



Daily Compliance Activity Report

Trade Date: 05/06/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	20,000	14.17	n/a	4-May	1,000.00	5.0
NEUBERGER BERMAN	036	AKR	B	24,900	17.47	n/a	n/a	996.00	4.0
MILLRACE FUND LP	028	ANF	B	6,000	41.70	n/a	3-May	240.00	4.0
DSM CAPITAL PARTNERS	032	ANSS	B	8,275	44.94	n/a	n/a	413.75	5.0
EXIS CAPITAL	044	ARO	B	15,000	28.43	n/a	3-May	750.00	5.0
KACELA CAPITAL	034	ATHR	S	36,200	35.17	n/a	n/a	1,448.00	4.0
DELTEC ASSET MGMT.	040	AVP	B	7,000	28.21	n/a	3-May	350.00	5.0
CATAPULT	040	BAC	B	25,000	16.66	n/a	4-May	1,250.00	5.0
GRUBER MACBAINE	033	BBBY	B	10,000	43.29	n/a	n/a	400.00	4.0
CAVU CAP ADV	028	BBY	B	20,000	42.54	n/a	n/a	1,000.00	5.0
FIRST INV MGMT CO	029	BBY	B	5,000	41.40	n/a	n/a	250.00	5.0
BENCHMARK	025	BG	B	2,500	50.48	n/a	n/a	100.00	4.0
RBC CAPITAL MARKETS	040	BJ	SS	7,500	37.40	n/a	n/a	300.00	4.0
THE JAY GOLDMAN	028	BYD	S	16,500	12.84	n/a	n/a	660.00	4.0
PROSPECTOR PARTNERS LLC	036	CCE	B	10,000	26.06	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	CHS	B	10,000	13.61	n/a	5-Feb	400.00	4.0
WHALE ROCK CAP	030	CMCSA	S	250,326	18.98	n/a	n/a	10,013.04	4.0
CAVU CAP ADV	028	CROX	S	3,800	9.82	n/a	n/a	190.00	5.0
COUGAR TRADING	044	CRR	B	7,500	67.93	n/a	5-May	375.00	5.0
SANDLER O'NEILL ASSET	031	C	S	400,000	4.07	n/a	4-May	8,000.00	2.0
GOLD SACHS SPECIAL SIT	030	DAN	B	225,000	11.55	n/a	30-Apr	11,250.00	5.0
HARBORWATCH/DIAMBACK	232	DD	S	5,000	37.72	n/a	4-May	250.00	5.0
EPOCH INV MGMT	030	DE	B	17,950	56.99	n/a	30-Apr	538.50	3.0
EXIS CAPITAL	044	DPZ	S	25,000	13.25	n/a	5-May	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	EMN	S	5,000	64.12	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	ENDP	B	15,000	21.73	n/a	6-May	600.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	15,000	1.56	n/a	n/a	600.00	4.0
Õ James Mitchell		FAS	B	400	25.8800	n/a	n/a	0.00	0.0
COBALT	041	FBR	SS	100,000	17.58	n/a	n/a	5,000.00	5.0
LAGRANGE CAP ADV	048	FII	B	20,000	23.45	n/a	2-Mar	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	F	B	75,000	12.47	n/a	4-May	3,000.00	4.0
ROSEDALE CAPITAL	046	F	B	40,000	12.05	n/a	4-May	1,600.00	4.0
KLEINHEINZ CAP PART	031	GCI	S	50,000	15.26	n/a	n/a	2,500.00	5.0
SIGMA CAP BOBBY	044	GENZ	SS	50,000	53.50	n/a	n/a	1,750.00	3.5
BUCK CAPITAL MGMT	001	GLW	B	20,000	17.30	n/a	28-Apr	800.00	4.0
CAMBIAR CAP	046	GLW	B	219,175	17.98	n/a	28-Apr	8,767.00	4.0
EXIS CAPITAL	044	GPS	B	20,000	23.75	n/a	n/a	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	HRB	S	15,900	18.05	n/a	n/a	636.00	4.0
EMERSON CAPITAL MGMT	048	IFSIA	S	8,500	12.64	n/a	n/a	425.00	5.0
RWC PARTNERS LTD	067	IPG	S	563,900	8.04	n/a	n/a	16,917.00	3.0
RBC CAPITAL MARKETS	040	IP	S	60,000	23.37	n/a	29-Apr	2,400.00	4.0
BROADARCH CAP/OLD NEWC	070	IR	S	10,700	36.73	n/a	23-Apr	428.00	4.0
EXIS CAPITAL	044	JCG	S	5,000	44.83	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	JNY	B	5,000	20.57	n/a	29-Apr	250.00	5.0
CAVU CAP ADV	028	JWN	B	13,100	42.44	n/a	3-May	655.00	5.0
BROADARCH CAP/OLD NEWC	070	KBH	B	4,300	17.25	n/a	n/a	172.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	KEY	B	40,000	8.16	n/a	n/a	2,000.00	5.0
