



Daily Compliance Activity Report

Trade Date: 04/06/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
&SEN	036	ACI	B	200,000	25.09	n/a	n/a	6,000.00	3.0
PATTEN & PATTEN	067	ACL	S	115	159.64	n/a	5-Apr	5.75	5.0
EXIS CAPITAL	044	AEO	SS	10,000	18.74	n/a	31-Mar	500.00	5.0
PATTEN & PATTEN	067	APC	B	175	74.43	n/a	1-Apr	8.75	5.0
ROYCE TRADING	216	AVT	S	4,200	31.71	n/a	n/a	210.00	5.0
ROYCE TRADING	216	BIIB	B	800	57.86	n/a	n/a	40.00	5.0
THE JAY GOLDMAN	028	BJ	S	15,000	37.16	n/a	n/a	600.00	4.0
FORD FDN.	032	BMV	S	18,500	26.50	n/a	n/a	740.00	4.0
LAGRANGE CAP ADV	048	BONT	SS	5,000	14.50	n/a	n/a	250.00	5.0
SENATOR INVESTMENT GROUP	036	CA	B	150,000	22.58	n/a	n/a	4,500.00	3.0
EXIS CAPITAL	044	CHRS	B	10,000	4.99	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	CX	S	25,000	10.91	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	EDE	B	5,400	18.40	n/a	n/a	216.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.73	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ETN	B	150	76.98	n/a	6-Apr	7.50	5.0
PATTEN & PATTEN	067	EWG	B	150	22.01	n/a	n/a	7.50	5.0
GREEN ARROW DOUG	040	FCH	S	50,000	7.10	n/a	n/a	2,500.00	5.0
KENNEDY CAPITAL	046	FINL	S	100,000	17.22	n/a	n/a	4,000.00	4.0
KADE CAPITAL LLC	036	GYMB	B	7,500	54.06	n/a	31-Mar	375.00	5.0
BMO NESBITT BURNS	041	HSP	B	4,000	56.63	n/a	n/a	200.00	5.0
EXIS CAPITAL	044	HWD	B	10,000	11.19	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	IP	B	25,000	25.45	n/a	26-Mar	1,250.00	5.0
BNP PARIBAS SEC	040	IP	B	25,000	25.71	n/a	26-Mar	1,000.00	4.0
BALYASNY ASSET MGMT	044	IR	B	25,000	36.28	n/a	16-Feb	1,250.00	5.0
PATTEN & PATTEN	067	ITT	S	275	54.12	n/a	30-Mar	13.75	5.0
ADAGE CAPITAL MGMT	030	JCP	B	250,000	33.51	n/a	31-Mar	7,500.00	3.0
PILOT ADV	242	JCP	SS	8,000	33.50	n/a	31-Mar	320.00	4.0
RBC CAPITAL MARKETS	040	JCP	S	10,000	33.47	n/a	31-Mar	400.00	4.0
SEMINOLE CAP	036	JNJ	S	113,111	65.05	n/a	n/a	5,655.55	5.0
PILOT ADV	242	JWN	SS	900	42.50	n/a	31-Mar	36.00	4.0
DIAMONDBACK CAP MGMT	232	KSS	B	25,000	57.19	n/a	31-Mar	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	KSS	B	10,000	57.52	n/a	31-Mar	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	K	B	39,300	53.05	n/a	n/a	1,572.00	4.0
OZ MGMT	040	LEA	S	47,061	80.13	n/a	25-Mar	1,411.83	3.0
PATTEN & PATTEN	067	LQD	S	250	104.80	n/a	n/a	12.50	5.0
