



Daily Compliance Activity Report

Trade Date: 06/04/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
• Alice Longley		AAPL	S	100259.3000		n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	ACV	B	28,572	27.48	n/a	4-Jun	1,114.34	3.9
EXIS CAPITAL	044	AEO	B	20,000	12.25	n/a	4-Jun	1,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	35.64	n/a	4-Jun	1,200.00	4.0
EXIS CAPITAL	044	ANF	B	10,000	35.57	n/a	4-Jun	500.00	5.0
EATON VANCE MGMT	048	APA	B	690,537	88.83	n/a	3-Jun	20,716.11	3.0
BROADARCH CAP/OLD NEWC	070	BYD	B	6,800	11.98	n/a	n/a	272.00	4.0
SNYDER CAPITAL	033	CBT	B	23,100	26.40	n/a	28-May	924.00	4.0
ROSEDALE CAPITAL	046	COG	S	5,000	38.25	n/a	3-Jun	250.00	5.0
TPG-AXON	040	CPB	SS	17,000	36.07	n/a	n/a	850.00	5.0
MARINER/TRICADIA	041	CXW	B	30,000	19.96	n/a	n/a	1,500.00	5.0
AMBER CAPITAL	046	CX	B	125,000	10.48	n/a	n/a	5,000.00	4.0
MARINER/TRICADIA	041	CYBX	S	20,000	21.55	n/a	n/a	1,000.00	5.0
BENCHMARK	025	C	S	20,000	3.77	n/a	21-May	600.00	3.0
WEISS PECK	040	DK	B	28,260	6.57	n/a	n/a	1,130.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	DMND	S	2,241	37.33	n/a	n/a	89.64	4.0
HOLLIS CAPITAL	033	FL	S	5,000	14.00	n/a	21-May	250.00	5.0
OZ MGMT	040	F	B	200,000	11.70	n/a	3-Jun	6,000.00	3.0
EXIS CAPITAL	044	GES	B	15,000	34.04	n/a	28-May	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GE	B	100,000	15.67	n/a	n/a	3,500.00	3.5
TRUSTCO/SUNTRUST	040	GE	B	71,000	15.65	n/a	n/a	2,769.01	3.9
TPG-AXON	040	GIS	SS	9,000	73.91	n/a	n/a	450.00	5.0
SAGE ASSET MGMT	012	GNA	B	89,200	10.98	n/a	n/a	4,460.00	5.0
CAERUS GLOBAL	041	HAIN	S	25,000	22.63	n/a	n/a	1,000.00	4.0
GALT INVESTMENT	041	HGG	B	20,000	27.35	n/a	n/a	1,000.00	5.0
TPG-AXON	040	HNZ	SS	16,000	44.20	n/a	n/a	800.00	5.0
BROADARCH CAP/OLD NEWC	070	IGT	S	8,900	19.50	n/a	23-Apr	356.00	4.0
SCOUT/UMB	047	JWN	S	22,000	37.21	n/a	4-Jun	1,100.00	5.0
TPG-AXON	040	K	SS	16,000	53.62	n/a	n/a	800.00	5.0
TRELLUS PARTNERS LP	028	LEA	B	18,000	67.81	n/a	7-May	900.00	5.0
BMO NESBITT BURNS	041	LPX	B	25,000	7.49	n/a	11-May	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	MGM	S	6,900	12.16	n/a	11-May	276.00	4.0
KLEINHEINZ CAP PART	031	MMR	B	100,000	10.72	n/a	n/a	5,000.00	5.0
FEDERATED INV/KAUFMAN	029	MWW	S	100,000	13.97	n/a	n/a	5,500.01	5.5
EXIS CAPITAL	044	M	B	35,000	21.64	n/a	4-Jun	1,750.00	5.0
CATAPULT	040	NYX	SS	9,100	27.42	n/a	n/a	455.00	5.0
LAGRANGE CAP ADV	048	PAG	B	10,000	12.82	n/a	3-May	500.00	5.0
TROUBH PART	067	SUP	B	2,600	14.36	n/a	10-May	130.00	5.0
TRUSTCO/SUNTRUST	040	SUP	S	33,700	14.40	n/a	10-May	1,314.30	3.9
CASTLE ARK	031	SWN	B	70,000	43.08	n/a	3-Jun	4,200.00	6.0
COUGAR TRADING	044	TAST	S	2,500	5.80	n/a	n/a	100.00	4.0
AMBER CAPITAL	046	TEO	B	10,000	16.75	n/a	n/a	400.00	4.0
COUGAR TRADING	044	TM	SS	5,000	71.25	n/a	n/a	250.00	5.0
MERCHANTS GATE CAP LP	036	UPS	B	50,000	61.80	n/a	n/a	2,000.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	WCRX	S	58,735	22.26	n/a	1-Jun	1,174.70	2.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	39.28	n/a	14-May	800.00	4.0
EXIS CAPITAL	044	WRC	B	5,000	39.79	n/a	14-May	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	B	30,000	40.00	n/a	27-May	1,500.00	5.0
TOTAL (Trade Date):								87,131.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/03	ROYCE TRADING (ROYC278)	012	AMTD	B	1,000	18.35	n/a	n/a	50.00 5.0
AO,	06/03	ROYCE TRADING (ROYC279)	012	AMTD	B	600	18.35	n/a	n/a	30.00 5.0
AO,	06/03	EXIS CAPITAL (EXISDEUTC)	044	BONT	B	9,400	12.04	n/a	n/a	470.00 5.0
AO,CXL	06/03	EXIS CAPITAL (EXISRBC)	044	BONT	B	9,400	12.04	n/a	n/a	470.00 5.0
AO,	06/03	CAVU CAP ADV (CAVUCREDIS)	028	BUCY	B	21,826	54.24	n/a	30-Apr	1091.30 5.0
AO,	06/03	CAVU CAP ADV (CAVUMORGAN)	028	BUCY	B	2,854	54.24	n/a	30-Apr	142.70 5.0
CRT	06/04	SAGE ASSET MGMT (SAGEBANC O)	012	GNA	B	89,200	10.98	n/a	n/a	4460.00 5.0
AO,CXL	06/03	BANK OF AMERICA/MERRILL (BAMLML)	259	GT	B	5,750	11.97	n/a	n/a	230.00 4.0
AO,CRT	06/03	BANK OF AMERICA/MERRILL (BAMLML)	259	GT	B	5,750	11.97	n/a	n/a	172.50 3.0
AO,CXL	06/03	BANK OF AMERICA/MERRILL (BAMLML)	259	NSC	B	1,500	57.29	n/a	n/a	60.00 4.0
AO,CRT	06/03	BANK OF AMERICA/MERRILL (BAMLML)	259	NSC	B	1,500	57.29	n/a	n/a	75.00 5.0
TOTAL (AO, CXL, CRT) :										5,731.50
TOTAL (Trade Date):										87,131.51
TOTAL (AO, CXL, CRT):										5,731.50
TOTAL (RUN DATE) / NFS:										92,863.01

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