



## Daily Compliance Activity Report

Trade Date: 04/07/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
METROPOLITAN CAPITAL	044	AEO	B	22,800	18.78	n/a	31-Mar	1,140.00	5.0
PROSPECTOR PARTNERS LLC	036	AEO	B	10,800	18.69	n/a	31-Mar	432.00	4.0
KAILIX INV ADV	048	ANW	B	10,000	27.59	n/a	n/a	500.00	5.0
SONTERRA CAP	041	AOL	B	40,000	27.60	n/a	n/a	1,600.00	4.0
ROYCE TRADING	216	APOL	B	350	64.46	n/a	n/a	17.50	5.0
HUNTER GLOBAL INVESTOR	067	AVP	SS	300,000	33.61	n/a	7-Apr	15,000.00	5.0
RBC CAPITAL MARKETS	040	BHP	B	15,000	81.63	n/a	n/a	600.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>BIIB</b>	<b>S</b>	<b>800</b>	<b>57.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORD FDN.	032	BMJ	S	20,000	26.51	n/a	n/a	800.00	4.0
WHALE ROCK CAP	030	BONT	B	78,617	14.71	n/a	n/a	3,144.68	4.0
DIAMONDBACK CAP MGMT	232	BUCY	B	7,000	69.67	n/a	22-Feb	350.00	5.0
BALYASNY ASSET MGMT	044	BWA	B	15,000	37.74	n/a	12-Feb	750.00	5.0
ROYCE TRADING	216	CA	B	1,000	23.10	n/a	n/a	50.00	5.0
EXIS CAPITAL	044	CHRS	B	20,000	5.11	n/a	n/a	1,000.00	5.0
CATAPULT	040	CMA	SS	5,000	40.71	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	CMG	SS	5,000	123.54	n/a	7-Apr	250.00	5.0
DIAMONDBACK CAP MGMT	232	CMI	B	7,500	64.85	n/a	5-Apr	375.00	5.0
DIAMONDBACK CAP MGMT	232	COP	SS	10,000	52.97	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	COST	S	65,000	61.74	n/a	n/a	3,250.00	5.0
KAILIX INV ADV	048	CSX	B	20,000	51.87	n/a	n/a	1,000.00	5.0
GREEN ARROW DOUG	040	CTB	SS	100	19.49	n/a	n/a	5.00	5.0
BALYASNY ASSET MGMT	044	DAN	S	50,000	12.46	n/a	25-Feb	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	DAN	B	25,000	12.60	n/a	25-Feb	1,250.00	5.0
TRELLUS PARTNERS LP	028	DAN	S	75,000	12.46	n/a	25-Feb	2,250.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>B</b>	<b>100,000</b>	<b>25.88</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	DD	B	3,000	38.79	n/a	31-Mar	120.00	4.0
RBC CAPITAL MARKETS	040	DLTR	SS	5,000	59.51	n/a	24-Feb	200.00	4.0
BAIRD INVESTMENT	047	DRC	B	26,700	33.87	n/a	n/a	1,335.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DTV	B	50,000	34.54	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	047	EL	S	23,220	63.38	n/a	18-Mar	1,161.00	5.0
CASTLE ARK	031	EMC	S	276,624	18.63	n/a	n/a	16,597.44	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.71	n/a	n/a	600.00	6.0
NEW JERSEY DIV OF INV.	030	EXP	S	80,000	27.04	n/a	n/a	3,200.00	4.0
KENNEDY CAPITAL	046	FINL	S	100,000	17.29	n/a	n/a	4,000.00	4.0
ROYCE TRADING	216	FIS	B	1,000	24.15	n/a	n/a	50.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	5,000	19.39	n/a	26-Mar	200.00	4.0
THOMAS WEISEL ASSET MGMT	035	GES	S	4,150	47.04	n/a	18-Mar	124.50	3.0
