



Daily Compliance Activity Report

Trade Date: 05/05/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	AA	SS	30,000	12.11	n/a	n/a	1,200.00	4.0
EXIS CAPITAL	044	AEO	B	10,000	16.79	n/a	3-May	500.00	5.0
EXIS CAPITAL	044	AEO	S	30,000	16.79	n/a	3-May	1,500.00	5.0
MILLRACE FUND LP	028	ANF	B	2,000	43.17	n/a	3-May	80.00	4.0
MACKLOWE ASSET MGMT	041	ANN	B	65,000	24.52	n/a	n/a	2,600.00	4.0
STERLING JOHNSTON	035	ANN	S	46,950	24.56	n/a	n/a	1,878.00	4.0
BALYASNY ASSET MGMT	044	ARO	B	25,000	29.82	n/a	3-May	1,250.00	5.0
WEISS PECK	040	AVP	C	3,300	30.50	n/a	3-May	165.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	10,000	43.46	n/a	n/a	400.00	4.0
CAERUS GLOBAL	041	BBY	B	10,000	42.93	n/a	n/a	300.00	3.0
DIAMONDBACK CAP MGMT	232	BK	SS	25,000	31.11	n/a	23-Apr	1,250.00	5.0
GREEN ARROW DOUG	040	CAB	SS	20,000	21.14	n/a	n/a	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	CAR	B	600	13.69	n/a	n/a	24.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CBG	B	1,100	17.27	n/a	n/a	44.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CBI	B	3,900	21.09	n/a	n/a	156.00	4.0
ISLE RIDGE PARTNERS	041	CCE	S	32,500	26.99	n/a	n/a	1,300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	CCL	B	21,750	39.47	n/a	n/a	870.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CE	B	600	29.24	n/a	n/a	24.00	4.0
EXIS CAPITAL	044	CHRS	B	25,000	6.05	n/a	n/a	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	CIR	B	1,300	32.52	n/a	n/a	52.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CI	B	900	32.12	n/a	n/a	36.00	4.0
CAVU CAP ADV	028	CMI	S	25,000	70.83	n/a	30-Apr	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	CMS	B	1,500	15.82	n/a	n/a	60.00	4.0
COUGAR TRADING	044	CRR	SS	7,500	70.11	n/a	5-May	375.00	5.0
GRANAHAN INV	048	CRR	S	18,500	70.13	n/a	5-May	740.00	4.0
ISLE RIDGE PARTNERS	041	CWTR	B	40,000	7.10	n/a	n/a	1,600.00	4.0
CRAMER ROSENTHAL/SCOTT	012	C	B	633,500	4.18	n/a	4-May	15,837.50	2.5
KACELA CAPITAL	034	DDS	B	38,050	28.47	n/a	n/a	1,522.00	4.0
THE BOSTON COMPANY	048	DKS	S	67,600	29.26	n/a	9-Mar	2,704.00	4.0
CRAMER ROSENTHAL/SCOTT	012	DNR	B	1,000	18.41	n/a	n/a	40.00	4.0
EXIS CAPITAL	044	DPZ	B	30,000	14.47	n/a	5-May	1,500.00	5.0
CASTLEROCK	040	DRI	SS	33,565	44.32	n/a	7-Apr	1,342.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	EEFT	B	5,000	16.38	n/a	n/a	200.00	4.0
CRAMER ROSENTHAL/SCOTT	012	EE	B	2,400	20.67	n/a	n/a	96.00	4.0
BALYASNY ASSET MGMT	044	FDO	C	30,000	40.16	n/a	7-Apr	1,500.00	5.0
LAGRANGE CAP ADV	048	FII	B	10,000	24.01	n/a	2-Mar	500.00	5.0
CONIFER/ISF	025	FL	B	4,700	14.88	n/a	14-Apr	235.00	5.0
BROADARCH CAP/OLD NEWC	070	FSS	B	9,800	7.55	n/a	n/a	392.00	4.0
LAGRANGE CAP ADV	048	F	B	20,000	12.40	n/a	4-May	1,000.00	5.0
