



Daily Compliance Activity Report

Trade Date: 04/23/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	AAPL	S	40,000	271.28	n/a	n/a	2,000.00	5.0
JP MORGAN VENTURES	046	AOL	S	20,000	28.26	n/a	n/a	1,000.00	5.0
LOMBARDIA CAP MGMT	048	ARCC	B	21,192	16.19	n/a	n/a	1,059.60	5.0
EXIS CAPITAL	044	ARO	B	5,000	31.74	n/a	9-Apr	250.00	5.0
METROPOLITAN CAPITAL	044	AXL	S	38,500	11.67	n/a	20-Apr	1,925.00	5.0
STATE TEACHERS RET SYS	047	BAX	S	100,000	49.52	n/a	n/a	5,000.00	5.0
SAC TRADING TOM LEDDY	035	BBY	B	115,000	48.31	n/a	n/a	4,025.00	3.5
STATE TEACHERS RET SYS	047	BGC	S	70,000	29.61	n/a	n/a	3,500.00	5.0
TRUSTCO/SUNTRUST	040	BHI	S	19,450	53.82	n/a	n/a	758.55	3.9
KACELA CAPITAL	034	BWA	B	35,000	41.11	n/a	23-Apr	1,400.00	4.0
STATE TEACHERS RET SYS	047	BX	B	25,000	14.94	n/a	n/a	1,250.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	BZ	B	33,800	7.00	n/a	n/a	1,352.00	4.0
EXIS CAPITAL	044	CAKE	B	30,000	29.40	n/a	23-Apr	1,500.00	5.0
WEISS PECK	040	CAKE	SS	10,500	28.99	n/a	23-Apr	525.00	5.0
JP MORGAN VENTURES	046	CEPH	B	10,000	65.19	n/a	22-Apr	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	COH	C	100,000	43.49	n/a	21-Apr	3,000.00	3.0
KADE CAPITAL LLC	036	CRI	S	12,500	33.50	n/a	n/a	625.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRI	B	200,000	33.42	n/a	n/a	6,000.00	3.0
WEINTRAUB CAPITAL MGT.	040	CRI	S	20,000	33.35	n/a	n/a	800.00	4.0
RAINIER INV MGMT	035	CTB	S	13,100	21.61	n/a	n/a	524.00	4.0
CR INTRINIC INVESTMENT	044	CYH	B	25,000	41.00	n/a	n/a	875.00	3.5
SANDLER O'NEILL ASSET	031	C	S	50,000	4.90	n/a	19-Apr	1,000.00	2.0
NEWLAND CAPITAL MGT	067	DAN	S	10,000	13.44	n/a	20-Apr	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	DKS	B	200,000	30.25	n/a	9-Mar	6,000.00	3.0
GREEN ARROW DOUG	040	DLM	SS	20,000	15.79	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	040	DLTR	B	10,000	62.58	n/a	24-Feb	400.00	4.0
LAGRANGE CAP ADV	048	FII	B	4,400	25.50	n/a	2-Mar	220.00	5.0
LISTED ERR	099	FMR	S	2	13.64	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	GIII	B	100	29.05	n/a	n/a	5.00	5.0
CASTLEROCK	040	GPS	S	392,815	25.97	n/a	n/a	15,712.60	4.0
FIRST NY SEC/CHRIS	041	HD	SS	10,000	36.11	n/a	23-Feb	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	HD	S	2,768	36.10	n/a	23-Feb	110.72	4.0
CRAMER ROSENTHAL/SCOTT	012	HES	S	177,800	64.17	n/a	n/a	7,112.00	4.0
DAVIDSON INV ADV	035	HLF	B	32,760	48.08	n/a	n/a	1,310.40	4.0
EXIS CAPITAL	044	HWD	B	10,000	10.04	n/a	n/a	500.00	5.0
WAGONHOUND/NIC	048	IMA	S	7,040	37.04	n/a	n/a	281.60	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	45,000	28.62	n/a	19-Apr	2,250.00	5.0
BALYASNY ASSET MGMT	044	IR	B	25,000	36.60	n/a	23-Apr	1,250.00	5.0
SCHOTTENFELD ASSOC	041	JBHT	B	3,600	37.22	n/a	n/a	180.00	5.0
ADAGE CAPITAL MGMT	030	JCP	B	200,000	31.72	n/a	21-Apr	6,000.00	3.0
EXIS CAPITAL	044	JNY	B	12,500	22.78	n/a	14-Apr	625.00	5.0