DSM CAPITAL PARTNERS	032	GYMB	B	8,275	54.81	n/a	31-Mar	413.75	5.0
EXIS CAPITAL	044	GYMB	B	25,000	54.96	n/a	31-Mar	1,250.00	5.0
CIRCLE T/SES PART	035	IGT	S	10,000	19.20	n/a	9-Feb	400.00	4.0
PILOT ADV	242	IM	B	39,000	18.18	n/a	n/a	1,560.00	4.0
BNP PARIBAS SEC	040	IP	B	25,000	26.30	n/a	26-Mar	1,000.00	4.0
CAXTON PART	040	IP	B	141,325	26.64	n/a	26-Mar	4,946.39	3.5
FIRST NY SEC/CHRIS	041	IP	B	1,100	26.50	n/a	26-Mar	44.00	4.0
KADE CAPITAL LLC	036	IP	S	17,500	26.90	n/a	26-Mar	875.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>50,000</b>	<b>19.90</b>	<b>n/a</b>	<b>10-Feb</b>	<b>2,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JNY	B	5,000	19.77	n/a	10-Feb	250.00	5.0
ASCEND PARTNERS	033	JWN	S	13,800	42.71	n/a	31-Mar	690.00	5.0
EXIS CAPITAL	044	JWN	B	5,000	42.54	n/a	31-Mar	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACKLOWE ASSET MGMT	041	KO	SS	40,000	53.76	n/a	18-Mar	1,600.00	4.0
EXIS CAPITAL	044	LIZ	B	25,000	7.80	n/a	7-Oct	1,250.00	5.0
ELM RIDGE ADVISORS	044	LLY	B	100,000	36.51	n/a	n/a	4,000.00	4.0
GRUBER MACBAINE	033	LOW	S	10,000	25.24	n/a	22-Feb	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>50,000</b>	<b>25.55</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
DSM CAPITAL PARTNERS	032	MDSO	B	29,150	15.31	n/a	n/a	1,457.50	5.0
ISLE RIDGE PARTNERS	041	MHGC	B	25,000	7.09	n/a	n/a	1,000.00	4.0
FORD FDN.	032	MON	B	15,000	68.89	n/a	7-Apr	600.00	4.0
PLATTE RIVER CAPITAL	240	MPER	S	59,660	5.32	n/a	1-Apr	1,789.80	3.0
HOLLIS CAPITAL	033	MS	B	4,000	30.25	n/a	30-Mar	200.00	5.0
HUNTER GLOBAL INVESTOR	067	MS	B	500,000	30.04	n/a	30-Mar	25,000.00	5.0
MELLON/BANK OF NEW YORK	046	MS	B	71,986	29.88	n/a	30-Mar	3,599.30	5.0
CASTLEROCK	040	MTB	SS	21,240	83.90	n/a	n/a	849.60	4.0
ROTHSCHILD ASSET	040	MTD	S	4,483	112.31	n/a	n/a	179.32	4.0
DIAMONDBACK CAP MGMT	232	NAV	C	10,500	47.53	n/a	n/a	525.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	B	5,000	16.91	n/a	26-Mar	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	261	PALM	B	150,000	4.34	n/a	n/a	3,000.00	2.0
NEW JERSEY DIV OF INV.	030	PEP	S	150,000	66.10	n/a	n/a	6,000.00	4.0
KACELA CAPITAL	034	PG	SS	12,000	62.61	n/a	18-Mar	480.00	4.0
LISTED ERR	099	PG	B	12,000	62.61	n/a	18-Mar	0.00	0.0
LISTED ERR	099	PG	S	12,000	62.61	n/a	18-Mar	0.00	0.0
EXIS CAPITAL	044	PSUN	SS	5,000	5.90	n/a	n/a	250.00	5.0
KAILIX INV ADV	048	PTV	B	20,000	25.70	n/a	n/a	1,000.00	5.0
BMO NESBITT BURNS	041	PVH	S	1,700	59.88	n/a	23-Mar	340.00	20.0
LEVIN CAPITAL STRATEGIES	012	RDC	C	30,000	30.41	n/a	n/a	900.00	3.0
MERRILL ASSET/BLACKROCK	263	RECN	B	55,700	18.60	n/a	n/a	2,228.00	4.0
