

Daily Compliance Activity Report Trade Date: 05/10/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ST OF MICHIAN	047	AB	S	60,000	30.58	n/a	n/a	1,800.00	3.0
BUCK CAPITAL MGMT	001	AEO	В	40,000	16.24	n/a	10-May	1,600.00	4.0
EXIS CAPITAL	044	AEO	В	35 , 000	16.38	n/a	10-May	1,750.00	5.0
MELLON/BANK OF NEW YORK	046	AGN	В	55,643	62.59	n/a	10-May	2,782.15	5.0
VISIUM/BALY BOBBY	044	AGN	S	25,000	62.78	n/a	10-May	1,250.00	5.0
NEUBERGER BERMAN	036	AKR	В	28,300	18.16	n/a	n/a	1,132.00	4.0
EXIS CAPITAL	044	ANN	SS	10,000	23.38	n/a	n/a	500.00	5.0
HIGHBRIDGE CAP	041	ANR	В	5,703	44.04	n/a	n/a	228.12	4.0
MELLON/BANK OF NEW YORK	046	APD	В	5,000	72.00	n/a	10-May	250.00	5.0
HARBORWATCH/DIAMBACK	232	APH	S	15,000	44.42	n/a	n/a	750.00	5.0
DSM CAPITAL PARTNERS	032	ART	В	5,055	21.01	n/a	n/a	252.75	5.0
ROYCE TRADING	216	BIIB	S	100	51.64	n/a	n/a	5.00	5.0
RBC CAPITAL MARKETS	040	ВЈ	SS	5,000	37.62	n/a	n/a	200.00	4.0
ROYCE TRADING	216	BMRN	S	200	20.71	n/a	n/a	10.00	5.0
LATEFF MGMT	035	BMS	В	1,500	28.67	n/a	n/a	270.00	18.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
EXIS CAPITAL	044	BONT	В	30,000	14.43	n/a	n/a	1,500.00	5.0	
CRAMER ROSENTHAL/SCOTT	012	CCL	В	15,400	38.85	n/a	n/a	616.00	4.0	
RBC CAPITAL MARKETS	040	CCL	В	5,000	38.63	n/a	n/a	200.00	4.0	
HIGHBRIDGE CAP	041	CNX	В	29 , 000	41.20	n/a	n/a	1,160.00	4.0	
ROYCE TRADING	216	CRS	S	300	41.00	n/a	n/a	15.00	5.0	
WAGONHOUND/NIC	048	CVGI	S	6 , 754	11.96	n/a	n/a	270.16	4.0	
SAGE ASSET MGMT	012	С	В	135,000	4.20	n/a	4-May	4,050.00	3.0	
PILOT ROCK	028	DAN	S	173 , 674	12.26	n/a	30-Apr	6,946.96	4.0	
CASTLEROCK	040	DG	SS	41,000	27.71	n/a	26-Apr	1,640.00	4.0	
NEUBERGER BERMAN	036	DPS	S	177,630	36.27	n/a	n/a	7,105.20	4.0	
BENCHMARK	025	DVN	В	5,000	67.44	n/a	5-May	200.00	4.0	
LATEFF MGMT	035	DVN	В	1,000	67.74	n/a	5-May	300.00	30.0	
CASTLE ARK	031	EMR	В	99 , 870	50.51	n/a	n/a	5,992.20	6.0	
FIRST NEW YORK LEDDY	035	ETFC	В	20,000	1.59	n/a	n/a	800.00	4.0	
DSM CAPITAL PARTNERS	032	EXPE	В	9 , 955	23.42	n/a	n/a	497.75	5.0	
CAVU CAP ADV	028	FDX	В	50,000	87.60	n/a	n/a	2,500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
TRAFELET & COMP.	028	F	В	350,000	12.24	n/a	4-May	17,500.00	5.0
SAGE ASSET MGMT	012	GENZ	SS	24,700	51.51	n/a	n/a	1,235.00	5.0
EXIS CAPITAL	044	GES	SS	5,000	41.30	n/a	18-Mar	250.00	5.0
DSM CAPITAL PARTNERS	032	GYMB	В	5,030	45.24	n/a	10-May	251.50	5.0
CASTLEROCK	040	HAR	SS	28 , 368	39.81	n/a	20-Apr	1,134.72	4.0
BMO NESBITT BURNS	041	HBI	В	9,000	27.71	n/a	10-May	360.00	4.0
FIRST NY SEC/CHRIS	041	HBI	S	10,000	28.02	n/a	10-May	500.00	5.0