FRIESS MGMT	033	LTD	S	194,600	25.58	n/a	n/a	7,784.00	4.0
CENTURION PARTNERS	041	MGM	S	50,000	13.40	n/a	12-Mar	2,000.00	4.0
CAPITAL GROWTH MGMT.	241	MS	S	200,000	29.46	n/a	30-Mar	10,000.00	5.0
MELLON/BANK OF NEW YORK	046	MS	B	190,090	29.28	n/a	30-Mar	9,504.50	5.0
EXIS CAPITAL	044	M	B	20,000	22.54	n/a	31-Mar	1,000.00	5.0
CATAPULT	040	ODP	B	50,000	8.21	n/a	n/a	2,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	PFE	B	50,000	16.98	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	PHO	S	500	17.78	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	PIO	B	500	18.37	n/a	n/a	25.00	5.0
WAGONHOUND/NIC	048	PLCE	S	2,779	45.58	n/a	22-Mar	111.16	4.0
BMO NESBITT BURNS	041	PRGO	S	2,000	60.66	n/a	5-Apr	100.00	5.0
PATTEN & PATTEN	067	PUW	S	600	24.96	n/a	n/a	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	263	RECN	B	20,900	18.76	n/a	n/a	836.00	4.0
CATAPULT	040	RJF	B	5,000	27.67	n/a	n/a	250.00	5.0
MILLENIUM PARTNERS	028	RRR	B	25,000	8.08	n/a	17-Feb	1,000.00	4.0
WESLEY CAPITAL	029	RYN	B	25,000	47.89	n/a	26-Mar	1,000.00	4.0
BNP PARIBAS SEC	040	SHW	S	20,000	69.84	n/a	31-Mar	800.00	4.0
PATTEN & PATTEN	067	SLB	S	200	66.82	n/a	n/a	10.00	5.0
BERMAN CAPITAL MGMT	046	SPY	S	30,000	118.86	n/a	n/a	900.00	3.0
JP MORGAN VENTURES	046	TIN	S	25,000	21.46	n/a	26-Mar	1,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TJX	S	50,000	44.60	n/a	31-Mar	1,500.00	3.0
RAMIUS CAP	040	TJX	S	34,200	44.71	n/a	31-Mar	1,368.00	4.0
PIONEER MICHAEL NOLAN	067	VRGY	S	52,548	11.76	n/a	n/a	1,576.44	3.0
SCOPUS FUND	041	WBC	S	1,200	30.50	n/a	4-Feb	60.00	5.0
BMO NESBITT BURNS	041	WCRX	B	3,000	26.43	n/a	5-Apr	150.00	5.0
CAXTON PART	040	WY	B	56,121	46.16	n/a	26-Mar	1,964.25	3.5
TOTAL (Trade Date) :								92,326.48	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/01	SEVEN LOCKS CAPITAL (SEVEGSBULK)	067	CCK	B	5,000	27.26	n/a	n/a	150.00 3.0
AO,CRT	04/01	SEVEN LOCKS CAPITAL (SEVEGSBULK)	067	CCK	B	4,000	27.26	n/a	n/a	120.00 3.0
AO,	04/01	SEVEN LOCKS CAPITAL (SEVEUBSPB)	067	CCK	B	1,000	27.26	n/a	n/a	30.00 3.0
AO,	04/05	TIBURION CAP MGMT (TIBUJPM)	025	FOR	B	8,900	19.09	n/a	26-Mar	267.00 3.0
AO,CXL	04/05	TIBURION CAP MGMT (TIBUGS)	025	FOR	B	8,900	19.09	n/a	26-Mar	445.00 5.0
AO,	04/05	THOMPSON SIEGAL&WALMSLEY (THOS4085)	029	JOYG	S	1,600	60.01	n/a	4-Mar	48.00 3.0