BMO NESBITT BURNS	041	KG	S	10,000	10.45	n/a	23-Apr	1,000.00	10.0
DSG CAPITAL	225	KG	B	50,000	10.66	n/a	23-Apr	1,500.00	3.0
METROPOLITAN CAPITAL	044	LEA	B	5,500	83.41	n/a	20-Apr	275.00	5.0
OZ MGMT	040	LEA	B	7,500	83.36	n/a	20-Apr	225.00	3.0
KENNEDY CAPITAL	046	LIZ	S	170,601	9.13	n/a	7-Oct	5,118.03	3.0
CAVU CAP ADV	028	LOW	B	70,000	27.83	n/a	22-Feb	3,500.00	5.0
HIGHBRIDGE CAP	041	LOW	S	3,764	27.99	n/a	22-Feb	150.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	12.48	n/a	19-Apr	2,500.00	5.0
KENNEDY CAPITAL	046	LPX	B	20,000	12.78	n/a	19-Apr	800.00	4.0
BROADARCH CAP/OLD NEWC	070	MGM	S	10,000	16.09	n/a	15-Apr	400.00	4.0
IRIDIAN ASSET MGMT.	036	MSFT	B	20,080	31.10	n/a	n/a	1,004.00	5.0
DIAMONDBACK CAP MGMT	232	MS	B	25,000	31.86	n/a	21-Apr	1,250.00	5.0
ELM RIDGE ADVISORS	044	M	S	155,000	24.61	n/a	9-Apr	6,200.00	4.0
EXIS CAPITAL	044	M	B	20,000	24.49	n/a	9-Apr	1,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	M	B	265,600	24.57	n/a	9-Apr	7,968.00	3.0
GREEN ARROW DOUG	040	PAG	B	35,000	16.29	n/a	20-Apr	1,750.00	5.0
ELM RIDGE ADVISORS	044	PCL	S	70,320	42.96	n/a	19-Apr	2,812.80	4.0
EMERSON CAPITAL MGMT	048	POOL	S	5,200	25.45	n/a	n/a	208.00	4.0
MFP INVESTORS	032	PPC	S	32,300	12.70	n/a	n/a	1,615.00	5.0
JP MORGAN VENTURES	046	PRI	S	20,000	24.45	n/a	n/a	1,000.00	5.0
LAGRANGE CAP ADV	048	PSS	SS	10,000	25.90	n/a	n/a	500.00	5.0
STATE TEACHERS RET SYS	047	ROP	B	12,600	63.12	n/a	n/a	630.00	5.0
GREEN ARROW DOUG	040	SWK	B	5,000	62.63	n/a	n/a	250.00	5.0
CASTLE ARK	031	TJX	S	80,190	47.89	n/a	9-Apr	4,811.40	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	TM	B	5,000	77.76	n/a	n/a	250.00	5.0
SONTERRA CAP	041	TSO	B	80,000	13.00	n/a	n/a	3,200.00	4.0
NEWLAND CAPITAL MGT	067	VMC	S	5,000	56.60	n/a	n/a	200.00	4.0
CATAPULT	040	VMED	B	50,000	18.64	n/a	n/a	0.00	0.0
CONIFER/ISF	025	VZ	S	6,000	28.93	n/a	n/a	300.00	5.0
HUNTER GLOBAL INVESTOR	067	WCC	B	119,300	41.96	n/a	n/a	5,965.00	5.0
LEVEL GLOBAL SHARED ACCT	257	WMT	SS	250,000	54.40	n/a	16-Apr	7,500.00	3.0
LEVEL GLOBAL SHARED ACCT	257	WRC	B	100,000	51.88	n/a	2-Mar	3,000.00	3.0
CAXTON PART	040	WY	S	70,406	52.96	n/a	19-Apr	2,464.22	3.5
FIRST NY SEC/CHRIS	041	XHB	SS	5,700	19.87	n/a	n/a	285.00	5.0
TOTAL (Trade Date) :							152,358.48		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/22	ROSEDALE CAPITAL (ROSEGS)	046	AXL	S	20,000	11.36	n/a	20-Apr	1000.00 5.0
AO,CRT	04/22	ROSEDALE CAPITAL (ROSEGS)	046	AXL	S	20,000	11.36	n/a	20-Apr	800.00 4.0
AO,CRT	04/21	FARALLON CAP MGMT (FARACS)	040	JOE	SS	83,400	35.82	n/a	n/a	3336.00 4.0
AO,CXL	04/21	FARALLON CAP MGMT (FARABULK F)	040	JOE	SS	83,400	35.82	n/a	n/a	3336.00 4.0

TOTAL (AO, CXL, CRT) :**-200.00**

TOTAL (Trade Date) :**152,358.48****TOTAL (AO, CXL, CRT) :****-200.00**

TOTAL (RUN DATE) / NFS:**152,158.48**

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