GRUBER MACBAINE	033	HD	S	10,000	35.06	n/a	23-Feb	400.00	4.0
MERRILL ASSET/BLACKROCK	263	ннs	S	18,000	14.36	n/a	n/a	720.00	4.0
SACC-SCHWARTZ	044	ITW	S	25,000	50.01	n/a	30-Apr	875.00	3.5
EXIS CAPITAL	044	JCG	В	5,000	46.08	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	В	30,000	29.44	n/a	10-May	1,200.00	4.0
RBC CAPITAL MARKETS	040	JCP	В	10,000	29.02	n/a	10-May	400.00	4.0
MERRILL ASSET/BLACKROCK	263	JLL	S	9,400	77.13	n/a	n/a	376.00	4.0
BUCK CAPITAL MGMT	001	JNY	В	30,000	20.34	n/a	29-Apr	1,200.00	4.0
ROYCE TRADING	216	KCI	S	100	42.46	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
SAC COHEN	044	KMB	В	100,000	62.93	n/a	26-Apr	3,500.00	3.5
PLATTE RIVER CAPITAL	240	KO	В	17,000	54.01	n/a	23-Apr	680.00	4.0
EXIS CAPITAL	044	KSS	SS	20,000	55.73	n/a	10-May	1,000.00	5.0
NEUBERGER BERMAN	036	LLL	S	16,840	88.63	n/a	n/a	673.60	4.0
GRUBER MACBAINE	033	LOW	S	10,000	26.80	n/a	22-Feb	400.00	4.0
COOPER CREEK PART	028	LPX	SS	33,500	10.50	n/a	19-Apr	1,340.00	4.0
RBC CAPITAL MARKETS	040	LVS	S	15,100	23.10	n/a	7-May	604.00	4.0
NEUBERGER BERMAN	036	MCO	В	63,970	21.40	n/a	n/a	2,558.80	4.0
HIGHBRIDGE CAP	041	MEE	S	37 , 858	35.12	n/a	n/a	1,514.32	4.0
NEUBERGER BERMAN	036	MHP	В	61,590	28.54	n/a	n/a	2,463.60	4.0
WAGONHOUND/NIC	048	MJN	S	155	51.00	n/a	n/a	6.20	4.0
RBC CAPITAL MARKETS	040	MW	В	5,000	22.78	n/a	n/a	200.00	4.0
DSM CAPITAL PARTNERS	032	MXB	В	17,490	33.43	n/a	n/a	874.50	5.0
RBC CAPITAL MARKETS	040	М	SS	35,000	23.58	n/a	10-May	1,400.00	4.0
CAVU CAP ADV	028	NOK	S	39,900	11.25	n/a	n/a	1,995.00	5.0
	SAC COHEN PLATTE RIVER CAPITAL EXIS CAPITAL NEUBERGER BERMAN GRUBER MACBAINE COOPER CREEK PART RBC CAPITAL MARKETS NEUBERGER BERMAN HIGHBRIDGE CAP NEUBERGER BERMAN WAGONHOUND/NIC RBC CAPITAL MARKETS DSM CAPITAL PARTNERS RBC CAPITAL MARKETS	SAC COHEN PLATTE RIVER CAPITAL EXIS CAPITAL NEUBERGER BERMAN O36 GRUBER MACBAINE COOPER CREEK PART O28 RBC CAPITAL MARKETS O40 NEUBERGER BERMAN O36 HIGHBRIDGE CAP O41 NEUBERGER BERMAN O36 WAGONHOUND/NIC O48 RBC CAPITAL MARKETS O40 DSM CAPITAL PARTNERS O32 RBC CAPITAL MARKETS O40	SAC COHEN PLATTE RIVER CAPITAL PLATTE RIVER CAPITAL EXIS CAPITAL O44 KSS NEUBERGER BERMAN O36 LLL GRUBER MACBAINE COOPER CREEK PART O28 LPX RBC CAPITAL MARKETS O40 HIGHBRIDGE CAP NEUBERGER BERMAN O36 MCO HIGHBRIDGE CAP NEUBERGER BERMAN O36 MHP WAGONHOUND/NIC O48 MJN RBC CAPITAL MARKETS O40 MW DSM CAPITAL PARTNERS O32 MXB RBC CAPITAL MARKETS O40 M	SAC COHEN PLATTE RIVER CAPITAL PLATTE RIVER CAPITAL EXIS CAPITAL NEUBERGER BERMAN COOPER CREEK PART COOPER CREEK