



Daily Compliance Activity Report

Trade Date: 05/03/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	25,000	16.94	n/a	3-May	1,250.00	5.0
GREEN ARROW DOUG	040	AM	B	60,000	24.69	n/a	n/a	3,000.00	5.0
BNP PARIBAS SEC	040	APC	S	5,000	60.67	n/a	3-May	200.00	4.0
DSG CAPITAL	225	AXL	B	12,000	10.95	n/a	3-May	360.00	3.0
GRUBER MACBAINE	033	BBBY	S	5,000	46.67	n/a	n/a	0.00	0.0
SAXON WOODS ADVISORS	242	BBW	S	10,100	9.63	n/a	n/a	404.00	4.0
DELTEC ASSET MGMT.	040	BDC	S	9,000	28.55	n/a	n/a	450.00	5.0
BARROW HANLEY MEWHINNEY	031	BP	B	73,300	48.30	n/a	n/a	2,565.50	3.5
LATEFF MGMT	035	BP	B	3,500	49.03	n/a	n/a	630.00	18.0
GREEN ARROW DOUG	040	CAG	S	30,000	24.50	n/a	n/a	1,500.00	5.0
BNP PARIBAS SEC	040	CF	S	5,000	83.04	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	CHRS	B	38,600	5.77	n/a	n/a	1,930.00	5.0
STANDARD PACIFIC CAPITAL	040	CROX	S	260,000	10.34	n/a	n/a	13,000.00	5.0
GREEN ARROW DOUG	040	CSTR	B	55,000	47.48	n/a	n/a	2,750.00	5.0
GREEN ARROW DOUG	040	CTB	B	48,200	22.20	n/a	n/a	2,410.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	C	S	20,000	4.42	n/a	3-May	600.00	3.0
GREEN ARROW DOUG	040	DAN	B	10,000	13.50	n/a	30-Apr	500.00	5.0
GRUSS CAPITAL	045	DEI	S	10,000	16.99	n/a	n/a	300.00	3.0
GREEN ARROW DOUG	040	EFA	SS	50,000	54.63	n/a	n/a	2,500.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	15,000	1.73	n/a	n/a	600.00	4.0
GREEN ARROW DOUG	040	EWI	SS	30,000	15.76	n/a	n/a	1,500.00	5.0
PILOT ADV	242	FDP	B	36,000	21.12	n/a	n/a	1,440.00	4.0
VISIUM/BALY BOBBY	044	FL	S	10,555	15.75	n/a	14-Apr	527.75	5.0
DSG CAPITAL	225	FOR	S	4,500	22.74	n/a	19-Apr	135.00	3.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	50,000	25.63	n/a	n/a	1,750.00	3.5
EXIS CAPITAL	044	GYMB	B	5,000	49.85	n/a	3-May	250.00	5.0
GREEN ARROW DOUG	040	HNZ	B	60,000	46.99	n/a	n/a	3,000.00	5.0
RAMIUS CAP	040	HSC	S	44,000	30.08	n/a	29-Apr	1,760.00	4.0
CIRCLE T/SES PART	035	IGT	S	15,000	21.78	n/a	23-Apr	600.00	4.0
ARMATURE CAPITAL	041	IP	B	25,000	26.68	n/a	29-Apr	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	IP	S	17,500	26.88	n/a	29-Apr	700.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	94,500	26.76	n/a	29-Apr	4,725.00	5.0
HIGHBRIDGE CAP	041	IP	B	65,000	26.68	n/a	29-Apr	2,600.00	4.0
ROARING BLUE LION MGMT	012	KEG	S	56,900	10.97	n/a	27-Apr	2,276.00	4.0
DELTEC ASSET MGMT.	040	LEN	S	8,500	20.89	n/a	n/a	425.00	5.0
SAC COHEN	044	LEN	S	200,000	20.70	n/a	n/a	7,000.00	3.5
NEUBERGER BERMAN	036	LLL	S	17,280	95.28	n/a	n/a	691.20	4.0
GRUBER MACBAINE	033	LOW	S	5,000	27.63	n/a	22-Feb	200.00	4.0
GREEN ARROW DOUG	040	MCD	SS	20,000	71.50	n/a	21-Apr	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	MS	S	25,000	30.17	n/a	21-Apr	1,250.00	5.0
CATAPULT	040	NCR	B	100,000	13.58	n/a	n/a	4,000.00	4.0
COLUMBIA PARTNERS	028	NTY	S	22,400	41.56	n/a	n/a	896.00	4.0
DELTEC ASSET MGMT.	040	ONNN	S	6,500	8.20	n/a	n/a	260.00	4.0
CIRCLE T/SES PART	035	ORLY	B	10,000	49.49	n/a	n/a	400.00	4.0
DIAMONDBACK CAP MGMT	232	OXY	B	6,000	89.71	n/a	n/a	300.00	5.0
NCM CAPITAL MGMT	035	PAYX	B	93,639	30.90	n/a	n/a	3,745.56	4.0
BMO NESBITT BURNS	041	PRX	B	5,000	27.77	n/a	3-May	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	PSUN	B	39,667	5.41	n/a	n/a	1,983.35	5.0
LEVEL GLOBAL SHARED ACCT	257	PVH	B	100,000	64.20	n/a	21-Apr	3,000.00	3.0
SENATOR INVESTMENT GROUP	036	PXP	S	50,000	29.50	n/a	n/a	1,500.00	3.0
PORTER-ORLIN-FELDMAN	044	QQQQ	SS	100,000	49.79	n/a	n/a	5,000.00	5.0
MERRILL ASSET/BLACKROCK	263	RSH	S	11,600	21.80	n/a	n/a	464.00	4.0
BNP PARIBAS SEC	040	SHAW	B	10,000	38.79	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	SKX	SS	10,000	39.32	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	STT	B	15,000	43.74	n/a	23-Apr	750.00	5.0
COUGAR TRADING	044	TM	B	5,000	77.64	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	UA	B	5,000	34.36	n/a	28-Apr	250.00	5.0
GREEN ARROW DOUG	040	WGO	S	45,000	16.54	n/a	n/a	2,250.00	5.0
M&I FUNDS	047	WHR	S	12,329	111.73	n/a	n/a	493.16	4.0
GREEN ARROW DOUG	040	WPP	B	60,000	9.00	n/a	n/a	3,000.00	5.0
RBC CAPITAL MARKETS	040	WYNN	SS	5,000	89.97	n/a	30-Apr	200.00	4.0
HIGHBRIDGE CAP	041	WY	S	32,500	50.76	n/a	30-Apr	1,300.00	4.0

