



## Daily Compliance Activity Report

Trade Date: 04/27/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
RAINIER INV MGMT	035	APH	B	91,320	46.59	n/a	n/a	3,652.80 4.0
CLOVIS CAPITAL	012	BK	S	250,000	31.16	n/a	23-Apr	12,500.00 5.0
COLUMBIA PARTNERS	028	BTU	B	5,815	48.12	n/a	n/a	232.60 4.0
THOMPSON SIEGAL&WALMSLEY	029	BZ	B	42,600	7.10	n/a	n/a	1,645.50 3.6
WEISS PECK	040	CAKE	SS	3,600	30.38	n/a	23-Apr	180.00 5.0
WAGONHOUND/NIC	048	CHK	S	100,000	23.83	n/a	n/a	4,000.00 4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.86	n/a	n/a	600.00 6.0
STERLING JOHNSTON	035	FRED	B	50,000	13.94	n/a	n/a	2,000.00 4.0
BALYASNY ASSET MGMT	044	F	C	50,000	13.48	n/a	20-Apr	2,500.00 5.0
BMO NESBITT BURNS	041	F	B	50,000	13.95	n/a	20-Apr	2,500.00 5.0
CENTURION PARTNERS	041	F	B	55,000	13.84	n/a	20-Apr	2,200.00 4.0
CIRCLE T/SES PART	035	F	B	25,000	13.90	n/a	20-Apr	1,000.00 4.0
DIAMONDBACK CAP MGMT	232	F	C	150,000	13.99	n/a	20-Apr	7,500.00 5.0
MILLENIUM PARTNERS	028	F	B	50,000	13.89	n/a	20-Apr	2,000.00 4.0
OZ MGMT	040	F	C	323,325	13.84	n/a	20-Apr	9,699.75 3.0
OZ MGMT	040	F	SS	100,000	14.35	n/a	20-Apr	3,000.00 3.0
TRELLUS PARTNERS LP	028	F	B	125,000	14.35	n/a	20-Apr	6,250.00 5.0
TROUBH PART	067	F	SS	50,000	13.59	n/a	20-Apr	2,500.00 5.0
M&I FUNDS	047	GES	B	4,831	49.73	n/a	18-Mar	193.24 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAIL-SPLITTER	031	GIL	B	6,557	29.26	n/a	27-Apr	327.85	5.0
CATAPULT	040	HELE	S	20,000	28.39	n/a	n/a	800.00	4.0
SUN AMERICA ASSET MGMT	030	HNZ	S	183,200	45.84	n/a	n/a	7,328.00	4.0
PROSPECTOR PARTNERS LLC	036	HRB	S	10,000	18.02	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	HWD	B	8,000	10.44	n/a	n/a	400.00	5.0
EMERSON CAPITAL MGMT	048	ICON	S	2,000	19.00	n/a	n/a	100.00	5.0
SCHOTTENFELD ASSOC	041	IP	B	25,000	27.48	n/a	19-Apr	750.00	3.0
CAVU CAP ADV	028	ITW	S	4,000	52.02	n/a	21-Apr	200.00	5.0
EXIS CAPITAL	044	JAH	SS	5,000	33.96	n/a	n/a	250.00	5.0
FRIESS MGMT	033	JCG	S	69,000	49.85	n/a	n/a	2,760.00	4.0
THE JAY GOLDMAN	028	JCP	B	15,000	32.11	n/a	21-Apr	600.00	4.0
METROPOLITAN CAPITAL	044	LEA	B	4,600	81.09	n/a	20-Apr	230.00	5.0
PENNANT CAP MGMT	029	LEG	B	350,000	24.10	n/a	n/a	10,500.00	3.0
S.A.C.HABER/BOBBY	044	LINTA	SS	100,000	15.69	n/a	n/a	3,500.00	3.5
M&I FUNDS	047	MIDD	S	1,722	63.84	n/a	5-Mar	68.88	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	M	B	20,000	24.12	n/a	9-Apr	1,000.00	5.0
THE JAY GOLDMAN	028	M	B	20,000	23.99	n/a	9-Apr	800.00	4.0
MISSION POINT	048	NOC	B	6,000	67.92	n/a	13-Apr	300.00	5.0
COLUMBIA PARTNERS	028	OC	S	16,271	30.27	n/a	n/a	650.84	4.0
PARTNER REINSURANCE	033	ODP	B	73,250	7.19	n/a	n/a	2,197.50	3.0
NEWLAND CAPITAL MGT	067	PAG	S	25,000	15.47	n/a	20-Apr	1,000.00	4.0
TRELLUS PARTNERS LP	028	PAG	B	30,000	15.60	n/a	20-Apr	1,500.00	5.0
PENNANT CAP MGMT	029	PAR	SS	30,000	10.21	n/a	n/a	900.00	3.0
SCHOTTENFELD ASSOC	041	PCAR	S	10,000	48.14	n/a	21-Apr	300.00	3.0
THE JAY GOLDMAN	028	PENN	SS	5,000	31.57	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	PFE	B	100,000	16.45	n/a	n/a	4,000.00	4.0
GOLD SACHS SPECIAL SIT	030	PLCE	S	15,600	49.91	n/a	27-Apr	780.00	5.0
MERRILL ASSET/BLACKROCK	263	PL	B	9,700	23.87	n/a	n/a	388.00	4.0
MERRILL ASSET/BLACKROCK	263	PRA	S	1,100	61.07	n/a	n/a	44.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ROST	SS	50,000	57.36	n/a	n/a	1,750.00	3.5