PART NEUBERGER BERMAN NAGONHOUND/NIC O48 MJN S RBC CAPITAL MARKETS O40 MW B DSM CAPITAL PARTNERS O32 MXB B RBC CAPITAL MARKETS O40 M SS	SAC COHEN 044 KMB B 100,000 PLATTE RIVER CAPITAL 240 KO B 17,000 EXIS CAPITAL 044 KSS SS 20,000 NEUBERGER BERMAN 036 LLL S 16,840 GRUBER MACBAINE 033 LOW S 10,000 COOPER CREEK PART 028 LPX SS 33,500 RBC CAPITAL MARKETS 040 LVS S 15,100 NEUBERGER BERMAN 036 MCO B 63,970 HIGHBRIDGE CAP 041 MEE S 37,858 NEUBERGER BERMAN 036 MHP B 61,590 WAGONHOUND/NIC 048 MJN S 155 RBC CAPITAL MARKETS 040 MW B 5,000 DSM CAPITAL PARTNERS 032 MXB B 17,490 RBC CAPITAL MARKETS 040 M SS 35,000	SAC COHEN 044 KMB B 100,000 62.93 PLATTE RIVER CAPITAL 240 KO B 17,000 54.01 EXIS CAPITAL 044 KSS SS 20,000 55.73 NEUBERGER BERMAN 036 LLL S 16,840 88.63 GRUBER MACBAINE 033 LOW S 10,000 26.80 COOPER CREEK PART 028 LPX SS 33,500 10.50 RBC CAPITAL MARKETS 040 LVS S 15,100 23.10 NEUBERGER BERMAN 036 MCO B 63,970 21.40 HIGHBRIDGE CAP 041 MEE S 37,858 35.12 NEUBERGER BERMAN 036 MHP B 61,590 28.54 WAGONHOUND/NIC 048 MJN S 155 51.00 RBC CAPITAL MARKETS 040 MW B 5,000 22.78 DSM CAPITAL PARTNERS 032 MXB B 17,490 33.43 RBC CAPITAL MARKETS 040 M SS 35,000 23.58	SAC COHEN 044 KMB B 100,000 62.93 n/a PLATTE RIVER CAPITAL 240 KO B 17,000 54.01 n/a EXIS CAPITAL 044 KSS SS 20,000 55.73 n/a NEUBERGER BERMAN 036 LLL S 16,840 88.63 n/a GRUBER MACBAINE 033 LOW S 10,000 26.80 n/a COOPER CREEK PART 028 LPX SS 33,500 10.50 n/a REC CAPITAL MARKETS 040 LVS S 15,100 23.10 n/a NEUBERGER BERMAN 036 MCO B 63,970 21.40 n/a HIGHBRIDGE CAP 041 MEE S 37,858 35.12 n/a NEUBERGER BERMAN 036 MHP B 61,590 28.54 n/a WAGONHOUND/NIC 048 MJN S 155 51.00 n/a REC CAPITAL MARKETS 040 MW B 5,000 22.78 n/a DSM CAPITAL PARTNERS 032 MXB B 17,490 33.43 n/a REC CAPITAL MARKETS 040 M SS 35,000 23.58 n/a	SAC COHEN 044 KMB B 100,000 62.93 n/a 26-Apr PLATTE RIVER CAPITAL 240 KO B 17,000 54.01 n/a 23-Apr EXIS CAPITAL 044 KSS SS 20,000 55.73 n/a 10-May NEUBERGER BERMAN 036 LLL S 16,840 88.63 n/a n/a GRUBER MACBAINE 033 LOW S 10,000 26.80 n/a 22-Feb COOPER CREEK PART 028 LPX SS 33,500 10.50 n/a 19-Apr REC CAPITAL MARKETS 040 LVS S 15,100 23.10 n/a 7-May NEUBERGER BERMAN 036 MCO B 63,970 21.40 n/a n/a HIGHBRIDGE CAP 041 MEE S 37,858 35.12 n/a n/a NEUBERGER BERMAN 036 MHP B 61,590 28.54 n/a n/a NAGONHOUND/NIC 048 MJN S 155 51.00 n/a n/a REC CAPITAL MARKETS 040 MW B 5,000 22.78 n/a n/a DSM CAPITAL MARKETS 032 MXB B 17,490 33.43 n/a n/a REC CAPITAL MARKETS 040 M SS 35,000 23.58 n/a 10-May	SAC COHEN 044 KMB B 100,000 62.93

