



Daily Compliance Activity Report

Trade Date: 05/12/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON INV ADV	035	ADS	S	27,745	77.91	n/a	n/a	1,109.80	4.0
EXIS CAPITAL	044	AEO	B	10,000	15.98	n/a	10-May	500.00	5.0
EXIS CAPITAL	044	ANF	B	5,000	41.99	n/a	10-May	250.00	5.0
GRANITE CAPITAL	045	ANF	B	10,000	42.53	n/a	10-May	500.00	5.0
EXIS CAPITAL	044	ARO	B	10,000	29.59	n/a	10-May	500.00	5.0
MAIRS AND POWER INV	030	BAX	B	10,000	45.44	n/a	n/a	500.00	5.0
GRUBER MACBAINE	033	BBBY	S	5,000	46.87	n/a	n/a	200.00	4.0
LISTED ERR	099	BBBY	B	5,000	47.00	n/a	n/a	0.00	0.0
LISTED ERR	099	BBBY	S	5,000	46.87	n/a	n/a	0.00	0.0
CATAPULT	040	BBT	SS	16,200	35.34	n/a	n/a	810.00	5.0
RBC CAPITAL MARKETS	040	BHP	B	10,000	67.90	n/a	n/a	400.00	4.0
KACELA CAPITAL	034	BWA	B	40,000	41.10	n/a	30-Apr	1,600.00	4.0
HARBORWATCH/DIAMBACK	232	CLF	S	25,000	55.90	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	DPZ	B	10,000	14.15	n/a	5-May	500.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	20,000	1.58	n/a	n/a	800.00	4.0
SENVEST PART	045	FOR	S	10,000	20.70	n/a	10-May	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	GE	SS	27,500	18.27	n/a	n/a	1,375.00	5.0
GRUBER MACBAINE	033	HD	S	10,000	35.71	n/a	11-May	0.00	0.0
EXIS CAPITAL	044	HWD	B	9,500	12.05	n/a	n/a	475.00	5.0
COLUMBUS CIRCLE	036	ICLR	B	1,277	28.92	n/a	n/a	38.76	3.0
CAXTON PART	040	IP	S	622,050	24.64	n/a	29-Apr	21,771.77	3.5
RAMIUS CAP	040	JACK	S	51,900	22.88	n/a	n/a	2,076.00	4.0
EGS ASSOCIATES LP	091	JNY	B	3,000	21.80	n/a	29-Apr	180.00	6.0
KACELA CAPITAL	034	KMT	B	55,000	31.96	n/a	30-Apr	2,200.00	4.0
CAERUS GLOBAL	041	KSS	S	15,000	57.00	n/a	10-May	600.00	4.0
SCOPUS FUND	041	KSS	B	36,358	57.00	n/a	10-May	1,817.90	5.0
GRUBER MACBAINE	033	LOW	S	10,000	26.99	n/a	11-May	400.00	4.0
GRUBER MACBAINE	033	MAS	S	15,000	15.44	n/a	n/a	600.00	4.0
TROUBH PART	067	MS	B	20,000	27.45	n/a	11-May	1,000.00	5.0
DSM CAPITAL PARTNERS	032	MXB	B	19,200	33.81	n/a	n/a	960.00	5.0
CAVU CAP ADV	028	M	B	20,000	24.17	n/a	10-May	1,000.00	5.0
EXIS CAPITAL	044	M	B	5,000	24.33	n/a	10-May	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	NDN	B	3,000	15.70	n/a	9-Apr	180.00	6.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	12,800	15.48	n/a	9-Apr	512.00	4.0
RBC CAPITAL MARKETS	040	NEM	B	10,000	58.51	n/a	n/a	400.00	4.0
LISTED ERR	099	PGR	B	1	20.37	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	PSS	B	10,000	22.53	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	ROST	SS	15,000	54.04	n/a	n/a	750.00	5.0
TRELLUS PARTNERS LP	028	STT	B	20,000	42.80	n/a	11-May	1,000.00	5.0
LISTED ERR	099	TEL	S	50	31.08	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	TJX	SS	20,000	46.25	n/a	10-May	1,000.00	5.0
EXIS CAPITAL	044	UA	B	10,000	34.27	n/a	28-Apr	500.00	5.0
CAVU CAP ADV	028	UTX	SS	25,000	73.14	n/a	n/a	1,250.00	5.0
DELTEC ASSET MGMT.	040	WCRX	B	12,000	24.50	n/a	12-May	600.00	5.0
GRUBER MACBAINE	033	WMT	S	22,700	52.47	n/a	27-Apr	908.00	4.0
EXIS CAPITAL	044	WRC	SS	10,000	45.23	n/a	11-May	500.00	5.0
RBC CAPITAL MARKETS	040	WYNN	B	9,000	85.28	n/a	11-May	360.00	4.0
DIAMONDBACK CAP MGMT	232	XLB	SS	15,000	32.54	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	ZUMZ	B	10,000	18.73	n/a	n/a	500.00	5.0
TOTAL (Trade Date):								53,574.23	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/11	CAERUS GLOBAL (CAERGSMAIN)	041	CAKE	SS	10,000	27.54	n/a	23-Apr	300.00 3.0
AO,CRT	05/11	CAERUS GLOBAL (CAERGSMAIN)	041	CAKE	SS	10,000	27.54	n/a	23-Apr	400.00 4.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSWHITNE)	036	STFC	B	1,200	18.00	n/a	n/a	24.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSEIC)	036	STFC	B	400	18.00	n/a	n/a	8.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSMERR)	036	STFC	B	800	18.00	n/a	n/a	16.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSS93)	036	STFC	B	1,200	18.00	n/a	n/a	24.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSPG)	036	STFC	B	200	18.00	n/a	n/a	4.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSOBIC)	036	STFC	B	2,200	18.00	n/a	n/a	44.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSOBAI)	036	STFC	B	2,000	18.00	n/a	n/a	40.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSNOAC)	036	STFC	B	300	18.00	n/a	n/a	6.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSHONY)	036	STFC	B	300	18.00	n/a	n/a	6.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSFOLKSA)	036	STFC	B	1,400	18.00	n/a	n/a	28.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSWHITNE)	036	STFC	S	1,200	18.00	n/a	n/a	24.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSEIC)	036	STFC	S	400	18.00	n/a	n/a	8.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSMERR)	036	STFC	S	800	18.00	n/a	n/a	16.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSS93)	036	STFC	S	1,200	18.00	n/a	n/a	24.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSPG)	036	STFC	S	200	18.00	n/a	n/a	4.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSOBIC)	036	STFC	S	2,200	18.00	n/a	n/a	44.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSOBAI)	036	STFC	S	2,000	18.00	n/a	n/a	40.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSNOAC)	036	STFC	S	300	18.00	n/a	n/a	6.00 2.0
AO,CRT	05/07	PROSPECTOR PARTNERS LLC (PROSHONY)	036	STFC	S	300	18.00	n/a	n/a	6.00 2.0
AO,CXL	05/07	PROSPECTOR PARTNERS LLC (PROSFOLKSA)	036	STFC	S	1,400	18.00	n/a	n/a	28.00 2.0
TOTAL (AO, CXL, CRT) :										100.00

TOTAL (Trade Date):	53,574.23
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TOTAL (AO, CXL, CRT):	100.00
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TOTAL (RUN DATE) / NFS:	53,674.23
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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