



## Daily Compliance Activity Report

Trade Date: 04/19/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account                  | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.¢/Shr. |      |
|--------------------------|------|--------|-----|---------|--------|-----|----------|-------------|------|
| BMO NESBITT BURNS        | 041  | APA    | B   | 1,000   | 105.16 | n/a | 1-Apr    | 100.00      | 10.0 |
| HUNTER GLOBAL INVESTOR   | 067  | BAC    | B   | 600,000 | 18.15  | n/a | 19-Apr   | 21,000.00   | 3.5  |
| EXIS CAPITAL             | 044  | BONT   | B   | 5,000   | 15.98  | n/a | n/a      | 250.00      | 5.0  |
| LEVIN CAPITAL STRATEGIES | 012  | BP     | C   | 15,000  | 58.88  | n/a | n/a      | 450.00      | 3.0  |
| FORD FDN.                | 032  | CAT    | S   | 11,000  | 66.91  | n/a | 15-Apr   | 440.00      | 4.0  |
| NEW JERSEY DIV OF INV.   | 030  | COP    | S   | 2,700   | 55.75  | n/a | n/a      | 108.00      | 4.0  |
| NICOLAS APPELGATE        | 048  | CSCO   | B   | 250,000 | 26.98  | n/a | n/a      | 5,000.00    | 2.0  |
| ROTHSCHILD ASSET         | 040  | CTB    | B   | 13,540  | 19.57  | n/a | n/a      | 541.60      | 4.0  |
| SANDLER O'NEILL ASSET    | 031  | C      | S   | 100,000 | 4.80   | n/a | 19-Apr   | 2,000.00    | 2.0  |
| METROPOLITAN CAPITAL     | 044  | DAN    | B   | 35,200  | 12.80  | n/a | 25-Feb   | 1,760.00    | 5.0  |
| SIGMA CAPITAL ASSOCIATES | 041  | DBRN   | SS  | 25,000  | 28.12  | n/a | n/a      | 875.00      | 3.5  |
| MARINER/TRICADIA         | 041  | DTG    | B   | 15,000  | 34.04  | n/a | n/a      | 750.00      | 5.0  |
| ROTHSCHILD ASSET         | 040  | DWA    | S   | 36,936  | 41.37  | n/a | n/a      | 1,477.44    | 4.0  |
| GREEN ARROW DOUG         | 040  | EFA    | SS  | 15,000  | 56.29  | n/a | n/a      | 750.00      | 5.0  |

| Account                  | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm. ¢/Shr. |     |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| CHILTON CAPITAL MGMT.    | 036  | EK     | SS  | 100,000 | 7.38  | n/a | n/a      | 3,000.00     | 3.0 |
| CATAPULT                 | 040  | EMN    | B   | 10,000  | 64.95 | n/a | n/a      | 500.00       | 5.0 |
| FIRST NEW YORK LEDDY     | 035  | ETFC   | S   | 10,000  | 1.70  | n/a | n/a      | 600.00       | 6.0 |
| SCOPUS FUND              | 041  | F      | B   | 100,000 | 13.67 | n/a | 5-Apr    | 5,000.00     | 5.0 |
| LEVIN CAPITAL STRATEGIES | 012  | GES    | S   | 25,000  | 45.48 | n/a | 18-Mar   | 750.00       | 3.0 |
| PROSPECTOR PARTNERS LLC  | 036  | GFI    | B   | 20,000  | 12.56 | n/a | n/a      | 800.00       | 4.0 |
| THOMAS WEISEL ASSET MGMT | 035  | GFRE   | B   | 23,788  | 11.47 | n/a | n/a      | 713.64       | 3.0 |
| SIGMA CAPITAL ASSOCIATES | 041  | GPS    | S   | 25,000  | 24.76 | n/a | n/a      | 875.00       | 3.5 |
| NEUBERGER BERMAN         | 036  | HEI    | S   | 18,600  | 51.35 | n/a | n/a      | 744.00       | 4.0 |
| EXIS CAPITAL             | 044  | IWM    | SS  | 40,000  | 71.11 | n/a | n/a      | 2,000.00     | 5.0 |
| DIAMONDBACK CAP MGMT     | 232  | JEF    | C   | 15,000  | 27.26 | n/a | n/a      | 750.00       | 5.0 |
| EXIS CAPITAL             | 044  | JNY    | B   | 5,000   | 21.13 | n/a | 14-Apr   | 250.00       | 5.0 |
| HUNTER GLOBAL INVESTOR   | 067  | JPM    | B   | 100,000 | 44.83 | n/a | 15-Apr   | 5,000.00     | 5.0 |
| EXIS CAPITAL             | 044  | KSS    | SS  | 1,527   | 57.25 | n/a | 9-Apr    | 76.35        | 5.0 |
| AVESTA CAP               | 229  | LOW    | B   | 100,000 | 26.08 | n/a | 22-Feb   | 3,000.00     | 3.0 |

