



Daily Compliance Activity Report

Trade Date: 04/15/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	045	AAPL	S	2,200	246.67	n/a	n/a	88.00	4.0
PATTEN & PATTEN	067	AA	S	12,000	14.38	n/a	n/a	600.00	5.0
ADAGE CAPITAL MGMT	030	AEO	SS	93,100	18.19	n/a	9-Apr	2,793.00	3.0
CAERUS GLOBAL	041	AEO	S	75,000	18.23	n/a	9-Apr	3,000.00	4.0
EXIS CAPITAL	044	AEO	SS	10,000	18.20	n/a	9-Apr	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	SS	25,000	18.07	n/a	9-Apr	875.00	3.5
TOKIO MARINE ASSET MGMT	045	AKAM	S	16,000	34.45	n/a	n/a	640.00	4.0
T. ROWE PRICE	033	AOL	S	31,100	27.85	n/a	n/a	1,244.00	4.0
EXIS CAPITAL	044	ARO	S	30,000	31.14	n/a	9-Apr	1,500.00	5.0
METROPOLITAN CAPITAL	044	AXL	S	31,300	11.53	n/a	8-Feb	1,565.00	5.0
ROTHSCHILD ASSET	040	BGC	S	14,936	30.90	n/a	n/a	597.44	4.0
WHALE ROCK CAP	030	BONT	B	50,000	17.19	n/a	n/a	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	BUCY	SS	7,000	73.74	n/a	22-Feb	350.00	5.0
MADISON ST PARTNERS LLC	046	BYI	S	21,900	42.96	n/a	n/a	1,095.00	5.0
GREEN ARROW DOUG	040	CLW	SS	10,000	54.96	n/a	n/a	300.00	3.0
SANDLER O'NEILL ASSET	031	COF	SS	18,400	45.16	n/a	15-Apr	920.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STERLING JOHNSTON	035	CRR	B	5,750	72.85	n/a	1-Apr	230.00	4.0
TOKIO MARINE ASSET MGMT	045	CTXS	S	11,100	47.94	n/a	n/a	444.00	4.0
SANDLER O'NEILL ASSET	031	C	S	100,000	5.03	n/a	15-Apr	2,000.00	2.0
THIRD POINT MGMT	044	DAL	B	50,000	14.40	n/a	n/a	2,000.00	4.0
METROPOLITAN CAPITAL	044	DAN	B	68,200	13.37	n/a	25-Feb	3,410.00	5.0
EXIS CAPITAL	044	DENN	B	10,000	3.87	n/a	n/a	500.00	5.0
ROYCE TRADING	216	DLTR	B	200	59.59	n/a	24-Feb	10.00	5.0
TRELLUS PARTNERS LP	028	DRYS	S	25,000	6.76	n/a	n/a	750.00	3.0
ASCEND PARTNERS	033	ERTS	B	8,489	19.86	n/a	n/a	424.45	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	20,000	1.81	n/a	n/a	1,200.00	6.0
KADE CAPITAL LLC	036	ETN	B	15,000	80.50	n/a	6-Apr	750.00	5.0
ASCEND PARTNERS	033	GPS	B	20,000	25.31	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	GPS	S	30,000	25.27	n/a	n/a	1,500.00	5.0
ADAGE CAPITAL MGMT	030	GYMB	B	100,000	52.03	n/a	9-Apr	3,000.00	3.0
METROPOLITAN CAPITAL	044	GYMB	S	27,700	51.74	n/a	9-Apr	1,385.00	5.0
TOKIO MARINE ASSET MGMT	045	IBM	S	2,700	130.59	n/a	n/a	108.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	IGT	SS	15,000	19.61	n/a	9-Feb	600.00	4.0
BMO NESBITT BURNS	041	IP	SS	50,000	28.09	n/a	26-Mar	2,500.00	5.0
ROTHSCHILD ASSET	040	JAS	S	9,790	44.05	n/a	n/a	391.60	4.0
EXIS CAPITAL	044	JCP	B	5,000	31.69	n/a	9-Apr	250.00	5.0
EXIS CAPITAL	044	JNY	B	5,000	21.70	n/a	14-Apr	250.00	5.0
EXIS CAPITAL	044	JWN	B	10,000	43.10	n/a	9-Apr	500.00	5.0
RBC CAPITAL MARKETS	040	JWN	SS	10,000	43.42	n/a	9-Apr	400.00	4.0
RBC CAPITAL MARKETS	040	KR	B	10,000	23.36	n/a	n/a	400.00	4.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	57.51	n/a	9-Apr	500.00	5.0
RBC CAPITAL MARKETS	040	KSS	SS	10,000	57.69	n/a	9-Apr	400.00	4.0