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
JP MORGAN VENTURES	046	NWL	В	45,000	16.58	n/a	n/a	2,250.00	5.0
SIGMA CAP BOBBY	044	ODP	S	100,000	6.41	n/a	n/a	3,500.00	3.5
THE JAY GOLDMAN	028	OEH	В	40,000	12.72	n/a	n/a	1,600.00	4.0
APEX CAPITAL MGMT.	261	PALM	S	400,000	5.67	n/a	n/a	12,000.00	3.0
NEUBERGER BERMAN	036	PEB	В	31,195	19.15	n/a	n/a	1,247.80	4.0
LAGRANGE CAP ADV	048	PFCB	SS	5,300	43.72	n/a	28-Apr	265.00	5.0
WEISS PECK	040	PFCB	SS	5,000	43.60	n/a	28-Apr	250.00	5.0
EXIS CAPITAL	044	PLCE	SS	5,000	43.25	n/a	27-Apr	250.00	5.0
NEUBERGER BERMAN	036	PLD	В	25 , 060	12.25	n/a	n/a	1,002.40	4.0
SCOUT/UMB	047	PNRA	В	31 , 850	77.77	n/a	28-Apr	1,592.50	5.0
MERRILL ASSET/BLACKROCK	263	PRE	S	13,300	74.13	n/a	n/a	532.00	4.0
JP MORGAN VENTURES	046	PVH	В	15,000	58.21	n/a	21-Apr	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	В	25 , 000	58.26	n/a	21-Apr	750.00	3.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	25,000	58.63	n/a	21-Apr	750.00	3.0
MERRILL ASSET/BLACKROCK	263	RGA	S	8,100	49.56	n/a	n/a	324.00	4.0
JP MORGAN VENTURES	046	RRC	S	47,000	46.98	n/a	28-Apr	2,350.00	5.0
CASTLEROCK	040	SHW	В	23,293	79.01	n/a	10-May	931.72	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ROYCE TRADING	216	SJM	S	100	59.68	n/a	n/a	5.00	5.0
ARMATURE CAPITAL	041	SOA	S	25,000	15.68	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	SVU	S	300	14.07	n/a	n/a	15.00	5.0
HARBORWATCH/DIAMBACK	232	SWK	В	25,000	60.54	n/a	n/a	1,250.00	5.0
LATEFF MGMT	035	TEVA	В	750	59.14	n/a	10-May	262.50	35.0
HIGHBRIDGE CAP	041	TIN	В	11,944	21.04	n/a	21-Apr	477.76	4.0
EXIS CAPITAL	044	TLB	SS	10,000	16.35	n/a	n/a	500.00	5.0
COUGAR TRADING	044	TM	В	5,000	76.59	n/a	n/a	250.00	5.0
LATEFF MGMT	035	TRV	В	1,000	50.28	n/a	n/a	280.00	28.0
ROYCE TRADING	216	TTEC	S	200	15.73	n/a	n/a	10.00	5.0
SCOPUS FUND	041	USG	SS	10,000	21.28	n/a	22-Apr	500.00	5.0
CR INTRINIC INVESTMENT	044	VRX	SS	2,670	46.50	n/a	n/a	93.45	3.5
ROYCE TRADING	216	WCRX	S	300	25.34	n/a	10-May	15.00	5.0
ROYCE TRADING	216	WDC	S	100	40.28	n/a	n/a	5.00	5.0
HIGHBRIDGE CAP	041	WLT	В	2,851	78.36	n/a	n/a	114.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
GRUBER MACBAINE	033	WMT	S	2,300	52.71	n/a	27-Apr	92.00	4.0
VISIUM/BALY BOBBY	044	WMT	С	40,000	52.10	n/a	27-Apr	2,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	WRC	В	25,000	43.96	n/a	2-Mar	750.00	3.0
LEVIN CAPITAL STRATEGIES	012	WRC	S	25,000	44.05	n/a	2-Mar	750.00	3.0
RBC CAPITAL MARKETS	040	WRC	В	10,000	44.34	n/a	2-Mar	400.00	4.0
THE JAY GOLDMAN	028	WYNN	SS	6,000	82.16	n/a	30-Apr	240.00	4.0
