



## Daily Compliance Activity Report

Trade Date: 04/13/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	AEO	S	15,000	18.12	n/a	9-Apr	750.00	5.0
EXIS CAPITAL	044	AEO	SS	5,000	18.13	n/a	9-Apr	250.00	5.0
ROYCE TRADING	216	AGU	B	200	67.40	n/a	n/a	10.00	5.0
LAGRANGE CAP ADV	048	AN	B	2,700	18.25	n/a	1-Apr	135.00	5.0
SCOPUS FUND	041	AVP	B	10,000	32.27	n/a	7-Apr	500.00	5.0
SASCO	239	BIG	S	10,000	38.73	n/a	4-Mar	400.00	4.0
WHALE ROCK CAP	030	BONT	B	42,000	16.28	n/a	n/a	1,680.00	4.0
CLOVIS CAPITAL	012	CA	SS	50,000	22.78	n/a	n/a	2,500.00	5.0
VISIUM/BALY BOBBY	044	CEC	B	7,500	38.76	n/a	n/a	375.00	5.0
VISIUM/BALY BOBBY	044	CPKI	S	20,000	20.86	n/a	12-Apr	1,000.00	5.0
EXIS CAPITAL	044	CWTR	B	10,000	7.31	n/a	n/a	500.00	5.0
MARINER/TRICADIA	041	CXW	B	10,000	19.97	n/a	n/a	500.00	5.0
AVENUE CAPITAL MGMT	070	DAN	S	100,000	13.16	n/a	25-Feb	3,000.00	3.0
PARTNER REINSURANCE	033	DISH	S	25,000	21.67	n/a	n/a	1,000.00	4.0
MARINER/TRICADIA	041	DTG	B	20,000	35.94	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
11:11 CAPITAL CORP	046	ELN	S	160,900	8.13	n/a	n/a	8,045.00	5.0
LAGRANGE CAP ADV	048	FCX	SS	1,000	84.50	n/a	n/a	50.00	5.0
SASCO	239	FO	S	9,000	51.96	n/a	n/a	360.00	4.0
MILLRACE FUND LP	028	GES	SS	9,000	46.86	n/a	18-Mar	360.00	4.0
THE JAY GOLDMAN	028	HOT	SS	10,000	49.28	n/a	n/a	400.00	4.0
VISIUM/BALY BOBBY	044	IGT	C	10,000	19.42	n/a	9-Feb	500.00	5.0
RAINIER INV MGMT	035	IRM	S	30,000	26.51	n/a	n/a	1,200.00	4.0
HARBORWATCH/DIAMBACK	232	IR	C	25,000	36.99	n/a	16-Feb	1,250.00	5.0
ADAGE CAPITAL MGMT	030	JCP	B	100,000	30.85	n/a	9-Apr	3,000.00	3.0
EXIS CAPITAL	044	JCP	B	5,000	30.83	n/a	9-Apr	250.00	5.0
ROYCE TRADING	216	JEC	B	800	46.92	n/a	n/a	40.00	5.0
EXIS CAPITAL	044	JNY	B	5,000	21.20	n/a	10-Feb	250.00	5.0
CATAPULT	040	JRCC	S	25,000	16.66	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	LIZ	B	20,000	8.33	n/a	7-Oct	1,000.00	5.0
RAIL-SPLITTER	031	LM	SS	9,000	31.35	n/a	2-Mar	450.00	5.0
SCOPUS FUND	041	LPX	B	10,000	10.63	n/a	26-Mar	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	M	SS	5,000	23.20	n/a	9-Apr	250.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	B	20,000	24.25	n/a	26-Mar	1,000.00	5.0
NEW JERSEY DIV OF INV.	030	PVA	S	25,000	27.56	n/a	n/a	1,000.00	4.0
NEW JERSEY DIV OF INV.	030	PXD	S	50,000	60.70	n/a	1-Apr	2,000.00	4.0
ARCHON CAPITAL	035	RRGB	B	40,000	27.24	n/a	n/a	1,200.00	3.0
WESLEY CAPITAL	029	RYN	S	15,000	46.51	n/a	26-Mar	600.00	4.0
BNP PARIBAS SEC	040	SBUX	B	10,000	24.63	n/a	7-Apr	400.00	4.0
VISIUM/BALY BOBBY	044	SBUX	B	25,000	24.40	n/a	7-Apr	1,250.00	5.0
EXIS CAPITAL	044	SMRT	S	20,000	9.69	n/a	n/a	1,000.00	5.0
NEW JERSEY DIV OF INV.	030	SM	S	50,000	38.25	n/a	n/a	2,000.00	4.0
PAULSON & CO INC	041	SNV	SS	500,000	3.51	n/a	n/a	10,000.00	2.0
NEW JERSEY DIV OF INV.	030	STR	S	90,000	45.10	n/a	1-Apr	3,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SWY	B	150,000	25.98	n/a	n/a	5,250.00	3.5
EPOCH INV MGMT	030	TJX	B	50,000	46.08	n/a	9-Apr	1,500.00	3.0
AVESTA CAP	229	TLB	B	100,000	15.41	n/a	n/a	3,000.00	3.0
COUGAR TRADING	044	TM	SS	5,000	78.67	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SASCO	239	TNB	S	4,000	41.80	n/a	n/a	160.00	4.0
EXIS CAPITAL	044	VPRT	S	5,000	57.37	n/a	n/a	250.00	5.0
SCOPUS FUND	041	WMT	SS	25,000	54.85	n/a	18-Feb	1,250.00	5.0
ROTHSCHILD ASSET	040	WPP	S	33,443	9.51	n/a	n/a	1,337.72	4.0
CLOVIS CAPITAL	012	XL	B	200,000	19.85	n/a	n/a	10,000.00	5.0
NEW JERSEY DIV OF INV.	030	XOM	S	145,000	68.34	n/a	n/a	5,800.00	4.0
DAVIDSON KEMPNER ADVISOR	040	XRT	C	2,990	42.54	n/a	n/a	149.50	5.0
NEW JERSEY DIV OF INV.	030	XTO	S	3,700	47.96	n/a	n/a	148.00	4.0
JP MORGAN VENTURES	046	YUM	S	80,000	41.10	n/a	12-Apr	4,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>89,900.22</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	04/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	MDSO	B	375	15.31	n/a	n/a	18.75	5.0
AO,	04/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	MDSO	B	375	15.31	n/a	n/a	18.75	5.0
AO,CXL	04/12	SENATOR INVESTMENT GROUP (SENAJPM)	036	SPY	S	50,000	26.66	n/a	n/a	1500.00	3.0
AO,	04/12	SENATOR INVESTMENT GROUP (SENAJPM)	036	SPY	S	50,000	119.86	n/a	n/a	1500.00	3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

TOTAL (Trade Date) :	89,900.22
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>89,900.22</b>
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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