



Daily Compliance Activity Report

Trade Date: 04/22/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	SS	20,000	18.06	n/a	9-Apr	1,000.00	5.0
PARTNER REINSURANCE	033	ANF	B	12,700	48.86	n/a	9-Apr	508.00	4.0
WEISS PECK	040	ANF	C	2,300	47.37	n/a	9-Apr	115.00	5.0
EXIS CAPITAL	044	ANN	SS	20,000	23.06	n/a	n/a	1,000.00	5.0
MILLENIUM PARTNERS	028	AN	S	20,000	20.20	n/a	20-Apr	800.00	4.0
MTB INV ADV	034	AUXL	B	14,419	35.34	n/a	n/a	720.95	5.0
ROSEDALE CAPITAL	046	AXL	S	20,000	11.36	n/a	20-Apr	1,000.00	5.0
TRUSTCO/SUNTRUST	040	AXL	B	54,940	11.31	n/a	20-Apr	2,142.66	3.9
TROUBH PART	067	BAC	B	25,000	18.56	n/a	19-Apr	1,250.00	5.0
WHALE ROCK CAP	030	BONT	B	19,100	17.65	n/a	n/a	764.00	4.0
WEISS PECK	040	CAKE	C	11,300	29.44	n/a	19-Apr	565.00	5.0
SENATOR INVESTMENT GROUP	036	CCI	B	30,000	37.97	n/a	n/a	900.00	3.0
BENNETT LAWRENCE	028	CMG	B	2,450	139.24	n/a	22-Apr	98.00	4.0
WEISS PECK	040	CMG	C	900	136.86	n/a	22-Apr	45.00	5.0
MTB INV ADV	034	CVH	S	65,578	23.39	n/a	n/a	3,278.90	5.0
EXIS CAPITAL	044	CWTR	B	10,000	8.60	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	DENN	B	10,000	3.77	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	DHR	S	5,000	84.49	n/a	n/a	200.00	4.0
SAC TRADING TOM LEDDY	035	DPS	B	10,000	33.40	n/a	n/a	350.00	3.5
SENATOR INVESTMENT GROUP	036	EEM	SS	200,000	42.48	n/a	n/a	6,000.00	3.0
MERRILL ASSET/BLACKROCK	263	ESL	B	24,300	54.76	n/a	n/a	972.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.79	n/a	n/a	600.00	6.0
MILLENIUM PARTNERS	028	ETN	B	20,000	77.91	n/a	20-Apr	800.00	4.0
NEWLAND CAPITAL MGT	067	FAST	B	10,000	55.11	n/a	n/a	400.00	4.0
NWQ INVESTMENT MGMT CO	048	FMR	B	20,000	13.65	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	048	FOR	B	9,700	21.83	n/a	19-Apr	388.00	4.0
WEISS PECK	040	FOSL	SS	3,200	41.38	n/a	n/a	160.00	5.0
TRAFELET & COMP.	028	FUN	B	100,000	14.97	n/a	n/a	5,000.00	5.0
OZ MGMT	040	F	B	100,000	13.90	n/a	20-Apr	3,000.00	3.0
RBC CAPITAL MARKETS	040	GE	S	50,000	18.95	n/a	n/a	2,000.00	4.0
RAIL-SPLITTER	031	GIL	B	18,500	28.71	n/a	22-Mar	925.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MTB INV ADV	034	GLW	B	62,286	20.33	n/a	19-Mar	3,114.30	5.0
RBC CAPITAL MARKETS	040	GPS	B	10,000	25.73	n/a	n/a	400.00	4.0
ADAGE CAPITAL MGMT	030	HON	B	65,000	46.99	n/a	31-Mar	1,950.00	3.0
BNP PARIBAS SEC	040	HON	B	16,200	46.46	n/a	31-Mar	648.00	4.0
UBS OCONNOR	031	HON	C	700,000	46.90	n/a	31-Mar	21,000.00	3.0
