

Daily Compliance Activity Report Trade Date: 04/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
NEUBERGER BERMAN	036	ACC	В	2,700	28.91	n/a	n/a	108.00	4.0
EXIS CAPITAL	044	AEO	В	35,000	16.72	n/a	9-Apr	1,750.00	5.0
BMO NESBITT BURNS	041	AGN	S	2,000	63.84	n/a	26-Apr	100.00	5.0
CASTLEROCK	040	AGN	В	53 , 894	64.17	n/a	26-Apr	2,155.76	4.0
NEUBERGER BERMAN	036	AINV	В	7,000	12.42	n/a	n/a	280.00	4.0
CAVU CAP ADV	028	ALTR	В	25 , 000	25.70	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	AMB	В	2,700	28.77	n/a	n/a	108.00	4.0
EXIS CAPITAL	044	ANF	SS	4,503	45.42	n/a	9-Apr	225.15	5.0
ISLE RIDGE PARTNERS	041	AN	SS	30,000	20.27	n/a	23-Apr	1,200.00	4.0
BAIRD INVESTMENT	047	APC	S	17,435	64.32	n/a	27-Apr	684.25	4.4
METROPOLITAN CAPITAL	044	ARM	В	29,400	15.31	n/a	n/a	1,470.00	5.0
SCOUT/UMB	047	ARO	S	61,500	29.24	n/a	9-Apr	1,845.00	3.0
NEUBERGER BERMAN	036	AVB	В	900	105.68	n/a	n/a	36.00	4.0
OZ MGMT	040	AXL	В	150,000	11.64	n/a	20-Apr	4,500.00	3.0
LONG OAR GLOBAL INV	040	BAC	S	55,700	18.05	n/a	19-Apr	2,228.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
JP MORGAN VENTURES	046	BUCY	SS	50,000	62.74	n/a	30-Apr	2,500.00	5.0
WEISS PECK	040	CAKE	С	3,500	27.59	n/a	23-Apr	175.00	5.0
NEUBERGER BERMAN	036	CEO	В	500	177.66	n/a	n/a	20.00	4.0
NEUBERGER BERMAN	036	CHL	В	1,900	49.25	n/a	n/a	76.00	4.0
NEUBERGER BERMAN	036	CHT	В	4,300	19.59	n/a	n/a	172.00	4.0
FRONTIER	048	COG	В	149,950	36.62	n/a	29-Apr	5,998.00	4.0
GCORE MANAGEMENT	041	CSCO	S	25 , 000	27.59	n/a	n/a	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	DE	S	20,000	60.18	n/a	30-Apr	1,000.00	5.0
CASTLEROCK	040	DGX	SS	21,287	57.33	n/a	n/a	851.48	4.0
NEUBERGER BERMAN	036	DLR	В	1,000	59.56	n/a	n/a	40.00	4.0
FRONTIER	048	DNR	В	196,560	19.14	n/a	n/a	7,862.40	4.0
HARBORWATCH/DIAMBACK	232	DOW	SS	40,000	31.36	n/a	28-Apr	2,000.00	5.0
CAVU CAP ADV	028	DRI	SS	12,925	45.65	n/a	7-Apr	646.25	5.0
NEUBERGER BERMAN	036	EEQ	В	1,500	51.49	n/a	n/a	60.00	4.0
SONTERRA CAP	041	ESV	SS	20,000	48.03	n/a	n/a	800.00	4.0
	JP MORGAN VENTURES WEISS PECK NEUBERGER BERMAN NEUBERGER BERMAN FRONTIER GCORE MANAGEMENT HARBORWATCH/DIAMBACK CASTLEROCK NEUBERGER BERMAN FRONTIER HARBORWATCH/DIAMBACK CAVU CAP ADV NEUBERGER BERMAN	JP MORGAN VENTURES 046 WEISS PECK 040 NEUBERGER BERMAN 036 NEUBERGER BERMAN 036 FRONTIER 048 GCORE MANAGEMENT 041 HARBORWATCH/DIAMBACK 232 CASTLEROCK 040 NEUBERGER BERMAN 036 FRONTIER 048 HARBORWATCH/DIAMBACK 232 CAVU CAP ADV 028 NEUBERGER BERMAN 036	JP MORGAN VENTURES 046 BUCY WEISS PECK 040 CAKE NEUBERGER BERMAN 036 CEO NEUBERGER BERMAN 036 CHT FRONTIER 048 COG GCORE MANAGEMENT 