



Daily Compliance Activity Report

Trade Date: 04/08/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| DAVIDSON KEMPNER ADVISOR | 040 | AAPL | B | 6,000 | 240.18 | n/a | n/a | 300.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | AAP | B | 10,000 | 42.00 | n/a | n/a | 400.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | ADM | B | 50,000 | 28.13 | n/a | 26-Mar | 2,000.00 | 4.0 |
| CAERUS GLOBAL | 041 | AEO | B | 10,000 | 17.77 | n/a | 31-Mar | 300.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | AEO | B | 30,000 | 17.58 | n/a | 31-Mar | 1,500.00 | 5.0 |
| MACKLOWE ASSET MGMT | 041 | AEO | SS | 85,000 | 17.55 | n/a | 31-Mar | 3,400.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 263 | AME | B | 2,500 | 42.17 | n/a | n/a | 100.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | ANF | B | 2,103 | 45.61 | n/a | 31-Mar | 84.12 | 4.0 |
| GRUBER MACBAINE | 033 | BBBY | S | 10,000 | 46.36 | n/a | n/a | 400.00 | 4.0 |
| WAGONHOUND/NIC | 048 | BBBY | S | 1,105 | 45.20 | n/a | n/a | 44.20 | 4.0 |
| HIGHBRIDGE CAP | 041 | BEXP | S | 50,000 | 18.11 | n/a | n/a | 2,000.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | BGC | S | 48,310 | 29.11 | n/a | n/a | 1,932.40 | 4.0 |
| KLEINHEINZ CAP PART | 031 | BMY | S | 100,000 | 26.22 | n/a | n/a | 5,000.00 | 5.0 |
| EXIS CAPITAL | 044 | BONT | B | 5,000 | 14.48 | n/a | n/a | 250.00 | 5.0 |
| WHALE ROCK CAP | 030 | BONT | B | 102,503 | 14.77 | n/a | n/a | 4,100.12 | 4.0 |
| LISTED ERR | 099 | BONT | B | 10,000 | 14.74 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | BONT | SS | 10,000 | 14.74 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| THE JAY GOLDMAN | 028 | BYD | S | 15,000 | 11.43 | n/a | n/a | 600.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | DAN | S | 30,100 | 12.49 | n/a | 25-Feb | 1,505.00 | 5.0 |
| THE JAY GOLDMAN | 028 | DWA | B | 10,000 | 38.40 | n/a | n/a | 400.00 | 4.0 |
| NEW JERSEY DIV OF INV. | 030 | EXP | S | 20,000 | 27.13 | n/a | n/a | 800.00 | 4.0 |
| KENNEDY CAPITAL | 046 | FINL | S | 4,200 | 17.21 | n/a | n/a | 168.00 | 4.0 |
| VISIUM/BALY BOBBY | 044 | FL | B | 15,000 | 15.09 | n/a | 26-Mar | 750.00 | 5.0 |
| AVESTA CAP | 229 | GE | B | 500,000 | 18.63 | n/a | n/a | 15,000.00 | 3.0 |
| FIRST NY SEC/CHRIS | 041 | GE | B | 30,000 | 18.38 | n/a | n/a | 1,500.00 | 5.0 |
| SCOPUS FUND | 041 | GIL | B | 5,700 | 27.18 | n/a | 22-Mar | 285.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | GPI | B | 12,860 | 32.04 | n/a | 18-Mar | 514.40 | 4.0 |
| EXIS CAPITAL | 044 | GYMB | B | 5,000 | 54.04 | n/a | 8-Apr | 250.00 | 5.0 |
| ISLE RIDGE PARTNERS | 041 | HOG | B | 10,000 | 31.34 | n/a | n/a | 400.00 | 4.0 |
| ADAGE CAPITAL MGMT | 030 | JCP | B | 200,000 | 31.39 | n/a | 31-Mar | 6,000.00 | 3.0 |
| EXIS CAPITAL | 044 | JCP | B | 5,000 | 31.75 | n/a | 31-Mar | 250.00 | 5.0 |
| SAC TRADING TOM LEDDY | 035 | KR | S | 7,600 | 22.29 | n/a | n/a | 266.00 | 3.5 |
| SYSTEMATIC FINANCIAL MGT | 035 | KSS | B | 52,575 | 56.91 | n/a | 31-Mar | 1,577.25 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| BALYASNY ASSET MGMT | 044 | K | SS | 20,000 | 52.44 | n/a | n/a | 1,000.00 | 5.0 |
| CIRCLE T/SES PART | 035 | LTD | S | 30,000 | 26.24 | n/a | n/a | 1,200.00 | 4.0 |
| CIRCLE T/SES PART | 035 | LVS | S | 25,000 | 24.39 | n/a | 8-Apr | 1,000.00 | 4.0 |
| THE JAY GOLDMAN | 028 | LVS | S | 25,000 | 24.37 | n/a | 8-Apr | 1,000.00 | 4.0 |
| THE JAY GOLDMAN | 028 | MAR | B | 15,000 | 32.87 | n/a | n/a | 600.00 | 4.0 |
| THE JAY GOLDMAN | 028 | MAR | S | 10,000 | 32.85 | n/a | n/a | 400.00 | 4.0 |
| CIRCLE T/SES PART | 035 | MGM | SS | 25,000 | 14.58 | n/a | 8-Apr | 1,000.00 | 4.0 |
