



## Daily Compliance Activity Report

Trade Date: 02/09/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AB	S	20,000	25.05	n/a	9-Feb	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	20,000	44.03	n/a	1-Feb	800.00	4.0
WAGONHOUND/NIC	048	ALV	B	1,557	44.17	n/a	1-Feb	62.28	4.0
KAILIX INV ADV	048	ANR	S	35,000	42.70	n/a	n/a	1,750.00	5.0
ARCHON CAPITAL	035	ARAY	SS	10,000	7.25	n/a	n/a	300.00	3.0
ROSEDALE CAPITAL	046	AXL	B	7,525	8.73	n/a	8-Feb	301.00	4.0
ROSEDALE CAPITAL	046	AXL	S	200	8.94	n/a	8-Feb	8.00	4.0
SANDLER O'NEILL ASSET	031	BEN	S	2,600	98.12	n/a	9-Feb	130.00	5.0
UBS OCONNOR	031	BEN	S	25,000	97.27	n/a	9-Feb	750.00	3.0
GREEN ARROW DOUG	040	BGC	SS	5,000	27.79	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	BHP	SS	10,000	69.77	n/a	n/a	400.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>BLL</b>	<b>B</b>	<b>300</b>	<b>50.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	BMRN	B	5,400	19.23	n/a	n/a	270.00	5.0
GREEN ARROW DOUG	040	BWY	B	35,400	15.94	n/a	n/a	1,770.00	5.0
ROYCE TRADING	216	BZ	B	12,500	4.72	n/a	n/a	375.00	3.0
WEISS PECK	040	CAKE	C	5,320	21.73	n/a	8-Feb	266.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	COCO	B	700	13.05	n/a	n/a	35.00	5.0
WAGONHOUND/NIC	048	DECK	B	5,313	97.28	n/a	n/a	212.52	4.0
WAGONHOUND/NIC	048	DPZ	B	9,288	10.86	n/a	19-Jan	371.52	4.0
WEINTRAUB CAPITAL MGT.	040	DSW	B	50,000	26.32	n/a	3-Feb	2,000.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.50	n/a	n/a	600.00	6.0
LEVIN CAPITAL STRATEGIES	012	FDO	SS	40,000	31.45	n/a	1-Feb	1,600.00	4.0
ARCHON CAPITAL	035	FSLR	B	15,000	112.98	n/a	n/a	450.00	3.0
BMO NESBITT BURNS	041	F	SS	50,000	11.16	n/a	3-Feb	2,500.00	5.0
ROARING BLUE LION MGMT	012	GCO	B	6,500	21.77	n/a	n/a	325.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	50,000	39.09	n/a	5-Feb	1,500.00	3.0
AVESTA CAP	229	GE	SS	500,000	15.57	n/a	n/a	15,000.00	3.0
SAC ADV/LEE	044	GPN	B	46,600	45.51	n/a	n/a	1,631.00	3.5
GCORE MANAGEMENT	041	HRB	SS	20,000	21.07	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	HSIC	SS	25,000	54.22	n/a	n/a	1,250.00	5.0
SAC ADV/LEE	044	IACI	B	100,000	21.48	n/a	n/a	3,500.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIRCLE T/SES PART	035	IGT	S	15,000	17.72	n/a	9-Feb	600.00	4.0
SAC TRADIN/BINDER	044	IGT	B	70,000	17.99	n/a	9-Feb	2,450.00	3.5
WAGONHOUND/NIC	048	IMA	S	2,100	41.09	n/a	n/a	84.00	4.0
COOPER CREEK PART	028	IP	B	10,000	23.00	n/a	3-Feb	400.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	50,000	18.90	n/a	9-Feb	2,500.00	5.0
THE JAY GOLDMAN	028	JCP	S	20,000	24.47	n/a	5-Feb	800.00	4.0
SANDLER O'NEILL ASSET	031	JNS	B	10,000	11.75	n/a	9-Feb	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>20,000</b>	<b>14.88</b>	<b>n/a</b>	<b>29-Jan</b>	<b>800.00</b>	<b>4.0</b>
TRUSTCO/SUNTRUST	040	JNY	B	36,600	15.08	n/a	29-Jan	1,427.40	3.9
RBC CAPITAL MARKETS	040	KFT	S	50,000	28.91	n/a	n/a	2,000.00	4.0
MADISON ST PARTNERS LLC	046	LAZ	B	10,010	36.78	n/a	4-Feb	500.50	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	36.65	n/a	4-Feb	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	LSI	SS	25,000	5.29	n/a	n/a	875.00	3.5