041 CSCO HARBORWATCH/DIAMBACK 232 DE CASTLEROCK 040 DGX NEUBERGER BERMAN 036 DLR FRONTIER 048 DNR HARBORWATCH/DIAMBACK 232 DOW CAVU CAP ADV 028 DRI NEUBERGER BERMAN 036 EEQ	WEISS PECK 040 CAKE C NEUBERGER BERMAN 036 CEO B NEUBERGER BERMAN 036 CHL B NEUBERGER BERMAN 036 CHT B FRONTIER 048 COG B GCORE MANAGEMENT 041 CSCO S HARBORWATCH/DIAMBACK 232 DE S CASTLEROCK 040 DGX SS NEUBERGER BERMAN 036 DLR B FRONTIER 048 DNR B HARBORWATCH/DIAMBACK 232 DOW SS CAVU CAP ADV 028 DRI SS NEUBERGER BERMAN 036 EEQ B	JP MORGAN VENTURES 046 BUCY SS 50,000 WEISS PECK 040 CAKE C 3,500 NEUBERGER BERMAN 036 CEO B 500 NEUBERGER BERMAN 036 CHL B 1,900 NEUBERGER BERMAN 036 CHT B 4,300 FRONTIER 048 COG B 149,950 GCORE MANAGEMENT 041 CSCO S 25,000 HARBORWATCH/DIAMBACK 232 DE S 20,000 CASTLEROCK 040 DGX SS 21,287 NEUBERGER BERMAN 036 DLR B 1,000 FRONTIER 048 DNR B 196,560 HARBORWATCH/DIAMBACK 232 DOW SS 40,000 CAVU CAP ADV 028 DRI SS 12,925 NEUBERGER BERMAN 036 EEQ B 1,500	JP MORGAN VENTURES 046 BUCY SS 50,000 62.74 WEISS PECK 040 CAKE C 3,500 27.59 NEUBERGER BERMAN 036 CEO B 500 177.66 NEUBERGER BERMAN 036 CHL B 1,900 49.25 NEUBERGER BERMAN 036 CHT B 4,300 19.59 FRONTIER 048 COG B 149,950 36.62 GCORE MANAGEMENT 041 CSCO S 25,000 27.59 HARBORWATCH/DIAMBACK 232 DE S 20,000 60.18 CASTLEROCK 040 DGX SS 21,287 57.33 NEUBERGER BERMAN 036 DLR B 1,000 59.56 FRONTIER 048 DNR B 196,560 19.14 HARBORWATCH/DIAMBACK 232 DOW SS 40,000 31.36 CAVU CAP ADV 028 DRI SS 12,925	JP MORGAN VENTURES 046 BUCY SS 50,000 62.74 n/a WEISS PECK 040 CAKE C 3,500 27.59 n/a NEUBERGER BERMAN 036 CEO B 500 177.66 n/a NEUBERGER BERMAN 036 CHL B 1,900 49.25 n/a REUBERGER BERMAN 036 CHT B 4,300 19.59 n/a FRONTIER 048 COG B 149,950 36.62 n/a GCORE MANAGEMENT 041 CSCO S 25,000 27.59 n/a HARBORWATCH/DIAMBACK 232 DE S 20,000 60.18 n/a FRONTIER 048 DIR B 1,000 59.56 n/a HARBORWATCH/DIAMBACK 232 DOW SS 40,000 31.36 n/a CAVU CAP ADV 028 DRI SS 12,925 45.65 n/a NEUBERGER BERMAN 036	JF MORGAN VENTURES 046 BUCY SS 50,000 62.74 n/a 30-Apr WEISS PECK 040 CAKE C 3,500 27.59 n/a 23-Apr NEUBERGER BERMAN 036 CEO B 500 177.66 n/a n/a NEUBERGER BERMAN 036 CHL B 1,900 49.25 n/a n/a NEUBERGER BERMAN 036 CHT B 4,300 19.59 n/a n/a FRONTIER 048 COG B 149,950 36.62 n/a 29-Apr GCORE MANAGEMENT 041 CSCO S 25,000 27.59 n/a n/a HARBORWATCH/DIAMBACK 232 DE S 20,000 60.18 n/a 30-Apr CASTLEROCK 040 DGX SS 21,287 57.33 n/a n/a NEUBERGER BERMAN 036 DLR B 1,000 59.56 n/a n/a FRONTIER 048 DNR B 196,560 19.14 n/a n/a HARBORWATCH/DIAMBACK 232 DOW SS 40,000 31.36 n/a 28-Apr CAVU CAP ADV 028 DRI SS 12,925 