



Daily Compliance Activity Report

Trade Date: 06/03/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	30,000	12.93	n/a	28-May	1,500.00	5.0
TOKIO MARINE ASSET MGMT	045	AGN	B	26,400	60.66	n/a	1-Jun	1,056.00	4.0
EATON VANCE MGMT	048	AMGN	B	3,918	55.53	n/a	n/a	117.54	3.0
JETSTREAM GLOBAL FUND LP	065	AN	B	222,700	21.64	n/a	23-Apr	11,135.00	5.0
ADAGE CAPITAL MGMT	030	AOS	B	25,798	46.55	n/a	20-Apr	773.94	3.0
ADAGE CAPITAL MGMT	030	ARO	B	72,400	29.84	n/a	28-May	2,172.00	3.0
EATON VANCE MGMT	048	ATVI	B	267,688	10.92	n/a	n/a	8,030.64	3.0
EXIS CAPITAL	044	BONT	B	15,000	12.04	n/a	n/a	750.00	5.0
LATEFF MGMT	035	BP	S	4,250	38.20	n/a	n/a	817.50	21.5
BROADARCH CAP/OLD NEWC	070	BYD	SS	6,800	12.81	n/a	n/a	272.00	4.0
PZENA INV ADV	044	CLGX	S	6,525	19.90	n/a	n/a	228.39	3.5
ROSEDALE CAPITAL	046	COG	S	10,000	36.84	n/a	3-Jun	500.00	5.0
ADAGE CAPITAL MGMT	030	COST	S	345,900	57.85	n/a	n/a	10,377.00	3.0
CR INTRINIC INVESTMENT	044	COST	SS	50,000	57.94	n/a	n/a	1,750.00	3.5
TPG-AXON	040	CPB	SS	15,000	36.57	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAVU CAP ADV	028	CROX	B	25,000	10.60	n/a	n/a	1,250.00	5.0
SANDLER O'NEILL ASSET	031	C	B	50,000	3.99	n/a	21-May	1,000.00	2.0
AVESTA CAP	229	DD	SS	200,000	35.34	n/a	22-May	6,000.00	3.0
EXIS CAPITAL	044	DELL	S	25,000	13.67	n/a	n/a	1,250.00	5.0
PZENA INV ADV	044	FAF	S	6,525	14.39	n/a	n/a	228.39	3.5
ADAGE CAPITAL MGMT	030	FDO	B	64,502	38.57	n/a	3-Jun	1,935.06	3.0
MERCHANTS GATE CAP LP	036	FDX	S	60,000	83.89	n/a	n/a	2,400.00	4.0
EATON VANCE MGMT	048	FITB	B	9,632	13.00	n/a	n/a	288.96	3.0
VISIUM/BALY BOBBY	044	FL	S	25,000	14.92	n/a	21-May	1,250.00	5.0
CR INTRINIC INVESTMENT	044	FRX	S	46,540	25.90	n/a	1-Jun	1,628.90	3.5
OZ MGMT	040	F	SS	360,291	12.05	n/a	3-Jun	10,808.73	3.0
TPG-AXON	040	GIS	SS	7,000	74.89	n/a	n/a	350.00	5.0
DAVIDSON INV ADV	035	GNA	S	189,620	11.01	n/a	n/a	7,584.80	4.0
SAGE ASSET MGMT	012	GNA	B	10,500	11.00	n/a	n/a	525.00	5.0
EATON VANCE MGMT	048	GS	S	300	143.27	n/a	21-May	9.00	3.0
BANK OF AMERICA/MERRILL	259	GT	B	5,750	11.97	n/a	n/a	230.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAGE ASSET MGMT	012	HAL	B	64,800	23.34	n/a	n/a	3,240.00	5.0
CASTLEROCK	040	HD	SS	42,730	33.26	n/a	19-May	1,709.20	4.0
TPG-AXON	040	HNZ	SS	15,000	45.05	n/a	n/a	750.00	5.0
HOTCHKIS & WILEY	035	HOC	B	208,900	25.77	n/a	n/a	10,445.00	5.0
BROADARCH CAP/OLD NEWC	070	HPQ	B	2,000	47.39	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	IGT	S	5,100	19.76	n/a	23-Apr	204.00	4.0
BNP PARIBAS SEC	040	IP	S	7,500	23.41	n/a	29-Apr	300.00	4.0
