



## Daily Compliance Activity Report

Trade Date: 05/07/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	AAI	S	41,520	5.15	n/a	n/a	1,660.80	4.0
BENCHMARK	025	ADM	B	10,000	26.18	n/a	5-May	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>15.91</b>	<b>n/a</b>	<b>3-May</b>	<b>2,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	AEO	B	50,000	15.85	n/a	3-May	2,500.00	5.0
KLEINHEINZ CAP PART	031	AES	S	180,000	10.23	n/a	n/a	9,000.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>AKR</b>	<b>S</b>	<b>200</b>	<b>17.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	ANF	B	25,000	39.67	n/a	7-May	1,250.00	5.0
<b>Õ Nilsa Vazquez</b>		<b>ATVI</b>	<b>S</b>	<b>1000</b>	<b>10.8710</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ENTRUST CAPITAL	040	AVID	B	78,900	13.95	n/a	n/a	3,945.00	5.0
ROYCE TRADING	216	CLF	S	28,888	54.84	n/a	n/a	1,444.40	5.0
CRAMER ROSENTHAL/SCOTT	012	COO	B	101,550	36.80	n/a	n/a	4,062.00	4.0
DSM CAPITAL PARTNERS	032	CTXS	B	6,485	44.64	n/a	n/a	324.25	5.0
CASTLEROCK	040	C	B	720,359	4.04	n/a	4-May	28,814.36	4.0
SANDLER O'NEILL ASSET	031	C	S	100,000	4.02	n/a	4-May	2,000.00	2.0
COBALT	041	DAL	SS	200,000	11.90	n/a	n/a	10,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GOLD SACHS SPECIAL SIT	030	DAN	B	175,000	11.54	n/a	30-Apr	8,750.00	5.0
NEUBERGER BERMAN	036	DE	B	25,000	55.50	n/a	30-Apr	1,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	DNB	S	49,848	74.29	n/a	n/a	1,993.92	4.0
SIGMA CAP BOBBY	044	DNDN	S	42,000	43.02	n/a	n/a	1,470.00	3.5
ST OF MICHIAN	047	GLW	B	400,000	17.47	n/a	28-Apr	12,000.00	3.0
GRUBER MACBAINE	033	HD	B	40,000	33.71	n/a	23-Feb	1,600.00	4.0
CASTLEROCK	040	HOG	B	90,543	31.18	n/a	n/a	3,621.72	4.0
LATEFF MGMT	035	HPQ	B	1,500	47.11	n/a	n/a	360.00	24.0
BROADARCH CAP/OLD NEWC	070	IGT	S	4,500	20.10	n/a	23-Apr	180.00	4.0
T. ROWE PRICE	033	IP	B	97,700	22.82	n/a	29-Apr	3,908.00	4.0
FIRST INV MGMT CO	029	JACK	S	42,400	22.51	n/a	n/a	2,120.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>10,000</b>	<b>27.57</b>	<b>n/a</b>	<b>7-May</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JCP	B	10,300	27.72	n/a	7-May	515.00	5.0
ROSEDALE CAPITAL	046	JNJ	B	10,000	62.42	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	JNS	B	20,000	12.05	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	JNY	B	10,000	19.12	n/a	29-Apr	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	LEA	B	10,000	74.49	n/a	7-May	500.00	5.0
COUGAR TRADING	044	LEA	S	10,000	72.16	n/a	7-May	500.00	5.0
GRUBER MACBAINE	033	LOW	B	10,000	25.38	n/a	22-Feb	400.00	4.0
KACELA CAPITAL	034	MAR	B	25,000	33.52	n/a	n/a	1,000.00	4.0
DSM CAPITAL PARTNERS	032	MDSO	B	18,360	14.47	n/a	n/a	918.00	5.0
BROADARCH CAP/OLD NEWC	070	MGM	S	7,000	12.82	n/a	5-May	280.00	4.0
PAULSON & CO INC	041	MGM	B	500,000	13.39	n/a	5-May	15,000.00	3.0
FORD FDN.	032	MRK	B	23,000	34.00	n/a	n/a	920.00	4.0
