



## Daily Compliance Activity Report

Trade Date: 03/31/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AAPL	B	25	236.20	n/a	n/a	1.25	5.0
WINSLOW CAPITAL	030	AAPL	B	80	235.17	n/a	n/a	3.20	4.0
PATTEN & PATTEN	067	AA	B	700	14.37	n/a	n/a	35.00	5.0
WINSLOW CAPITAL	030	ABB	B	170	21.83	n/a	n/a	6.80	4.0
WINSLOW CAPITAL	030	ACN	B	100	41.93	n/a	n/a	4.00	4.0
PATTEN & PATTEN	067	ADBE	B	100	35.56	n/a	n/a	5.00	5.0
T. ROWE PRICE	033	ADBE	S	102,700	35.43	n/a	n/a	4,108.00	4.0
WINSLOW CAPITAL	030	ADBE	B	120	35.39	n/a	n/a	4.80	4.0
WINSLOW CAPITAL	030	ADSK	B	80	29.39	n/a	n/a	3.20	4.0
THIRD COAST CAPITAL	035	AEO	S	10,000	18.58	n/a	31-Mar	500.00	5.0
WINSLOW CAPITAL	030	AMZN	B	40	136.10	n/a	n/a	1.60	4.0
THIRD COAST CAPITAL	035	ANF	B	10,000	45.71	n/a	31-Mar	500.00	5.0
THIRD COAST CAPITAL	035	ANN	S	10,000	20.60	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	APC	B	7,500	73.38	n/a	30-Mar	300.00	4.0
PATTEN & PATTEN	067	APC	B	705	73.43	n/a	30-Mar	35.25	5.0
PATTEN & PATTEN	067	APD	B	110	74.32	n/a	5-Feb	5.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	BAC	B	150	17.93	n/a	30-Mar	7.50	5.0
WINSLOW CAPITAL	030	BAX	B	110	58.32	n/a	n/a	4.40	4.0
PATTEN & PATTEN	067	BBY	B	375	42.59	n/a	n/a	18.75	5.0
PATTEN & PATTEN	067	BDX	B	150	78.93	n/a	n/a	7.50	5.0
WINSLOW CAPITAL	030	BIDU	B	10	595.58	n/a	n/a	0.40	4.0
PATTEN & PATTEN	067	BK	B	1,455	30.98	n/a	9-Mar	72.75	5.0
WINSLOW CAPITAL	030	BLK	B	30	218.49	n/a	n/a	1.20	4.0
LAGRANGE CAP ADV	048	BONT	SS	10,000	13.30	n/a	n/a	500.00	5.0
WINSLOW CAPITAL	030	BRCM	B	120	33.23	n/a	n/a	4.80	4.0
WINSLOW CAPITAL	030	BTU	B	90	45.58	n/a	n/a	3.60	4.0
SENATOR INVESTMENT GROUP	036	CA	B	200,000	23.55	n/a	n/a	6,000.00	3.0
HARBORWATCH/DIAMBACK	232	CBE	B	15,000	47.74	n/a	26-Mar	750.00	5.0
KENNEDY CAPITAL	046	CBK	B	4,800	8.00	n/a	n/a	144.00	3.0
WINSLOW CAPITAL	030	CELG	B	100	61.94	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	CHRW	B	50	56.00	n/a	n/a	2.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	CHS	B	50,000	14.38	n/a	5-Feb	2,000.00	4.0
WINSLOW CAPITAL	030	CLF	B	90	70.88	n/a	n/a	3.60	4.0
GRANAHAN INV	039	CNK	B	60,000	18.35	n/a	n/a	2,400.00	4.0
THE JAY GOLDMAN	028	COST	B	10,000	59.89	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	COST	B	100	59.73	n/a	n/a	4.00	4.0
ROSEDALE CAPITAL	046	CSCO	B	20,000	26.48	n/a	n/a	1,000.00	5.0
WINSLOW CAPITAL	030	CSCO	B	360	26.08	n/a	n/a	14.40	4.0
WINSLOW CAPITAL	030	CTRP	B	80	39.31	n/a	n/a	3.20	4.0
WINSLOW CAPITAL	030	CTSH	B	230	51.07	n/a	n/a	9.20	4.0
WINSLOW CAPITAL	030	CTXS	B	40	47.51	n/a	n/a	1.60	4.0
PATTEN & PATTEN	067	C	B	500	4.09	n/a	30-Mar	25.00	5.0
SANDLER O'NEILL ASSET	031	C	B	36,000	4.07	n/a	30-Mar	720.00	2.0
PATTEN & PATTEN	067	DAN	B	80	12.02	n/a	25-Feb	4.00	5.0
PATTEN & PATTEN	067	DBA	S	250	24.22	n/a	n/a	12.50	5.0
WINSLOW CAPITAL	030	DE	B	80	59.58	n/a	18-Feb	3.20	4.0