EXIS CAPITAL	044	LIZ	B	15,000	8.61	n/a	7-Oct	750.00	5.0
SCOPUS FUND	041	LVS	B	10,000	23.35	n/a	14-Apr	500.00	5.0
BMO NESBITT BURNS	041	MERC	B	25,000	5.75	n/a	n/a	1,250.00	5.0
RAMIUS CAP	040	MIDD	C	21,400	59.59	n/a	5-Mar	856.00	4.0
EXIS CAPITAL	044	M	B	5,000	23.89	n/a	9-Apr	250.00	5.0
OZ MGMT	040	ONNN	C	112,536	8.80	n/a	n/a	3,376.08	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAMIUS CAP	040	ORLY	C	29,350	43.88	n/a	n/a	1,174.00	4.0
ROYCE TRADING	216	ORLY	B	200	43.93	n/a	n/a	10.00	5.0
RAMIUS CAP	040	PBI	C	42,975	25.17	n/a	n/a	1,719.00	4.0
ROTHSCHILD ASSET	040	PCH	B	9,630	37.73	n/a	26-Mar	385.20	4.0
CR INTRINIC INVESTMENT	044	PRGO	SS	25,000	61.70	n/a	15-Apr	875.00	3.5
DENVER INST. ADV	046	PVH	S	17,300	64.12	n/a	14-Apr	692.00	4.0
STERLING JOHNSTON	035	PVH	S	7,500	63.95	n/a	14-Apr	300.00	4.0
GRANITE CAPITAL	045	RE	S	10,000	83.09	n/a	n/a	500.00	5.0
DENVER INST. ADV	046	RL	S	10,200	90.22	n/a	14-Apr	408.00	4.0
RBC CAPITAL MARKETS	040	SBUX	S	10,000	25.11	n/a	7-Apr	400.00	4.0
WAGONHOUND/NIC	048	SKS	B	2,612	9.57	n/a	n/a	78.36	3.0
MERRILL ASSET/BLACKROCK	263	SM	B	20,400	39.66	n/a	n/a	816.00	4.0
SENATOR INVESTMENT GROUP	036	SPY	SS	67,500	121.31	n/a	n/a	2,025.00	3.0
MILLRACE FUND LP	028	SUP	S	20,731	16.61	n/a	1-Mar	829.24	4.0
SAXON WOODS ADVISORS	242	TGT	S	29,700	56.46	n/a	9-Apr	1,188.00	4.0
AVESTA CAP	229	TIF	S	100,000	50.95	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAXON WOODS ADVISORS	242	TJX	S	26,600	46.22	n/a	9-Apr	1,064.00	4.0
COUGAR TRADING	044	TM	SS	5,000	79.85	n/a	n/a	250.00	5.0
1798 CAPITAL MGMT	040	TYC	B	55,500	40.07	n/a	29-Jan	2,775.00	5.0
SANDLER CAPITAL	226	UA	S	85,000	33.93	n/a	14-Apr	5,100.00	6.0
BNP PARIBAS SEC	040	URS	B	5,200	50.45	n/a	n/a	208.00	4.0
UBS OCONNOR	031	UTX	SS	50,000	74.48	n/a	n/a	1,500.00	3.0
TOKIO MARINE ASSET MGMT	045	VAR	S	6,400	56.24	n/a	n/a	256.00	4.0
CENTURION PARTNERS	041	WCRX	B	15,000	27.61	n/a	15-Apr	600.00	4.0
COHE & STEERS	041	WY	S	46,313	47.05	n/a	26-Mar	1,852.52	4.0
GREEN ARROW DOUG	040	XLP	SS	25,000	27.93	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	ZQK	B	40,000	5.41	n/a	12-Mar	2,000.00	5.0
TOTAL (Trade Date) :								81,207.89	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/13	11:11 CAPITAL CORP (1111COREST)	046	ELN	S	160,900	8.13	n/a	n/a	8045.00 5.0
AO,CRT	04/13	11:11 CAPITAL CORP (1111COREST)	046	ELN	S	160,900	8.13	n/a	n/a	6436.00 4.0
AO,CXL	04/12	PROSPECTOR PARTNERS LLC (PROSWTMAME)	036	HES	B	6,600	65.36	n/a	n/a	264.00 4.0
AO,CRT	04/12	PROSPECTOR PARTNERS LLC (PROSWTMAME)	036	HES	B	5,200	65.36	n/a	n/a	208.00 4.0
AO,	04/12	PROSPECTOR PARTNERS LLC (PROSDELOS)	036	HES	B	1,400	65.36	n/a	n/a	56.00 4.0

TOTAL (AO, CXL, CRT) :	-1,609.00
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TOTAL (Trade Date) :	81,207.89
TOTAL (AO, CXL, CRT) :	-1,609.00

TOTAL (RUN DATE) / NFS:	79,598.89
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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