OZ MGMT	040	F	C	224,000	12.09	n/a	4-May	6,720.00	3.0
TRELLUS PARTNERS LP	028	F	B	100,000	12.32	n/a	4-May	5,000.00	5.0
BUCK CAPITAL MGMT	001	GES	B	50,000	40.44	n/a	18-Mar	2,000.00	4.0
CASTLE ARK	031	GES	B	96,840	40.13	n/a	18-Mar	5,810.40	6.0
SAXON WOODS ADVISORS	242	GES	B	10,000	40.24	n/a	18-Mar	400.00	4.0
HARVEST MGMT	029	GGC	SS	10,000	18.42	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	27.67	n/a	27-Apr	400.00	4.0
ISLE RIDGE PARTNERS	041	GLW	S	20,000	18.68	n/a	28-Apr	800.00	4.0
CASTLEROCK	040	GMCR	SS	19,773	75.26	n/a	n/a	790.92	4.0
KACELA CAPITAL	034	GYMB	B	19,550	47.71	n/a	3-May	782.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	HPQ	B	20,000	50.94	n/a	n/a	800.00	4.0
RAMIUS CAP	040	HSC	S	43,375	28.62	n/a	29-Apr	1,735.00	4.0
EMERSON CAPITAL MGMT	048	IFSIA	S	1,700	13.00	n/a	n/a	85.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IN	B	3,500	11.60	n/a	n/a	140.00	4.0
ARMATURE CAPITAL	041	IP	B	30,000	24.92	n/a	29-Apr	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	IWM	C	7,000	70.09	n/a	n/a	210.00	3.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	25,000	28.72	n/a	3-May	875.00	3.5
SIGMA CAPITAL ASSOCIATES	041	JCP	S	300,000	28.32	n/a	3-May	10,500.00	3.5
CRAMER ROSENTHAL/SCOTT	012	JLL	B	400	80.90	n/a	n/a	16.00	4.0
EXIS CAPITAL	044	JNY	B	37,500	21.30	n/a	29-Apr	1,875.00	5.0
SENATOR INVESTMENT GROUP	036	JPM	B	250,000	43.03	n/a	5-May	7,500.00	3.0
SCOUT/UMB	047	KMT	S	53,000	31.15	n/a	30-Apr	2,650.00	5.0
ISLE RIDGE PARTNERS	041	KSU	S	17,500	39.30	n/a	n/a	700.00	4.0
CRAMER ROSENTHAL/SCOTT	012	LAZ	B	700	38.41	n/a	27-Apr	28.00	4.0
MORTAR ROCK	033	LEA	B	15,000	76.82	n/a	20-Apr	600.00	4.0
MERRILL ASSET/BLACKROCK	263	LF	B	25,000	5.50	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	LPX	S	15,100	11.42	n/a	19-Apr	604.00	4.0
COOPER CREEK PART	028	LPX	SS	70,000	11.34	n/a	19-Apr	2,800.00	4.0
EXIS CAPITAL	044	LULU	B	24,500	37.87	n/a	n/a	1,225.00	5.0
CIRCLE T/SES PART	035	LVS	S	10,000	23.79	n/a	5-May	400.00	4.0
KACELA CAPITAL	034	MHP	SS	30,000	31.95	n/a	n/a	1,200.00	4.0
SAC CAPITAL/M GRONET	030	M	B	10,000	23.25	n/a	3-May	350.00	3.5
WEINTRAUB CAPITAL MGT.	040	NDN	B	50,000	15.09	n/a	9-Apr	2,000.00	4.0
FIRST INV MGMT CO	029	NWL	B	12,000	16.55	n/a	n/a	600.00	5.0
SANDLER CAPITAL	226	N	B	188,482	16.07	n/a	n/a	11,308.92	6.0
CRAMER ROSENTHAL/SCOTT	012	PAG	B	3,700	14.40	n/a	3-May	148.00	4.0
GALT INVESTMENT	041	PAG	B	30,000	13.83	n/a	3-May	1,500.00	5.0
LAGRANGE CAP ADV	048	PAG	B	20,000	14.20	n/a	3-May	1,000.00	5.0
COHE & STEERS	041	PCL	S	430,943	38.76	n/a	27-Apr	17,237.72	4.0
WEINTRAUB CAPITAL MGT.	040	PLCE	B	25,000	46.14	n/a	27-Apr	1,000.00	4.0
