

Daily Compliance Activity Report Trade Date: 02/05/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
SAC CAPITAL/JOHN MAGUIE	039	AEO	S	6 , 500	15.72	n/a	5-Feb	227.50	3.5
BUCK CAPITAL MGMT	001	ANN	SS	30,000	14.40	n/a	n/a	1,200.00	4.0
ROYCE TRADING	216	APOL	S	1,900	59.48	n/a	n/a	95.00	5.0
SONTERRA CAP	041	ARG	В	25 , 000	61.00	n/a	5-Feb	1,000.00	4.0
WEISS PECK	040	AVP	С	2,660	29.35	n/a	5-Feb	133.00	5.0
ROSEDALE CAPITAL	046	AXL	В	20,000	8.59	n/a	4-Jan	800.00	4.0
TRELLUS PARTNERS LP	028	AXL	S	12,400	9.28	n/a	4-Jan	372.00	3.0
SAC CAPITAL/JOHN MAGUIE	039	BIG	В	3,000	29.54	n/a	1-Feb	105.00	3.5
SANDLER O'NEILL ASSET	031	BLK	S	5,000	206.47	n/a	3-Feb	250.00	5.0
METROPOLITAN CAPITAL	044	BWA	В	5,600	34.50	n/a	4-Jan	280.00	5.0
ROYCE TRADING	216	BZ	В	11,000	4.65	n/a	n/a	330.00	3.0
HIGHBRIDGE CAP	041	CCI	В	50,453	34.82	n/a	n/a	2,018.12	4.0
PNC CAPITAL ADV	028	CMI	В	57 , 128	49.71	n/a	3-Feb	2,290.89	4.3
1798 CAPITAL MGMT	040	СОН	SS	10,000	33.18	n/a	21-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	СОН	В	40,000	33.77	n/a	21-Jan	1,600.00	4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	:/Shr.	
WHALE ROCK CAP	030	CSCO	В	254,312	23.41	n/a	n/a	10,172.48	4.0	
TRELLUS PARTNERS LP	028	DAN	В	46,400	9.58	n/a	6-Jan	1,392.00	3.0	
CATAPULT	040	DD	В	15,000	32.80	n/a	26-Jan	0.00	0.0	
CAERUS GLOBAL	041	DG	В	10,000	21.94	n/a	1-Feb	300.00	3.0	
SOUTH POINT CAP	067	EEM	В	100,000	36.89	n/a	n/a	5,000.00	5.0	
WHALE ROCK CAP	030	EFII	S	17,262	11.28	n/a	n/a	690.48	4.0	
CRAMER ROSENTHAL/SCOTT	012	EMR	С	5,000	45.06	n/a	n/a	200.00	4.0	
FIRST NEW YORK LEDDY	035	ETFC	В	10,000	1.47	n/a	n/a	600.00	6.0	
CUMBERLAND	239	FNF	SS	10,000	13.26	n/a	n/a	400.00	4.0	
BMO NESBITT BURNS	041	F	SS	50,000	10.70	n/a	3-Feb	2,500.00	5.0	
TRELLUS PARTNERS LP	028	F	В	100,000	10.62	n/a	3-Feb	5,000.00	5.0	
BUCK CAPITAL MGMT	001	GCO	В	10,000	21.63	n/a	n/a	400.00	4.0	
BUCK CAPITAL MGMT	001	GES	В	10,000	38.45	n/a	5-Feb	400.00	4.0	
MILLENIUM PARTNERS	028	GE	В	50,000	15.42	n/a	n/a	2,000.00	4.0	
BUCK CAPITAL MGMT	001	GIL	В	20,000	21.73	n/a	28-Jan	800.00	4.0	
COLUMBIA PARTNERS	028	GNTX	SS	56 , 628	18.86	n/a	29-Jan	2,265.12	4.0	
	WHALE ROCK CAP TRELLUS PARTNERS LP CATAPULT CAERUS GLOBAL SOUTH POINT CAP WHALE ROCK CAP CRAMER ROSENTHAL/SCOTT FIRST NEW YORK LEDDY CUMBERLAND BMO NESBITT BURNS TRELLUS PARTNERS LP BUCK CAPITAL MGMT MILLENIUM PARTNERS BUCK CAPITAL MGMT	WHALE ROCK CAP TRELLUS PARTNERS LP CATAPULT CAERUS GLOBAL SOUTH POINT CAP WHALE ROCK CAP WHALE ROCK CAP CRAMER ROSENTHAL/SCOTT FIRST NEW YORK LEDDY CUMBERLAND BMO NESBITT BURNS TRELLUS PARTNERS LP BUCK CAPITAL MGMT MILLENIUM PARTNERS 028 BUCK CAPITAL