BASIX	033	LEA	B	10,000	72.96	n/a	20-Apr	300.00	3.0
COUGAR TRADING	044	LEA	B	15,000	77.28	n/a	20-Apr	750.00	5.0
COUGAR TRADING	044	LEA	S	15,000	75.16	n/a	20-Apr	750.00	5.0
OZ MGMT	040	LEA	S	94,995	76.35	n/a	20-Apr	2,849.85	3.0
EXIS CAPITAL	044	LIZ	B	10,000	6.65	n/a	7-Oct	500.00	5.0
EXIS CAPITAL	044	LIZ	S	37,980	6.98	n/a	7-Oct	1,899.00	5.0
GRUBER MACBAINE	033	LOW	B	10,000	25.83	n/a	22-Feb	400.00	4.0
EMERSON CAPITAL MGMT	048	LVLTT	B	20,000	1.32	n/a	n/a	1,000.00	5.0
LIEBAU ASSET	048	L	B	6,000	34.01	n/a	n/a	300.00	5.0
CAPITAL GROWTH MGMT.	241	MGA	B	130,000	70.12	n/a	n/a	6,500.00	5.0
EXIS CAPITAL	044	M	B	25,000	23.02	n/a	3-May	1,250.00	5.0
EXIS CAPITAL	044	M	S	20,000	22.30	n/a	3-May	1,000.00	5.0
THIRD POINT MGMT	044	M	S	220,000	22.41	n/a	3-May	8,800.00	4.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	50,000	14.98	n/a	9-Apr	2,000.00	4.0
DSM CAPITAL PARTNERS	032	NTAP	S	10,255	34.10	n/a	n/a	512.75	5.0
CATAPULT	040	NTRS	SS	48,128	51.48	n/a	23-Apr	2,406.40	5.0
SANDLER CAPITAL	226	N	B	44,618	16.15	n/a	n/a	2,677.08	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAP BOBBY	044	ODP	B	200,000	6.13	n/a	n/a	7,000.00	3.5
SIGMA CAP BOBBY	044	ONXX	SS	80,818	26.10	n/a	n/a	2,828.63	3.5
SIGMA CAP BOBBY	044	ONXX	S	900	26.14	n/a	n/a	31.50	3.5
COHE & STEERS	041	PCL	S	14,257	38.71	n/a	27-Apr	570.28	4.0
BERMAN CAPITAL MGMT	046	PIR	B	30,000	7.37	n/a	n/a	900.00	3.0
ROARING BLUE LION MGMT	012	PLCE	B	3,500	43.03	n/a	27-Apr	140.00	4.0
WEINTRAUB CAPITAL MGT.	040	PLCE	B	75,000	43.07	n/a	27-Apr	3,000.00	4.0
NEUBERGER BERMAN	036	PLD	B	74,740	11.86	n/a	n/a	2,989.60	4.0
THE JAY GOLDMAN	028	PNK	B	17,500	13.82	n/a	n/a	700.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	58.27	n/a	21-Apr	800.00	4.0
MERRILL ASSET/BLACKROCK	263	RGA	S	8,500	49.67	n/a	n/a	340.00	4.0
LAGRANGE CAP ADV	048	RST	B	10,000	24.50	n/a	n/a	500.00	5.0
MILLRACE FUND LP	028	SBUX	B	10,142	26.05	n/a	22-Apr	405.68	4.0
THOMAS WEISEL ASSET MGMT	035	SFLY	S	13,678	21.94	n/a	n/a	410.34	3.0
EXIS CAPITAL	044	SKS	B	30,000	9.45	n/a	n/a	1,500.00	5.0
ARMATURE CAPITAL	041	SOA	B	10,000	16.39	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	STJ	B	2,000	38.50	n/a	n/a	80.00	4.0
SIGMA CAP BOBBY	044	STJ	SS	50,000	38.55	n/a	n/a	1,750.00	3.5
BUCK CAPITAL MGMT	001	TGT	S	100,000	55.04	n/a	6-May	4,000.00	4.0
SIGMA CAP BOBBY	044	TGT	SS	45,000	55.48	n/a	6-May	1,575.00	3.5
EXIS CAPITAL	044	TJX	SS	4,226	45.00	n/a	3-May	211.30	5.0
RBC CAPITAL MARKETS	040	TLB	B	5,000	15.57	n/a	n/a	200.00	4.0
PARTNER REINSURANCE	033	TWC	S	19,050	52.42	n/a	n/a	762.00	4.0
DAVIDSON KEMPNER ADVISOR	040	TYC	B	50,000	37.49	n/a	28-Apr	2,500.00	5.0
RBC CAPITAL MARKETS	040	VALE	B	25,000	27.40	n/a	n/a	1,000.00	4.0
LIEBAU ASSET	048	WFC	B	5,000	30.97	n/a	22-Apr	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WFC	S	254,300	31.99	n/a	22-Apr	7,629.00	3.0
ENTRUST CAPITAL	040	WGO	SS	60,900	14.69	n/a	n/a	3,045.00	5.0
SIGMA CAP BOBBY	044	XNPT	B	88,000	10.56	n/a	n/a	3,080.00	3.5
SIGMA CAP BOBBY	044	XRX	B	200,000	9.93	n/a	n/a	7,000.00	3.5
HIGHBRIDGE CAP	041	YHOO	S	100,000	16.24	n/a	n/a	4,000.00	4.0
LAGRANGE CAP ADV	048	YHOO	B	20,000	16.10	n/a	n/a	1,000.00	5.0

