



Daily Compliance Activity Report

Trade Date: 04/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ACC	B	2,700	28.91	n/a	n/a	108.00	4.0
EXIS CAPITAL	044	AEO	B	35,000	16.72	n/a	9-Apr	1,750.00	5.0
BMO NESBITT BURNS	041	AGN	S	2,000	63.84	n/a	26-Apr	100.00	5.0
CASTLEROCK	040	AGN	B	53,894	64.17	n/a	26-Apr	2,155.76	4.0
NEUBERGER BERMAN	036	AINV	B	7,000	12.42	n/a	n/a	280.00	4.0
CAVU CAP ADV	028	ALTR	B	25,000	25.70	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	AMB	B	2,700	28.77	n/a	n/a	108.00	4.0
EXIS CAPITAL	044	ANF	SS	4,503	45.42	n/a	9-Apr	225.15	5.0
ISLE RIDGE PARTNERS	041	AN	SS	30,000	20.27	n/a	23-Apr	1,200.00	4.0
BAIRD INVESTMENT	047	APC	S	17,435	64.32	n/a	27-Apr	684.25	4.4
METROPOLITAN CAPITAL	044	ARM	B	29,400	15.31	n/a	n/a	1,470.00	5.0
SCOUT/UMB	047	ARO	S	61,500	29.24	n/a	9-Apr	1,845.00	3.0
NEUBERGER BERMAN	036	AVB	B	900	105.68	n/a	n/a	36.00	4.0
OZ MGMT	040	AXL	B	150,000	11.64	n/a	20-Apr	4,500.00	3.0
LONG OAR GLOBAL INV	040	BAC	S	55,700	18.05	n/a	19-Apr	2,228.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	BCY	SS	50,000	62.74	n/a	30-Apr	2,500.00	5.0
WEISS PECK	040	CAKE	C	3,500	27.59	n/a	23-Apr	175.00	5.0
NEUBERGER BERMAN	036	CEO	B	500	177.66	n/a	n/a	20.00	4.0
NEUBERGER BERMAN	036	CHL	B	1,900	49.25	n/a	n/a	76.00	4.0
NEUBERGER BERMAN	036	CHT	B	4,300	19.59	n/a	n/a	172.00	4.0
FRONTIER	048	COG	B	149,950	36.62	n/a	29-Apr	5,998.00	4.0
GCORE MANAGEMENT	041	CSCO	S	25,000	27.59	n/a	n/a	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	DE	S	20,000	60.18	n/a	30-Apr	1,000.00	5.0
CASTLEROCK	040	DGX	SS	21,287	57.33	n/a	n/a	851.48	4.0
NEUBERGER BERMAN	036	DLR	B	1,000	59.56	n/a	n/a	40.00	4.0
FRONTIER	048	DNR	B	196,560	19.14	n/a	n/a	7,862.40	4.0
HARBORWATCH/DIAMBACK	232	DOW	SS	40,000	31.36	n/a	28-Apr	2,000.00	5.0
CAVU CAP ADV	028	DRI	SS	12,925	45.65	n/a	7-Apr	646.25	5.0
NEUBERGER BERMAN	036	EEQ	B	1,500	51.49	n/a	n/a	60.00	4.0
SONTERRA CAP	041	ESV	SS	20,000	48.03	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	ES	S	75,000	7.21	n/a	n/a	2,250.00	3.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.72	n/a	n/a	600.00	6.0
NEUBERGER BERMAN	036	EXC	B	2,400	43.74	n/a	n/a	96.00	4.0
SENATOR INVESTMENT GROUP	036	FDX	B	115,000	90.84	n/a	n/a	3,450.00	3.0
IRIDIAN ASSET MGMT.	036	GE	SS	345,310	18.89	n/a	n/a	17,265.50	5.0
SOUTH POINT CAP	067	GOOG	B	50,000	529.46	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	GYMB	B	5,000	50.45	n/a	9-Apr	250.00	5.0
JP MORGAN VENTURES	046	HNZ	B	25,000	46.91	n/a	n/a	1,250.00	5.0
