



Daily Compliance Activity Report

Trade Date: 05/04/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|-----------------|------------|
| NEUBERGER BERMAN | 036 | ACC | B | 2,900 | 28.70 | n/a | n/a | 116.00 | 4.0 |
| ROSEDALE CAPITAL | 046 | ACI | S | 30,000 | 25.56 | n/a | n/a | 1,500.00 | 5.0 |
| EXIS CAPITAL | 044 | AEO | B | 20,000 | 16.65 | n/a | 3-May | 1,000.00 | 5.0 |
| NEUBERGER BERMAN | 036 | AINV | B | 6,900 | 12.19 | n/a | n/a | 276.00 | 4.0 |
| NEUBERGER BERMAN | 036 | AMB | B | 3,000 | 28.19 | n/a | n/a | 120.00 | 4.0 |
| RAINIER INV MGMT | 035 | AMT | S | 94,300 | 40.48 | n/a | n/a | 3,772.00 | 4.0 |
| MILLENIUM KOZLOW | 028 | ANF | B | 4,000 | 43.41 | n/a | 3-May | 160.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | ANN | C | 94,800 | 24.57 | n/a | n/a | 3,792.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANN | B | 50,000 | 23.88 | n/a | n/a | 2,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | AVB | B | 1,000 | 108.57 | n/a | n/a | 40.00 | 4.0 |
| SAXON WOODS ADVISORS | 242 | BBW | S | 14,900 | 9.36 | n/a | n/a | 596.00 | 4.0 |
| EXIS CAPITAL | 044 | BEBE | B | 30,000 | 8.10 | n/a | n/a | 1,500.00 | 5.0 |
| EPOCH INV MGMT | 030 | CAM | S | 700 | 39.18 | n/a | n/a | 21.00 | 3.0 |
| JP MORGAN VENTURES | 046 | CAT | B | 35,000 | 67.46 | n/a | 30-Apr | 1,750.00 | 5.0 |
| CAMBIAR CAP | 046 | CBI | B | 18,170 | 20.62 | n/a | n/a | 726.80 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|----------------|--------------|------------|--------------|-----------------|------------|
| CRAMER ROSENTHAL/SCOTT | 012 | CCL | B | 10,210 | 41.35 | n/a | n/a | 408.40 | 4.0 |
| NEUBERGER BERMAN | 036 | CEO | B | 600 | 171.79 | n/a | n/a | 24.00 | 4.0 |
| NEUBERGER BERMAN | 036 | CHL | B | 2,100 | 47.30 | n/a | n/a | 84.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | CHS | B | 100,000 | 15.15 | n/a | 5-Feb | 4,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | CHT | B | 4,700 | 19.32 | n/a | n/a | 188.00 | 4.0 |
| EPOCH INV MGMT | 030 | COL | S | 950 | 64.85 | n/a | 26-Apr | 28.50 | 3.0 |
| AVESTA CAP | 229 | CSCO | B | 100,000 | 26.67 | n/a | n/a | 3,000.00 | 3.0 |
| METROPOLITAN CAPITAL | 044 | DAN | B | 30,100 | 13.20 | n/a | 30-Apr | 1,505.00 | 5.0 |
| NEUBERGER BERMAN | 036 | DLR | B | 1,100 | 59.29 | n/a | n/a | 44.00 | 4.0 |
| BNP PARIBAS SEC | 040 | DPZ | B | 5,000 | 14.43 | n/a | 4-May | 200.00 | 4.0 |
| EXIS CAPITAL | 044 | DPZ | B | 90,000 | 14.49 | n/a | 4-May | 4,500.00 | 5.0 |
| KENNEDY CAPITAL | 046 | DPZ | S | 40,000 | 14.55 | n/a | 4-May | 1,600.00 | 4.0 |
| MARINER/TRICADIA | 041 | DTG | S | 38,900 | 50.74 | n/a | n/a | 1,945.00 | 5.0 |
| NEUBERGER BERMAN | 036 | EEQ | B | 1,700 | 51.76 | n/a | n/a | 68.00 | 4.0 |
| NEUBERGER BERMAN | 036 | EXC | B | 2,600 | 43.23 | n/a | n/a | 104.00 | 4.0 |