WHITE PINE CAPITAL	030	MIDD	S	700	42.01	n/a	4-Jan	35.00	5.0
GREEN ARROW DOUG	040	MXI	SS	5,000	56.80	n/a	n/a	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	B	50,000	16.55	n/a	5-Feb	1,750.00	3.5
<b>SANDLER O'NEILL ASSET</b>	<b>099</b>	<b>NTRS</b>	<b>B</b>	<b>1,500</b>	<b>49.99</b>	<b>n/a</b>	<b>9-Feb</b>	<b>75.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MKT MAKER</b>	<b>099</b>	<b>NTRS</b>	<b>S</b>	<b>56</b>	<b>49.99</b>	<b>n/a</b>	<b>9-Feb</b>	<b>0.00</b>	<b>0.0</b>
TYEE/TYGH	035	OMX	B	29,100	13.30	n/a	n/a	1,164.00	4.0
PARTNER REINSURANCE	033	PHM	B	20,000	10.75	n/a	n/a	800.00	4.0
HIGHBRIDGE CAP	041	PKG	SS	40,198	21.61	n/a	26-Jan	1,607.92	4.0
ROARING BLUE LION MGMT	012	PLCE	B	5,000	35.08	n/a	5-Feb	250.00	5.0
CAPITAL GROWTH MGMT.	241	PNC	S	200,000	50.88	n/a	n/a	10,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>40,000</b>	<b>39.32</b>	<b>n/a</b>	<b>12-Jan</b>	<b>1,600.00</b>	<b>4.0</b>
HARBORWATCH/DIAMBACK	232	ROC	SS	25,000	20.92	n/a	n/a	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	SAP	SS	10,000	43.60	n/a	n/a	350.00	3.5
GREEN ARROW DOUG	040	SPY	SS	5,000	106.98	n/a	n/a	250.00	5.0
MATRIX ASSET ADV.	036	TDW	B	2,300	44.62	n/a	n/a	92.00	4.0
COOPER CREEK PART	028	TIN	B	10,000	17.34	n/a	9-Feb	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	66,200	17.10	n/a	9-Feb	3,310.00	5.0
ELM RIDGE ADVISORS	044	TIN	B	9,200	16.75	n/a	9-Feb	368.00	4.0
IRIDIAN ASSET MGMT.	036	TIN	B	25,850	16.89	n/a	9-Feb	1,292.50	5.0
RBC CAPITAL MARKETS	040	TIN	S	20,000	17.37	n/a	9-Feb	800.00	4.0
COUGAR TRADING	044	TM	B	5,000	75.15	n/a	n/a	250.00	5.0
CATAPULT	040	TRA	B	25,000	32.83	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	TROW	SS	10,000	49.12	n/a	9-Feb	500.00	5.0
GREEN ARROW DOUG	040	UFS	SS	5,000	49.86	n/a	n/a	250.00	5.0
HUNTER GLOBAL INVESTOR	067	UNP	SS	32,300	61.99	n/a	n/a	1,615.00	5.0
SAC ADV/LEE	044	URS	SS	14,500	44.41	n/a	n/a	507.50	3.5
KLEINHEINZ CAP PART	031	VZ	B	150,000	28.85	n/a	n/a	7,500.00	5.0
BUCK CAPITAL MGMT	001	WDR	B	20,000	29.82	n/a	9-Feb	800.00	4.0
KLEINHEINZ CAP PART	031	WMT	B	50,000	53.20	n/a	1-Feb	2,500.00	5.0
ROTHSCHILD ASSET	040	WPP	S	10,982	9.14	n/a	n/a	439.28	4.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	38.49	n/a	28-Jan	1,200.00	4.0
SAC ADV/LEE	044	YHOO	S	47,300	15.11	n/a	n/a	1,655.50	3.5
GREEN ARROW DOUG	040	YUM	S	25,000	33.11	n/a	5-Feb	1,250.00	5.0
TOTAL (Trade Date) :								99,955.92	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/04	LISTED ERR (LISTED ERR)	098	BLL	S	300	50.70	n/a	n/a	0.00 0.0
AO,CRT	02/08	SIGMA CAP BOBBY (SIBEBOBby)	044	F	B	50,000	11.15	n/a	3-Feb	1750.00 3.5
AO,CXL	02/08	SIGMA CAPITAL ASSOCIATES (SIGMGsUSE)	041	F	B	50,000	11.15	n/a	3-Feb	1750.00 3.5
AO,CRT	02/08	SIGMA CAP BOBBY (SIBEBOBby)	044	TRW	B	20,000	22.44	n/a	n/a	700.00 3.5
AO,CXL	02/08	SIGMA CAPITAL ASSOCIATES (SIGMGsUSE)	041	TRW	B	20,000	22.44	n/a	n/a	700.00 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	99,955.92
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>99,955.92</b>
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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