CONIFER/ISF	025	HPQ	SS	7,500	52.23	n/a	n/a	375.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	15,000	23.50	n/a	2-Mar	750.00	5.0
EXIS CAPITAL	044	JAH	B	45,000	32.26	n/a	n/a	2,250.00	5.0
NEUBERGER BERMAN	036	JNJ	B	1,500	65.25	n/a	n/a	60.00	4.0
THE JAY GOLDMAN	028	JWN	SS	25,000	41.55	n/a	9-Apr	1,000.00	4.0
NEUBERGER BERMAN	036	KMR	B	1,000	58.59	n/a	n/a	40.00	4.0
EXIS CAPITAL	044	KSS	SS	5,000	55.42	n/a	9-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	LIZ	B	10,000	8.78	n/a	7-Oct	500.00	5.0
NEUBERGER BERMAN	036	LNT	B	2,700	34.61	n/a	n/a	108.00	4.0
SOUTH POINT CAP	067	MA	S	28,000	249.56	n/a	12-Apr	1,400.00	5.0
NEUBERGER BERMAN	036	MCHP	B	3,100	29.82	n/a	n/a	124.00	4.0
SENATOR INVESTMENT GROUP	036	ME	SS	35,000	24.18	n/a	n/a	1,050.00	3.0
EXIS CAPITAL	044	M	B	15,000	23.30	n/a	28-Apr	750.00	5.0
NEUBERGER BERMAN	036	NGG	B	2,000	48.49	n/a	n/a	80.00	4.0
NEUBERGER BERMAN	036	NJR	B	2,500	38.26	n/a	n/a	100.00	4.0
NEUBERGER BERMAN	036	NSC	B	1,700	60.27	n/a	n/a	68.00	4.0
NEUBERGER BERMAN	036	NST	B	2,200	37.42	n/a	n/a	88.00	4.0
NEUBERGER BERMAN	036	NTDOY	B	1,500	41.90	n/a	n/a	60.00	4.0
SONTERRA CAP	041	NTY	B	20,000	41.15	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	NU	B	2,500	27.85	n/a	n/a	100.00	4.0
NEUBERGER BERMAN	036	NYB	B	3,500	16.72	n/a	27-Apr	140.00	4.0
CONIFER/ISF	025	OCR	S	2,500	28.00	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	PAG	B	38,585	15.55	n/a	20-Apr	1,157.55	3.0
LAGRANGE CAP ADV	048	PAG	B	20,000	15.34	n/a	20-Apr	1,000.00	5.0
MILLENIUM PARTNERS	028	PAG	S	23,000	15.73	n/a	20-Apr	920.00	4.0
SANDLER O'NEILL ASSET	031	PBCT	B	25,000	15.50	n/a	27-Apr	1,250.00	5.0
NEUBERGER BERMAN	036	PCG	B	2,200	44.20	n/a	n/a	88.00	4.0
JP MORGAN VENTURES	046	PFE	S	18,000	16.91	n/a	n/a	900.00	5.0
NEUBERGER BERMAN	036	PGN	B	2,000	39.94	n/a	n/a	80.00	4.0
NEUBERGER BERMAN	036	PHI	B	1,700	56.61	n/a	n/a	68.00	4.0
EXIS CAPITAL	044	PIR	B	80,000	8.53	n/a	n/a	4,000.00	5.0
NEUBERGER BERMAN	036	PM	B	2,000	49.72	n/a	n/a	80.00	4.0
SAGE ASSET MGMT	012	PNC	S	20,200	67.23	n/a	n/a	1,010.00	5.0
IVORY CAPITAL	034	QQQQ	SS	1,200,000	49.26	n/a	n/a	6,000.00	0.5
NEUBERGER BERMAN	036	RGLD	B	1,800	51.67	n/a	n/a	72.00	4.0
NEUBERGER BERMAN	036	RYN	B	2,100	50.00	n/a	19-Apr	84.00	4.0
GALT INVESTMENT	041	SAH	B	25,000	11.08	n/a	n/a	1,000.00	4.0
ROXBURY CAPITAL MGMT	035	SANM	S	53,215	17.89	n/a	n/a	2,128.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	SE	B	4,500	23.52	n/a	n/a	180.00	4.0
RAINIER INV MGMT	035	SFY	B	25,780	36.26	n/a	n/a	1,031.20	4.0
WAGONHOUND/NIC	048	SKS	B	5,281	10.23	n/a	n/a	211.24	4.0
