



Daily Compliance Activity Report

Trade Date: 04/26/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	SS	5,000	18.03	n/a	9-Apr	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	SS	25,000	18.00	n/a	9-Apr	875.00	3.5
EPOCH INV MGMT	030	AGCO	S	16,250	39.82	n/a	18-Mar	487.50	3.0
TOCQUEVILLE	067	AIN	S	21,000	24.30	n/a	n/a	1,050.00	5.0
CAPITAL GROWTH MGMT.	241	ANR	S	100,000	52.84	n/a	n/a	5,000.00	5.0
EXIS CAPITAL	044	ARO	B	15,000	32.03	n/a	9-Apr	750.00	5.0
MAIRS AND POWER INV	030	BAX	B	10,000	48.35	n/a	n/a	500.00	5.0
GRUBER MACBAINE	033	BBBY	S	5,000	48.38	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	BJ	SS	1,269	39.41	n/a	n/a	50.76	4.0
CASTLEROCK	040	BVN	SS	60,255	30.70	n/a	n/a	2,410.20	4.0
EXIS CAPITAL	044	BX	B	20,000	15.05	n/a	n/a	1,000.00	5.0
JP MORGAN VENTURES	046	CAT	SS	25,000	72.67	n/a	26-Apr	1,250.00	5.0
JP MORGAN VENTURES	046	CEPH	B	7,600	65.55	n/a	26-Apr	380.00	5.0
ROSEDALE CAPITAL	046	COG	B	18,000	39.91	n/a	1-Apr	900.00	5.0
STELLIAM INV ADV	034	COH	S	35,000	43.51	n/a	21-Apr	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	263	CRR	S	2,000	78.35	n/a	1-Apr	80.00	4.0
EXIS CAPITAL	044	CWTR	B	15,000	8.49	n/a	n/a	750.00	5.0
SANDLER O'NEILL ASSET	031	C	S	50,000	4.78	n/a	19-Apr	1,000.00	2.0
IRIDIAN ASSET MGMT.	036	DCP	S	142,210	17.22	n/a	n/a	7,110.50	5.0
ARCHON CAPITAL	035	DELL	S	85,000	17.05	n/a	n/a	2,550.00	3.0
PARTNER REINSURANCE	033	DIS	B	20,700	37.02	n/a	n/a	828.00	4.0
MARINER/TRICADIA	041	DTG	S	40,000	42.35	n/a	n/a	2,000.00	5.0
MERRILL ASSET/BLACKROCK	263	FAF	B	6,100	36.99	n/a	n/a	244.00	4.0
LAGRANGE CAP ADV	048	FII	B	10,000	25.30	n/a	2-Mar	500.00	5.0
EGS ASSOCIATES LP	091	FL	B	3,000	16.71	n/a	14-Apr	180.00	6.0
COLONIAL FUND LLC	036	F	B	50,000	14.49	n/a	20-Apr	2,500.00	5.0
OZ MGMT	040	F	SS	110,947	14.47	n/a	20-Apr	3,328.41	3.0
EXIS CAPITAL	044	GCO	B	20,000	34.55	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	GIII	B	600	30.15	n/a	n/a	30.00	5.0
RAIL-SPLITTER	031	GIL	B	19,200	29.89	n/a	22-Mar	960.00	5.0
EXIS CAPITAL	044	HIG	S	20,000	29.86	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	IFF	S	1,550	51.68	n/a	29-Mar	77.50	5.0
BMO NESBITT BURNS	041	IP	SS	25,000	28.36	n/a	19-Apr	1,250.00	5.0
FRIESS MGMT	033	JCG	S	176,900	50.28	n/a	n/a	7,076.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	25,000	32.40	n/a	21-Apr	875.00	3.5
MERRILL ASSET/BLACKROCK	263	JLL	S	2,600	81.92	n/a	n/a	104.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	5,000	45.31	n/a	9-Apr	200.00	4.0
THE JAY GOLDMAN	028	JWN	B	10,000	45.23	n/a	9-Apr	400.00	4.0
CAMBIAR CAP	046	KG	B	33,310	10.60	n/a	26-Apr	1,332.40	4.0
RBC CAPITAL MARKETS	040	KR	B	10,000	23.69	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	KSS	SS	5,000	57.96	n/a	9-Apr	250.00	5.0
OZ MGMT	040	LEA	B	10,000	84.60	n/a	20-Apr	300.00	3.0
OZ MGMT	040	LEA	S	9,513	84.60	n/a	20-Apr	285.39	3.0
PIONEER MICHAEL NOLAN	067	LF	S	18,397	7.36	n/a	n/a	551.91	3.0
GRUBER MACBAIN	033	LOW	S	5,000	28.39	n/a	22-Feb	200.00	4.0
HIGHBRIDGE CAP	041	LOW	S	3,512	28.48	n/a	22-Feb	140.48	4.0
SIGMA CAPITAL ASSOCIATES	041	LOW	S	50,000	28.43	n/a	22-Feb	1,750.00	3.5
WHITE PINE CAPITAL	030	LTXC	S	5,675	3.52	n/a	n/a	170.25	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	067	LVS	B	15,000	26.14	n/a	14-Apr	750.00	5.0
BALYASNY ASSET MGMT	044	MGM	SS	100,000	16.20	n/a	15-Apr	5,000.00	5.0
FIRST NY SEC/CHRIS	041	MSFT	B	25,000	31.10	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	M	S	10,000	24.95	n/a	9-Apr	500.00	5.0
SAC TRADING TOM LEDDY	035	M	B	23,400	24.97	n/a	9-Apr	819.00	3.5
WHITE PINE CAPITAL	030	NGD	S	3,100	5.93	n/a	n/a	155.00	5.0