MGMT O01 MILLENIUM PARTNERS 028	WHALE ROCK CAP TRELLUS PARTNERS LP 028 DAN CATAPULT 040 DD CAERUS GLOBAL SOUTH POINT CAP WHALE ROCK CAP WHALE ROCK CAP O30 EFII CRAMER ROSENTHAL/SCOTT O12 EMR FIRST NEW YORK LEDDY O35 ETFC CUMBERLAND 239 FNF BMO NESBITT BURNS TRELLUS PARTNERS LP 028 F BUCK CAPITAL MGMT O01 GCO BUCK CAPITAL MGMT O01 GIL	WHALE ROCK CAP TRELLUS PARTNERS LP 028 DAN B CATAPULT 040 DD B CAERUS GLOBAL 041 DG B SOUTH POINT CAP 067 EEM B WHALE ROCK CAP 030 EFII S CRAMER ROSENTHAL/SCOTT 012 EMR C FIRST NEW YORK LEDDY 035 ETFC B CUMBERLAND 239 FNF SS BMO NESBITT BURNS TRELLUS PARTNERS LP 028 F BUCK CAPITAL MGMT 001 GCO B BUCK CAPITAL MGMT 001 GES B MILLENIUM PARTNERS 028 GE B BUCK CAPITAL MGMT 001 GIL B	WHALE ROCK CAP 030 CSCO B 254,312 TRELLUS PARTNERS LP 028 DAN B 46,400 CATAPULT 040 DD B 15,000 CAERUS GLOBAL 041 DG B 10,000 SOUTH POINT CAP 067 EEM B 100,000 WHALE ROCK CAP 030 EFII S 17,262 CRAMER ROSENTHAL/SCOTT 012 EMR C 5,000 FIRST NEW YORK LEDDY 035 ETFC B 10,000 CUMBERLAND 239 FNF SS 50,000 BMO NESBITT BURNS 041 F SS 50,000 TRELLUS PARTNERS LP 028 F B 100,000 BUCK CAPITAL MGMT 001 GES B 10,000 MILLENIUM PARTNERS 028 GE B 50,000 BUCK CAPITAL MGMT 001 GIL B 50,000	WHALE ROCK CAP 030 CSCO B 254,312 23.41 TRELLUS PARTNERS LP 028 DAN B 46,400 9.58 CATAPULT 040 DD B 15,000 32.80 CAERUS GLOBAL 041 DG B 100,000 21.94 SOUTH POINT CAP 067 EEM B 100,000 36.89 WHALE ROCK CAP 030 EFII S 17,262 11.28 CRAMER ROSENTHAL/SCOTT 012 EMR C 5,000 45.06 FIRST NEW YORK LEDDY 035 ETFC B 10,000 1.47 CUMBERLAND 239 FNF SS 10,000 13.26 BMO NESBITT BURNS 041 F SS 50,000 10.70 TRELLUS PARTNERS LP 028 F B 100,000 10.62 BUCK CAPITAL MGMT 001 GES B 10,000 38.45 MILLENIUM PARTNERS 028 GE B 50,000 15.42 BUCK CAPITAL MGMT 001 GIL B 20,000 21.73	WHALE ROCK CAP 030 CSCO B 254,312 23.41 n/a TRELLUS PARTNERS LP 028 DAN B 46,400 9.58 n/a CATAPULT 040 DD B 15,000 32.80 n/a CAERUS GLOBAL 041 DG B 10,000 21.94 n/a SOUTH POINT CAP 067 EEM B 100,000 36.89 n/a WHALE ROCK CAP 030 EFII S 17,262 11.28 n/a CRAMER ROSENTHAL/SCOTT 012 EMR C 5,000 45.06 n/a FIRST NEW YORK LEDDY 035 ETFC B 10,000 1.47 n/a CUMBERLAND 239 FNF SS 10,000 13.26 n/a BMO NESBITT BURNS 041 F SS 50,000 10.70 n/a TRELLUS PARTNERS LP 028 F B 100,000 10.62 n/a BUCK CAPITAL MGMT 001 GES B 10,000 38.45 n/a BUCK CAPITAL MGMT 001 GES B 50,000 15.42 n/a BUCK CAPITAL MGMT 001 GIL B 20,000 21.73 n/a	WHALE ROCK CAP 030 CSCO B 254,312 23.41	WHALE ROCK CAP 030 CSCO B 254,312 23.41	WHALE ROCK CAP 030 CSCO B 254,312 23.41 n/a n/a 10,172.48 4.0 TRELLUS PARTNERS LF 028 DAN B 46,400 9.58 n/a 6-Jan 1,392.00 3.0 CATAPULT 040 DD B 15,000 32.80 n/a 26-Jan 0.00 0.0 CAERUS GLOBAL 041 DG B 10,000 21.94 n/a 1-Feb 300.00 3.0 SOUTH POINT CAP 067 EEM B 100,000 36.89 n/a n/a 5,000.00 5.0 WHALE ROCK CAP 030 EFII S 17,262 11.28 n/a n/a 690.48 4.0 CRAMER ROSENTHAL/SCOTT 012 EMR C 5,000 45.06 n/a n/a 200.00 4.0 FIRST NEW YORK LEDDY 035 ETFC B 10,000 13.26 n/a n/a 400.00 4.0 BMO NESRITT BURNS