EXIS CAPITAL	044	JNY	B	13,200	19.07	n/a	14-May	660.00	5.0
MILLENNIUM-ANDEW	031	JOYG	S	15,000	56.34	n/a	18-May	900.00	6.0
EXIS CAPITAL	044	JWN	B	5,000	39.04	n/a	28-May	250.00	5.0
BROADARCH CAP/OLD NEWC	070	KLAC	B	4,600	31.36	n/a	n/a	184.00	4.0
TPG-AXON	040	K	SS	12,000	55.00	n/a	n/a	600.00	5.0
NEUBERGER BERMAN	036	LANC	B	8,500	54.88	n/a	n/a	340.00	4.0
ENTRUST CAPITAL	040	LEA	B	19,000	69.41	n/a	7-May	950.00	5.0
TRELLUS PARTNERS LP	028	LEA	B	400	69.25	n/a	7-May	20.00	5.0
EMERSON CAPITAL MGMT	048	LINE	B	11,000	25.79	n/a	n/a	550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	LPX	SS	25,000	8.14	n/a	11-May	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	LVS	S	9,400	24.55	n/a	1-Jun	376.00	4.0
EATON VANCE MGMT	048	MET	B	3,469	41.58	n/a	n/a	104.07	3.0
BUCK CAPITAL MGMT	001	MFB	B	17,500	23.01	n/a	n/a	700.00	4.0
CAVU CAP ADV	028	MMM	B	39,320	78.02	n/a	10-May	1,966.00	5.0
BANK OF AMERICA/MERRILL	259	MO	S	20,000	20.43	n/a	n/a	800.00	4.0
CIRCLE T/SES PART	035	MPEL	S	25,000	4.42	n/a	1-Jun	750.00	3.0
DELTEC ASSET MGMT.	040	MTW	B	110,000	11.94	n/a	30-Apr	4,400.00	4.0
SAXON WOODS ADVISORS	242	MWJ	B	10,000	33.67	n/a	n/a	400.00	4.0
FEDERATED INV/KAUFMAN	029	MWW	S	44,798	15.00	n/a	n/a	2,463.90	5.5
EXIS CAPITAL	044	M	B	20,000	22.47	n/a	28-May	1,000.00	5.0
BANK OF AMERICA/MERRILL	259	NSC	B	1,500	57.29	n/a	n/a	60.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ODP	B	57,000	5.60	n/a	n/a	1,995.00	3.5
CIRCLE T/SES PART	035	PAG	B	20,000	13.20	n/a	3-May	800.00	4.0
ROSEDALE CAPITAL	046	PBCT	B	20,000	13.95	n/a	25-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GOLD SACHS SPECIAL SIT	030	PLCE	S	37,200	49.04	n/a	3-Jun	1,860.00	5.0
EATON VANCE MGMT	048	PRU	S	500	59.94	n/a	n/a	15.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PRXL	S	100,000	21.93	n/a	n/a	3,000.00	3.0
BROADARCH CAP/OLD NEWC	070	QCOM	B	2,800	36.44	n/a	n/a	112.00	4.0
TRUST CO/COWEN/CALF.	040	Q	S	1,176,940	5.28	n/a	n/a	47,077.60	4.0
BROADARCH CAP/OLD NEWC	070	RCL	S	2,500	30.49	n/a	n/a	100.00	4.0
CAVU CAP ADV	028	RDC	B	11,617	23.33	n/a	n/a	580.85	5.0
BROADARCH CAP/OLD NEWC	070	S	B	24,600	5.05	n/a	n/a	984.00	4.0
BANK OF AMERICA/MERRILL	259	TEX	S	2,250	22.71	n/a	30-Apr	90.00	4.0
EXIS CAPITAL	044	TGT	SS	5,000	54.25	n/a	3-Jun	250.00	5.0
SENATOR INVESTMENT GROUP	036	TIN	B	20,000	20.02	n/a	21-Apr	600.00	3.0
EXIS CAPITAL	044	TJX	B	5,000	46.99	n/a	28-May	250.00	5.0
EXIS CAPITAL	044	TJX	SS	5,000	46.42	n/a	28-May	250.00	5.0
COUGAR TRADING	044	TM	B	5,000	73.10	n/a	n/a	250.00	5.0
TOKIO MARINE ASSET MGMT	045	TRGT	B	14,400	22.32	n/a	n/a	576.00	4.0
