



Daily Compliance Activity Report

Trade Date: 01/04/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORWARD MGMT	033	AA	B	4,130	16.65	n/a	n/a	206.50	5.0
FORWARD MGMT	033	AEM	S	3,350	56.21	n/a	n/a	167.50	5.0
SCHOTTENFELD ASSOC	041	AEO	B	50,000	17.25	n/a	4-Jan	1,500.00	3.0
ROARING BLUE LION MGMT	012	AMG	B	3,600	68.70	n/a	4-Jan	144.00	4.0
EXIS CAPITAL	044	ANF	B	5,000	35.08	n/a	4-Dec	250.00	5.0
ARCHON CAPITAL	035	ANGO	S	5,000	16.25	n/a	n/a	150.00	3.0
FORWARD MGMT	033	AUY	S	10,150	11.79	n/a	n/a	507.50	5.0
GLOBAL 56 LLC	060	AXL	S	2,500	8.69	n/a	4-Jan	125.00	5.0
NEW JERSEY DIV OF INV.	030	BKE	S	20,000	29.69	n/a	n/a	800.00	4.0
VISIUM/BALY BOBBY	044	BKE	SS	17,500	29.66	n/a	n/a	875.00	5.0
DALTON GREINER	012	CAKE	S	65,000	21.76	n/a	4-Jan	3,250.00	5.0
UBS OCONNOR	031	COWN	S	39,008	5.94	n/a	n/a	1,170.24	3.0
FORWARD MGMT	033	C	S	17,700	3.40	n/a	4-Jan	885.00	5.0
NEW JERSEY DIV OF INV.	030	DAL	S	50,000	11.11	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	DBRN	S	20,000	23.84	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	DPZ	B	29,435	8.63	n/a	4-Jan	883.05	3.0
FORWARD MGMT	033	DVN	B	1,490	76.57	n/a	4-Jan	74.50	5.0
NEW JERSEY DIV OF INV.	030	ECL	S	20,000	45.11	n/a	4-Jan	800.00	4.0
FORWARD MGMT	033	EP	S	14,330	10.32	n/a	n/a	716.50	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.84	n/a	n/a	600.00	6.0
POINT BLANK CAPITAL	028	EXH	B	3,000	22.55	n/a	4-Jan	150.00	5.0
FORWARD MGMT	033	FCX	S	3,375	83.46	n/a	n/a	168.75	5.0
CONIFER/ISF	025	FL	B	3,500	11.24	n/a	4-Jan	175.00	5.0
FORWARD MGMT	033	F	B	10,300	10.28	n/a	4-Jan	515.00	5.0
TRELLUS PARTNERS LP	028	F	B	100,000	10.07	n/a	4-Jan	5,000.00	5.0
WAGONHOUND/NIC	048	GFA	B	6,039	32.95	n/a	n/a	241.56	4.0
FORWARD MGMT	033	GLW	B	3,450	19.56	n/a	4-Jan	172.50	5.0
BUCK CAPITAL MGMT	001	GPS	B	28,000	20.66	n/a	n/a	1,120.00	4.0
FORWARD MGMT	033	GPS	S	7,900	20.54	n/a	n/a	395.00	5.0
COBALT	041	GT	B	100,000	14.52	n/a	n/a	5,000.00	5.0
FORWARD MGMT	033	HPQ	B	1,950	52.45	n/a	n/a	97.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	INTC	S	20,000	20.92	n/a	n/a	1,000.00	5.0
FORWARD MGMT	033	JCP	S	2,560	27.16	n/a	4-Dec	128.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	54.25	n/a	4-Jan	800.00	4.0
NEW JERSEY DIV OF INV.	030	KSU	S	30,000	33.64	n/a	n/a	1,200.00	4.0
FORWARD MGMT	033	LLL	B	1,150	87.97	n/a	n/a	57.50	5.0
BUCK CAPITAL MGMT	001	LL	S	10,000	25.73	n/a	n/a	400.00	4.0
NEWLAND CAPITAL MGT	067	LSTR	S	10,000	39.56	n/a	n/a	400.00	4.0
SAC TRADIN/BINDER	044	LVS	B	60,000	16.00	n/a	4-Jan	2,100.00	3.5
FORWARD MGMT	033	MDT	B	2,300	43.90	n/a	n/a	115.00	5.0
COUGAR TRADING	044	M	S	25,000	17.28	n/a	4-Jan	1,250.00	5.0
THE JAY GOLDMAN	028	M	SS	70,000	17.23	n/a	4-Jan	2,800.00	4.0
CATAPULT	040	NITE	SS	25,000	15.59	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	NVR	S	273	700.02	n/a	n/a	10.92	4.0
FORWARD MGMT	033	OMC	S	11,400	39.62	n/a	n/a	570.00	5.0
FORWARD MGMT	033	ORCL	B	4,115	24.85	n/a	n/a	205.75	5.0
NEUBERGER BERMAN	036	PETS	B	21,600	17.82	n/a	n/a	864.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORWARD MGMT	033	QCOM	B	2,175	46.94	n/a	n/a	108.75	5.0
THE JAY GOLDMAN	028	TGT	B	50,000	48.60	n/a	4-Jan	2,000.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	80,000	36.28	n/a	4-Jan	3,200.00	4.0
FORWARD MGMT	033	UNH	B	2,280	31.53	n/a	n/a	114.00	5.0
ROARING BLUE LION MGMT	012	WBC	B	6,000	26.26	n/a	4-Jan	240.00	4.0
FORWARD MGMT	033	WDC	S	2,065	45.26	n/a	n/a	103.25	5.0
HIGHBRIDGE CAP	041	WMT	S	100,000	54.20	n/a	4-Jan	4,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	WRC	B	71,400	42.76	n/a	4-Jan	2,142.00	3.0
ARCHON CAPITAL	035	ZIXI	B	23,400	1.75	n/a	n/a	702.00	3.0
TOTAL (Trade Date) :								54,901.27	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/31	CLOVIS CAPITAL (CLOVGOLDMA)	012	CAT	SS	75,000	57.27	n/a	21-Oct	3000.00 4.0
AO,CRT	12/31	CLOVIS CAPITAL (CLOVGOLDMA)	012	CAT	SS	75,000	57.27	n/a	21-Oct	3750.00 5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTMERR)	067	DVY	B	500	44.57	n/a	n/a	25.00 5.0
AO,CRT	12/29	PATTEN & PATTEN (PATTSCHWAB)	067	DVY	B	500	44.57	n/a	n/a	25.00 5.0
AO,CXL	12/29	JANA CAPITAL (JANAGOLDMA)	044	HPT	B	4,500	23.90	n/a	n/a	180.00 4.0
AO,	12/29	JANA CAPITAL (JANAABN AM)	044	HPT	B	4,500	23.90	n/a	n/a	180.00 4.0

TOTAL (AO, CXL, CRT) :	750.00
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TOTAL (RUN DATE) / NFS:	55,651.27
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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