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BUCK CAPITAL MGMT	001	GPS	В	70,000	19.83	n/a	n/a	2,800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	HBI	S	150,000	21.42	n/a	n/a	4,500.00	3.0
SCOPUS FUND	041	HBI	В	47,800	21.50	n/a	n/a	2,390.00	5.0
SAXON WOODS ADVISORS	242	HES	S	61,000	56.59	n/a	n/a	2,440.00	4.0
WHALE ROCK CAP	030	HPQ	В	61,467	47.31	n/a	n/a	2,458.68	4.0
KENNEDY CAPITAL	046	HWKN	В	20 , 579	19.78	n/a	n/a	823.16	4.0
PNC CAPITAL ADV	028	INTC	В	142,263	19.28	n/a	n/a	5,690.52	4.0
BUCK CAPITAL MGMT	001	IR	В	10,000	32.39	n/a	4-Jan	400.00	4.0
HARBORWATCH/DIAMBACK	232	ITW	S	20,000	42.02	n/a	28-Jan	1,000.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	25 , 000	18.50	n/a	3-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	JNY	В	50,000	14.66	n/a	29-Jan	2,000.00	4.0
EXIS CAPITAL	044	JNY	S	20,000	14.50	n/a	29-Jan	1,000.00	5.0
MERRILL ASSET/BLACKROCK	214	JNY	В	34,500	14.62	n/a	29-Jan	1,380.00	4.0
TRUSTCO/SUNTRUST	040	JNY	В	63,800	14.52	n/a	29-Jan	2,488.20	3.9
BUCK CAPITAL MGMT	001	JWN	В	1,500	34.08	n/a	5-Feb	60.00	4.0
HUNTER GLOBAL INVESTOR	067	JWN	SS	100,000	33.64	n/a	5-Feb	5,000.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	KR	SS	10,000	21.07	n/a	n/a	350.00	3.5
BUCK CAPITAL MGMT	001	KSS	В	30,000	49.26	n/a	5-Feb	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
1798 CAPITAL MGMT	040	LOW	В	15,000	21.53	n/a	16-Nov	750.00	5.0
HUNTER GLOBAL INVESTOR	067	MAN	SS	100,000	51.22	n/a	n/a	5,000.00	5.0
RBC CAPITAL MARKETS	040	MCD	В	5,000	63.89	n/a	22-Jan	200.00	4.0
MERRILL ASSET/BLACKROCK	214	MDC	В	23,300	33.97	n/a	n/a	932.00	4.0
BASIX	033	MTW	В	17,000	10.67	n/a	5-Feb	510.00	3.0
BUCK CAPITAL MGMT	001	М	В	20,000	16.45	n/a	5-Feb	800.00	4.0
EXIS CAPITAL	044	М	В	20,000	15.87	n/a	5-Feb	1,000.00	5.0
EXIS CAPITAL	044	М	S	20,000	16.14	n/a	5-Feb	1,000.00	5.0
FIRST NY SEC/CHRIS	041	М	В	10,000	16.40	n/a	5-Feb	500.00	5.0
RBC CAPITAL MARKETS	040	М	В	10,000	15.97	n/a	5-Feb	400.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	М	В	4,300	15.89	n/a	5-Feb	150.50	3.5
SLS CAPITAL LLC	224	М	В	75,500	16.47	n/a	5-Feb	3,020.00	4.0
ROTHSCHILD ASSET	040	NEU	S	11,950	84.20	n/a	n/a	478.00	4.0
TYEE/TYGH	035	OMX	В	50,000	13.33	n/a	n/a	2,000.00	4.0
WHALE ROCK CAP	030	ORCL	В	246,820	23.53	n/a	n/a	9,872.80	4.0