EXIS CAPITAL	044	UA	B	15,000	34.13	n/a	28-Apr	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERCHANTS GATE CAP LP	036	UPS	B	80,000	62.86	n/a	n/a	3,200.00	4.0
EATON VANCE MGMT	048	WFC	S	800	28.90	n/a	21-May	24.00	3.0
EXIS CAPITAL	044	WRC	B	5,000	40.39	n/a	14-May	250.00	5.0
BROADARCH CAP/OLD NEWC	070	WYNN	B	1,800	84.08	n/a	1-Jun	72.00	4.0
RBC CAPITAL MARKETS	040	WY	SS	15,000	41.86	n/a	27-May	600.00	4.0
KLEINHEINZ CAP PART	031	YUM	B	75,000	42.03	n/a	15-Apr	3,750.00	5.0
TOTAL (Trade Date):							180,657.47		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/02	SHUMWAY CAPITAL (SHUMGSPBAC)	029	AEO	B	6,045	12.55	n/a	28-May	241.80 4.0
AO,	06/02	SHUMWAY CAPITAL (SHUMGSPBAC)	029	AEO	B	16,452	12.55	n/a	28-May	658.08 4.0
AO,	06/02	SHUMWAY CAPITAL (SHUMGSPBAC)	029	AEO	B	4,003	12.55	n/a	28-May	160.12 4.0
AO,CXL	06/02	CAVU CAP ADV (CAVUCREDIS)	028	F	S	42,208	11.75	n/a	3-Jun	2110.40 5.0
AO,CRT	06/02	CAVU CAP ADV (CAVUCREDIS)	028	F	S	44,806	11.75	n/a	3-Jun	2240.30 5.0
AO,CXL	06/02	CAVU CAP ADV (CAVUMORGAN)	028	F	S	7,792	11.75	n/a	3-Jun	389.60 5.0
AO,CRT	06/02	CAVU CAP ADV (CAVUMORGAN)	028	F	S	5,194	11.75	n/a	3-Jun	259.70 5.0
CRT	06/03	SAGE ASSET MGMT (SAGEBANC O)	012	HAL	B	64,800	23.34	n/a	n/a	3240.00 5.0
AO,CXL	06/02	CONIFER/ISF (CONIISFRIP)	025	IBM	S	2,200	127.02	n/a	n/a	110.00 5.0
AO,CRT	06/02	CONIFER/ISF (CONIISFRIP)	025	IBM	S	2,200	127.02	n/a	n/a	88.00 4.0
AO,CXL	06/02	CIRCLE T/SES PART (CIRCMAN)	035	MPEL	S	35,000	4.31	n/a	1-Jun	1400.00 4.0
AO,CRT	06/02	CIRCLE T/SES PART (CIRCMAN)	035	MPEL	S	35,000	4.31	n/a	1-Jun	1050.00 3.0
CRT	06/03	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	RCL	S	2,500	30.49	n/a	n/a	100.00 4.0
AO,CXL	06/02	SCOPUS FUND (SCOPGS)	041	RL	B	2,400	84.48	n/a	20-May	120.00 5.0
AO,CRT	06/02	SCOPUS FUND (SCOPGS)	041	RL	B	14,166	84.48	n/a	20-May	708.30 5.0
AO,CXL	06/02	SCOPUS FUND (SCOPUBS)	041	RL	B	17,600	84.48	n/a	20-May	880.00 5.0
AO,CRT	06/02	SCOPUS FUND (SCOPUBS)	041	RL	B	5,834	84.48	n/a	20-May	291.70 5.0
AO,CXL	06/02	SCOPUS FUND (SCOPGS)	041	WMT	B	4,800	51.35	n/a	19-May	240.00 5.0
AO,CRT	06/02	SCOPUS FUND (SCOPGS)	041	WMT	B	21,675	51.35	n/a	19-May	1083.75 5.0
AO,CXL	06/02	SCOPUS FUND (SCOPUBS)	041	WMT	B	35,200	51.35	n/a	19-May	1760.00 5.0
AO,CRT	06/02	SCOPUS FUND (SCOPUBS)	041	WMT	B	18,325	51.35	n/a	19-May	916.25 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									4,028.00
TOTAL (Trade Date) :									180,657.47
TOTAL (AO, CXL, CRT) :									4,028.00
TOTAL (RUN DATE) / NFS :									184,685.47

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