



## Daily Compliance Activity Report

Trade Date: 05/13/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	10,000	16.13	n/a	10-May	500.00	5.0
CAERUS GLOBAL	041	BBY	S	10,000	44.54	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	BONT	B	10,000	16.10	n/a	n/a	500.00	5.0
<b>Joel Tiss</b>		<b>BP</b>	<b>B</b>	<b>10000</b>	<b>5.4728</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GREEN ARROW DOUG	040	CAG	SS	10,000	24.66	n/a	n/a	500.00	5.0
HARBORWATCH/DIAMBACK	232	CBE	S	15,000	50.19	n/a	22-Apr	750.00	5.0
CASTLEROCK	040	CBI	SS	83,065	21.75	n/a	n/a	3,322.60	4.0
GREEN ARROW DOUG	040	CBI	S	10,000	21.78	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	CDE	S	55,000	18.65	n/a	n/a	2,200.00	4.0
CATAPULT	040	CHK	SS	25,000	23.48	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	CHS	B	5,000	15.42	n/a	5-Feb	250.00	5.0
SONTERRA CAP	041	CTB	B	20,000	21.59	n/a	n/a	800.00	4.0
GREEN ARROW DOUG	040	CVO	B	10,000	7.90	n/a	n/a	500.00	5.0
MARINER/TRICADIA	041	CXW	S	40,000	20.79	n/a	n/a	2,000.00	5.0
DIAMONDBACK CAP MGMT	232	DHI	S	35,000	13.57	n/a	n/a	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	DLM	SS	10,000	15.05	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	EEM	SS	20,000	40.70	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	EQR	S	71,100	47.41	n/a	n/a	2,844.00	4.0
LISTED ERR	099	EQR	B	10,000	47.80	n/a	n/a	0.00	0.0
LISTED ERR	099	EQR	S	10,000	47.64	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	EWZ	SS	10,000	68.36	n/a	n/a	500.00	5.0
OZ MGMT	040	F	C	100,000	12.47	n/a	4-May	3,000.00	3.0
OZ MGMT	040	F	SS	283,773	12.82	n/a	4-May	8,513.19	3.0
EXIS CAPITAL	044	GIL	SS	5,000	30.77	n/a	27-Apr	250.00	5.0
GREEN ARROW DOUG	040	HEW	S	10,000	39.40	n/a	n/a	500.00	5.0
HARBORWATCH/DIAMBACK	232	HON	C	25,000	46.69	n/a	31-Mar	1,250.00	5.0
THE JAY GOLDMAN	028	HPT	S	5,000	26.03	n/a	n/a	200.00	4.0
LEVEL GLOBAL SHARED ACCT	257	ICON	S	200,000	17.74	n/a	n/a	6,000.00	3.0
CASEY CAPITAL	067	JCG	B	23,117	46.39	n/a	n/a	924.68	4.0
BUCK CAPITAL MGMT	001	JCP	B	10,000	28.90	n/a	10-May	400.00	4.0
EXIS CAPITAL	044	JCP	B	10,000	29.09	n/a	10-May	500.00	5.0
THE JAY GOLDMAN	028	KSS	B	6,000	56.08	n/a	10-May	240.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	LEN	B	31,500	19.15	n/a	n/a	1,575.00	5.0
COOPER CREEK PART	028	LPX	SS	10,000	10.09	n/a	11-May	400.00	4.0
EXIS CAPITAL	044	LTD	S	30,000	26.68	n/a	n/a	1,500.00	5.0
EXIS CAPITAL	044	LULU	B	5,000	42.62	n/a	n/a	250.00	5.0
BROADARCH CAP/OLD NEWC	070	LVS	B	7,000	24.72	n/a	13-May	280.00	4.0
TRELLUS PARTNERS LP	028	MOT	SS	25,000	6.92	n/a	n/a	750.00	3.0
WADDELL AND REED	047	MSFT	S	120,000	29.53	n/a	n/a	1,800.00	1.5
EXIS CAPITAL	044	M	B	40,000	24.03	n/a	13-May	2,000.00	5.0
THE JAY GOLDMAN	028	M	SS	12,300	24.30	n/a	13-May	492.00	4.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	27,500	15.39	n/a	9-Apr	1,100.00	4.0
NEUBERGER BERMAN	036	PEB	B	300	19.50	n/a	n/a	12.00	4.0
METROPOLITAN CAPITAL	044	PLCE	B	12,500	44.13	n/a	27-Apr	625.00	5.0
GREEN ARROW DOUG	040	PPO	B	15,000	22.55	n/a	n/a	750.00	5.0
M&I FUNDS	047	PVH	B	3,624	61.11	n/a	21-Apr	144.96	4.0
WEISS PECK	040	SKX	SS	7,200	40.08	n/a	n/a	360.00	5.0
GREEN ARROW DOUG	040	SOA	S	30,000	16.20	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	STT	B	20,000	42.24	n/a	11-May	1,000.00	5.0
EPOCH INV MGMT	030	TJX	S	38,100	45.83	n/a	10-May	1,143.00	3.0
CAVU CAP ADV	028	TLB	S	38,625	17.39	n/a	n/a	1,931.25	5.0
COUGAR TRADING	044	TM	SS	5,000	76.77	n/a	n/a	250.00	5.0
GREEN ARROW DOUG	040	TXI	SS	10,000	38.99	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	UA	B	10,000	34.00	n/a	28-Apr	500.00	5.0
RBC CAPITAL MARKETS	040	XME	B	25,000	56.16	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>61,707.68</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/12	GRUBER MACBAINE (GRBRMAIN)	033	HD	S	10,000	35.71	n/a	11-May	0.00 0.0
AO,CRT	05/12	GRUBER MACBAINE (GRBRMAIN)	033	HD	S	10,000	35.71	n/a	11-May	400.00 4.0
AO,	05/12	COLUMBUS CIRCLE (COLC3050)	036	ICLR	B	3,923	28.98	n/a	n/a	156.92 4.0
AO,CXL	05/12	SCOPUS FUND (SCOPGS)	041	KSS	B	5,090	57.00	n/a	10-May	254.50 5.0
AO,CRT	05/12	SCOPUS FUND (SCOPGS)	041	KSS	B	7,797	57.00	n/a	10-May	389.85 5.0
AO,CXL	05/12	SCOPUS FUND (SCOPUBS)	041	KSS	B	31,268	57.00	n/a	10-May	1563.40 5.0
AO,CRT	05/12	SCOPUS FUND (SCOPUBS)	041	KSS	B	28,561	57.00	n/a	10-May	1428.05 5.0
AO,CXL	05/12	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	MXB	B	375	33.81	n/a	n/a	18.75 5.0
AO,	05/12	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	MXB	B	375	33.81	n/a	n/a	18.75 5.0

**TOTAL (AO, CXL, CRT) :****556.92**

TOTAL (Trade Date):

61,707.68

TOTAL (AO, CXL, CRT):

556.92

**TOTAL (RUN DATE) / NFS:****62,264.60**

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