MERRILL ASSET/BLACKROCK	214	PAG	В	39,000	14.38	n/a	22-Jan	1,560.00	4.0
CASTLEROCK	040	PBI	В	108,737	22.50	n/a	n/a	4.00	0.0
LEVIN CAPITAL STRATEGIES	012	PBI	S	100,000	22.50	n/a	n/a	4,000.00	4.0
GABELLI FUNDS	040	PFWD	В	1,200	10.97	n/a	n/a	60.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
CAERUS GLOBAL	041	PIR	В	20,000	4.80	n/a	n/a	600.00	3.0
MERRILL ASSET/BLACKROCK	214	PLCE	S	150	35.75	n/a	5-Feb	6.00	4.0
PROSPECTOR PARTNERS LLC	036	PPS	S	20,000	18.26	n/a	n/a	800.00	4.0
HOLLIS CAPITAL	033	RIG	SS	6,000	81.41	n/a	n/a	300.00	5.0
PARTNER REINSURANCE	033	RSH	В	19,350	18.91	n/a	n/a	774.00	4.0
GRISANTI BROWN & PARTNER	048	SPR	S	8,200	17.35	n/a	5-Feb	410.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	SWY	SS	10,000	21.87	n/a	n/a	350.00	3.5
SAC CAPITAL/JOHN MAGUIE	039	TGT	В	1,700	48.63	n/a	4-Feb	59.50	3.5
SCOPUS FUND	041	TIN	S	40,000	16.44	n/a	4-Feb	2,000.00	5.0
COUGAR TRADING	044	TM	В	22 , 500	73.50	n/a	n/a	1,125.00	5.0
COUGAR TRADING	044	TM	SS	5,000	72.29	n/a	n/a	250.00	5.0
PENNANT CAP MGMT	029	TROW	В	420,000	48.31	n/a	3-Feb	12,600.00	3.0
ROYCE TRADING	216	UUP	В	800	23.62	n/a	n/a	40.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	VFC	В	400	70.68	n/a	28-Jan	14.00	3.5
ROARING BLUE LION MGMT	012	WBC	S	10,800	25.58	n/a	4-Feb	432.00	4.0
SOUTH POINT CAP	067	WLP	S	75 , 000	61.64	n/a	n/a	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
EPOCH INV MGMT	030	WRC	В	55,631	38.20	n/a	28-Jan	1,668.93 3.0
BUCK CAPITAL MGMT COHE & STEERS	001 091	WY WY	B B	10,000 37,000	38.79 39.13	n/a n/a	5-Feb 5-Feb	400.00 4.0 1,480.00 4.0
CASTLE ARK	031	XTO	S	104,860	44.47	n/a	n/a	6,291.60 6.0

TOTAL (Trade Date): 146,140.48

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	02/04	STELLIAM INV ADV (STLLGSBULK)	034	CRR	В	25,000	63.09	n/a	4-Feb	1250.00	5.0
AO,CXL	02/04	STELLIAM INV ADV (STLLMSEXEC)	034	CRR	В	25,000	63.09	n/a	4-Feb	1250.00	5.0
AO,CXL	02/02	RAINIER INV MGMT (RAINAAARET)	035	MDRX	В	400	17.49	n/a	n/a	16.00	4.0
AO, CRT	02/02	RAINIER INV MGMT (RAINAAARET)	035	MDRX	В	2,390	17.49	n/a	n/a	95.60	4.0
AO,CXL	02/02	RAINIER INV MGMT (RAINABXAIR)	035	MDRX	В	2,390	17.49	n/a	n/a	95.60	4.0
AO,CRT	02/02	RAINIER INV MGMT (RAINABXAIR)	035	MDRX	В	400	17.49	n/a	n/a	16.00	4.0
CRT	02/05	COUGAR TRADING (COUGPB MS)	044	TM	В	22,500	73.50	n/a	n/a	1125.00	5.0
AO,CXL	02/04	MILLENIUM KOZLOW (MILKKOZLO)	028	WFMI	SS	5,000	27.62	n/a	n/a	200.00	4.0
AO, CRT	02/04	MILLRACE FUND LP (MILRGS)	028	WFMI	SS	5,000	27.62	n/a	n/a	200.00	4.0

TOTAL (RUN DATE) / NFS:	147,265.48
TOTAL (AO, CXL, CRT):	1,125.00
TOTAL (Trade Date):	146,140.48

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