45.65 n/a 7-Apr NEUBERGER BERMAN 036 EEQ B 1,500 51.49 n/a n/a	JP MORGAN VENTURES 046 BUCY SS 50,000 62.74 n/a 30-Apr 2,500.00 WEISS PECK 040 CAKE C 3,500 27.59 n/a 23-Apr 175.00 NEUBERGER BERMAN 036 CEO B 500 177.66 n/a n/a 20.00 NEUBERGER BERMAN 036 CHL B 1,900 49.25 n/a n/a 76.00 NEUBERGER BERMAN 036 CHT B 4,300 19.59 n/a n/a 172.00 FRONTIER 048 COG B 149,950 36.62 n/a 29-Apr 5,998.00 CCORE MANAGEMENT 041 CSCO S 25,000 27.59 n/a n/a 1,250.00 HARBORWATCH/DIAMBACK 232 DE S 20,000 60.18 n/a 30-Apr 1,000.00 FRONTIER 048 DNR B 196,560 19.14 n/a n/a 7,862.40

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
LEVIN CAPITAL STRATEGIES	012	ES	S	75,000	7.21	n/a	n/a	2,250.00	3.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.72	n/a	n/a	600.00	6.0
NEUBERGER BERMAN	036	EXC	В	2,400	43.74	n/a	n/a	96.00	4.0
SENATOR INVESTMENT GROUP	036	FDX	В	115,000	90.84	n/a	n/a	3,450.00	3.0
IRIDIAN ASSET MGMT.	036	GE	SS	345,310	18.89	n/a	n/a	17,265.50	5.0
SOUTH POINT CAP	067	GOOG	В	50,000	529.46	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	GYMB	В	5,000	50.45	n/a	9-Apr	250.00	5.0
JP MORGAN VENTURES	046	HNZ	В	25,000	46.91	n/a	n/a	1,250.00	5.0
CONIFER/ISF	025	HPQ	SS	7,500	52.23	n/a	n/a	375.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	15,000	23.50	n/a	2-Mar	750.00	5.0
EXIS CAPITAL	044	JAH	В	45,000	32.26	n/a	n/a	2,250.00	5.0
NEUBERGER BERMAN	036	JNJ	В	1,500	65.25	n/a	n/a	60.00	4.0
THE JAY GOLDMAN	028	JWN	SS	25,000	41.55	n/a	9-Apr	1,000.00	4.0
NEUBERGER BERMAN	036	KMR	В	1,000	58.59	n/a	n/a	40.00	4.0
EXIS CAPITAL	044	KSS	SS	5,000	55.42	n/a	9-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
EXIS CAPITAL	044	LIZ	В	10,000	8.78	n/a	7-0ct	500.00	5.0
NEUBERGER BERMAN	036	LNT	В	2,700	34.61	n/a	n/a	108.00	4.0
SOUTH POINT CAP	067	MA	S	28,000	249.56	n/a	12-Apr	1,400.00	5.0
NEUBERGER BERMAN	036	MCHP	В	3,100	29.82	n/a	n/a	124.00	4.0
SENATOR INVESTMENT GROUP	036	ME	SS	35,000	24.18	n/a	n/a	1,050.00	3.0
EXIS CAPITAL	044	М	В	15,000	23.30	n/a	28-Apr	750.00	5.0
NEUBERGER BERMAN	036	NGG	В	2,000	48.49	n/a	n/a	80.00	4.0
NEUBERGER BERMAN	036	NJR	В	2,500	38.26	n/a	n/a	100.00	4.0
NEUBERGER BERMAN	036	NSC	В	1,700	60.27	n/a	n/a	68.00	4.0
NEUBERGER BERMAN	036	NST	В	2,200	37.42	n/a	n/a	88.00	4.0
NEUBERGER BERMAN	036	NTDOY	В	1,500	41.90	n/a	n/a	60.00	4.0
SONTERRA CAP	041	NTY	В	20,000	41.15	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	NU	В	2,500	27.85	n/a	n/a	100.00	4.0
NEUBERGER BERMAN	036	NYB	В	3,500	16.72	n/a	27-Apr	140.00	4.0
CONIFER/ISF	025	OCR	S	2,500	28.00	n/a	n/a	125.00	5.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