WHITE PINE CAPITAL	030	NOVA	S	3,425	3.33	n/a	n/a	102.75	3.0
WHITE PINE CAPITAL	030	NUVA	S	14,250	42.34	n/a	n/a	712.50	5.0
TRELLUS PARTNERS LP	028	PAG	B	50,000	16.00	n/a	20-Apr	2,500.00	5.0
STELLIAM INV ADV	034	PKD	SS	25,000	5.58	n/a	n/a	1,250.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	3,100	49.53	n/a	22-Mar	124.00	4.0
MFP INVESTORS	032	PPC	S	17,800	12.86	n/a	n/a	890.00	5.0
MERRILL ASSET/BLACKROCK	263	PRA	S	3,600	61.28	n/a	n/a	144.00	4.0
WHITE PINE CAPITAL	030	RELL	S	8,075	11.00	n/a	n/a	403.75	5.0
WHITE PINE CAPITAL	030	RFMD	S	6,075	5.68	n/a	n/a	303.75	5.0
EXIS CAPITAL	044	ROST	SS	5,000	58.36	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	RSH	B	10,000	22.92	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	SPLS	B	5,000	24.91	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	TJX	B	20,000	48.16	n/a	9-Apr	800.00	4.0
EXIS CAPITAL	044	TLB	B	5,000	16.78	n/a	n/a	250.00	5.0
COUGAR TRADING	044	TM	B	10,000	79.12	n/a	n/a	500.00	5.0
CAXTON PART	040	URI	B	50,000	13.75	n/a	n/a	1,750.00	3.5
SUN AMERICA ASSET MGMT	030	URZ	B	39,754	1.77	n/a	n/a	1,192.62	3.0
SANDLER CAPITAL	226	VMW	S	70,000	63.30	n/a	n/a	4,200.00	6.0
TOCQUEVILLE	067	VSH	S	43,000	11.02	n/a	n/a	2,150.00	5.0
NWQ INVESTMENT MGMT CO	048	WBC	B	11,000	32.92	n/a	13-Apr	440.00	4.0
SYSTEMATIC FINANCIAL MGT	035	WHR	S	75,300	115.58	n/a	n/a	2,259.00	3.0
HIGHBRIDGE CAP	041	WMT	SS	4,585	54.58	n/a	16-Apr	183.40	4.0
RBC CAPITAL MARKETS	040	WRC	B	5,000	50.79	n/a	2-Mar	200.00	4.0
WHITE PINE CAPITAL	030	WTSLA	S	8,525	5.07	n/a	n/a	426.25	5.0
BMO NESBITT BURNS	041	WY	SS	25,000	52.07	n/a	19-Apr	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	XLB	C	28,000	35.36	n/a	n/a	840.00	3.0
DIAMONDBACK CAP MGMT	232	XOP	SS	11,000	45.66	n/a	n/a	330.00	3.0
EXIS CAPITAL	044	ZUMZ	SS	30,000	20.64	n/a	n/a	1,500.00	5.0
TOTAL (Trade Date) :								90,403.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/23	PMNM (PMNMCARM13)	028	GILD	S	32,513	41.37	n/a	n/a	1300.52 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMCX007)	028	GILD	S	660	41.37	n/a	n/a	26.40 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMCX0157)	028	GILD	S	580	41.37	n/a	n/a	23.20 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMEQOMNI)	028	GILD	S	51,918	41.37	n/a	n/a	2076.72 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMCARM07)	028	GILD	S	4,800	41.37	n/a	n/a	192.00 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMCP4395)	028	GILD	S	14,000	41.37	n/a	n/a	560.00 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMCX0308)	028	GILD	S	2,606	41.37	n/a	n/a	104.24 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMCX0083)	028	GILD	S	1,100	41.37	n/a	n/a	44.00 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMCZ1022)	028	GILD	S	4,621	41.37	n/a	n/a	184.84 4.0
AO,	04/23	PNC CAPITAL ADV (PNCMNAOMNI)	028	GILD	S	36,832	41.37	n/a	n/a	1473.28 4.0
AO,CRT	04/22	FARALLON CAP MGMT (FARACS)	040	JOE	SS	31,500	35.46	n/a	n/a	1260.00 4.0
AO,CXL	04/22	FARALLON CAP MGMT (FARABULK F)	040	JOE	SS	31,500	35.46	n/a	n/a	1260.00 4.0
AO,CRT	04/23	TRAFELET & COMP. (TRAFGSPB)	028	RDN	SS	180,100	18.48	n/a	n/a	9005.00 5.0
AO,CRT	04/23	TRAFELET & COMP. (TRAFGSPB)	028	RDN	SS	219,900	18.48	n/a	n/a	10995.00 5.0
AO,CRT	04/23	CATAPULT (CATAML)	040	VMED	B	50,000	18.64	n/a	n/a	0.00 0.0
AO,CXL	04/23	CATAPULT (CATADEUTCH)	040	VMED	B	50,000	18.64	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) :**25,985.20**

TOTAL (Trade Date) :

90,403.32

TOTAL (AO, CXL, CRT) :

25,985.20

TOTAL (RUN DATE) / NFS:

116,388.52

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