CASTLEROCK	040	HOT	B	64,213	52.31	n/a	n/a	2,568.52	4.0
TRAFELET & COMP.	028	ICGE	B	100,000	10.82	n/a	n/a	5,000.00	5.0
FARALLON CAP MGMT	040	JOE	SS	31,500	35.46	n/a	n/a	1,260.00	4.0
MACKLOWE ASSET MGMT	041	KO	SS	120,000	54.08	n/a	20-Apr	4,800.00	4.0
CAPITAL GROWTH MGMT.	241	KSS	B	100,000	56.75	n/a	9-Apr	5,000.00	5.0
METROPOLITAN CAPITAL	044	LEA	B	11,000	82.90	n/a	20-Apr	550.00	5.0
OZ MGMT	040	LEA	B	10,000	82.76	n/a	20-Apr	300.00	3.0
CAVU CAP ADV	028	LOW	B	139,080	26.83	n/a	22-Feb	6,954.00	5.0
THE JAY GOLDMAN	028	MAR	S	5,000	35.58	n/a	n/a	200.00	4.0
MACKLOWE ASSET MGMT	041	MAT	SS	75,000	23.52	n/a	n/a	3,000.00	4.0
BROADARCH CAP/OLD NEWC	070	MGM	B	10,000	14.97	n/a	15-Apr	400.00	4.0
TRELLUS PARTNERS LP	028	MS	B	30,000	31.90	n/a	21-Apr	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	MTB	B	21,526	87.48	n/a	n/a	861.04	4.0
RBC CAPITAL MARKETS	040	M	B	15,000	24.28	n/a	9-Apr	600.00	4.0
COOPER CREEK PART	028	PAG	B	25,000	15.94	n/a	20-Apr	1,000.00	4.0
ELM RIDGE ADVISORS	044	PCL	S	37,200	42.65	n/a	19-Apr	1,488.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PETM	B	98,050	33.60	n/a	n/a	2,941.50	3.0
MILLENIUM PARTNERS	028	PH	SS	20,000	70.43	n/a	21-Apr	800.00	4.0
BNP PARIBAS SEC	040	POT	B	5,000	108.36	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	RHI	B	25,000	31.70	n/a	n/a	1,000.00	4.0
TROUBH PART	067	SD	B	10,000	7.58	n/a	n/a	500.00	5.0
THE BOSTON COMPANY	048	SHW	B	150,850	76.65	n/a	22-Apr	6,034.00	4.0
BNP PARIBAS SEC	040	SLB	B	15,000	68.32	n/a	n/a	600.00	4.0
SCOPIA CAPITAL	048	SLM	S	104,285	13.78	n/a	22-Apr	4,171.40	4.0
CONIFER/ISF	025	SMG	B	600	48.19	n/a	9-Apr	30.00	5.0
SACC-SCHWARTZ	044	SPY	B	100,000	119.57	n/a	n/a	3,500.00	3.5
SACC-SCHWARTZ	044	SPY	SS	50,000	119.83	n/a	n/a	1,750.00	3.5
CSFB GLOBAL PROPRIETARY	041	TIN	S	15,000	24.00	n/a	21-Apr	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	TIN	S	35,000	24.03	n/a	21-Apr	1,750.00	5.0
HIGHBRIDGE CAP	041	TIN	B	17,600	24.23	n/a	21-Apr	704.00	4.0
HUNTER GLOBAL INVESTOR	067	TIN	B	148,500	23.93	n/a	21-Apr	7,425.00	5.0
IMPALA ASSET MMT	012	TIN	S	50,000	24.02	n/a	21-Apr	2,000.00	4.0
COUGAR TRADING	044	TM	SS	5,000	76.70	n/a	n/a	250.00	5.0
OZ MGMT	040	TRW	SS	27,731	33.04	n/a	n/a	831.93	3.0
JP MORGAN VENTURES	046	URI	SS	40,000	12.24	n/a	n/a	2,000.00	5.0
TRELLUS PARTNERS LP	028	URI	S	20,000	11.86	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	040	VALE	B	50,000	31.60	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	WRC	B	819	49.49	n/a	2-Mar	40.95	5.0