GALT INVESTMENT	041	RRGB	S	15,000	26.26	n/a	n/a	750.00	5.0
T. ROWE PRICE	033	SBUX	B	86,100	24.82	n/a	7-Apr	3,444.00	4.0
ARMATURE CAPITAL	041	SEE	SS	20,000	21.69	n/a	n/a	800.00	4.0
FIRST NY SEC/CHRIS	041	SFI	B	15,000	4.95	n/a	n/a	600.00	4.0
GLOBAL 56 LLC	060	SIMG	B	7,000	3.32	n/a	n/a	350.00	5.0
KAILIX INV ADV	048	TCK	B	20,000	46.12	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	TIN	B	50,000	21.38	n/a	26-Mar	2,500.00	5.0
SENATOR INVESTMENT GROUP	036	TIN	B	68,100	21.64	n/a	26-Mar	2,043.00	3.0
EPOCH INV MGMT	030	TJX	B	6,900	44.52	n/a	31-Mar	207.00	3.0
SAC TRADING TOM LEDDY	035	TJX	B	50,000	44.57	n/a	31-Mar	1,750.00	3.5
FRONTIER	048	TLM	S	175,100	17.39	n/a	n/a	7,004.00	4.0
FRON	048	TLM	S	13,400	17.39	n/a	n/a	536.00	4.0
COUGAR TRADING	044	TM	SS	5,000	80.12	n/a	n/a	250.00	5.0
GREEN ARROW DOUG	040	UFS	B	8,300	68.81	n/a	n/a	415.00	5.0
EXIS CAPITAL	044	UPS	S	40,000	63.52	n/a	n/a	2,000.00	5.0
JETSTREAM GLOBAL FUND LP	065	VECO	S	6,000	47.03	n/a	n/a	300.00	5.0
CONIFER/ISF	025	VZ	B	4,000	30.30	n/a	n/a	200.00	5.0
GRUBER MACBAINE	033	WEN	S	25,000	5.23	n/a	7-Apr	1,000.00	4.0
TROUBH PART	067	WFC	SS	50,000	32.04	n/a	30-Mar	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WMS</b>	<b>B</b>	<b>10,000</b>	<b>43.30</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
FIRST INV MGMT CO	029	WU	B	25,000	17.30	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>172,928.78</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/06	&SEN (&SENAJPMOR)	036	ACI	B	200,000	25.09	n/a	n/a	6000.00 3.0
AO,CRT	04/06	SENATOR INVESTMENT GROUP (SENAJPM)	036	ACI	B	200,000	25.09	n/a	n/a	6000.00 3.0
AO,	04/06	LISTED ERR (LISTED ERR)	099	BIIB	B	800	57.86	n/a	n/a	0.00 0.0
AO,CXL	04/06	ROYCE TRADING (ROYC278)	216	BIIB	B	800	57.86	n/a	n/a	40.00 5.0
CRT	04/07	LISTED ERR (LISTED ERR)	099	PG	B	12,000	62.61	n/a	18-Mar	0.00 0.0
CRT	04/07	LISTED ERR (LISTED ERR)	099	PG	S	12,000	62.61	n/a	18-Mar	0.00 0.0
AO,	04/06	THOMPSON SIEGAL&WALMSLEY (THOS4089)	029	PKG	S	1,700	25.08	n/a	26-Mar	51.00 3.0
AO,	04/06	THOMPSON SIEGAL&WALMSLEY (THOS4143)	029	PKG	S	1,700	25.08	n/a	26-Mar	51.00 3.0
AO,CXL	04/06	MILLENIU PARTNERS (MILPCSTARS)	028	RRR	B	25,000	8.08	n/a	17-Feb	1000.00 4.0
AO,CRT	04/06	MILLENIU PARTNERS (MILPCSTARS)	028	RRR	B	25,000	8.08	n/a	17-Feb	750.00 3.0
CRT	04/07	GLOBAL 56 LLC (GLOBJEFF)	060	SIMG	B	7,000	3.32	n/a	n/a	350.00 5.0
CRT	04/07	TROUBH PART (TROUGOLD)	067	WFC	SS	50,000	32.04	n/a	30-Mar	2500.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,662.00</b>

TOTAL (Trade Date):	172,928.78
TOTAL (AO, CXL, CRT):	2,662.00

TOTAL (RUN DATE) / NFS:

175,590.78



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