GREEN ARROW DOUG	040	PAG	В	38 , 585	15.55	n/a	20-Apr	1,157.55	3.0	
LAGRANGE CAP ADV	048	PAG	В	20,000	15.34	n/a	20-Apr	1,000.00	5.0	
MILLENIUM PARTNERS	028	PAG	S	23,000	15.73	n/a	20-Apr	920.00	4.0	
SANDLER O'NEILL ASSET	031	PBCT	В	25,000	15.50	n/a	27-Apr	1,250.00	5.0	
NEUBERGER BERMAN	036	PCG	В	2,200	44.20	n/a	n/a	88.00	4.0	
JP MORGAN VENTURES	046	PFE	S	18,000	16.91	n/a	n/a	900.00	5.0	
NEUBERGER BERMAN	036	PGN	В	2,000	39.94	n/a	n/a	80.00	4.0	
NEUBERGER BERMAN	036	PHI	В	1,700	56.61	n/a	n/a	68.00	4.0	
EXIS CAPITAL	044	PIR	В	80,000	8.53	n/a	n/a	4,000.00	5.0	
NEUBERGER BERMAN	036	PM	В	2,000	49.72	n/a	n/a	80.00	4.0	
SAGE ASSET MGMT	012	PNC	S	20,200	67.23	n/a	n/a	1,010.00	5.0	
IVORY CAPITAL	034	QQQQ	SS	1,200,000	49.26	n/a	n/a	6,000.00	0.5	
NEUBERGER BERMAN	036	RGLD	В	1,800	51.67	n/a	n/a	72.00	4.0	
NEUBERGER BERMAN	036	RYN	В	2,100	50.00	n/a	19-Apr	84.00	4.0	
GALT INVESTMENT	041	SAH	В	25,000	11.08	n/a	n/a	1,000.00	4.0	
ROXBURY CAPITAL MGMT	035	SANM	S	53,215	17.89	n/a	n/a	2,128.60	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
NEUBERGER BERMAN	036	SE	В	4,500	23.52	n/a	n/a	180.00	4.0
RAINIER INV MGMT	035	SFY	В	25 , 780	36.26	n/a	n/a	1,031.20	4.0
WAGONHOUND/NIC	048	SKS	В	5,281	10.23	n/a	n/a	211.24	4.0
JP MORGAN VENTURES	046	SPY	В	15,000	119.74	n/a	n/a	750.00	5.0
DIAMONDBACK CAP MGMT	232	STT	В	10,000	44.01	n/a	23-Apr	500.00	5.0
NEUBERGER BERMAN	036	TEVA	В	1,150	58.90	n/a	26-Apr	46.00	4.0
NEUBERGER BERMAN	036	TE	В	6,000	17.11	n/a	n/a	240.00	4.0
JP MORGAN VENTURES	046	TJX	В	10,000	46.66	n/a	9-Apr	500.00	5.0
CASTLEROCK	040	TM	SS	78 , 690	77.23	n/a	n/a	3,147.60	4.0
COUGAR TRADING	044	TM	SS	10,000	77.22	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	TOT	В	1,400	54.38	n/a	n/a	56.00	4.0
EMERSON CAPITAL MGMT	048	TREX	S	6 , 000	24.67	n/a	n/a	300.00	5.0
LISTED ERR	099	TREX	В	1,500	24.65	n/a	n/a	0.00	0.0
LISTED ERR	099	TREX	S	1,500	24.67	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	TRW	S	40,000	32.74	n/a	n/a	1,200.00	3.0
NEUBERGER BERMAN	036	UN	В	3,100	30.64	n/a	n/a	124.00	4.0
NEUBERGER BERMAN	036	UPS	В	1,200	69.91	n/a	n/a	48.00	4.0
	NEUBERGER BERMAN RAINIER INV MGMT WAGONHOUND/NIC JP MORGAN VENTURES DIAMONDBACK CAP MGMT NEUBERGER BERMAN NEUBERGER BERMAN JP MORGAN VENTURES CASTLEROCK COUGAR TRADING NEUBERGER BERMAN EMERSON CAPITAL MGMT LISTED ERR LISTED ERR SYSTEMATIC FINANCIAL MGT NEUBERGER BERMAN	NEUBERGER BERMAN 036 RAINIER INV MGMT 035 WAGONHOUND/NIC 048 JP MORGAN VENTURES 046 DIAMONDBACK CAP MGMT 232 NEUBERGER BERMAN 036 JP MORGAN VENTURES 046 CASTLEROCK 040 COUGAR TRADING 044 NEUBERGER BERMAN 