| Account                  | RR #       | Symbol   | B/S      | Shares        | Price        | MRI        | Research     | Comm.¢/Shr.     |            |
|--------------------------|------------|----------|----------|---------------|--------------|------------|--------------|-----------------|------------|
| ROTHSCHILD ASSET         | 040        | LXK      | B        | 4,816         | 38.51        | n/a        | n/a          | 192.64          | 4.0        |
| CIRCLE T/SES PART        | 035        | MGM      | B        | 15,000        | 14.30        | n/a        | 15-Apr       | 600.00          | 4.0        |
| CASTLE ARK               | 031        | MHS      | B        | 190,702       | 63.10        | n/a        | n/a          | 11,442.12       | 6.0        |
| BASIX                    | 033        | MTW      | S        | 30,500        | 14.87        | n/a        | 5-Feb        | 915.00          | 3.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>M</b> | <b>S</b> | <b>50,000</b> | <b>22.33</b> | <b>n/a</b> | <b>9-Apr</b> | <b>2,000.00</b> | <b>4.0</b> |
| EXIS CAPITAL             | 044        | M        | B        | 5,000         | 22.39        | n/a        | 9-Apr        | 250.00          | 5.0        |
| BASIX                    | 033        | PKG      | S        | 13,000        | 24.68        | n/a        | 19-Apr       | 390.00          | 3.0        |
| BMO NESBITT BURNS        | 041        | RRC      | SS       | 3,000         | 49.03        | n/a        | 1-Apr        | 300.00          | 10.0       |
| GREEN ARROW DOUG         | 040        | THO      | B        | 30,000        | 33.22        | n/a        | n/a          | 1,500.00        | 5.0        |
| ROTHSCHILD ASSET         | 040        | THS      | S        | 15,700        | 43.36        | n/a        | n/a          | 628.00          | 4.0        |
| ARMATURE CAPITAL         | 041        | TIN      | B        | 40,000        | 23.17        | n/a        | 19-Apr       | 1,600.00        | 4.0        |
| COUGAR TRADING           | 044        | TM       | B        | 5,000         | 79.23        | n/a        | n/a          | 250.00          | 5.0        |
| COUGAR TRADING           | 044        | TM       | SS       | 10,000        | 78.44        | n/a        | n/a          | 500.00          | 5.0        |
| NICOLAS APPELEGATE       | 048        | TWTC     | S        | 40,000        | 17.67        | n/a        | n/a          | 1,600.00        | 4.0        |
| CATAPULT                 | 040        | WAG      | B        | 100,000       | 36.01        | n/a        | n/a          | 4,000.00        | 4.0        |
| ISLE RIDGE PARTNERS      | 041        | WMT      | B        | 45,000        | 54.31        | n/a        | 16-Apr       | 1,800.00        | 4.0        |

| Account                    | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr.     |     |
|----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| ROSEDALE CAPITAL           | 046  | XOM    | B   | 15,000 | 67.72 | n/a | n/a      | 750.00           | 5.0 |
| <b>TOTAL (Trade Date):</b> |      |        |     |        |       |     |          | <b>88,278.79</b> |     |

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

| Type   | Date  | Account                     | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |     |
|--------|-------|-----------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,CRT | 04/16 | CASTLEROCK (CASTDBPB)       | 040  | ANN    | SS  | 7,175  | 22.13 | n/a | n/a      | 287.00      | 4.0 |
| AO,CXL | 04/16 | CASTLEROCK (CASTMERRIL)     | 040  | ANN    | SS  | 7,175  | 22.13 | n/a | n/a      | 287.00      | 4.0 |
| AO,CXL | 04/16 | COOPER CREEK PART (COOPJPM) | 028  | JCP    | B   | 2,552  | 31.32 | n/a | 9-Apr    | 127.60      | 5.0 |
| AO,CRT | 04/16 | COOPER CREEK PART (COOPJPM) | 028  | JCP    | B   | 2,552  | 31.32 | n/a | 9-Apr    | 102.08      | 4.0 |
| AO,CXL | 04/16 | COOPER CREEK PART (COOPGS)  | 028  | JCP    | B   | 42,448 | 31.32 | n/a | 9-Apr    | 2122.40     | 5.0 |
| AO,CRT | 04/16 | COOPER CREEK PART (COOPGS)  | 028  | JCP    | B   | 42,448 | 31.32 | n/a | 9-Apr    | 1697.92     | 4.0 |

---

|                               |                |
|-------------------------------|----------------|
| <b>TOTAL (AO, CXL, CRT) :</b> | <b>-450.00</b> |
|-------------------------------|----------------|

---

---

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 88,278.79 |
| TOTAL (AO, CXL, CRT) : | -450.00   |

---

|                                 |                  |
|---------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>87,828.79</b> |
|---------------------------------|------------------|

---

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