TOTAL (Trade Date):

187,317.70

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/05	ROYCE TRADING (ROYC281)	216	CLF	B	600	55.15	n/a	n/a	30.00 5.0
AO,	05/05	ROYCE TRADING (ROYC286)	216	CLF	B	1,400	55.15	n/a	n/a	70.00 5.0
AO,	05/05	ROYCE TRADING (ROYC283)	216	CLF	B	1,200	55.15	n/a	n/a	60.00 5.0
AO,	05/05	ROYCE TRADING (ROYC280)	216	CLF	B	5,900	55.15	n/a	n/a	295.00 5.0
AO,CXL	05/05	HARVEST MGMT (HARVGSCO)	029	GGC	SS	10,000	18.42	n/a	n/a	500.00 5.0
AO,CRT	05/05	HARVEY PARTNERS (HARPGSPB)	012	GGC	SS	10,000	18.42	n/a	n/a	500.00 5.0
AO,	05/05	ROYCE TRADING (ROYC281)	216	MED	S	900	30.25	n/a	n/a	45.00 5.0
AO,	05/05	ROYCE TRADING (ROYC286)	216	MED	S	2,200	30.25	n/a	n/a	110.00 5.0
AO,	05/05	ROYCE TRADING (ROYC283)	216	MED	S	2,000	30.25	n/a	n/a	100.00 5.0
AO,	05/05	ROYCE TRADING (ROYC280)	216	MED	S	9,900	30.25	n/a	n/a	495.00 5.0
AO,	05/05	ROYCE TRADING (ROYC281)	216	OXY	B	500	83.81	n/a	n/a	25.00 5.0
AO,	05/05	ROYCE TRADING (ROYC286)	216	OXY	B	1,200	83.81	n/a	n/a	60.00 5.0
AO,	05/05	ROYCE TRADING (ROYC283)	216	OXY	B	1,100	83.81	n/a	n/a	55.00 5.0
AO,	05/05	ROYCE TRADING (ROYC280)	216	OXY	B	5,500	83.81	n/a	n/a	275.00 5.0
AO,CXL	05/05	GALT INVESTMENT (GALTGS)	041	PAG	B	30,000	13.83	n/a	3-May	1500.00 5.0
AO,CRT	05/05	GALT INVESTMENT (GALTGS)	041	PAG	B	30,000	13.83	n/a	3-May	1200.00 4.0
CRT	05/06	ROARING BLUE LION MGMT (ROARMAIN)	012	PLCE	B	3,500	43.03	n/a	27-Apr	140.00 4.0
AO,CXL	04/30	NEUBERGER BERMAN (NBER501862)	036	TEVA	B	250	58.90	n/a	4-May	10.00 4.0
AO,CXL	04/30	NEUBERGER BERMAN (NBER501862)	036	TEVA	B	200	58.90	n/a	4-May	8.00 4.0
AO,CXL	04/30	NEUBERGER BERMAN (NBER501862)	036	TEVA	B	250	58.90	n/a	4-May	10.00 4.0
AO,CXL	04/30	NEUBERGER BERMAN (NBER501862)	036	TEVA	B	200	58.90	n/a	4-May	8.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/30	NEUBERGER BERMAN (NBER501862)	036	TEVA	B	250	58.90	n/a	4-May	10.00 4.0
AO,CXL	05/05	GREEN ARROW DOUG (GADRMLICS)	040	URI	B	21,000	13.54	n/a	n/a	1050.00 5.0
AO,CRT	05/05	GREEN ARROW DOUG (GADRMLICS)	040	URI	B	21,000	13.54	n/a	n/a	840.00 4.0
AO,	05/05	ROYCE TRADING (ROYC281)	216	WDC	B	1,000	41.12	n/a	n/a	50.00 5.0
AO,	05/05	ROYCE TRADING (ROYC286)	216	WDC	B	2,500	41.12	n/a	n/a	125.00 5.0
AO,	05/05	ROYCE TRADING (ROYC283)	216	WDC	B	2,300	41.12	n/a	n/a	115.00 5.0
AO,	05/05	ROYCE TRADING (ROYC280)	216	WDC	B	11,200	41.12	n/a	n/a	560.00 5.0

TOTAL (AO, CXL, CRT) : **2,054.00**

TOTAL (Trade Date) : 187,317.70

TOTAL (AO, CXL, CRT) : 2,054.00

TOTAL (RUN DATE) / NFS: **189,371.70**

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