



Daily Compliance Activity Report

Trade Date: 04/09/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACKLOWE ASSET MGMT	041	AEO	B	35,000	17.68	n/a	9-Apr	1,400.00	4.0
METROPOLITAN CAPITAL	044	AEO	B	7,700	17.38	n/a	9-Apr	385.00	5.0
ROSEDALE CAPITAL	046	AEO	B	20,000	17.29	n/a	9-Apr	1,000.00	5.0
TPG-AXON	040	BBT	C	446,000	33.79	n/a	n/a	22,300.00	5.0
BALYASNY ASSET MGMT	044	BBY	SS	35,000	44.38	n/a	n/a	1,750.00	5.0
KACELA CAPITAL	034	BKE	SS	15,000	37.62	n/a	n/a	600.00	4.0
WHALE ROCK CAP	030	BONT	B	92,480	15.29	n/a	n/a	3,699.20	4.0
NEW JERSEY DIV OF INV.	030	BRE	B	100,000	37.87	n/a	n/a	4,000.00	4.0
SANDLER O'NEILL ASSET	031	C	S	86,000	4.55	n/a	30-Mar	2,580.00	3.0
MARINER/TRICADIA	041	DTG	B	33,900	36.14	n/a	n/a	1,695.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.69	n/a	n/a	600.00	6.0
MERRILL ASSET/BLACKROCK	263	FL	B	9,400	15.09	n/a	26-Mar	376.00	4.0
BMO NESBITT BURNS	041	FRX	B	7,000	28.23	n/a	8-Apr	490.00	7.0
TROUBH PART	067	F	B	50,000	12.70	n/a	5-Apr	2,500.00	5.0
BMO NESBITT BURNS	041	GES	B	4,000	47.07	n/a	18-Mar	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	GES	B	25,000	46.87	n/a	18-Mar	750.00	3.0
FIRST INV MGMT CO	029	GE	S	8,000	18.45	n/a	n/a	400.00	5.0
BMO NESBITT BURNS	041	GIL	B	7,000	27.76	n/a	22-Mar	280.00	4.0
GREEN ARROW DOUG	040	GME	B	21,777	23.20	n/a	n/a	653.31	3.0
JP MORGAN VENTURES	046	GPS	B	20,000	24.79	n/a	n/a	1,000.00	5.0
DSM CAPITAL PARTNERS	032	GYMB	B	5,950	52.99	n/a	9-Apr	297.50	5.0
SUN AMERICA ASSET MGMT	030	HI	B	12,952	23.67	n/a	n/a	518.08	4.0
RAINIER INV MGMT	035	IRM	S	65,000	26.51	n/a	n/a	2,600.00	4.0
BMO NESBITT BURNS	041	JWN	SS	4,000	42.40	n/a	9-Apr	160.00	4.0
FIRST INV MGMT CO	029	KG	S	70,000	12.16	n/a	5-Apr	3,500.00	5.0
NEW JERSEY DIV OF INV.	030	KRC	B	75,000	33.79	n/a	n/a	3,000.00	4.0
JP MORGAN VENTURES	046	KR	S	60,000	22.49	n/a	n/a	3,000.00	5.0
APEX CAPITAL MGMT.	261	KSS	B	100,000	56.74	n/a	9-Apr	4,000.00	4.0
BMO NESBITT BURNS	041	KSS	SS	3,000	56.77	n/a	9-Apr	120.00	4.0
GREEN ARROW DOUG	040	K	B	19,135	52.74	n/a	n/a	574.05	3.0
SIGMA CAPITAL ASSOCIATES	041	MAR	S	50,000	32.73	n/a	n/a	1,750.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	035	MGM	B	25,000	14.35	n/a	8-Apr	1,000.00	4.0
SCHOTTENFELD ASSOC	041	MPEL	SS	25,000	5.51	n/a	1-Apr	750.00	3.0
DSM CAPITAL PARTNERS	032	MXB	B	8,325	36.16	n/a	n/a	416.25	5.0
BMO NESBITT BURNS	041	MYL	SS	4,000	22.55	n/a	5-Apr	280.00	7.0
BMO NESBITT BURNS	041	M	B	8,000	23.08	n/a	9-Apr	320.00	4.0
EXIS CAPITAL	044	M	B	10,000	22.65	n/a	9-Apr	500.00	5.0
EXIS CAPITAL	044	NDAQ	B	15,000	21.82	n/a	n/a	750.00	5.0
BMO NESBITT BURNS	041	PKG	B	25,000	24.79	n/a	26-Mar	1,250.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	25,000	24.37	n/a	26-Mar	750.00	3.0
NEW JERSEY DIV OF INV.	030	PSB	B	19,000	56.41	n/a	n/a	760.00	4.0