SANDLER O'NEILL ASSET	031	DFS	B	8,300	15.06	n/a	31-Mar	415.00	5.0
WINSLOW CAPITAL	030	DHR	B	130	80.06	n/a	n/a	5.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	DOW	B	50,000	29.56	n/a	2-Feb	2,000.00	4.0
CATAPULT	040	DTG	S	50,000	32.57	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	DVN	B	25	64.97	n/a	30-Mar	1.25	5.0
WINSLOW CAPITAL	030	ECL	B	80	43.97	n/a	18-Feb	3.20	4.0
WINSLOW CAPITAL	030	EDU	B	30	86.03	n/a	n/a	1.20	4.0
WINSLOW CAPITAL	030	EMC	B	180	18.07	n/a	n/a	7.20	4.0
WINSLOW CAPITAL	030	EQIX	B	70	97.78	n/a	n/a	2.80	4.0
WINSLOW CAPITAL	030	ESRX	B	50	102.02	n/a	n/a	2.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.66	n/a	n/a	600.00	6.0
PATTEN & PATTEN	067	EWA	B	90	24.09	n/a	n/a	4.50	5.0
PATTEN & PATTEN	067	EWC	B	150	27.96	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	EWG	B	1,145	21.94	n/a	n/a	57.25	5.0
SOLARIS INV MGMT	029	EXPD	S	21,700	37.01	n/a	n/a	1,085.00	5.0
WINSLOW CAPITAL	030	FCX	B	40	83.36	n/a	n/a	1.60	4.0
WEINTRAUB CAPITAL MGT.	040	FOR	B	21,900	18.87	n/a	26-Mar	876.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	FPL	B	200	48.62	n/a	n/a	10.00	5.0
WINSLOW CAPITAL	030	FTI	B	90	64.64	n/a	n/a	3.60	4.0
BNP PARIBAS SEC	040	F	B	30,000	12.89	n/a	31-Mar	1,200.00	4.0
PATTEN & PATTEN	067	F	B	1,200	12.65	n/a	31-Mar	60.00	5.0
SCHOTTENFELD ASSOC	041	F	B	50,000	12.82	n/a	31-Mar	2,500.00	5.0
TRAFELET & COMP.	028	F	SS	439,000	12.65	n/a	31-Mar	17,560.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>10,000</b>	<b>30.93</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	GE	B	350	18.27	n/a	n/a	17.50	5.0
WINSLOW CAPITAL	030	GILD	B	90	45.51	n/a	n/a	3.60	4.0
PATTEN & PATTEN	067	GLW	B	300	20.31	n/a	19-Mar	15.00	5.0
WINSLOW CAPITAL	030	GOOG	B	20	566.50	n/a	n/a	0.80	4.0
WINSLOW CAPITAL	030	GS	B	50	170.20	n/a	30-Mar	2.00	4.0
WINSLOW CAPITAL	030	HPQ	B	230	53.15	n/a	n/a	9.20	4.0
SONTERRA CAP	041	HP	SS	10,000	38.30	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	HWD	B	10,000	10.38	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	IAI	B	75	28.42	n/a	n/a	3.75	5.0
WINSLOW CAPITAL	030	ICE	B	30	112.81	n/a	n/a	1.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	IEF	B	350	89.53	n/a	n/a	17.50	5.0
PATTEN & PATTEN	067	IGM	B	50	55.82	n/a	n/a	2.50	5.0
PATTEN & PATTEN	067	IR	B	680	35.10	n/a	16-Feb	34.00	5.0
WINSLOW CAPITAL	030	IVZ	B	160	21.87	n/a	2-Mar	6.40	4.0
CUMBERLAND	239	IWM	B	27,000	68.42	n/a	n/a	810.00	3.0
WINSLOW CAPITAL	030	JNPR	B	190	30.70	n/a	n/a	7.60	4.0
HARRIER HAWK MGMT	028	JPM	S	18,000	44.89	n/a	30-Mar	720.00	4.0
WINSLOW CAPITAL	030	JPM	B	220	44.48	n/a	30-Mar	8.80	4.0
RBC CAPITAL MARKETS	040	KO	B	5,000	54.61	n/a	18-Mar	200.00	4.0
EXIS CAPITAL	044	KSS	SS	5,000	54.49	n/a	31-Mar	250.00	5.0
PATTEN & PATTEN	067	KSS	B	65	54.50	n/a	31-Mar	3.25	5.0
WINSLOW CAPITAL	030	KSS	B	90	54.56	n/a	31-Mar	3.60	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	6,700	35.99	n/a	9-Mar	335.00	5.0
