



Daily Compliance Activity Report

Trade Date: 01/12/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| SACC-SCHWARTZ | 044 | AA | B | 50,000 | 15.85 | n/a | n/a | 2,000.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | ACM | B | 35,000 | 29.53 | n/a | n/a | 1,400.00 | 4.0 |
| JP MORGAN VENTURES | 046 | AFCE | B | 35,000 | 8.08 | n/a | n/a | 1,050.00 | 3.0 |
| ETON PARK CAPITAL | 041 | ASBC | S | 250,000 | 11.75 | n/a | n/a | 10,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | AVP | B | 69,600 | 31.46 | n/a | 12-Jan | 2,784.00 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 012 | BEN | C | 15,000 | 111.49 | n/a | 12-Jan | 600.00 | 4.0 |
| GLENHILL CAPITAL | 212 | BRCD | B | 300,000 | 7.94 | n/a | n/a | 15,000.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | CHS | B | 10,000 | 13.89 | n/a | n/a | 400.00 | 4.0 |
| SENATOR INVESTMENT GROUP | 036 | CMCSA | S | 200,000 | 16.45 | n/a | n/a | 6,000.00 | 3.0 |
| EPOCH INV MGMT | 030 | CMCSK | S | 17,200 | 15.81 | n/a | n/a | 516.00 | 3.0 |
| MTB INV ADV | 034 | COH | S | 30,699 | 38.00 | n/a | 21-Oct | 1,534.95 | 5.0 |
| EPOCH INV MGMT | 030 | COP | S | 1,950 | 52.44 | n/a | n/a | 58.50 | 3.0 |
| JP MORGAN VENTURES | 046 | CPB | SS | 15,000 | 33.34 | n/a | n/a | 750.00 | 5.0 |
| WAGONHOUND/NIC | 048 | CVGI | B | 21,181 | 6.12 | n/a | n/a | 635.43 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|--------|-----|-----------|--------|-----|----------|--------------|-----|
| MARINER/TRICADIA | 041 | CXW | S | 45,000 | 24.20 | n/a | n/a | 1,800.00 | 4.0 |
| OZ MGMT | 040 | C | S | 1,000,000 | 3.52 | n/a | 11-Jan | 30,000.00 | 3.0 |
| METROPOLITAN CAPITAL | 044 | DAN | B | 34,200 | 11.55 | n/a | 6-Jan | 1,710.00 | 5.0 |
| TRAFELET & COMP. | 028 | DAN | B | 220,000 | 11.79 | n/a | 6-Jan | 8,800.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | DBRN | B | 5,000 | 24.13 | n/a | n/a | 200.00 | 4.0 |
| AVESTA CAP | 229 | DD | B | 100,000 | 34.26 | n/a | 12-Jan | 3,000.00 | 3.0 |
| EPOCH INV MGMT | 030 | DD | S | 6,300 | 33.90 | n/a | 12-Jan | 189.00 | 3.0 |
| EPOCH INV MGMT | 030 | DE | S | 3,050 | 57.21 | n/a | 30-Nov | 91.50 | 3.0 |
| EPOCH INV MGMT | 030 | DHR | S | 3,550 | 76.81 | n/a | n/a | 106.50 | 3.0 |
| EPOCH INV MGMT | 030 | DO | S | 2,450 | 103.10 | n/a | n/a | 73.50 | 3.0 |
| GREEN ARROW DOUG | 040 | DPZ | SS | 40,000 | 10.11 | n/a | 11-Jan | 2,000.00 | 5.0 |
| EXIS CAPITAL | 044 | DTG | SS | 5,000 | 26.89 | n/a | n/a | 250.00 | 5.0 |
| EPOCH INV MGMT | 030 | DVA | S | 6,050 | 61.15 | n/a | n/a | 181.50 | 3.0 |
| EPOCH INV MGMT | 030 | EBAY | S | 4,700 | 23.13 | n/a | n/a | 141.00 | 3.0 |
| FIRST NEW YORK LEDDY | 035 | ETFC | S | 10,000 | 1.77 | n/a | n/a | 600.00 | 6.0 |
| EPOCH INV MGMT | 030 | ETR | S | 1,550 | 81.69 | n/a | n/a | 46.50 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|--------------|-----------------|------------|
| CUMBERLAND | 239 | EXH | B | 10,000 | 22.63 | n/a | 4-Jan | 400.00 | 4.0 |