| RAINIER INV MGMT | 035 | FLS | S | 94,040 | 111.03 | n/a | n/a | 3,761.60 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| EGS ASSOCIATES LP | 091 | FL | B | 4,500 | 15.17 | n/a | 14-Apr | 270.00 | 6.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | F | SS | 200,000 | 12.91 | n/a | 4-May | 7,000.00 | 3.5 |
| EPOCH INV MGMT | 030 | GPC | S | 850 | 42.19 | n/a | n/a | 25.50 | 3.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | GPS | S | 25,000 | 24.99 | n/a | n/a | 875.00 | 3.5 |
| DSM CAPITAL PARTNERS | 032 | GYMB | B | 6,285 | 48.70 | n/a | 3-May | 314.25 | 5.0 |
| APEX CAPITAL MGMT. | 261 | HD | C | 193,200 | 35.17 | n/a | 23-Feb | 7,728.00 | 4.0 |
| THE JAY GOLDMAN | 028 | HOT | B | 10,000 | 54.10 | n/a | n/a | 400.00 | 4.0 |
| THE JAY GOLDMAN | 028 | HPT | S | 10,000 | 26.72 | n/a | n/a | 400.00 | 4.0 |
| DSM CAPITAL PARTNERS | 032 | IDXX | S | 5,410 | 66.22 | n/a | n/a | 270.50 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 52,500 | 25.26 | n/a | 29-Apr | 2,625.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JCG | S | 10,000 | 46.54 | n/a | n/a | 400.00 | 4.0 |
| EXIS CAPITAL | 044 | JCP | B | 20,000 | 28.78 | n/a | 3-May | 1,000.00 | 5.0 |
| NEUBERGER BERMAN | 036 | JNJ | B | 1,600 | 64.64 | n/a | n/a | 64.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JNY | B | 10,000 | 21.73 | n/a | 29-Apr | 400.00 | 4.0 |
| EXIS CAPITAL | 044 | JNY | B | 18,238 | 21.59 | n/a | 29-Apr | 911.90 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JWN | B | 10,000 | 41.71 | n/a | 3-May | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|--------------|--------------|------------|--------------|---------------|------------|
| NEUBERGER BERMAN | 036 | KMR | B | 1,100 | 57.40 | n/a | n/a | 44.00 | 4.0 |
| SHEFFIELD ASSET MGMT | 031 | KR | S | 50,000 | 22.69 | n/a | n/a | 2,500.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | KSS | C | 25,000 | 56.15 | n/a | 3-May | 1,250.00 | 5.0 |
| EXIS CAPITAL | 044 | KSS | SS | 10,000 | 56.25 | n/a | 3-May | 500.00 | 5.0 |
| METROPOLITAN CAPITAL | 044 | LEA | B | 6,900 | 78.44 | n/a | 20-Apr | 345.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 263 | LF | B | 89,800 | 5.72 | n/a | n/a | 3,592.00 | 4.0 |
| EXIS CAPITAL | 044 | LIZ | B | 20,000 | 8.59 | n/a | 7-Oct | 1,000.00 | 5.0 |
| NEUBERGER BERMAN | 036 | LNT | B | 3,000 | 33.74 | n/a | n/a | 120.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | LOW | B | 50,000 | 27.14 | n/a | 22-Feb | 2,500.00 | 5.0 |
| BMO NESBITT BURNS | 041 | LPX | SS | 30,000 | 11.28 | n/a | 19-Apr | 1,500.00 | 5.0 |
| NEUBERGER BERMAN | 036 | MCHP | B | 3,400 | 28.77 | n/a | n/a | 136.00 | 4.0 |
| NICOLAS APPELEGATE | 048 | MCK | B | 78,600 | 67.00 | n/a | n/a | 1,572.00 | 2.0 |
| KACELA CAPITAL | 034 | M | B | 75,000 | 23.39 | n/a | 3-May | 3,000.00 | 4.0 |
| EGS ASSOCIATES LP | 091 | NDN | B | 6,500 | 14.90 | n/a | 9-Apr | 390.00 | 6.0 |
| NEUBERGER BERMAN | 036 | NGG | B | 2,100 | 47.92 | n/a | n/a | 84.00 | 4.0 |