LEVIN CAPITAL STRATEGIES	012	WRC	B	50,000	50.39	n/a	2-Mar	1,500.00	3.0
RBC CAPITAL MARKETS	040	X	B	15,000	58.67	n/a	n/a	600.00	4.0
TOTAL (Trade Date) :								141,755.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/20	ST OF MICHIAN (MICHMER9)	047	AAPL	B	50,000	245.87	n/a	n/a	1500.00 3.0
AO,CRT	04/20	ST OF MICHIAN (MICHMER2)	047	AAPL	B	50,000	245.87	n/a	n/a	1500.00 3.0
CRT	04/22	ROSEDALE CAPITAL (ROSEGS)	046	AXL	S	20,000	11.36	n/a	20-Apr	1000.00 5.0
AO,CXL	04/21	TRELLUS PARTNERS LP (TRELMAIN)	028	BZ	B	25,000	6.93	n/a	n/a	1250.00 5.0
AO,CRT	04/21	TRELLUS PARTNERS LP (TRELMAIN)	028	BZ	B	25,000	6.93	n/a	n/a	750.00 3.0
AO,CXL	04/21	LISTED ERR (LISTED ERR)	099	CHRW	S	25,000	59.00	n/a	n/a	0.00 0.0
AO,CRT	04/21	LISTED ERR (LISTED ERR)	099	CHRW	S	25,000	60.00	n/a	n/a	0.00 0.0
AO,	04/21	LISTED ERR (LISTED ERR)	099	CHRW	SS	25,000	60.00	n/a	n/a	0.00 0.0
AO,	04/21	CAVU CAP ADV (CAVUCREDIS)	028	CHRW	SS	22,149	60.05	n/a	n/a	1107.45 5.0
AO,	04/21	CAVU CAP ADV (CAVUMORGAN)	028	CHRW	SS	4,281	60.05	n/a	n/a	214.05 5.0
AO,CXL	04/21	EMERSON CAPITAL MGMT (EMERGSPB)	048	DBRN	B	9,000	28.94	n/a	n/a	360.00 4.0
AO,CRT	04/21	EMERSON CAPITAL MGMT (EMERGSPB)	048	DBRN	B	9,000	28.94	n/a	n/a	450.00 5.0
AO,CXL	04/20	ST OF MICHIAN (MICHMER9)	047	FE	B	240,000	37.75	n/a	n/a	7200.00 3.0
AO,CRT	04/20	ST OF MICHIAN (MICHMER2)	047	FE	B	240,000	37.75	n/a	n/a	7200.00 3.0
AO,	04/21	LISTED ERR (LISTED ERR)	099	FMR	B	2	13.84	n/a	n/a	0.00 0.0
AO,CXL	04/21	EMERSON CAPITAL MGMT (EMERGSPB)	048	PRGO	SS	4,500	59.59	n/a	22-Apr	180.00 4.0
AO,CRT	04/21	EMERSON CAPITAL MGMT (EMERGSPB)	048	PRGO	SS	4,500	59.59	n/a	22-Apr	225.00 5.0
AO,CXL	04/21	EMERSON CAPITAL MGMT (EMERGSPB)	048	R	S	3,000	46.02	n/a	n/a	120.00 4.0
AO,CRT	04/21	EMERSON CAPITAL MGMT (EMERGSPB)	048	R	S	3,000	46.02	n/a	n/a	150.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/21	TRELLUS PARTNERS LP (TRELMAIN)	028	URI	B	15,000	10.69	n/a	n/a	750.00 5.0
AO,CRT	04/21	TRELLUS PARTNERS LP (TRELMAIN)	028	URI	B	15,000	10.69	n/a	n/a	450.00 3.0
AO,CXL	04/21	&PRO (&PROSCLOSE)	036	WAG	B	1,000	35.80	n/a	n/a	40.00 4.0
AO,CRT	04/21	PROSPECTOR PARTNERS LLC (PROSFOLKSA)	036	WAG	B	1,000	35.80	n/a	n/a	40.00 4.0
TOTAL (AO, CXL, CRT) :										1,686.50
TOTAL (Trade Date) :										141,755.15
TOTAL (AO, CXL, CRT) :										1,686.50
TOTAL (RUN DATE) / NFS:										143,441.65

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