



## Daily Compliance Activity Report

Trade Date: 04/14/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	SS	281,900	18.27	n/a	9-Apr	8,457.00	3.0
EXIS CAPITAL	044	AEO	SS	10,000	18.26	n/a	9-Apr	500.00	5.0
EXIS CAPITAL	044	ARO	B	30,000	30.95	n/a	9-Apr	1,500.00	5.0
KLEINHEINZ CAP PART	031	AVP	B	50,000	32.80	n/a	7-Apr	2,500.00	5.0
ROSEDALE CAPITAL	046	AXL	S	10,000	10.85	n/a	8-Feb	500.00	5.0
ROTHSCHILD ASSET	040	BGC	S	20,554	30.72	n/a	n/a	822.16	4.0
LAGRANGE CAP ADV	048	BONT	SS	8,386	17.00	n/a	n/a	419.30	5.0
WHALE ROCK CAP	030	BONT	B	60,000	16.88	n/a	n/a	2,400.00	4.0
MADISON ST PARTNERS LLC	046	BYI	S	3,100	42.85	n/a	n/a	155.00	5.0
NEW JERSEY DIV OF INV.	030	CCC	S	100,000	18.13	n/a	n/a	4,000.00	4.0
NEW JERSEY DIV OF INV.	030	CNK	S	20,000	18.77	n/a	n/a	800.00	4.0
THIRD COAST CAPITAL	035	CSTR	B	10,000	36.40	n/a	n/a	500.00	5.0
THIRD COAST CAPITAL	035	CWTR	S	45,000	7.53	n/a	n/a	2,250.00	5.0
SANDLER O'NEILL ASSET	031	C	S	50,000	4.75	n/a	13-Apr	1,000.00	2.0
BALYASNY ASSET MGMT	044	DAN	B	25,000	13.60	n/a	25-Feb	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	DAN	S	24,000	13.57	n/a	25-Feb	1,200.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	15.88	n/a	14-Apr	2,500.00	5.0
THOMAS WEISEL ASSET MGMT	035	DV	S	4,651	70.35	n/a	n/a	139.53	3.0
GLOBAL 56 LLC	060	ENTG	S	3,500	5.88	n/a	n/a	140.00	4.0
RBC CAPITAL MARKETS	040	FAST	SS	20,000	52.58	n/a	n/a	800.00	4.0
KENNEDY CAPITAL	046	FINL	S	50,000	17.56	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	FLS	S	6,500	116.73	n/a	n/a	260.00	4.0
HOLLIS CAPITAL	033	FL	B	5,000	15.48	n/a	14-Apr	250.00	5.0
BMO NESBITT BURNS	041	FOR	B	10,000	20.53	n/a	26-Mar	500.00	5.0
MFP INVESTORS	032	GGP	S	45,000	16.22	n/a	n/a	2,250.00	5.0
BENNETT LAWRENCE	028	GR	B	4,000	71.98	n/a	15-Mar	160.00	4.0
BALYASNY ASSET MGMT	044	GYMB	B	20,000	53.00	n/a	9-Apr	1,000.00	5.0
BNP PARIBAS SEC	040	IP	S	25,000	27.94	n/a	26-Mar	1,000.00	4.0
CUMBERLAND	239	IWM	B	10,000	71.04	n/a	n/a	300.00	3.0
CASEY CAPITAL	067	JNY	B	10,000	21.65	n/a	14-Apr	500.00	5.0
MACKLOWE ASSET MGMT	041	K	B	40,000	53.23	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	LCC	B	20,000	7.44	n/a	n/a	600.00	3.0
DELTEC ASSET MGMT.	040	LEN	B	8,500	17.83	n/a	n/a	425.00	5.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	100,000	11.03	n/a	26-Mar	5,000.00	5.0
SCOPUS FUND	041	LPX	B	50,000	10.96	n/a	26-Mar	2,500.00	5.0
CIRCLE T/SES PART	035	LVS	SS	25,000	24.46	n/a	14-Apr	1,000.00	4.0
GREEN ARROW DOUG	040	LVS	SS	10,000	24.80	n/a	14-Apr	500.00	5.0
TROUBH PART	067	LVS	SS	35,000	24.13	n/a	14-Apr	1,750.00	5.0