CATAPULT	040	LEA	B	25,000	79.59	n/a	25-Mar	1,000.00	4.0
KENNEDY CAPITAL	046	LIZ	S	197,400	7.53	n/a	7-Oct	5,922.00	3.0
WINSLOW CAPITAL	030	LLTC	B	110	28.29	n/a	n/a	4.40	4.0
WINSLOW CAPITAL	030	LRCX	B	110	37.41	n/a	n/a	4.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	LSI	B	25,000	6.19	n/a	n/a	875.00	3.5
BACKBAY	041	LVS	SS	25,000	21.33	n/a	30-Mar	1,250.00	5.0
SENVEST PART	045	LVS	S	20,000	21.35	n/a	30-Mar	1,000.00	5.0
WOOSTER CAPITAL	035	LVS	SS	100,000	21.21	n/a	30-Mar	5,000.00	5.0
LAGRANGE CAP ADV	048	LXK	SS	300	37.00	n/a	n/a	15.00	5.0
PZENA INV ADV	044	MAT	S	5,000	23.03	n/a	n/a	175.03	3.5
WINSLOW CAPITAL	030	MA	B	20	252.72	n/a	19-Feb	0.80	4.0
PATTEN & PATTEN	067	MCD	B	75	66.95	n/a	9-Mar	3.75	5.0
WINSLOW CAPITAL	030	MHS	B	170	64.65	n/a	n/a	6.80	4.0
MISSION POINT	048	MMM	B	5,000	84.24	n/a	18-Feb	250.00	5.0
PATTEN & PATTEN	067	MON	B	25	71.65	n/a	26-Feb	1.25	5.0
BNP PARIBAS SEC	040	MOS	B	3,500	60.49	n/a	n/a	140.00	4.0
BNP PARIBAS SEC	040	MOS	S	8,500	60.46	n/a	n/a	340.00	4.0
HG VORA CAP MGMT LLC	025	MPEL	SS	150,000	4.70	n/a	30-Mar	6,000.00	4.0
MELLON/BANK OF NEW YORK	046	MRVL	B	137,649	20.55	n/a	n/a	6,882.45	5.0
WINSLOW CAPITAL	030	MRVL	B	240	20.46	n/a	n/a	9.60	4.0
WINSLOW CAPITAL	030	MR	B	80	36.48	n/a	n/a	3.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GCORE MANAGEMENT	041	MSFT	S	25,000	29.51	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	MSFT	S	200	29.46	n/a	n/a	10.00	5.0
WINSLOW CAPITAL	030	MSFT	B	180	29.24	n/a	n/a	7.20	4.0
BRIGADE CAPITAL MGMT	029	M	S	75,000	21.77	n/a	31-Mar	2,250.00	3.0
PATTEN & PATTEN	067	NVS	B	175	54.28	n/a	n/a	8.75	5.0
WINSLOW CAPITAL	030	ORCL	B	240	25.67	n/a	n/a	9.60	4.0
WINSLOW CAPITAL	030	ORLY	B	90	41.73	n/a	n/a	3.60	4.0
WINSLOW CAPITAL	030	OXY	B	50	84.49	n/a	n/a	2.00	4.0
WINSLOW CAPITAL	030	PBR	B	100	44.45	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	PCLN	B	40	255.87	n/a	n/a	1.60	4.0
WINSLOW CAPITAL	030	PEP	B	60	66.16	n/a	n/a	2.40	4.0
PATTEN & PATTEN	067	PFF	B	395	38.77	n/a	n/a	19.75	5.0
PATTEN & PATTEN	067	PGX	S	650	13.94	n/a	n/a	32.50	5.0
PATTEN & PATTEN	067	PX	S	100	83.15	n/a	18-Feb	5.00	5.0
PATTEN & PATTEN	067	QCOM	B	135	42.02	n/a	n/a	6.75	5.0
WINSLOW CAPITAL	030	QCOM	B	200	42.00	n/a	n/a	8.00	4.0
MELLON/BANK OF NEW YORK	046	RA	B	100,000	11.82	n/a	n/a	5,000.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	RRC	S	75,000	46.69	n/a	30-Mar	3,750.00	5.0
WINSLOW CAPITAL	030	SCHW	B	170	18.69	n/a	n/a	6.80	4.0
WINSLOW CAPITAL	030	SHPGY	B	50	65.88	n/a	29-Mar	2.00	4.0
WINSLOW CAPITAL	030	SLB	B	130	63.26	n/a	n/a	5.20	4.0
WINSLOW CAPITAL	030	SPLS	B	170	23.41	n/a	n/a	6.80	4.0
BRIGADE CAPITAL MGMT	029	SVU	B	100,000	16.72	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	067	SWN	B	350	41.02	n/a	30-Mar	17.50	5.0
GREEN ARROW DOUG	040	SYU	SS	20,000	29.49	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	TEVA	B	25	63.29	n/a	29-Mar	1.25	5.0