THE JAY GOLDMAN	028	PNK	B	10,000	14.24	n/a	n/a	400.00	4.0
CAVU CAP ADV	028	PTEN	S	25,000	14.55	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	PVH	SS	5,000	61.29	n/a	21-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARCHON CAPITAL	035	RAX	B	25,000	17.22	n/a	n/a	1,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	SFN	B	7,600	8.40	n/a	n/a	304.00	4.0
ISLE RIDGE PARTNERS	041	SSD	SS	25,000	32.35	n/a	n/a	1,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	SVR	B	8,000	20.88	n/a	n/a	320.00	4.0
PECONIC PARTNERS	036	TEVA	S	100,000	60.49	n/a	4-May	5,000.00	5.0
BNP PARIBAS SEC	040	TGT	S	5,000	56.15	n/a	3-May	200.00	4.0
BROADARCH CAP/OLD NEWC	070	TGT	S	1,300	56.18	n/a	3-May	52.00	4.0
TRELLUS PARTNERS LP	028	TJX	B	30,000	46.47	n/a	3-May	1,500.00	5.0
VISIUM/BALY BOBBY	044	TRLG	C	12,500	29.19	n/a	n/a	625.00	5.0
FIRST INV MGMT CO	029	TRW	B	20,000	29.85	n/a	n/a	1,000.00	5.0
EMERSON CAPITAL MGMT	048	TWC	SS	5,000	55.13	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	UA	B	6,700	33.12	n/a	28-Apr	335.00	5.0
GREEN ARROW DOUG	040	URI	B	21,000	13.54	n/a	n/a	1,050.00	5.0
BENCHMARK	025	VXX	S	2,500	22.83	n/a	n/a	100.00	4.0
CASTLEROCK	040	WMT	B	109,936	54.93	n/a	27-Apr	4,397.44	4.0
PORTER-ORLIN	044	WMT	S	40,000	54.57	n/a	27-Apr	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	WRC	SS	15,000	45.40	n/a	2-Mar	750.00	5.0
DIAMONDBACK CAP MGMT	232	XLI	SS	31,000	31.95	n/a	n/a	930.00	3.0
S.A.C. CAP/ORENSTEIN	044	XLI	SS	250,000	31.69	n/a	n/a	8,750.00	3.5
EXIS CAPITAL	044	ZQK	B	20,000	5.00	n/a	12-Mar	1,000.00	5.0
TOTAL (Trade Date):							173,727.50		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/04	MILLENIUM KOZLOW (MILKKOZLO)	028	ANF	B	4,000	43.41	n/a	3-May	160.00 4.0
AO,CRT	05/04	MILLRACE FUND LP (MILRGS)	028	ANF	B	4,000	43.41	n/a	3-May	160.00 4.0
CRT	05/05	SAC CAPITAL/M GRONET (SACJCSPB)	030	M	B	10,000	23.25	n/a	3-May	350.00 3.5
AO,CXL	05/04	CR INTRINIC INVESTMENT (CRINJPM)	044	PFE	S	75,000	17.26	n/a	n/a	3000.00 4.0
AO,CRT	05/04	CR INTRINIC INVESTMENT (CRINJPM)	044	PFE	S	75,000	17.26	n/a	n/a	2625.00 3.5
AO,CXL	05/04	CR INTRINIC INVESTMENT (CRINJPM)	044	UNH	S	32,500	29.47	n/a	n/a	1300.00 4.0
AO,CRT	05/04	CR INTRINIC INVESTMENT (CRINJPM)	044	UNH	S	32,500	29.47	n/a	n/a	1137.50 3.5
AO,CXL	05/04	JP MORGAN VENTURES (JPMVJPM)	046	WEN	S	25,000	5.29	n/a	7-Apr	1250.00 5.0
AO,CRT	05/04	JP MORGAN VENTURES (JPMVJPM)	046	WEN	S	25,000	5.29	n/a	7-Apr	750.00 3.0
TOTAL (AO, CXL, CRT) :										-687.50

TOTAL (Trade Date) :	173,727.50
TOTAL (AO, CXL, CRT) :	-687.50

TOTAL (RUN DATE) / NFS :	173,040.00
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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