



Daily Compliance Activity Report

Trade Date: 03/23/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	AMR	S	75,000	8.82	n/a	n/a	2,250.00	3.0
CATAPULT	040	AN	B	50,000	19.56	n/a	12-Feb	2,000.00	4.0
GLOBAL 56 LLC	060	ARM	S	3,000	13.26	n/a	n/a	150.00	5.0
SCOPUS FUND	041	AXL	S	75,000	11.14	n/a	8-Feb	3,750.00	5.0
AVESTA CAP	229	BAC	S	300,000	17.00	n/a	15-Mar	9,000.00	3.0
CASTLEROCK	040	BEC	SS	42,615	64.49	n/a	n/a	1,704.60	4.0
GREEN ARROW DOUG	040	BKC	B	25,000	20.53	n/a	9-Mar	1,250.00	5.0
SOLARIS INV MGMT	029	BTI	S	30,000	67.83	n/a	n/a	1,500.00	5.0
SUN AMERICA ASSET MGMT	030	BWLD	B	1,862	49.31	n/a	n/a	74.48	4.0
TROUBH PART	067	DAI	B	10,000	46.80	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	DELL	S	31,200	15.08	n/a	n/a	1,560.00	5.0
SUN AMERICA ASSET MGMT	030	DF	B	2,720	15.68	n/a	n/a	108.80	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.59	n/a	n/a	600.00	6.0
BARROW HANLEY MEWHINNEY	031	ETR	S	17,200	80.07	n/a	n/a	602.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	GD	S	1,600	76.54	n/a	2-Feb	64.00	4.0
M&I FUNDS	047	GES	B	7,346	47.95	n/a	18-Mar	293.84	4.0
YORK CAPITAL	036	GE	S	329,099	18.35	n/a	n/a	11,518.47	3.5
CAERUS GLOBAL	041	GIL	B	25,000	26.46	n/a	22-Mar	1,000.00	4.0
SAC COHEN	044	GME	B	25,000	22.17	n/a	n/a	875.00	3.5
EXIS CAPITAL	044	HWD	B	10,000	9.90	n/a	n/a	500.00	5.0
SOLARIS INV MGMT	029	IGT	B	50,000	17.91	n/a	9-Feb	2,500.00	5.0
BARROW HANLEY MEWHINNEY	031	INTC	B	399,300	22.69	n/a	n/a	13,975.50	3.5
T. ROWE PRICE	033	JCG	S	63,800	45.71	n/a	n/a	2,552.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	234,102	33.02	n/a	5-Mar	7,023.06	3.0
SAC COHEN	044	JCP	S	150,000	33.60	n/a	5-Mar	5,250.00	3.5
RAIL-SPLITTER	031	JNS	B	50,400	14.11	n/a	n/a	2,520.00	5.0
EXIS CAPITAL	044	JNY	B	5,000	18.35	n/a	10-Feb	250.00	5.0
BNP PARIBAS SEC	040	KFT	B	10,000	30.59	n/a	n/a	400.00	4.0
M&I FUNDS	047	LAZ	S	47,903	36.16	n/a	9-Mar	1,916.12	4.0
SCOPUS FUND	041	LIZ	S	14,000	7.15	n/a	7-Oct	700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	LOW	S	25,000	24.56	n/a	22-Feb	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	LSTZA	B	1,701	51.35	n/a	n/a	68.04	4.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	25.07	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	B	2,200	21.58	n/a	23-Mar	88.00	4.0
CAERUS GLOBAL	041	LVS	S	10,000	20.96	n/a	23-Mar	400.00	4.0
BROADARCH CAP/OLD NEWC	070	MGM	S	1,500	12.74	n/a	12-Mar	60.00	4.0
T. ROWE PRICE	033	MON	B	456,100	72.51	n/a	26-Feb	13,683.00	3.0
EXIS CAPITAL	044	M	B	20,000	21.51	n/a	5-Mar	1,000.00	5.0
SAC COHEN	044	M	B	275,000	21.86	n/a	5-Mar	9,625.00	3.5
T. ROWE PRICE	033	NSM	S	27,500	14.97	n/a	n/a	1,100.00	4.0
COLUMBUS CIRCLE	036	NUS	B	5,400	29.00	n/a	n/a	216.00	4.0
PHILADELPHIA FINANCIAL	033	PAG	SS	30,000	15.42	n/a	23-Mar	1,200.00	4.0
SCOPUS FUND	041	PIR	S	20,000	6.81	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	PVH	B	10,000	55.99	n/a	23-Mar	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	140,500	56.06	n/a	23-Mar	4,215.00	3.0
FIRST NEW YORK NICK	029	Q	S	10,000	5.36	n/a	n/a	500.00	5.0
CHILTON CAPITAL MGMT.	036	RHI	S	60,799	31.34	n/a	n/a	1,823.97	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	RL	B	30,000	85.00	n/a	23-Mar	1,500.00	5.0
EGS ASSOCIATES LP	091	SAH	B	10,000	12.54	n/a	n/a	600.00	6.0
PROSPECTOR PARTNERS LLC	036	SJT	S	10,000	20.41	n/a	n/a	400.00	4.0
SCOPUS FUND	041	SKX	B	13,500	35.19	n/a	n/a	675.00	5.0
CATAPULT	040	SPLS	SS	25,000	23.93	n/a	n/a	1,000.00	4.0
MILLENIUM PARTNERS	028	SWY	SS	40,000	24.12	n/a	n/a	1,600.00	4.0
DAVIDSON KEMPNER ADVISOR	040	TGI	B	10,000	68.94	n/a	n/a	500.00	5.0
CAERUS GLOBAL	041	TIF	S	10,000	47.62	n/a	n/a	400.00	4.0
COBALT	041	TIN	B	47,000	21.60	n/a	9-Feb	2,350.00	5.0
PHILADELPHIA FINANCIAL	033	TRAD	S	30,000	6.96	n/a	n/a	1,200.00	4.0
SONTERRA CAP	041	TRN	SS	20,000	20.45	n/a	n/a	800.00	4.0
STELLIAM INV ADV	034	UNH	B	15,000	33.21	n/a	n/a	750.00	5.0
GRANAHAN INV	039	WDR	B	35,200	36.17	n/a	2-Mar	1,408.00	4.0
MAIRS AND POWER INV	030	WFC	S	20,000	30.45	n/a	9-Mar	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	XEC	S	10,000	59.07	n/a	n/a	400.00	4.0

TOTAL (Trade Date):

128,249.88

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/22	FINDLAY PARK PART (FINDAMERSC)	259	BK	B	15,734	30.50	n/a	9-Mar	786.70 5.0
AO,	03/22	FINDLAY PARK PART (FINDAMERSC)	259	BK	B	19,842	30.50	n/a	9-Mar	992.10 5.0
AO,CXL	03/22	FINDLAY PARK PART (FINDRITAC)	259	BK	B	4,438	30.50	n/a	9-Mar	221.90 5.0
AO,	03/22	FINDLAY PARK PART (FINDRITAC)	259	BK	B	330	30.50	n/a	9-Mar	16.50 5.0
CRT	03/23	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	LVS	B	2,200	21.58	n/a	23-Mar	88.00 4.0
CRT	03/23	EGS ASSOCIATES LP (EGASBANC O)	091	SAH	B	10,000	12.54	n/a	n/a	600.00 6.0
TOTAL (AO, CXL, CRT) :										688.00
TOTAL (Trade Date) :										128,249.88
TOTAL (AO, CXL, CRT) :										688.00
TOTAL (RUN DATE) / NFS:										128,937.88

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