 50,000 15.71 n/a EPOCH INV MGMT 030 TCBI S 1,500 16.78 n/a EPOCH INV MGMT 030 THG S 800 41.53 n/a AVESTA CAP 229 TJX B 50,000 39.05 n/a ROTHSCHILD ASSET 040 TMP S 5,901 36.11 n/a HUNTER GLOBAL INVESTOR 067 TROW S 40,000 49.40 n/a EXIS CAPITAL 044 UA B 50,000 35.34 n/a EXIS CAPITAL 044 UA B 5,000 25.80 n/a EPOCH INV MGMT 030 WAB S 900 38.61 n/a EPOCH INV MGMT 030 WAB S 900 38.61 n/a RAMIUS CAP 040 WY S 134,000 40.26 n/a	EPOCH INV MGMT 030 RYL S 1,450 23.37 n/a n/a EPOCH INV MGMT 030 SVR S 2,950 16.58 n/a n/a BRIGADE CAPITAL MGMT 029 SVU B 50,000 15.71 n/a n/a EPOCH INV MGMT 030 TCBI S 1,500 16.78 n/a n/a EPOCH INV MGMT 030 THG S 800 41.53 n/a n/a AVESTA CAP 229 TJX B 50,000 39.05 n/a 5-Feb ROTHSCHILD ASSET 040 TMP S 5,901 36.11 n/a n/a HUNTER GLOBAL INVESTOR 067 TROW S 40,000 49.40 n/a 12-Feb COBALT 041 TYC B 50,000 35.34 n/a 29-Jan EXIS CAPITAL 044 UA B 5,000 25.80 n/a 29-Jan EPOCH INV MGMT 030 WAB S 900 38.61 n/a n/a EPOCH INV MGMT 030 WAB S 900 38.61 n/a n/a DSG CAPITAL 225 WFT B 25,000 15.55 n/a n/a RAMIUS CAP 040 WY S 134,000 40.26 n/a 5-Feb	EPOCH INV MGMT 030 RYL S 1,450 23.37 n/a n/a 43.50 EPOCH INV MGMT 030 SVR S 2,950 16.58 n/a n/a 88.50 BRIGADE CAPITAL MGMT 029 SVU B 50,000 15.71 n/a n/a 1,500.00 EPOCH INV MGMT 030 TCBI S 1,500 16.78 n/a n/a 45.00 EPOCH INV MGMT 030 THG S 800 41.53 n/a n/a 24.00 AVESTA CAP 229 TJX B 50,000 39.05 n/a 5-Feb 1,500.00 ROTHSCHILD ASSET 040 TMP S 5,901 36.11 n/a n/a 236.04 HUNTER GLOBAL INVESTOR 067 TROW S 40,000 49.40 n/a 12-Feb 1,600.00 COBALT 041 TYC B 50,000 35.34 n/a 29-Jan 2,500.00 EXIS CAPITAL 044 UA B 5,000 25.80 n/a 29-Jan 250.00 EPOCH INV MCMT 030 WAB S 900 38.61 n/a n/a 750.00 DSG CAPITAL 225 WFT B 25,000 15.55 n/a n/a 750.00 RAMIUS CAP 040 WY S 134,000 40.26 n/a 5-Feb 5,360.00

TOTAL (Trade Date): 70,080.06

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO, CRT	02/17	MISSION POINT (MISPCSMAST)	048	CAT	S	16,875	57.75	n/a	28-Jan	843.75	5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	CAT	S	16,875	57.75	n/a	28-Jan	843.75	5.0
AO,CXL	02/17	CONIFER/ISF (CONIISFRIP)	025	IBM	В	1,500	126.01	n/a	n/a	60.00	4.0
AO, CRT	02/17	CONIFER/ISF (CONIISFRIP)	025	IBM	В	1,500	126.01	n/a	n/a	75.00	5.0
AO, CRT	02/17	MISSION POINT (MISPCSMAST)	048	LMT	В	13,025	75.70	n/a	2-Feb	651.25	5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	LMT	В	13,025	75.70	n/a	2-Feb	651.25	5.0
AO, CRT	02/17	MISSION POINT (MISPCSMAST)	048	NOC	S	16,325	59.53	n/a	5-Feb	816.25	5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	NOC	S	16,325	59.53	n/a	5-Feb	816.25	5.0
AO,	02/17	THIRD COAST CAPITAL (3CAPPBOA)	035	PAG	В	25 , 000	15.54	n/a	17-Feb	1250.00	5.0
AO, CRT	02/17	MISSION POINT (MISPCSMAST)	048	PCP	В	8,225	110.86	n/a	22-Jan	411.25	5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	PCP	В	8,225	110.86	n/a	22-Jan	411.25	5.0
AO,	02/17	LISTED ERR (LISTED ERR)	099	PVH	В	25,000	42.72	n/a	18-Feb	0.00	0.0
AO, CRT	02/17	MISSION POINT (MISPCSMAST)	048	TEN	В	26,275	20.47	n/a	n/a	1313.75	5.0
AO,CXL	02/17	MISSION POINT (MISPGSPB)	048	TEN	В	26,275	20.47	n/a	n/a	1313.75	5.0
AO,	02/17	SEVE (SEVEGSBULK)	067	VRSN	S	8,000	24.05	n/a	n/a	240.00	3.0
AO,	02/17	SEVE (SEVEUBSPB)	067	VRSN	S	2,000	24.05	n/a	n/a	60.00	3.0

TOTAL (AO, CXL, CRT): 1,565.00

TOTAL (RUN DATE) / NFS:	71,645.06
TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	70,080.06 1,565.00
TOTAL (Trade Date).	70 000 06

Legend:

O: 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