

Daily Compliance Activity Report Trade Date: 04/26/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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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	В	15,000	32.03	n/a	9-Apr	750.00	5.0
MAIRS AND POWER INV	030	BAX	В	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	ВЈ	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	ВХ	В	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	СЕРН	В	7,600	65.55	n/a	26-Apr	380.00	5.0
ROSEDALE CAPITAL	046	COG	В	18,000	39.91	n/a	1-Apr	900.00	5.0
STELLIAM INV ADV	034	СОН	S	35,000	43.51	n/a	21-Apr	1,750.00	5.0

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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	В	15,000	8.49	n/a	n/a	750.00	5.0	
SANDLER O'NEILL ASSET	031	С	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	В	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	В	6,100	36.99	n/a	n/a	244.00	4.0	
LAGRANGE CAP ADV	048	FII	В	10,000	25.30	n/a	2-Mar	500.00	5.0	
EGS ASSOCIATES LP	091	FL	В	3,000	16.71	n/a	14-Apr	180.00	6.0	
COLONIAL FUND LLC	036	F	В	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	В	20,000	34.55	n/a	n/a	1,000.00	5.0	
EXIS CAPITAL	044	GIII	В	600	30.15	n/a	n/a	30.00	5.0	
RAIL-SPLITTER	031	GIL	В	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	В	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	В	5,000	45.31	n/a	9-Apr	200.00	4.0
THE JAY GOLDMAN	028	JWN	В	10,000	45.23	n/a	9-Apr	400.00	4.0
CAMBIAR CAP	046	KG	В	33,310	10.60	n/a	26-Apr	1,332.40	4.0
RBC CAPITAL MARKETS	040	KR	В	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	В	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 MACBAINE	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	В	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	В	25,000	31.10	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	М	S	10,000	24.95	n/a	9-Apr	500.00	5.0
SAC TRADING TOM LEDDY	035	М	В	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	В	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	В	10,000	22.92	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	SPLS	В	5,000	24.91	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	TJX	В	20,000	48.16	n/a	9-Apr	800.00	4.0
EXIS CAPITAL	044	TLB	В	5,000	16.78	n/a	n/a	250.00	5.0
COUGAR TRADING	044	TM	В	10,000	79.12	n/a	n/a	500.00	5.0
CAXTON PART	040	URI	В	50,000	13.75	n/a	n/a	1,750.00	3.5
SUN AMERICA ASSET MGMT	030	URZ	В	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	В	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	В	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
	EXIS CAPITAL BNP PARIBAS SEC RBC CAPITAL MARKETS EXIS CAPITAL COUGAR TRADING CAXTON PART SUN AMERICA ASSET MGMT SANDLER CAPITAL TOCQUEVILLE NWQ INVESTMENT MGMT CO SYSTEMATIC FINANCIAL MGT HIGHBRIDGE CAP RBC CAPITAL MARKETS WHITE PINE CAPITAL	EXIS CAPITAL 044 BNP PARIBAS SEC 040 RBC CAPITAL MARKETS 040 EXIS CAPITAL 044 COUGAR TRADING 044 CAXTON PART 040 SUN AMERICA ASSET MGMT 030 SANDLER CAPITAL 226 TOCQUEVILLE 067 NWQ INVESTMENT MGMT CO 048 SYSTEMATIC FINANCIAL MGT 035 HIGHBRIDGE CAP 041 RBC CAPITAL MARKETS 040 WHITE PINE CAPITAL 030	EXIS CAPITAL 044 RSH BNP PARIBAS SEC 040 SPLS RBC CAPITAL MARKETS 040 TJX EXIS CAPITAL 044 TLB COUGAR TRADING 044 TM CAXTON PART 040 URI SUN AMERICA ASSET MGMT 030 URZ SANDLER CAPITAL 226 VMW TOCQUEVILLE 067 VSH NWQ INVESTMENT MGMT CO 048 WBC SYSTEMATIC FINANCIAL MGT 035 WHR HIGHBRIDGE