| EPOCH INV MGMT | 030 | FISV | S | 5,200 | 48.46 | n/a | n/a | 156.00 | 3.0 |
| SCOPUS FUND | 041 | F | B | 275,000 | 11.95 | n/a | 6-Jan | 13,750.00 | 5.0 |
| EXIS CAPITAL | 044 | GCI | SS | 10,000 | 16.40 | n/a | n/a | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GCO | S | 30,000 | 26.49 | n/a | n/a | 1,200.00 | 4.0 |
| ST OF MICHIAN | 047 | GME | B | 70,000 | 20.45 | n/a | n/a | 2,100.00 | 3.0 |
| SAC TRADING TOM LEDDY | 035 | GPS | B | 40,000 | 19.85 | n/a | n/a | 2,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | HBI | S | 20,000 | 23.75 | n/a | n/a | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | HGG | S | 20,000 | 22.85 | n/a | n/a | 800.00 | 4.0 |
| BMO NESBITT BURNS | 041 | IP | SS | 38,300 | 27.28 | n/a | 7-Jan | 1,915.00 | 5.0 |
| OZ MGMT | 040 | IP | SS | 35,951 | 26.89 | n/a | 7-Jan | 1,078.53 | 3.0 |
| SCHOTTENFELD ASSOC | 041 | IP | B | 30,000 | 26.90 | n/a | 7-Jan | 900.00 | 3.0 |
| SCOPUS FUND | 041 | IP | SS | 35,000 | 27.09 | n/a | 7-Jan | 1,750.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | IP | SS | 34,010 | 26.91 | n/a | 7-Jan | 1,700.50 | 5.0 |
| LISTED ERR | 099 | IP | B | 34,010 | 26.91 | n/a | 7-Jan | 0.00 | 0.0 |
| LISTED ERR | 099 | IP | S | 34,010 | 26.91 | n/a | 7-Jan | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | JCP | B | 10,000 | 25.33 | n/a | 8-Jan | 400.00 | 4.0 |
| CHARTER OAK | 033 | JPM | S | 76,531 | 44.03 | n/a | 11-Jan | 3,826.55 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|---------------|------------|
| RBC CAPITAL MARKETS | 040 | JWN | B | 5,000 | 37.06 | n/a | 8-Jan | 200.00 | 4.0 |
| COUGAR TRADING | 044 | KSS | S | 5,000 | 51.57 | n/a | 8-Jan | 250.00 | 5.0 |
| TRAFELET & COMP. | 028 | LEA | B | 35,000 | 71.43 | n/a | 8-Jan | 1,400.00 | 4.0 |
| CIRCLE T/SES PART | 035 | LVS | S | 25,000 | 18.71 | n/a | 4-Jan | 1,000.00 | 4.0 |
| SAC TRADIN/BINDER | 044 | LVS | SS | 25,000 | 18.70 | n/a | 4-Jan | 1,000.00 | 4.0 |
| JP MORGAN VENTURES | 046 | MOS | B | 50,000 | 62.32 | n/a | n/a | 2,500.00 | 5.0 |
| JP MORGAN VENTURES | 046 | MRT | B | 30,000 | 3.81 | n/a | n/a | 900.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | NTY | S | 20,000 | 45.64 | n/a | n/a | 800.00 | 4.0 |
| JP MORGAN VENTURES | 046 | NWL | B | 25,000 | 15.45 | n/a | n/a | 1,250.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | ORA | SS | 50,000 | 36.52 | n/a | n/a | 2,000.00 | 4.0 |
| BASIX | 033 | PAG | B | 25,000 | 17.17 | n/a | 4-Jan | 750.00 | 3.0 |
| FRIESS MGMT | 033 | PAG | B | 359,200 | 17.19 | n/a | 4-Jan | 14,368.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 214 | PCLN | S | 1,200 | 211.04 | n/a | n/a | 48.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | PEP | S | 20,000 | 61.61 | n/a | n/a | 1,000.00 | 5.0 |
| MACKLOWE ASSET MGMT | 041 | PG | B | 30,000 | 61.06 | n/a | 4-Jan | 1,200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | PIR | S | 20,000 | 5.53 | n/a | n/a | 600.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|----------|-------------------|-----|