| NEUBERGER BERMAN | 036 | NJR | B | 2,700 | 37.57 | n/a | n/a | 108.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|-----|----------|--------------|-----|
| CAERUS GLOBAL | 041 | NKE | B | 10,000 | 77.39 | n/a | n/a | 400.00 | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | NP | B | 10,000 | 17.42 | n/a | 19-Apr | 400.00 | 4.0 |
| NEUBERGER BERMAN | 036 | NSC | B | 1,900 | 59.65 | n/a | n/a | 76.00 | 4.0 |
| NEUBERGER BERMAN | 036 | NST | B | 2,400 | 37.03 | n/a | n/a | 96.00 | 4.0 |
| NEUBERGER BERMAN | 036 | NU | B | 4,200 | 27.48 | n/a | n/a | 168.00 | 4.0 |
| ISLE RIDGE PARTNERS | 041 | NWL | B | 51,000 | 17.11 | n/a | n/a | 2,040.00 | 4.0 |
| JP MORGAN VENTURES | 046 | NWL | S | 50,000 | 17.20 | n/a | n/a | 2,500.00 | 5.0 |
| NEUBERGER BERMAN | 036 | NYB | B | 3,800 | 16.23 | n/a | 4-May | 152.00 | 4.0 |
| EPOCH INV MGMT | 030 | NYX | S | 2,150 | 31.51 | n/a | n/a | 64.50 | 3.0 |
| NEUBERGER BERMAN | 036 | PCG | B | 2,400 | 43.99 | n/a | n/a | 96.00 | 4.0 |
| NEUBERGER BERMAN | 036 | PCH | B | 1,500 | 37.94 | n/a | 28-Apr | 60.00 | 4.0 |
| CR INTRINIC INVESTMENT | 044 | PFE | S | 75,000 | 17.26 | n/a | n/a | 3,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | PGN | B | 2,200 | 40.26 | n/a | n/a | 88.00 | 4.0 |
| NEUBERGER BERMAN | 036 | PHI | B | 1,900 | 56.14 | n/a | n/a | 76.00 | 4.0 |
| EXIS CAPITAL | 044 | PIR | B | 50,000 | 8.31 | n/a | n/a | 2,500.00 | 5.0 |
| NEUBERGER BERMAN | 036 | PM | B | 2,100 | 49.30 | n/a | n/a | 84.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| CAPITAL GROWTH MGMT. | 241 | PRU | B | 100,000 | 62.25 | n/a | n/a | 5,000.00 | 5.0 |
| EPOCH INV MGMT | 030 | PRU | S | 1,450 | 62.53 | n/a | n/a | 43.50 | 3.0 |
| NEUBERGER BERMAN | 036 | RAX | S | 365,950 | 17.70 | n/a | n/a | 14,638.00 | 4.0 |
| NEUBERGER BERMAN | 036 | RGLD | B | 1,900 | 49.39 | n/a | n/a | 76.00 | 4.0 |
| SENATOR INVESTMENT GROUP | 036 | RHI | B | 75,000 | 26.94 | n/a | n/a | 2,250.00 | 3.0 |
| COHE & STEERS | 041 | RYN | S | 8,656 | 49.16 | n/a | 19-Apr | 346.24 | 4.0 |
| NEUBERGER BERMAN | 036 | RYN | B | 2,300 | 49.04 | n/a | 19-Apr | 92.00 | 4.0 |
| NEUBERGER BERMAN | 036 | SE | B | 4,900 | 23.17 | n/a | n/a | 196.00 | 4.0 |
| EXIS CAPITAL | 044 | SKX | B | 30,000 | 37.09 | n/a | n/a | 1,500.00 | 5.0 |
| CONIFER/ISF | 025 | SMG | B | 2,500 | 47.95 | n/a | 9-Apr | 125.00 | 5.0 |
| JP MORGAN VENTURES | 046 | SPMD | S | 15,000 | 44.50 | n/a | n/a | 750.00 | 5.0 |
| NEUBERGER BERMAN | 036 | TE | B | 6,600 | 17.03 | n/a | n/a | 264.00 | 4.0 |
| BASIX | 033 | TIN | B | 26,000 | 22.40 | n/a | 21-Apr | 780.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | TJX | C | 30,000 | 45.85 | n/a | 3-May | 1,500.00 | 5.0 |
| EPOCH INV MGMT | 030 | TJX | S | 1,200 | 46.56 | n/a | 3-May | 36.00 | 3.0 |
| EMERSON CAPITAL MGMT | 048 | TLB | B | 5,000 | 17.55 | n/a | n/a | 250.00 | 5.0 |