TOTAL (Trade Date):

99,121.52

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/30	CASTLEROCK (CASTMERRIL)	040	AGN	B	14,068	64.17	n/a	3-May	562.72 4.0
AO,CRT	04/30	CASTLEROCK (CASTMERRIL)	040	AGN	B	14,048	64.17	n/a	3-May	561.92 4.0
AO,CXL	04/30	CASTLEROCK (CASTUBS)	040	AGN	B	35,235	64.17	n/a	3-May	1409.40 4.0
AO,CRT	04/30	CASTLEROCK (CASTUBS)	040	AGN	B	35,255	64.17	n/a	3-May	1410.20 4.0
AO,CRT	04/30	BAIRD INVESTMENT (BAIRVB240L)	047	APC	S	665	64.32	n/a	3-May	33.25 5.0
AO,CXL	04/30	BAIRD INVESTMENT (BAIRVB243M)	047	APC	S	665	64.32	n/a	3-May	33.25 5.0
AO,CXL	04/30	CASTLEROCK (CASTMERRIL)	040	DGX	SS	13,930	57.33	n/a	n/a	557.20 4.0
AO,CRT	04/30	CASTLEROCK (CASTMERRIL)	040	DGX	SS	5,544	57.33	n/a	n/a	221.76 4.0
AO,CXL	04/30	CASTLEROCK (CASTUBS)	040	DGX	SS	5,544	57.33	n/a	n/a	221.76 4.0
AO,CRT	04/30	CASTLEROCK (CASTUBS)	040	DGX	SS	13,930	57.33	n/a	n/a	557.20 4.0
AO,CXL	04/27	MILLENIUUM PARTNERS (MILPMLICS)	028	F	B	50,000	13.89	n/a	30-Apr	2000.00 4.0
AO,CRT	04/27	MILLENIUUM PARTNERS (MILPMLICS)	028	F	B	50,000	13.89	n/a	30-Apr	2000.00 4.0
AO,CXL	04/29	MILLENIUUM PARTNERS (MILPMLICS)	028	F	B	100,000	13.62	n/a	30-Apr	4000.00 4.0
AO,CRT	04/29	MILLENIUUM PARTNERS (MILPMLICS)	028	F	B	100,000	13.62	n/a	30-Apr	3000.00 3.0
AO,CXL	04/30	SENATOR INVESTMENT GROUP (SENAMS)	036	ME	SS	35,000	24.18	n/a	n/a	1050.00 3.0
AO,CRT	04/30	SENATOR INVESTMENT GROUP (SENAGS)	036	ME	SS	35,000	24.18	n/a	n/a	1050.00 3.0
AO,	04/30	COLUMBUS CIRCLE (COLC3060)	036	PG	B	5,800	62.72	n/a	30-Apr	232.00 4.0
AO,CXL	04/30	JP MORGAN VENTURES (JPMVJPM)	046	SPY	B	15,000	119.74	n/a	n/a	750.00 5.0
AO,CRT	04/30	JP MORGAN VENTURES (JPMVJPM)	046	SPY	B	15,000	119.74	n/a	n/a	450.00 3.0
TOTAL (AO, CXL, CRT) :										-1,068.00

TOTAL (Trade Date):	99,121.52
TOTAL (AO, CXL, CRT):	-1,068.00

TOTAL (RUN DATE) / NFS:	98,053.52
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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