036 EMERSON CAPITAL MGMT 048 LISTED ERR 099 LISTED ERR 099 SYSTEMATIC FINANCIAL MGT 035 NEUBERGER BERMAN 036	NEUBERGER BERMAN 036 SE RAINIER INV MGMT 035 SFY WAGONHOUND/NIC 048 SKS JP MORGAN VENTURES 046 SPY DIAMONDBACK CAP MGMT 232 STT NEUBERGER BERMAN 036 TEVA NEUBERGER BERMAN 036 TE JP MORGAN VENTURES 046 TJX CASTLEROCK 040 TM COUGAR TRADING 044 TM NEUBERGER BERMAN 036 TOT EMERSON CAPITAL MGMT 048 TREX LISTED ERR 099 TREX LISTED ERR 099 TREX SYSTEMATIC FINANCIAL MGT 035 TRW NEUBERGER BERMAN 036 UN	NEUBERGER BERMAN NEUBERGER BERMAN NAGONHOUND/NIC O48 SKS B JP MORGAN VENTURES O46 SPY B DIAMONDBACK CAP MGMT 232 STT B NEUBERGER BERMAN O36 TEVA B JP MORGAN VENTURES O46 TJX B CASTLEROCK COUGAR TRADING NEUBERGER BERMAN O36 TOT B EMERSON CAPITAL MGMT O48 TREX S LISTED ERR O99 TREX S SYSTEMATIC FINANCIAL MGT O36 UN B	NEUBERGER BERMAN 036 SE B 4,500 RAINIER INV MGMT 035 SFY B 25,780 WAGONHOUND/NIC 048 SKS B 5,281 JP MORGAN VENTURES 046 SPY B 15,000 DIAMONDBACK CAP MGMT 232 STT B 10,000 NEUBERGER BERMAN 036 TEVA B 1,150 NEUBERGER BERMAN 036 TE B 6,000 JP MORGAN VENTURES 046 TJX B 10,000 CASTLEROCK 040 TM SS 78,690 COUGAR TRADING 044 TM SS 10,000 NEUBERGER BERMAN 036 TOT B 1,400 EMERSON CAPITAL MGMT 048 TREX S 6,000 LISTED ERR 099 TREX B 1,500 LISTED ERR 099 TREX B 1,500 SYSTEMATIC FINANCIAL MGT 035 TRW S 40,000 NEUBERGER BERMAN 036 UN B 3,100	NEUBERGER BERMAN 036 SE B 4,500 23.52 RAINIER INV MGMT 035 SFY B 25,780 36.26 WAGONHOUND/NIC 048 SKS B 5,281 10.23 JP MORGAN VENTURES 046 SPY B 15,000 119.74 DIAMONDBACK CAP MGMT 232 STT B 10,000 44.01 NEUBERGER BERMAN 036 TEVA B 1,150 58.90 NEUBERGER BERMAN 036 TE B 6,000 17.11 JP MORGAN VENTURES 046 TJX B 10,000 46.66 CASTLEROCK 040 TM SS 78,690 77.23 COUGAR TRADING 044 TM SS 10,000 77.22 NEUBERGER BERMAN 036 TOT B 1,400 54.38 EMERSON CAPITAL MGMT 048 TREX S 6,000 24.67 LISTED ERR 099 TREX B 1,500 24.65 LISTED ERR 099 TREX B 1,500 24.67 SYSTEMATIC FINANCIAL MGT 035 TRW S 40,000 32.74 NEUBERGER BERMAN 036 UN B 3,100 30.64	NEUBERGER BERMAN 036 SE B 4,500 23.52 n/a RAINIER INV MGMT 035 SFY B 25,780 36.26 n/a WAGONHOUND/NIC 048 SKS B 5,281 10.23 n/a JP MORGAN VENTURES 046 SPY B 15,000 119.74 n/a DIAMONDBACK CAP MGMT 232 STT B 10,000 44.01 n/a NEUBERGER BERMAN 036 TEVA B 1,150 58.90 n/a NEUBERGER BERMAN 036 TE B 6,000 17.11 n/a JP MORGAN VENTURES 046 TJX B 10,000 46.66 n/a CASTLEROCK 040 TM SS 78,690 77.23 n/a COUGAR TRADING 044 TM SS 10,000 77.22 n/a NEUBERGER BERMAN 036 TOT B 1,400 54.38 n/a EMERSON CAPITAL MGMT 048 TREX S 6,000 24.67 n/a LISTED ERR 099 TREX B 1,500 24.65 