| COUGAR TRADING | 044 | TM | SS | 5,000 | 76.29 | n/a | n/a | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|--------------|---------------|------------|
| NEUBERGER BERMAN | 036 | TOT | B | 2,200 | 51.84 | n/a | n/a | 88.00 | 4.0 |
| JP MORGAN VENTURES | 046 | TTT | S | 35,000 | 12.86 | n/a | n/a | 1,750.00 | 5.0 |
| CR INTRINIC INVESTMENT | 044 | UNH | S | 32,500 | 29.47 | n/a | n/a | 1,300.00 | 4.0 |
| NEUBERGER BERMAN | 036 | UN | B | 3,400 | 29.78 | n/a | n/a | 136.00 | 4.0 |
| NEUBERGER BERMAN | 036 | UPS | B | 1,300 | 69.40 | n/a | n/a | 52.00 | 4.0 |
| NEUBERGER BERMAN | 036 | VLCCF | B | 3,300 | 19.28 | n/a | n/a | 132.00 | 4.0 |
| EPOCH INV MGMT | 030 | V | S | 1,350 | 88.35 | n/a | 4-May | 40.50 | 3.0 |
| JP MORGAN VENTURES | 046 | WEN | S | 25,000 | 5.29 | n/a | 7-Apr | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | WRC | B | 21,500 | 46.89 | n/a | 2-Mar | 860.00 | 4.0 |
| NEUBERGER BERMAN | 036 | WTR | B | 7,500 | 18.49 | n/a | n/a | 300.00 | 4.0 |
| NEUBERGER BERMAN | 036 | WWE | B | 4,800 | 18.11 | n/a | n/a | 192.00 | 4.0 |
| NEUBERGER BERMAN | 036 | WY | B | 1,500 | 49.28 | n/a | 30-Apr | 60.00 | 4.0 |
| NEUBERGER BERMAN | 036 | XEL | B | 4,800 | 21.87 | n/a | n/a | 192.00 | 4.0 |
| OZ MGMT | 040 | XLP | SS | 156,217 | 27.57 | n/a | n/a | 4,686.51 | 3.0 |
| EXIS CAPITAL | 044 | XLV | B | 20,000 | 30.85 | n/a | n/a | 1,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|--------|-------|-----|-------------------|--------------|-----|
| EXIS CAPITAL | 044 | XRT | B | 20,000 | 42.51 | n/a | n/a | 1,000.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | 133,491.70 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|-------------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| AO,CXL | 04/30 | BAIRD INVESTMENT (BAIRVB515) | 047 | APC | S | 3,750 | 64.32 | n/a | 4-May | 0.00 | 0.0 |
| AO,CRT | 04/30 | BAIRD INVESTMENT (BAIRVB515) | 047 | APC | S | 3,750 | 64.32 | n/a | 4-May | 187.50 | 5.0 |
| AO,CXL | 05/03 | GRUBER MACBAINE (GRBRMAIN) | 033 | BBBY | S | 5,000 | 46.67 | n/a | n/a | 0.00 | 0.0 |
| AO,CRT | 05/03 | GRUBER MACBAINE (GRBRMAIN) | 033 | BBBY | S | 5,000 | 46.67 | n/a | n/a | 200.00 | 4.0 |
| AO, | 05/03 | BARROW HANLEY MEWHINNEY (BARR9780) | 031 | BP | B | 100 | 48.30 | n/a | n/a | 3.50 | 3.5 |
| AO,CXL | 05/03 | BARROW HANLEY MEWHINNEY (&BARR9780) | 031 | BP | B | 100 | 48.30 | n/a | n/a | 3.50 | 3.5 |
| AO,CRT | 05/03 | CATAPULT (CATAML) | 040 | NCR | B | 100,000 | 13.58 | n/a | n/a | 4000.00 | 4.0 |
| AO,CXL | 05/03 | CATAPULT (CATADEUTCH) | 040 | NCR | B | 100,000 | 13.58 | n/a | n/a | 4000.00 | 4.0 |
| AO, | 05/03 | IVORY CAPITAL (IVORDB) | 034 | PFE | S | 100,000 | 16.82 | n/a | n/a | 5000.00 | 5.0 |

TOTAL (AO, CXL, CRT) :**5,387.50**

TOTAL (Trade Date):

133,491.70

TOTAL (AO, CXL, CRT):

5,387.50

TOTAL (RUN DATE) / NFS:**138,879.20**

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