



Daily Compliance Activity Report

Trade Date: 05/20/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AEO	S	50,000	15.03	n/a	10-May	2,500.00	5.0
LAGRANGE CAP ADV	048	ALV	B	5,000	44.70	n/a	28-Apr	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	20,000	44.94	n/a	28-Apr	600.00	3.0
EXIS CAPITAL	044	ANF	S	5,000	36.60	n/a	19-May	250.00	5.0
BENCHMARK	025	APOL	B	2,500	57.78	n/a	n/a	125.00	5.0
LAGRANGE CAP ADV	048	AXL	B	30,000	7.68	n/a	3-May	1,500.00	5.0
MILLRACE FUND LP	028	AXL	B	10,000	7.67	n/a	3-May	300.00	3.0
PLATTE RIVER CAPITAL	240	BAC	B	86,350	15.81	n/a	17-May	3,454.00	4.0
MAIRS AND POWER INV	030	BAX	B	10,000	41.59	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	BEBE	S	82,300	6.67	n/a	n/a	4,115.00	5.0
EGS ASSOCIATES LP	091	BIG	SS	3,500	35.27	n/a	17-May	210.00	6.0
LEVEL GLOBAL SHARED ACCT	257	BKC	C	50,000	19.01	n/a	29-Apr	1,500.00	3.0
BUCK CAPITAL MGMT	001	BKS	SS	50,000	18.91	n/a	n/a	2,000.00	4.0
MILLENNIUM-ANDEW	031	CAT	B	12,000	58.71	n/a	12-May	720.00	6.0
THOMAS WEISEL ASSET MGMT	035	CMVT	S	14,971	8.32	n/a	n/a	449.13	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	CP	S	10,000	52.02	n/a	n/a	500.00	5.0
ROYCE TRADING	216	CSX	S	10,000	50.11	n/a	n/a	500.00	5.0
WEISS PECK	040	CTRN	C	4,200	32.83	n/a	n/a	210.00	5.0
WAGONHOUND/NIC	048	CVGI	S	21,353	10.96	n/a	n/a	854.12	4.0
EXIS CAPITAL	044	DENN	S	25,000	2.85	n/a	n/a	1,250.00	5.0
US BANCORP	098	DOW	S	168,856	25.62	n/a	20-May	8,442.80	5.0
LOOMIS SALES/BOSTON	098	DTV	B	393,485	36.98	n/a	n/a	15,739.40	4.0
LEVIN CAPITAL STRATEGIES	012	DUG	S	10,000	69.39	n/a	n/a	300.00	3.0
LATEFF MGMT	035	DVN	B	4,500	61.96	n/a	5-May	720.00	16.0
KACELA CAPITAL	034	EME	S	29,900	25.00	n/a	n/a	1,196.00	4.0
CRAMER ROSENTHAL/SCOTT	012	ERTS	S	7,600	16.72	n/a	n/a	304.00	4.0
WEISS PECK	040	FE	B	12,800	35.05	n/a	n/a	640.00	5.0
CATAPULT	040	FITB	B	5,000	12.73	n/a	n/a	250.00	5.0
ROARING BLUE LION MGMT	012	FLS	B	800	96.45	n/a	n/a	32.00	4.0
BROADARCH CAP/OLD NEWC	070	FSS	S	9,800	6.61	n/a	n/a	392.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	B	20,000	35.74	n/a	14-May	800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	100,000	35.88	n/a	14-May	3,000.00	3.0
ROARING BLUE LION MGMT	012	GYMB	B	6,000	44.61	n/a	20-May	240.00	4.0
SPARTA ASSET MGMT	035	GYMB	B	7,500	44.00	n/a	20-May	225.00	3.0
WHITE PINE CAPITAL	030	HAE	B	4,225	54.96	n/a	n/a	211.25	5.0
CONIFER/ISF	025	HAS	S	5,000	40.09	n/a	n/a	250.00	5.0
HUNTER GLOBAL INVESTOR	067	IR	B	140,000	35.71	n/a	23-Apr	7,000.00	5.0
CASTLEROCK	040	JCG	B	38,711	43.19	n/a	n/a	1,548.44	4.0
LAGRANGE CAP ADV	048	JNS	B	30,000	11.23	n/a	n/a	1,500.00	5.0
KLEINHEINZ CAP PART	031	JPM	S	75,000	38.35	n/a	17-May	3,750.00	5.0
EXIS CAPITAL	044	KSS	B	35,000	51.67	n/a	14-May	1,750.00	5.0
HIGHBRIDGE CAP	041	KSS	B	2,895	51.75	n/a	14-May	115.80	4.0
CATAPULT	040	LM	B	5,000	29.80	n/a	2-Mar	250.00	5.0
SCOPUS FUND	041	LPX	B	10,000	8.00	n/a	11-May	500.00	5.0