AO,	04/05	THOMPSON SIEGAL&WALMSLEY (THOS4284)	029	JOYG	S	1,800	60.01	n/a	4-Mar	54.00 3.0
AO,CXL	04/05	OZ MGMT (OZFFGS)	040	LEA	S	700	79.97	n/a	25-Mar	21.00 3.0
AO,CXL	04/05	OZ MGMT (OZFFGS)	040	LEA	S	34,011	79.97	n/a	25-Mar	1020.33 3.0
AO,	04/05	OZ MGMT (OZFFGS)	040	LEA	S	700	79.97	n/a	25-Mar	21.00 3.0
AO,	04/05	OZ MGMT (OZFFGS)	040	LEA	S	34,011	79.97	n/a	25-Mar	1020.33 3.0
AO,CXL	04/05	OZ MGMT (OZFFCSFB)	040	LEA	S	1,300	79.97	n/a	25-Mar	39.00 3.0
AO,CXL	04/05	OZ MGMT (OZFFCSFB)	040	LEA	S	1,800	79.97	n/a	25-Mar	54.00 3.0
AO,	04/05	OZ MGMT (OZFFCSFB)	040	LEA	S	1,300	79.97	n/a	25-Mar	39.00 3.0
AO,	04/05	OZ MGMT (OZFFCSFB)	040	LEA	S	1,800	79.97	n/a	25-Mar	54.00 3.0
AO,CXL	04/05	OZ MGMT (OZFFMS)	040	LEA	S	1,500	79.97	n/a	25-Mar	45.00 3.0
AO,	04/05	OZ MGMT (OZFFMS)	040	LEA	S	1,500	79.97	n/a	25-Mar	45.00 3.0
AO,CXL	04/01	SEVEN LOCKS CAPITAL (SEVEGSBULK)	067	LEA	B	5,000	80.28	n/a	25-Mar	150.00 3.0
AO,CRT	04/01	SEVEN LOCKS CAPITAL (SEVEGSBULK)	067	LEA	B	4,000	80.28	n/a	25-Mar	120.00 3.0
AO,	04/01	SEVEN LOCKS CAPITAL (SEVEUBSPB)	067	LEA	B	1,000	80.28	n/a	25-Mar	30.00 3.0
AO,	04/05	WADDELL AND REED (WADD021)	047	PRU	B	208,500	62.83	n/a	n/a	8340.00 4.0
AO,	04/05	MINDSHARE CAPITAL MGMT (MINDJHCCF)	046	RUTH	B	4,515	5.65	n/a	n/a	180.60 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/05	MINDSHARE CAPITAL MGMT (MINDLUTHST)	046	RUTH	B	3,750	5.65	n/a	n/a	150.00 4.0
AO,	04/05	MINDSHARE CAPITAL MGMT (MINDLEICAL)	046	RUTH	B	56,300	5.65	n/a	n/a	2252.00 4.0
AO,	04/05	MINDSHARE CAPITAL MGMT (MINDLGAHYN)	046	RUTH	B	645	5.65	n/a	n/a	25.80 4.0
AO,	04/05	MINDSHARE CAPITAL MGMT (MINDLEIMSR)	046	RUTH	B	32,830	5.65	n/a	n/a	1313.20 4.0
AO,	04/05	MINDSHARE CAPITAL MGMT (MINDQUADGR)	046	RUTH	B	9,510	5.65	n/a	n/a	380.40 4.0
CRT	04/06	WESLEY CAPITAL (WESLGS4CEN)	029	RYN	B	25,000	47.89	n/a	26-Mar	1000.00 4.0
AO,CRT	04/05	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	TIN	S	24,900	21.45	n/a	26-Mar	747.00 3.0
AO,CXL	04/05	SCHOTTENFELD ASSOC (SCHOASSOC)	041	TIN	S	24,900	21.45	n/a	26-Mar	747.00 3.0
AO,	04/05	THOMPSON SIEGAL&WALMSLEY (THOS6023)	029	TJX	B	7,007	43.83	n/a	31-Mar	140.14 2.0
TOTAL (AO, CXL, CRT) :										13,706.14
TOTAL (Trade Date) :										92,326.48
TOTAL (AO, CXL, CRT) :										13,706.14
TOTAL (RUN DATE) / NFS :										106,032.62

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