SACC-SCHWARTZ	044	SPY	SS	50,000	121.20	n/a	n/a	1,750.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	028	SSI	SS	10,000	15.86	n/a	n/a	400.00	4.0
BASIX	033	TIN	B	20,000	23.16	n/a	21-Apr	600.00	3.0
SCHOTTENFELD ASSOC	041	TIN	B	10,000	23.68	n/a	21-Apr	300.00	3.0
EXIS CAPITAL	044	TJX	SS	20,000	47.00	n/a	9-Apr	1,000.00	5.0
COUGAR TRADING	044	TM	SS	10,000	77.44	n/a	n/a	500.00	5.0
CAVU CAP ADV	028	TYC	B	50,000	39.83	n/a	29-Jan	2,500.00	5.0
ENTRUST CAPITAL	040	UA	SS	29,300	34.89	n/a	14-Apr	1,465.00	5.0
CAXTON PART	040	URI	B	364,900	13.73	n/a	n/a	12,771.51	3.5
KLEINHEINZ CAP PART	031	VIP	S	50,000	17.74	n/a	n/a	2,500.00	5.0
FARALLON CAP MGMT	040	XOM	B	27,400	69.89	n/a	n/a	1,096.00	4.0
CATAPULT	040	XRX	B	53,378	10.88	n/a	n/a	2,135.12	4.0
EXIS CAPITAL	044	ZQK	B	20,000	5.89	n/a	12-Mar	1,000.00	5.0
EXIS CAPITAL	044	ZUMZ	SS	5,000	20.40	n/a	n/a	250.00	5.0
<b>TOTAL (Trade Date) :</b>							<b>136,446.59</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/21	LISTED ERR (LISTED ERR)	099	CHRW	S	25,000	60.00	n/a	n/a	0.00 0.0
AO,CRT	04/21	LISTED ERR (LISTED ERR)	099	CHRW	S	25,000	59.00	n/a	n/a	0.00 0.0
AO,CXL	04/21	LISTED ERR (LISTED ERR)	099	CHRW	SS	25,000	60.00	n/a	n/a	0.00 0.0
AO,	04/21	LISTED ERR (LISTED ERR)	099	CHRW	SS	25,000	59.00	n/a	n/a	0.00 0.0
AO,CXL	04/21	CAVU CAP ADV (CAVUCREDIS)	028	CHRW	SS	22,149	60.05	n/a	n/a	1107.45 5.0
AO,	04/21	CAVU CAP ADV (CAVUCREDIS)	028	CHRW	SS	22,149	59.10	n/a	n/a	1107.45 5.0
AO,CXL	04/21	CAVU CAP ADV (CAVUMORGAN)	028	CHRW	SS	4,281	60.05	n/a	n/a	214.05 5.0
AO,	04/21	CAVU CAP ADV (CAVUMORGAN)	028	CHRW	SS	4,281	59.10	n/a	n/a	214.05 5.0
AO,CRT	04/26	STELLIAM INV ADV (STLLGSBULK)	034	COH	S	35,000	43.51	n/a	21-Apr	1750.00 5.0
AO,CXL	04/26	STELLIAM INV ADV (STLLMSEXEC)	034	COH	S	35,000	43.51	n/a	21-Apr	1750.00 5.0
AO,CRT	04/26	COLONIAL FUND LLC (COLOPERSHI)	036	F	B	50,000	14.49	n/a	20-Apr	1500.00 3.0
AO,CXL	04/26	COLONIAL FUND LLC (COLOMAINSL)	036	F	B	50,000	14.49	n/a	20-Apr	2500.00 5.0
CRT	04/27	TROUBH PART (TROUGOLD)	067	F	SS	50,000	13.59	n/a	20-Apr	2500.00 5.0
CRT	04/27	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	IP	B	25,000	27.48	n/a	19-Apr	750.00 3.0
CRT	04/27	PENNANT CAP MGMT (PENAJPMORG)	029	LEG	B	350,000	24.10	n/a	n/a	10500.00 3.0
AO,	04/26	MTB INV ADV (MTBIMAIN O)	034	NFLX	S	300	103.83	n/a	n/a	15.00 5.0
AO,	04/26	MTB INV ADV (MTBISMCAP)	034	NFLX	S	8,500	103.83	n/a	n/a	425.00 5.0
CRT	04/27	PENNANT CAP MGMT (PENAJPMORG)	029	PAR	SS	30,000	10.21	n/a	n/a	900.00 3.0
CRT	04/27	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	PCAR	S	10,000	48.14	n/a	21-Apr	300.00 3.0
AO,	04/26	MTB INV ADV (MTBIMAIN O)	034	SKX	S	200	42.29	n/a	n/a	10.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/26	MTB INV ADV (MTBISMCAP)	034	SKX	S	6,000	42.29	n/a	n/a	300.00 5.0
CRT	04/27	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	TIN	B	10,000	23.68	n/a	21-Apr	300.00 3.0
AO,CXL	04/23	CATAPULT (CATAML)	040	VMED	B	50,000	18.64	n/a	n/a	0.00 0.0
AO,CRT	04/23	CATAPULT (CATAML)	040	VMED	B	50,000	18.64	n/a	n/a	2000.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>17,000.00</b>
TOTAL (Trade Date) :										136,446.59
TOTAL (AO, CXL, CRT) :										17,000.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>153,446.59</b>

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