



Daily Compliance Activity Report

Trade Date: 04/01/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
T. ROWE PRICE	033	ADBE	S	195,800	35.46	n/a	n/a	7,832.00	4.0
NEW JERSEY DIV OF INV.	030	ADI	S	25,000	28.89	n/a	n/a	1,000.00	4.0
HUTCHIN HILL CAPITAL LP	233	AN	B	25,000	18.28	n/a	1-Apr	750.00	3.0
TRUST CO/COWEN/CALF.	040	APC	S	32,335	73.96	n/a	1-Apr	1,616.75	5.0
GRANAHAN INV	039	CNK	B	20,000	18.36	n/a	n/a	800.00	4.0
ARMATURE CAPITAL	041	DAN	B	15,000	11.88	n/a	25-Feb	600.00	4.0
PARTNER REINSURANCE	033	DG	S	31,600	25.50	n/a	31-Mar	1,264.00	4.0
NORTHWESTERN MUTUAL LIFE	047	DIA	S	221,000	109.20	n/a	n/a	8,840.00	4.0
NORTHWESTERN MUTUAL LIFE	047	EFA	B	430,000	56.76	n/a	n/a	17,200.00	4.0
ROSEDALE CAPITAL	046	EK	S	50,000	5.96	n/a	n/a	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	FDX	SS	215,600	92.15	n/a	n/a	10,780.00	5.0
EGS ASSOCIATES LP	091	FL	B	4,000	15.40	n/a	26-Mar	240.00	6.0
SONTERRA CAP	041	FOE	S	20,000	9.03	n/a	n/a	600.00	3.0
DSG CAPITAL	225	F	B	20,000	12.80	n/a	31-Mar	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	GLW	S	50,000	20.47	n/a	19-Mar	2,000.00	4.0
PROSPECTOR PARTNERS LLC	036	IFF	S	10,000	48.09	n/a	29-Mar	400.00	4.0
ARMATURE CAPITAL	041	IP	SS	10,000	25.14	n/a	26-Mar	400.00	4.0
HOLLIS CAPITAL	033	LVS	S	5,000	20.96	n/a	1-Apr	250.00	5.0
OZ MGMT	040	LVS	C	173,854	21.34	n/a	1-Apr	5,215.62	3.0
SENVEST PART	045	LVS	S	50,000	21.30	n/a	1-Apr	2,500.00	5.0
WOOSTER CAPITAL	035	LVS	B	100,000	21.10	n/a	1-Apr	5,000.00	5.0
THE JAY GOLDMAN	028	MAR	S	10,000	32.01	n/a	n/a	400.00	4.0
PZENA INV ADV	044	MAT	S	38,352	23.00	n/a	n/a	1,342.34	3.5
GRISANTI BROWN & PARTNER	048	MOS	B	36,710	58.20	n/a	n/a	1,835.50	5.0
WEINTRAUB CAPITAL MGT.	040	M	B	100,000	22.15	n/a	31-Mar	4,000.00	4.0
BNP PARIBAS SEC	040	NWL	B	10,000	15.61	n/a	n/a	400.00	4.0
NEW JERSEY DIV OF INV.	030	PAR	S	50,000	10.01	n/a	n/a	2,000.00	4.0
BMO NESBITT BURNS	041	PKG	S	25,900	24.86	n/a	26-Mar	1,295.00	5.0
PROSPECTOR PARTNERS LLC	036	SJT	S	10,000	21.20	n/a	n/a	400.00	4.0
SCOPIA CAPITAL	048	SLM	B	114,066	12.73	n/a	31-Mar	4,562.64	4.0
PAULSON & CO INC	041	SNV	SS	250,000	3.32	n/a	n/a	5,000.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SACC-SCHWARTZ	044	SPY	B	250,000	117.95	n/a	n/a	8,750.00	3.5
RBC CAPITAL MARKETS	040	TGT	S	5,000	52.81	n/a	31-Mar	200.00	4.0
SCHOTTENFELD ASSOC	041	TIN	B	10,000	21.07	n/a	26-Mar	300.00	3.0
SCHOTTENFELD ASSOC	041	TIN	S	100	21.30	n/a	26-Mar	3.00	3.0
PIONEER MICHAEL NOLAN	067	VRGY	S	37,900	11.38	n/a	n/a	1,137.00	3.0
SUN AMERICA ASSET MGMT	030	WMT	S	100,000	55.19	n/a	18-Feb	4,000.00	4.0
TRUST CO/COWEN/CALF.	040	X	S	36,690	65.53	n/a	n/a	1,834.50	5.0
TOTAL (Trade Date):								108,048.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/31	COLUMBUS CIRCLE (COLC3050)	036	COO	S	2,286	38.85	n/a	n/a	91.44 4.0
AO,	03/31	SOLARIS INV MGMT (SOLA2143)	029	EXPD	S	700	37.01	n/a	n/a	35.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA2009)	029	EXPD	S	300	37.01	n/a	n/a	15.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1982)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1891)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1749)	029	EXPD	S	1,300	37.01	n/a	n/a	65.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1756)	029	EXPD	S	1,000	37.01	n/a	n/a	50.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1768)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1767)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1614)	029	EXPD	S	300	37.01	n/a	n/a	15.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1633)	029	EXPD	S	300	37.01	n/a	n/a	15.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1508)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1635)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1623)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1628)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1622)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1624)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1617)	029	EXPD	S	400	37.01	n/a	n/a	20.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1695)	029	EXPD	S	300	37.01	n/a	n/a	15.