JP MORGAN VENTURES	046	SPY	B	15,000	119.74	n/a	n/a	750.00	5.0
DIAMONDBACK CAP MGMT	232	STT	B	10,000	44.01	n/a	23-Apr	500.00	5.0
NEUBERGER BERMAN	036	TEVA	B	1,150	58.90	n/a	26-Apr	46.00	4.0
NEUBERGER BERMAN	036	TE	B	6,000	17.11	n/a	n/a	240.00	4.0
JP MORGAN VENTURES	046	TJX	B	10,000	46.66	n/a	9-Apr	500.00	5.0
CASTLEROCK	040	TM	SS	78,690	77.23	n/a	n/a	3,147.60	4.0
COUGAR TRADING	044	TM	SS	10,000	77.22	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	TOT	B	1,400	54.38	n/a	n/a	56.00	4.0
EMERSON CAPITAL MGMT	048	TREX	S	6,000	24.67	n/a	n/a	300.00	5.0
LISTED ERR	099	TREX	B	1,500	24.65	n/a	n/a	0.00	0.0
LISTED ERR	099	TREX	S	1,500	24.67	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	TRW	S	40,000	32.74	n/a	n/a	1,200.00	3.0
NEUBERGER BERMAN	036	UN	B	3,100	30.64	n/a	n/a	124.00	4.0
NEUBERGER BERMAN	036	UPS	B	1,200	69.91	n/a	n/a	48.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	VFC	SS	20,000	87.69	n/a	30-Apr	1,000.00	5.0
NEUBERGER BERMAN	036	VLCCF	B	3,000	19.33	n/a	n/a	120.00	4.0
NEWLAND CAPITAL MGT	067	VMC	S	5,000	58.07	n/a	n/a	200.00	4.0
KACELA CAPITAL	034	WAG	SS	35,000	35.20	n/a	n/a	1,400.00	4.0
MACKLOWE ASSET MGMT	041	WMT	B	35,000	53.79	n/a	27-Apr	1,400.00	4.0
NEUBERGER BERMAN	036	WTR	B	4,200	18.51	n/a	n/a	168.00	4.0
NEUBERGER BERMAN	036	WWE	B	4,500	18.60	n/a	n/a	180.00	4.0
OZ MGMT	040	WYNN	S	20,000	93.36	n/a	30-Apr	600.00	3.0
NEUBERGER BERMAN	036	WY	B	1,300	50.37	n/a	30-Apr	52.00	4.0
NEUBERGER BERMAN	036	XEL	B	4,300	21.90	n/a	n/a	172.00	4.0
CAVU CAP ADV	028	XLNX	SS	25,000	26.33	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	028	XRT	B	50,000	43.02	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	ZQK	B	30,000	5.61	n/a	12-Mar	1,500.00	5.0
TOTAL (Trade Date) :								117,984.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/23	PNC CAPITAL ADV (PNCMCP4395)	028	GILD	S	14,000	41.37	n/a	n/a	560.00 4.0
AO,CXL	04/23	PNC CAPITAL ADV (PNCMCP4395)	028	GILD	S	14,000	41.37	n/a	n/a	560.00 4.0
AO,CRT	04/29	HIGHBRIDGE CAP (HIBCGOLDPB)	041	NE	SS	85,500	42.32	n/a	n/a	3420.00 4.0
AO,CXL	04/29	HIGHBRIDGE CAP (HIBCCSFB)	041	NE	SS	85,500	42.32	n/a	n/a	3420.00 4.0
AO,	04/29	1798 CAP/LOMBARD ASSET (1798MS)	040	PDE	S	30,000	31.61	n/a	n/a	1500.00 5.0

TOTAL (AO, CXL, CRT) :	1,500.00
-------------------------------	-----------------

TOTAL (Trade Date) :	117,984.98
TOTAL (AO, CXL, CRT) :	1,500.00

TOTAL (RUN DATE) / NFS :	119,484.98
---------------------------------	-------------------

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