| OZ MGMT | 040 | PKG | C | 30,200 | 23.76 | n/a | 7-Jan | 906.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | PVH | S | 10,000 | 43.22 | n/a | 12-Jan | 400.00 | 4.0 |
| ROSEDALE CAPITAL | 046 | PXP | B | 20,000 | 31.96 | n/a | n/a | 1,000.00 | 5.0 |
| PORTER-ORLIN-FELDMAN | 044 | QQQQ | SS | 200,000 | 45.66 | n/a | n/a | 10,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | SKX | S | 40,000 | 28.65 | n/a | n/a | 1,600.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | TIF | SS | 10,000 | 45.89 | n/a | n/a | 400.00 | 4.0 |
| MILLENIUM PARTNERS | 028 | TIN | B | 20,000 | 20.62 | n/a | 7-Jan | 800.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | TROW | B | 2,700 | 54.15 | n/a | 8-Jan | 135.00 | 5.0 |
| SOROS | 036 | TXN | C | 33,466 | 24.80 | n/a | n/a | 1,338.64 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | WDR | B | 25,000 | 32.09 | n/a | 8-Jan | 1,250.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | WMT | S | 50,000 | 54.42 | n/a | 4-Jan | 2,000.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | WYNN | B | 10,000 | 68.51 | n/a | 4-Jan | 500.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 174,790.60 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 01/11 | 1798 CAPITAL MGMT (1798MS) | 040 | BKC | SS | 10,000 | 18.48 | n/a | 11-Jan | 500.00 5.0 |
| AO,CXL | 01/11 | 1798 CAPITAL MGMT (1798GS) | 040 | BKC | SS | 10,000 | 18.48 | n/a | 11-Jan | 500.00 5.0 |
| AO,CXL | 01/11 | FIRST NY SEC/CHRIS (FNYCHRIS) | 041 | INTC | B | 25,000 | 20.97 | n/a | n/a | 1000.00 4.0 |
| AO,CRT | 01/11 | FIRST NY SEC/CHRIS (FNYCHRIS) | 041 | INTC | B | 25,000 | 20.97 | n/a | n/a | 750.00 3.0 |
| AO, | 01/11 | DB ALTERNATIVE DBAG LDN (DBAGDB) | 034 | IR | S | 5,000 | 37.79 | n/a | 4-Jan | 250.00 5.0 |
| AO,CRT | 01/11 | SCOPUS FUND (SCOPGS) | 041 | PAG | B | 1,800 | 17.32 | n/a | 4-Jan | 90.00 5.0 |
| AO,CXL | 01/11 | SCOPUS FUND (SCOPUBS) | 041 | PAG | B | 8,100 | 17.32 | n/a | 4-Jan | 405.00 5.0 |
| AO,CRT | 01/11 | SCOPUS FUND (SCOPUBS) | 041 | PAG | B | 8,200 | 17.32 | n/a | 4-Jan | 410.00 5.0 |
| AO,CXL | 01/11 | SCOPUS FUND (SCOPGS) | 041 | PAG | B | 1,900 | 17.32 | n/a | 4-Jan | 95.00 5.0 |
| AO,CXL | 01/11 | PRINCIPLE CAPITAL (PRINUBSPB) | 040 | WMT | S | 40,000 | 53.84 | n/a | 4-Jan | 0.00 0.0 |
| AO,CRT | 01/11 | PRINCIPLE CAPITAL (PRINUBSPB) | 040 | WMT | S | 40,000 | 53.84 | n/a | 4-Jan | 1600.00 4.0 |

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| TOTAL (AO, CXL, CRT) : | 1,600.00 |
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|-----------------------|------------|
| TOTAL (Trade Date): | 174,790.60 |
| TOTAL (AO, CXL, CRT): | 1,600.00 |

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| TOTAL (RUN DATE) / NFS: | 176,390.60 |
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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