KLEINHEINZ CAP PART	031	LUK	S	75,000	21.42	n/a	n/a	3,750.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.23	n/a	n/a	400.00	4.0
CATAPULT	040	MDR	B	25,000	21.82	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WADDELL AND REED	047	MSFT	S	500,000	27.27	n/a	n/a	20,000.00	4.0
NEUBERGER BERMAN	036	MWIV	S	5,800	49.57	n/a	n/a	232.00	4.0
HIGHBRIDGE CAP	041	M	B	7,183	20.80	n/a	13-May	287.32	4.0
DIAMONDBACK CAP MGMT	232	NWL	S	115,000	15.77	n/a	n/a	5,750.00	5.0
LAGRANGE CAP ADV	048	PAG	B	29,500	12.69	n/a	3-May	1,475.00	5.0
EXIS CAPITAL	044	PIR	S	55,000	7.27	n/a	n/a	2,750.00	5.0
ROARING BLUE LION MGMT	012	PLCE	B	2,000	41.30	n/a	17-May	80.00	4.0
THE JAY GOLDMAN	028	PNK	B	20,000	11.89	n/a	n/a	800.00	4.0
LAGRANGE CAP ADV	048	PSS	SS	5,000	21.00	n/a	n/a	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	25,000	51.53	n/a	14-May	750.00	3.0
COLUMBUS CIRCLE	036	RADS	B	306	15.18	n/a	n/a	6.12	2.0
BROADARCH CAP/OLD NEWC	070	RFMD	S	21,300	4.70	n/a	n/a	852.00	4.0
EXIS CAPITAL	044	RL	SS	5,000	85.68	n/a	20-May	250.00	5.0
COUGAR TRADING	044	TAST	S	10,000	6.58	n/a	n/a	500.00	5.0
ENTRUST CAPITAL	040	TEL	B	40,500	27.15	n/a	n/a	2,025.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	TJX	SS	10,000	44.21	n/a	19-May	500.00	5.0
MERRILL ASSET/BLACKROCK	263	WLL	S	8,600	74.28	n/a	n/a	344.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	40.98	n/a	14-May	1,200.00	4.0
LEVIN CAPITAL STRATEGIES	012	WRC	S	25,000	40.79	n/a	14-May	750.00	3.0
CASTLE ARK	031	XOM	S	173,780	61.21	n/a	n/a	10,426.80	6.0
MERRILL ASSET/BLACKROCK	263	XRX	S	814,700	9.11	n/a	n/a	32,588.00	4.0
EXIS CAPITAL	044	ZQK	B	25,000	4.38	n/a	10-May	1,250.00	5.0
EXIS CAPITAL	044	ZQK	S	75,000	4.50	n/a	10-May	3,750.00	5.0
EXIS CAPITAL	044	ZUMZ	S	20,000	16.45	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date) :								164,160.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/19	CARLSON CAPITAL (CARLJPM)	203	ALK	B	40,000	46.00	n/a	n/a	1600.00 4.0
AO,CXL	05/19	CARLSON CAPITAL (CARLCS)	203	ALK	B	40,000	46.00	n/a	n/a	1600.00 4.0
AO,CXL	05/19	MILLRACE FUND LP (MILRGS)	028	AXL	B	20,000	8.20	n/a	3-May	800.00 4.0
AO,CRT	05/19	MILLRACE FUND LP (MILRGS)	028	AXL	B	20,000	8.20	n/a	3-May	600.00 3.0
AO,	05/19	BANK OF AMERICA/MERRILL (BAMLML)	259	IGT	B	4,500	20.55	n/a	23-Apr	180.00 4.0
AO,	05/19	BANK OF AMERICA/MERRILL (BAMLML)	259	JBHT	B	10,000	35.10	n/a	n/a	400.00 4.0
AO,CXL	05/19	SOUTH POINT CAP (SOPOFIDO)	067	NOVL	B	175,000	6.03	n/a	n/a	8750.00 5.0
AO,CRT	05/19	SOUTH POINT CAP (SOPOUBS MA)	067	NOVL	B	175,000	6.03	n/a	n/a	8750.00 5.0
AO,	05/19	COLUMBUS CIRCLE (COLC3050)	036	RADS	B	378	15.58	n/a	n/a	7.56 2.0
AO,	05/19	COLUMBUS CIRCLE (COLC3050)	036	RADS	B	3,002	15.49	n/a	n/a	120.08 4.0
AO,	05/19	COLUMBUS CIRCLE (COLC3050)	036	RADS	B	1,711	15.30	n/a	n/a	68.44 4.0

TOTAL (AO, CXL, CRT) :**576.08**

TOTAL (Trade Date) :

164,160.18

TOTAL (AO, CXL, CRT) :

576.08

TOTAL (RUN DATE) / NFS:**164,736.26**

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