WINSLOW CAPITAL	030	TEVA	B	140	63.19	n/a	29-Mar	5.60	4.0
SAXON WOODS ADVISORS	242	TGT	S	102,400	52.36	n/a	31-Mar	4,096.00	4.0
THE JAY GOLDMAN	028	TGT	B	10,000	52.49	n/a	31-Mar	400.00	4.0
WINSLOW CAPITAL	030	TGT	B	80	52.32	n/a	31-Mar	3.20	4.0
EXIS CAPITAL	044	TIF	B	5,000	46.99	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	T	S	50	25.98	n/a	n/a	2.50	5.0
WINSLOW CAPITAL	030	UNP	B	150	73.26	n/a	n/a	6.00	4.0
WINSLOW CAPITAL	030	URBN	B	120	37.99	n/a	n/a	4.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	UTX	B	110	73.63	n/a	n/a	4.40	4.0
WINSLOW CAPITAL	030	V	B	160	90.99	n/a	12-Mar	6.40	4.0
PATTEN & PATTEN	067	WMB	B	200	23.30	n/a	n/a	10.00	5.0
THE JAY GOLDMAN	028	WMT	S	20,000	55.60	n/a	18-Feb	800.00	4.0
PATTEN & PATTEN	067	XLFX	B	425	16.01	n/a	n/a	21.25	5.0
PATTEN & PATTEN	067	XOM	S	475	67.16	n/a	n/a	23.75	5.0
JP MORGAN VENTURES	046	XRT	SS	20,000	41.51	n/a	n/a	600.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>103,818.48</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/31	GALT INVESTMENT (GALTGS)	041	CHS	B	50,000	14.38	n/a	5-Feb	2000.00 4.0
AO,CXL	03/25	MARINER/TRICADIA (MARITRICAD)	041	CXW	B	10,000	19.79	n/a	n/a	500.00 5.0
AO,CRT	03/25	MARINER/TRICADIA (MARITRICAD)	041	CXW	B	10,000	19.79	n/a	n/a	400.00 4.0
AO,CXL	03/29	MILLENIU PARTNERS (MILPCSTARS)	028	F	B	40,000	13.52	n/a	31-Mar	1600.00 4.0
AO,CRT	03/29	MILLENIU PARTNERS (MILPCSTARS)	028	F	B	40,000	13.52	n/a	31-Mar	1200.00 3.0
AO,CXL	03/30	SCHOTTENFELD ASSOC (SCHOASSOC)	041	F	SS	50,000	13.24	n/a	31-Mar	1500.00 3.0
AO,CRT	03/30	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	F	SS	50,000	13.24	n/a	31-Mar	1500.00 3.0
CRT	03/31	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	FOR	B	21,900	18.87	n/a	26-Mar	876.00 4.0
CRT	03/31	CATAPULT (CATADEUTCH)	040	LEA	B	25,000	79.59	n/a	25-Mar	1000.00 4.0
CRT	03/31	SENVEST PART (SENVBARCLE)	045	LVS	S	20,000	21.35	n/a	30-Mar	1000.00 5.0
AO,CXL	03/30	TRELLUS PARTNERS LP (TRELMAIN)	028	LVS	SS	15,000	21.63	n/a	30-Mar	750.00 5.0
AO,CRT	03/30	TRELLUS PARTNERS LP (TRELMAIN)	028	LVS	SS	15,000	21.63	n/a	30-Mar	450.00 3.0
AO,CXL	03/30	CIRCLE T/SES PART (CIRCMAIN)	035	MPEL	SS	100,000	4.58	n/a	30-Mar	4000.00 4.0
AO,CRT	03/30	CIRCLE T/SES PART (CIRCMAIN)	035	MPEL	SS	100,000	4.58	n/a	30-Mar	3000.00 3.0
AO,CXL	03/30	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	SPY	SS	50,000	117.68	n/a	n/a	2500.00 5.0
AO,CRT	03/30	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	SPY	SS	50,000	117.68	n/a	n/a	1500.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,076.00</b>

TOTAL (Trade Date) :

103,818.48

TOTAL (AO, CXL, CRT):

2,076.00

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**TOTAL (RUN DATE) / NFS:**

**105,894.48**

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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