| THE JAY GOLDMAN | 028 | MGM | S | 10,000 | 14.74 | n/a | 8-Apr | 400.00 | 4.0 |
| CATAPULT | 040 | MOS | B | 10,000 | 57.60 | n/a | n/a | 500.00 | 5.0 |
| THE JAY GOLDMAN | 028 | MSFT | B | 25,000 | 29.62 | n/a | n/a | 1,000.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | MTD | S | 8,187 | 112.31 | n/a | n/a | 327.48 | 4.0 |
| KACELA CAPITAL | 034 | M | B | 45,000 | 22.44 | n/a | 31-Mar | 1,800.00 | 4.0 |
| ROYCE TRADING | 216 | ONNN | B | 9,500 | 8.30 | n/a | n/a | 285.00 | 3.0 |
| LAGRANGE CAP ADV | 048 | PAG | B | 10,000 | 15.30 | n/a | 23-Mar | 500.00 | 5.0 |
| MADISON ST PARTNERS LLC | 046 | PG | B | 32,000 | 62.73 | n/a | 18-Mar | 1,600.00 | 5.0 |
| CAERUS GLOBAL | 041 | PNK | S | 18,800 | 11.00 | n/a | n/a | 564.00 | 3.0 |
| THE JAY GOLDMAN | 028 | PNK | B | 20,000 | 10.98 | n/a | n/a | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|----------|------------------|-----|
| LEVIN CAPITAL STRATEGIES | 012 | PVH | B | 75,000 | 61.03 | n/a | 23-Mar | 2,250.00 | 3.0 |
| ASCEND PARTNERS | 033 | ROST | S | 100,000 | 55.99 | n/a | n/a | 5,000.00 | 5.0 |
| SAC TRADING TOM LEDDY | 035 | ROST | SS | 5,000 | 56.28 | n/a | n/a | 175.00 | 3.5 |
| HIGHBRIDGE CAP | 041 | SWY | SS | 203,920 | 25.30 | n/a | n/a | 8,156.80 | 4.0 |
| RBC CAPITAL MARKETS | 040 | TGT | S | 7,500 | 56.21 | n/a | 8-Apr | 300.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | TIF | S | 12,500 | 48.96 | n/a | n/a | 625.00 | 5.0 |
| EPOCH INV MGMT | 030 | TJX | B | 10,900 | 44.79 | n/a | 31-Mar | 327.00 | 3.0 |
| SAC TRADING TOM LEDDY | 035 | TJX | SS | 50,000 | 45.22 | n/a | 31-Mar | 1,750.00 | 3.5 |
| COUGAR TRADING | 044 | TM | SS | 5,000 | 79.09 | n/a | n/a | 250.00 | 5.0 |
| TRAFELET & COMP. | 028 | UFS | B | 30,000 | 69.96 | n/a | n/a | 1,200.00 | 4.0 |
| OHIO PERS | 047 | WFC | B | 195,000 | 32.33 | n/a | 30-Mar | 5,850.00 | 3.0 |
| EXIS CAPITAL | 044 | WRC | B | 5,000 | 47.24 | n/a | 2-Mar | 250.00 | 5.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | XRT | SS | 8,510 | 42.05 | n/a | n/a | 425.50 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 92,612.27 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CRT | 04/07 | TRELLUS PARTNERS LP (TRELMAIN) | 028 | DAN | S | 75,000 | 12.46 | n/a | 25-Feb | 3750.00 5.0 |
| AO,CXL | 04/07 | TRELLUS PARTNERS LP (TRELMAIN) | 028 | DAN | S | 75,000 | 12.46 | n/a | 25-Feb | 2250.00 3.0 |
| CRT | 04/08 | TRELLUS PARTNERS LP (TRELMAIN) | 028 | DAN | S | 30,100 | 12.49 | n/a | 25-Feb | 1505.00 5.0 |
| CRT | 04/08 | CIRCLE T/SES PART (CIRCMAIN) | 035 | LTD | S | 30,000 | 26.24 | n/a | n/a | 1200.00 4.0 |
| AO, | 04/07 | PARTNER REINSURANCE (PARRPUSDEQ) | 033 | TGT | B | 3,700 | 53.91 | n/a | 8-Apr | 148.00 4.0 |
| AO, | 04/07 | PARTNER REINSURANCE (PARRPELCEQ) | 033 | TGT | B | 900 | 53.91 | n/a | 8-Apr | 36.00 4.0 |
| AO, | 04/06 | PIONEER MICHAEL NOLAN (PION192) | 067 | VRGY | S | 9,248 | 11.76 | n/a | n/a | 277.44 3.0 |
| AO,CXL | 04/06 | PIONEER MICHAEL NOLAN (PION186) | 067 | VRGY | S | 10,340 | 11.76 | n/a | n/a | 310.20 3.0 |
| AO,CXL | 04/06 | PIONEER MICHAEL NOLAN (PION186) | 067 | VRGY | S | 32,960 | 11.76 | n/a | n/a | 988.80 3.0 |
| AO, | 04/06 | PIONEER MICHAEL NOLAN (PION186) | 067 | VRGY | S | 43,300 | 11.76 | n/a | n/a | 1299.00 3.0 |
| AO,CXL | 04/06 | PIONEER MICHAEL NOLAN (PION192) | 067 | VRGY | S | 2,208 | 11.76 | n/a | n/a | 66.24 3.0 |
| AO,CXL | 04/06 | PIONEER MICHAEL NOLAN (PION192) | 067 | VRGY | S | 7,040 | 11.76 | n/a | n/a | 211.20 3.0 |

TOTAL (AO, CXL, CRT) :**4,389.00**

TOTAL (Trade Date) :

92,612.27

TOTAL (AO, CXL, CRT) :

4,389.00

TOTAL (RUN DATE) / NFS:**97,001.27**

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