n/a LISTED ERR 099 TREX S 1,500 24.67 n/a SYSTEMATIC FINANCIAL MGT 035 TRW S 40,000 32.74 n/a NEUBERGER BERMAN 036 UN B 3,100 30.64 n/a	NEUBERGER BERMAN 036 SE B 4,500 23.52 n/a n/a RAINIER INV MGMT 035 SFY B 25,780 36.26 n/a n/a WAGONHOUND/NIC 048 SKS B 5,281 10.23 n/a n/a JF MORGAN VENTURES 046 SFY B 15,000 119.74 n/a n/a DIAMONDBACK CAP MGMT 232 STT B 10,000 44.01 n/a 23-Apr NEUBERGER BERMAN 036 TEVA B 1,150 58.90 n/a 26-Apr NEUBERGER BERMAN 036 TE B 6,000 17.11 n/a n/a JF MORGAN VENTURES 046 TJX B 10,000 46.66 n/a 9-Apr CASTLEROCK 040 TM SS 78,690 77.23 n/a n/a COUGAR TRADING 044 TM SS 10,000 77.22 n/a n/a NEUBERGER BERMAN 036 TOT B 1,400 54.38 n/a n/a EMERSON CAPITAL MGMT 048 TREX S 6,000 24.67 n/a n/a LISTED ERR 099 TREX B 1,500 24.65 n/a n/a LISTED ERR 099 TREX S 1,500 24.67 n/a n/a SYSTEMATIC FINANCIAL MGT 035 TRW S 40,000 32.74 n/a n/a SYSTEMATIC FINANCIAL MGT 035 TRW S 40,000 32.74 n/a n/a	NEUBERGER BERMAN 036 SE B 4,500 23.52

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EXIS CAPITAL	044	VFC	SS	20,000	87.69	n/a	30-Apr	1,000.00	5.0
NEUBERGER BERMAN	036	VLCCF	В	3,000	19.33	n/a	n/a	120.00	4.0
NEWLAND CAPITAL MGT	067	VMC	S	5,000	58.07	n/a	n/a	200.00	4.0
KACELA CAPITAL	034	WAG	SS	35,000	35.20	n/a	n/a	1,400.00	4.0
MACKLOWE ASSET MGMT	041	WMT	В	35,000	53.79	n/a	27-Apr	1,400.00	4.0
NEUBERGER BERMAN	036	WTR	В	4,200	18.51	n/a	n/a	168.00	4.0
NEUBERGER BERMAN	036	WWE	В	4,500	18.60	n/a	n/a	180.00	4.0
OZ MGMT	040	WYNN	S	20,000	93.36	n/a	30-Apr	600.00	3.0
NEUBERGER BERMAN	036	WY	В	1,300	50.37	n/a	30-Apr	52.00	4.0
NEUBERGER BERMAN	036	XEL	В	4,300	21.90	n/a	n/a	172.00	4.0
CAVU CAP ADV	028	XLNX	SS	25 , 000	26.33	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	028	XRT	В	50,000	43.02	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	ZQK	В	30,000	5.61	n/a	12-Mar	1,500.00	5.0

TOTAL (Trade Date): 117,984.98

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	\$/Shr.
AO,	04/23	PNC CAPITAL ADV (PNCMCP4395)	028	GILD	S	14,000	41.37	n/a	n/a	560.00	4.0
AO,CXL	04/23	PNC CAPITAL ADV (PNCMCP4395)	028	GILD	S	14,000	41.37	n/a	n/a	560.00	4.0
AO, CRT	04/29	HIGHBRIDGE CAP (HIBCGOLDPB)	041	NE	SS	85 , 500	42.32	n/a	n/a	3420.00	4.0
AO,CXL	04/29	HIGHBRIDGE CAP (HIBCCSFB)	041	NE	SS	85,500	42.32	n/a	n/a	3420.00	4.0
AO,	04/29	1798 CAP/LOMBARD ASSET (1798MS)	040	PDE	S	30,000	31.61	n/a	n/a	1500.00	5.0
TOTAL	(AO, (CXL, CRT):							1,	500.00	

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	117,984.98 1,500.00
TOTAL (RUN DATE) / NFS:	119,484.98

Legend:

O: 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