S.A.C. CAP/ORENSTEIN	044	XLI	В	150,000	31.75	n/a	n/a	5,250.00	3.5

TOTAL (Trade Date): 137,045.70

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	05/07	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	AAI	S	41,520	5.15	n/a	n/a	1660.80	4.0
AO, CRT	05/07	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	AAI	S	41,520	5.15	n/a	n/a	1245.60	3.0
AO,CXL	05/06	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	ANSS	В	175	44.94	n/a	n/a	8.75	5.0
AO,	05/06	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	ANSS	В	175	44.94	n/a	n/a	8.75	5.0
AO,CXL	05/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	CTXS	В	135	44.64	n/a	n/a	6.75	5.0
•	05/07	· · · · · · · · · · · · · · · · · · ·	032	CTXS	В	135	44.64	n/a	, -	6.75	5.0
AO,	,	DSM CAPITAL PARTNERS (DSMCHERSMI)							n/a		
AO,	05/07	SENATOR INVESTMENT GROUP (SENAMS)	036	FDX	S	50,000	82.85	n/a	n/a	1500.00	3.0
AO,CXL	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	GYMB	В	135	48.70	n/a	10-May	6.75	5.0
AO,	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	GYMB	В	135	48.70	n/a	10-May	6.75	5.0
AO,CXL	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	IDXX	C	115	66.22	n/a	n/a	5.75	5.0
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AO,	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	IDXX	S	115	66.22	n/a	n/a	5.75	5.0
AO,	05/07	SENATOR INVESTMENT GROUP (SENAJPM)	036	IWM	SS	75 , 000	66.39	n/a	n/a	2250.00	3.0
AO,CXL	05/05	SCOUT/UMB (SUMBSMALL)	047	KMT	S	50,000	31.15	n/a	30-Apr	2500.00	5.0
AO, CRT	05/05	SCOUT/UMB (SUMBSMALL)	047	KMT	S	50,000	31.15	n/a	30-Apr	1500.00	3.0
AO, CXL	05/05	SCOUT/UMB (SUMBMAIN)	047	KMT	S	1,300	31.15	n/a	30-Apr	65.00	5.0
AO, CRT	05/05	SCOUT/UMB (SUMBMAIN)	047	KMT	S	1,300	31.15	n/a	30-Apr	39.00	3.0
AO, CXL	05/05	SCOUT/UMB (SUMBM&INV)	047	KMT	S	1,700	31.15	n/a	30-Apr	85.00	5.0
AO, CRT	05/05	SCOUT/UMB (SUMBM&INV)	047	KMT	S	1,700	31.15	n/a	30-Apr	51.00	3.0
AO,CXL	05/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	MDSO	В	385	14.47	n/a	n/a	19.25	5.0
AO,	05/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	MDSO	В	385	14.47	n/a	n/a	19.25	5.0

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	\$/Shr.
AO,CXL		DSM CAPITAL PARTNERS (DSMCHERSMI) DSM CAPITAL PARTNERS (DSMCHERSMI)	032 032	NTAP NTAP	S S	205 205	34.10 34.10	n/a n/a	n/a n/a	10.25	5.0 5.0
TOTAL	(AO, 0	CXL, CRT):							2,2	74.80	

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	137,045.70 2,274.80
TOTAL (RUN DATE) / NFS:	139,320.50

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