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1627)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1720)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1629)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1626)	029	EXPD	S	500	37.01	n/a	n/a	25.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1632)	029	EXPD	S	800	37.01	n/a	n/a	40.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1631)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1352)	029	EXPD	S	400	37.01	n/a	n/a	20.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/31	SOLARIS INV MGMT (SOLA509)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1277)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1099)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA1138)	029	EXPD	S	700	37.01	n/a	n/a	35.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA865)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA15)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA443)	029	EXPD	S	600	37.01	n/a	n/a	30.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA970)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA872)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA848)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA847)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA829)	029	EXPD	S	400	37.01	n/a	n/a	20.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA799)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA790)	029	EXPD	S	500	37.01	n/a	n/a	25.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA782)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA703)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA934)	029	EXPD	S	400	37.01	n/a	n/a	20.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA935)	029	EXPD	S	700	37.01	n/a	n/a	35.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA533)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA78)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA429)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA391)	029	EXPD	S	400	37.01	n/a	n/a	20.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA67)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA49)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA453)	029	EXPD	S	400	37.01	n/a	n/a	20.00 5.0
AO,CXL	03/31	SOLARIS INV MGMT (SOLA1)	029	EXPD	S	21,700	37.01	n/a	n/a	1085.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA25)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA48)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA40)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA19)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/31	SOLARIS INV MGMT (SOLA16)	029	EXPD	S	700	37.01	n/a	n/a	35.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA14)	029	EXPD	S	600	37.01	n/a	n/a	30.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA3)	029	EXPD	S	800	37.01	n/a	n/a	40.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA6)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA5)	029	EXPD	S	200	37.01	n/a	n/a	10.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA4)	029	EXPD	S	100	37.01	n/a	n/a	5.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA512)	029	EXPD	S	3,500	37.01	n/a	n/a	175.00 5.0
AO,	03/31	SOLARIS INV MGMT (SOLA495)	029	EXPD	S	400	37.01	n/a	n/a	20.00 5.0
AO,CXL	03/31	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	F	B	50,000	12.82	n/a	31-Mar	2500.00 5.0
AO,CRT	03/31	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	F	B	50,000	12.82	n/a	31-Mar	1500.00 3.0
CRT	04/01	SONTERRA CAP (SONTGSRUCK)	041	FOE	S	20,000	9.03	n/a	n/a	600.00 3.0
AO,CXL	03/31	CATAPULT (CATADEUTCH)	040	LEA	B	25,000	79.59	n/a	25-Mar	1000.00 4.0
AO,CRT	03/31	CATAPULT (CATADEUTCH)	040	LEA	B	25,000	79.47	n/a	25-Mar	1000.00 4.0
AO,CXL	03/31	HG VORA CAP MGMT LLC (HGVOGSPB)	025	MPEL	SS	150,000	4.70	n/a	1-Apr	6000.00 4.0
AO,CRT	03/31	HG VORA CAP MGMT LLC (HGVOGSPB)	025	MPEL	SS	150,000	4.70	n/a	1-Apr	4500.00 3.0

TOTAL (AO, CXL, CRT) :

-1,808.56

TOTAL (Trade Date) :

108,048.35

TOTAL (AO, CXL, CRT) :

-1,808.56

TOTAL (RUN DATE) / NFS :

106,239.79

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