DSM CAPITAL PARTNERS	032	NATI	B	11,185	31.93	n/a	n/a	559.25	5.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	50,000	14.46	n/a	9-Apr	2,000.00	4.0
LAGRANGE CAP ADV	048	PAG	B	10,000	13.04	n/a	3-May	500.00	5.0
LATEFF MGMT	035	PG	B	1,500	60.72	n/a	30-Apr	390.00	26.0
EXIS CAPITAL	044	PLCE	SS	5,000	43.32	n/a	27-Apr	250.00	5.0
ROARING BLUE LION MGMT	012	PLCE	B	1,850	41.98	n/a	27-Apr	74.00	4.0
BAIRD INVESTMENT	047	PNC	B	8,675	64.05	n/a	n/a	433.75	5.0
NEUBERGER BERMAN	036	ROK	S	30,000	56.83	n/a	n/a	1,200.00	4.0
HIGHBRIDGE CAP	041	RYN	B	34,000	45.71	n/a	19-Apr	1,360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	SD	S	266,947	6.28	n/a	n/a	8,008.41	3.0
SCOPIA CAPITAL	048	SLM	B	143,125	10.96	n/a	5-May	5,725.00	4.0
PROSPECTOR PARTNERS LLC	036	STFC	B	5,000	18.00	n/a	n/a	100.00	2.0
PROSPECTOR PARTNERS LLC	036	STFC	S	5,000	18.00	n/a	n/a	100.00	2.0
CATAPULT	040	STT	B	16,200	41.84	n/a	7-May	648.00	4.0
SONTERRA CAP	041	SVU	B	20,000	13.45	n/a	n/a	800.00	4.0
TPG-AXON	040	SWN	C	63,000	37.10	n/a	30-Apr	3,150.00	5.0
IRIDIAN ASSET MGMT.	036	TIN	B	38,530	19.92	n/a	21-Apr	1,926.50	5.0
EPOCH INV MGMT	030	TJX	S	73,250	44.02	n/a	3-May	2,197.50	3.0
THOMPSON SIEGAL&WALMSLEY	029	TJX	B	20,400	43.74	n/a	3-May	612.00	3.0
EXIS CAPITAL	044	TLB	SS	30,500	16.05	n/a	n/a	1,525.00	5.0
HIGHBRIDGE CAP	041	UFS	B	15,000	61.46	n/a	n/a	600.00	4.0
TPG-AXON	040	UPL	C	57,000	43.24	n/a	27-Apr	2,850.00	5.0
RBC CAPITAL MARKETS	040	VALE	B	50,000	27.60	n/a	n/a	2,000.00	4.0
CONIFER/ISF	025	VZ	S	5,000	28.19	n/a	n/a	250.00	5.0
GRUBER MACBAIN	033	WMT	B	25,000	52.65	n/a	27-Apr	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	WRC	B	5,000	42.37	n/a	2-Mar	250.00	5.0
RBC CAPITAL MARKETS	040	WRC	SS	5,000	42.01	n/a	2-Mar	200.00	4.0
EXIS CAPITAL	044	ZUMZ	B	10,000	16.99	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>166,046.86</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/06	LISTED ERR (LISTED ERR)	099	AKR	B	200	17.60	n/a	n/a	0.00	0.0
AO,CXL	05/06	CATAPULT (CATAML)	040	KEY	B	40,000	8.16	n/a	n/a	2000.00	5.0
AO,CRT	05/06	CATAPULT (CATAML)	040	KEY	B	40,000	8.16	n/a	n/a	1200.00	3.0
AO,CXL	05/05	COOPER CREEK PART (COOPJPM)	028	LPX	SS	3,970	11.34	n/a	19-Apr	158.80	4.0
AO,CRT	05/05	COOPER CREEK PART (COOPJPM)	028	LPX	SS	4,353	11.34	n/a	19-Apr	174.12	4.0
AO,CXL	05/05	COOPER CREEK PART (COOPGS)	028	LPX	SS	66,030	11.34	n/a	19-Apr	2641.20	4.0
AO,CRT	05/05	COOPER CREEK PART (COOPGS)	028	LPX	SS	65,647	11.34	n/a	19-Apr	2625.88	4.0
CRT	05/07	CONIFER/ISF (CONIISFRIP)	025	VZ	S	5,000	28.19	n/a	n/a	250.00	5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-550.00</b>
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TOTAL (Trade Date) :	166,046.86
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TOTAL (AO, CXL, CRT) :	-550.00
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>165,496.86</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