BMO NESBITT BURNS	041	PVH	B	3,000	61.98	n/a	23-Mar	120.00	4.0
EXIS CAPITAL	044	PVH	B	10,000	62.38	n/a	23-Mar	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	50,000	62.04	n/a	23-Mar	1,500.00	3.0
SCOPUS FUND	041	PVH	B	10,000	62.26	n/a	23-Mar	500.00	5.0
BMO NESBITT BURNS	041	RL	SS	2,000	89.36	n/a	23-Mar	80.00	4.0
BALYASNY ASSET MGMT	044	RSH	B	50,000	23.10	n/a	n/a	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	SHW	B	25,000	71.11	n/a	31-Mar	875.00	3.5
GLOBAL 56 LLC	060	SIMG	B	2,500	3.20	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
METROPOLITAN CAPITAL	044	SKS	B	4,000	9.19	n/a	n/a	200.00	5.0
DSM CAPITAL PARTNERS	032	SLAB	B	5,840	50.02	n/a	n/a	292.00	5.0
PAULSON & CO INC	041	SNV	SS	400,000	3.38	n/a	n/a	8,000.00	2.0
SACC-SCHWARTZ	044	SPY	SS	50,000	119.16	n/a	n/a	1,750.00	3.5
TPG-AXON	040	STI	C	175,000	28.41	n/a	n/a	8,750.00	5.0
DSM CAPITAL PARTNERS	032	SYNA	S	30,285	28.86	n/a	n/a	1,514.25	5.0
BNP PARIBAS SEC	040	TIN	B	10,000	22.26	n/a	26-Mar	400.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	66,500	21.82	n/a	26-Mar	2,660.00	4.0
METROPOLITAN CAPITAL	044	TJX	B	5,600	44.48	n/a	9-Apr	280.00	5.0
COUGAR TRADING	044	TM	B	5,000	80.17	n/a	n/a	250.00	5.0
KAILIX INV ADV	048	TXT	S	35,000	21.98	n/a	n/a	1,750.00	5.0
STELLIAM INV ADV	034	UNH	B	25,000	31.72	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	URI	B	45,000	10.15	n/a	n/a	2,250.00	5.0
MILLENIUM PARTNERS	028	URI	S	20,000	10.33	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	VFC	SS	2,000	82.69	n/a	12-Feb	80.00	4.0
BMO NESBITT BURNS	041	WRC	B	4,000	47.63	n/a	2-Mar	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	WTW	S	5,000	27.00	n/a	n/a	200.00	4.0
SCHOTTENFELD ASSOC	041	WY	B	35,000	46.18	n/a	26-Mar	1,050.00	3.0
SCHOTTENFELD ASSOC	041	WY	S	35,000	46.42	n/a	26-Mar	1,050.00	3.0
SCOPUS FUND	041	WY	B	25,000	47.06	n/a	26-Mar	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	XLB	SS	15,000	34.85	n/a	n/a	450.00	3.0
Õ Bob Efstathiou		XYZ	B	2000	10.0000	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							113,500.64		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/08	ISLE RIDGE PARTNERS (ISLECSFB)	041	HOG	B	10,000	31.34	n/a	n/a	400.00 4.0
AO,CRT	04/08	MILLENIUM PARTNERS (MILPMLICS)	041	HOG	B	10,000	31.34	n/a	n/a	400.00 4.0
AO,CXL	04/08	CATAPULT (CATADEUTCH)	040	MOS	B	10,000	57.60	n/a	n/a	500.00 5.0
AO,CRT	04/08	MILLENIUM PARTNERS (MILPMLICS)	040	MOS	B	10,000	57.60	n/a	n/a	500.00 5.0
AO,	04/08	BASIX (BASIUBS)	033	USG	B	50,000	17.99	n/a	26-Mar	1500.00 3.0

TOTAL (AO, CXL, CRT) :	1,500.00
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TOTAL (Trade Date) :	113,500.64
TOTAL (AO, CXL, CRT) :	1,500.00

TOTAL (RUN DATE) / NFS :	115,000.64
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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