CAP 041 WMT RBC CAPITAL MARKETS 040 WRC WHITE PINE CAPITAL 030 WTSLA	EXIS CAPITAL BNP PARIBAS SEC 040 SPLS B RBC CAPITAL MARKETS 040 TJX B EXIS CAPITAL 044 TLB B COUGAR TRADING 044 TM B CAXTON PART 040 URI B SUN AMERICA ASSET MGMT 030 URZ B SANDLER CAPITAL 226 VMW S TOCQUEVILLE 067 VSH S NWQ INVESTMENT MGMT CO 048 WBC B SYSTEMATIC FINANCIAL MGT 035 WHR S HIGHBRIDGE CAP 041 WMT SS RBC CAPITAL MARKETS 040 WRC B WHITE PINE CAPITAL 030 WTSLA S	EXIS CAPITAL 044 RSH B 10,000 BNP PARIBAS SEC 040 SPLS B 5,000 RBC CAPITAL MARKETS 040 TJX B 20,000 EXIS CAPITAL 044 TLB B 5,000 COUGAR TRADING 044 TM B 10,000 CAXTON PART 040 URI B 50,000 SUN AMERICA ASSET MGMT 030 URZ B 39,754 SANDLER CAPITAL 226 VMW S 70,000 TOCQUEVILLE 067 VSH S 43,000 NWQ INVESTMENT MGMT CO 048 WBC B 11,000 SYSTEMATIC FINANCIAL MGT 035 WHR S 75,300 HIGHBRIDGE CAP 041 WMT SS 4,585 RBC CAPITAL MARKETS 040 WRC B 5,000 WHITE PINE CAPITAL 030 WTSLA S 8,525	EXIS CAPITAL 044 RSH B 10,000 22.92 BNP PARIBAS SEC 040 SPLS B 5,000 24.91 RBC CAPITAL MARKETS 040 TJX B 20,000 48.16 EXIS CAPITAL 044 TLB B 5,000 16.78 COUGAR TRADING 044 TM B 10,000 79.12 CAXTON PART 040 URI B 50,000 13.75 SUN AMERICA ASSET MGMT 030 URZ B 39,754 1.77 SANDLER CAPITAL 226 VMW S 70,000 63.30 TOCQUEVILLE 067 VSH S 43,000 11.02 NWQ INVESTMENT MGMT CO 048 WBC B 11,000 32.92 SYSTEMATIC FINANCIAL MGT 035 WHR S 75,300 115.58 HIGHBRIDGE CAP 041 WMT SS 4,585 54.58 RBC CAPITAL MARKETS 040 WRC B 5,000 50.79 WHITE PINE CAPITAL 030 WTSLA S 8,525 5.07	EXIS CAPITAL 044 RSH B 10,000 22.92 n/a BNF PARIBAS SEC 040 SPLS B 5,000 24.91 n/a REC CAPITAL MARKETS 040 TJX B 20,000 48.16 n/a EXIS CAPITAL 044 TLB B 5,000 16.78 n/a COUGAR TRADING 044 TM B 10,000 79.12 n/a CAXTON PART 040 URI B 50,000 13.75 n/a SUN AMERICA ASSET MGMT 030 URZ B 39,754 1.77 n/a SANDLER CAPITAL 226 VMW S 70,000 63.30 n/a TOCQUEVILLE 067 VSH S 43,000 11.02 n/a NWQ INVESTMENT MGMT CO 048 WBC B 11,000 32.92 n/a SYSTEMATIC FINANCIAL MGT 035 WHR S 75,300 115.58 n/a HIGHBRIDGE CAP 041 WMT SS 4,585 54.58 n/a REC CAPITAL MARKETS 040 WRC B 5,000 50.79 n/a WHITE PINE CAPITAL 030 WTSLA S 8,525 5.07 n/a	EXIS CAPITAL 044 RSH B 10,000 22.92 n/a n/a BNP PARIBAS SEC 040 SPLS B 5,000 24.91 n/a n/a RBC CAPITAL MARKETS 040 TJX B 20,000 48.16 n/a 9-Apr EXIS CAPITAL 044 TLB B 5,000 16.78 n/a n/a COUGAR TRADING 044 TM B 10,000 79.12 n/a n/a CAXTON PART 040 URI B 50,000 13.75 n/a n/a SUN AMERICA ASSET MGMT 030 URZ B 39,754 1.77 n/a n/a SANDLER CAPITAL 226 VMW S 70,000 63.30 n/a n/a TOCQUEVILLE 067 VSH S 43,000 11.02 n/a n/a NWQ INVESTMENT MGMT CO 048 WBC B 11,000 32.92 n/a 13-Apr SYSTEMATIC FINANCIAL MGT 035 WHR S 75,300 115.58 n/a n/a HIGHBRIDGE CAP 041 WMT SS 4,585 54.58 n/a 16-Apr RBC CAPITAL 030 WRC B 5,000 50.79 n/a 2-Mar WHITE PINE CAPITAL 030 WTSLA S 8,525 5.07 n/a n/a	EXIS CAPITAL 044 RSH B 10,000 22.92

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	XLB	С	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

TOTAL (AO, CXL, CRT):

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
O,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
O,CRT	04/23	CATAPULT (CATAML)	040	VMED	В	50,000	18.64	n/a	n/a	0.00	0.0
AO, CXL	04/23	CATAPULT (CATADEUTCH)	040	VMED	В	50,000	18.64	n/a	n/a	0.00	0.0

TOTAL (Trade Date):	90,403.32
TOTAL (AO, CXL, CRT):	25,985.20

25,985.20

TOTAL (RUN DATE) / NFS: 116,388.52

Legend:

O: 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