NWQ INVESTMENT MGMT CO	048	L	S	15,150	38.86	n/a	n/a	606.00	4.0
GREEN ARROW DOUG	040	MGM	S	11,000	15.72	n/a	8-Apr	550.00	5.0
WHITE PINE CAPITAL	030	MIR	S	43,966	12.08	n/a	n/a	2,198.30	5.0
EXIS CAPITAL	044	MMM	B	20,000	84.39	n/a	18-Feb	1,000.00	5.0
MELLON/BANK OF NEW YORK	046	MON	S	80,778	65.73	n/a	12-Apr	4,038.90	5.0
BRIGADE CAPITAL MGMT	029	PLCE	S	50,000	48.09	n/a	22-Mar	1,500.00	3.0
MESIROW	031	PLCE	B	31,836	48.30	n/a	22-Mar	1,114.26	3.5
THIRD COAST CAPITAL	035	PLCE	B	6,000	47.19	n/a	22-Mar	300.00	5.0
FIRST NEW YORK NICK	029	Q	B	10,000	5.39	n/a	n/a	500.00	5.0
WAGONHOUND/NIC	048	RL	S	859	90.91	n/a	14-Apr	34.36	4.0
TROUBH PART	067	RRR	B	10,000	8.31	n/a	17-Feb	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY BOBBY	044	SBUX	B	15,000	24.60	n/a	7-Apr	750.00	5.0
NEW JERSEY DIV OF INV.	030	SJM	S	20,000	62.20	n/a	n/a	800.00	4.0
PILOT ADV	242	STLD	B	75,000	18.25	n/a	n/a	2,250.00	3.0
MILLRACE FUND LP	028	SUP	S	10,000	16.50	n/a	1-Mar	400.00	4.0
NEW JERSEY DIV OF INV.	030	TGT	S	50,000	56.54	n/a	9-Apr	2,000.00	4.0
EPOCH INV MGMT	030	TJX	B	50,000	46.25	n/a	9-Apr	1,500.00	3.0
COUGAR TRADING	044	TM	B	10,000	79.82	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	TRW	SS	10,000	32.23	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	VFC	SS	5,000	83.70	n/a	14-Apr	250.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	VFC	S	14,500	83.21	n/a	14-Apr	435.00	3.0
HUNTER GLOBAL INVESTOR	067	VLO	B	201,200	19.99	n/a	n/a	8,048.00	4.0
WHITE PINE CAPITAL	030	WDR	S	12,000	38.09	n/a	2-Mar	600.00	5.0
CASEY CAPITAL	067	WRC	B	5,000	49.57	n/a	2-Mar	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WSM	B	25,000	29.91	n/a	n/a	875.00	3.5
BASCOM HILL PARTNERS LLC	033	WYNN	SS	3,500	86.86	n/a	14-Apr	105.00	3.0
COHE & STEERS	041	WY	S	105,205	46.98	n/a	26-Mar	4,208.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	XLF	C	30,150	16.85	n/a	n/a	904.50	3.0
JP MORGAN VENTURES	046	XRT	SS	11,600	43.28	n/a	n/a	348.00	3.0
<b>TOTAL (Trade Date):</b>								<b>90,493.51</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/13	SAC CAPITAL/M GRONET (SACJCSPB)	030	GPS	B	20,000	24.98	n/a	n/a	700.00 3.5
AO,	04/13	SAC CAPITAL/M GRONET (SACJCSPB)	030	M	B	10,000	23.24	n/a	9-Apr	350.00 3.5
CRT	04/14	COUGAR TRADING (COUGPB MS)	044	TM	B	10,000	79.82	n/a	n/a	500.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,550.00</b>

TOTAL (Trade Date) :	90,493.51
TOTAL (AO, CXL, CRT) :	1,550.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>92,043.51</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