



Daily Compliance Activity Report

Trade Date: 05/14/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	7,500	15.47	n/a	10-May	375.00	5.0
HILLIARD LYONS CAP MGMT	047	AGN	S	503	61.11	n/a	14-May	15.09	3.0
CAVU CAP ADV	028	BA	SS	25,000	69.64	n/a	5-May	1,250.00	5.0
RBC CAPITAL MARKETS	040	BJ	B	10,000	37.75	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	BONT	B	10,000	15.15	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	BWA	B	20,000	39.04	n/a	30-Apr	1,000.00	5.0
CAERUS GLOBAL	041	BYI	SS	5,000	45.06	n/a	n/a	200.00	4.0
PILOT ADV	242	B	SS	30,000	20.71	n/a	n/a	1,200.00	4.0
RAMIUS CAP	040	CAT	C	10,250	65.74	n/a	12-May	410.00	4.0
BNP PARIBAS SEC	040	CHS	B	10,000	14.69	n/a	5-Feb	400.00	4.0
HILLIARD LYONS CAP MGMT	047	CMCSA	S	1,742	17.57	n/a	n/a	52.26	3.0
HILLIARD LYONS CAP MGMT	047	CSCO	S	1,426	24.86	n/a	n/a	42.78	3.0
HILLIARD LYONS CAP MGMT	047	CVS	S	1,349	35.88	n/a	n/a	40.47	3.0
HILLIARD LYONS CAP MGMT	047	DELL	S	1,604	15.03	n/a	n/a	48.12	3.0

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BNP PARIBAS SEC	040	DE	B	4,600	58.87	n/a	30-Apr	184.00	4.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	14.36	n/a	14-May	1,250.00	5.0
GREEN ARROW DOUG	040	DG	SS	25,000	29.40	n/a	26-Apr	1,250.00	5.0
HILLIARD LYONS CAP MGMT	047	DIS	S	1,579	34.05	n/a	n/a	47.37	3.0
EXIS CAPITAL	044	DPZ	B	10,000	13.80	n/a	5-May	500.00	5.0
CAERUS GLOBAL	041	DRI	B	5,091	43.49	n/a	7-Apr	203.64	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	20,000	1.55	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	FAST	SS	15,000	53.84	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	FL	B	15,000	14.24	n/a	14-May	600.00	4.0
OZ MGMT	040	F	B	200,000	12.08	n/a	4-May	6,000.00	3.0
OZ MGMT	040	F	C	183,773	12.27	n/a	4-May	5,513.19	3.0
WHITE PINE CAPITAL	030	GDXJ	B	500	28.94	n/a	n/a	25.00	5.0
CHARTER OAK	033	GES	B	20,000	37.88	n/a	14-May	1,000.00	5.0
HILLIARD LYONS CAP MGMT	047	GE	S	1,251	17.67	n/a	n/a	37.53	3.0
EXIS CAPITAL	044	GYMB	B	10,000	44.01	n/a	10-May	500.00	5.0
GRUBER MACBAINE	033	HD	S	20,000	35.04	n/a	11-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HILLIARD LYONS CAP MGMT	047	HD	S	1,431	35.23	n/a	11-May	42.93	3.0
SAC TRADING TOM LEDDY	035	HD	B	50,000	35.12	n/a	11-May	1,750.00	3.5
HILLIARD LYONS CAP MGMT	047	HOG	S	552	32.18	n/a	n/a	16.56	3.0
CAERUS GLOBAL	041	HOT	B	4,000	48.92	n/a	n/a	160.00	4.0
BERMAN CAPITAL MGMT	046	HTZ	B	10,000	12.24	n/a	n/a	300.00	3.0
COBALT	041	INTC	B	100,000	21.73	n/a	n/a	5,000.00	5.0
TRELLUS PARTNERS LP	028	IP	B	30,000	23.64	n/a	29-Apr	1,500.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	45.41	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	047	JCI	B	15,200	30.41	n/a	26-Apr	760.00	5.0
EXIS CAPITAL	044	JCP	S	72,800	27.40	n/a	14-May	3,640.00	5.0
RBC CAPITAL MARKETS	040	JCP	S	5,000	27.26	n/a	14-May	200.00	4.0
HILLIARD LYONS CAP MGMT	047	JEC	S	668	46.00	n/a	n/a	20.04	3.0
HILLIARD LYONS CAP MGMT	047	JNJ	S	643	63.80	n/a	n/a	19.29	3.0
EXIS CAPITAL	044	JNY	B	30,000	20.58	n/a	14-May	1,500.00	5.0
HILLIARD LYONS CAP MGMT	047	JPM	S	925	39.74	n/a	14-May	27.75	3.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	39.63	n/a	14-May	400.00	4.0
CAERUS GLOBAL	041	JWN	B	5,000	39.60	n/a	14-May	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	JWN	B	10,000	39.91	n/a	14-May	500.00	5.0
HILLIARD LYONS CAP MGMT	047	KFT	S	929	29.77	n/a	n/a	27.87	3.0
BNP PARIBAS SEC	040	KSS	B	4,797	54.05	n/a	14-May	191.88	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	53.36	n/a	14-May	400.00	4.0
SAC CAPITAL/M GRONET	030	KSS	B	10,000	53.98	n/a	14-May	350.00	3.5
TYEE/TYGH	035	MAN	S	54,252	49.37	n/a	n/a	2,170.08	4.0
HILLIARD LYONS CAP MGMT	047	MAT	S	1,878	21.85	n/a	n/a	56.34	3.0
KENNEDY CAPITAL	046	MOV	B	10,000	12.73	n/a	n/a	400.00	4.0
HILLIARD LYONS CAP MGMT	047	MSFT	S	1,445	28.76	n/a	n/a	43.35	3.0
DELTEC ASSET MGMT.	040	MTW	B	14,000	13.23	n/a	30-Apr	700.00	5.0
CRAMER ROSENTHAL/SCOTT	012	MWW	B	244,700	16.13	n/a	n/a	9,788.00	4.0
SIGMA CAPITAL ASSOCIATES	041	M	B	25,000	22.61	n/a	13-May	875.00	3.5
SLS CAPITAL LLC	224	M	B	23,900	22.95	n/a	13-May	956.00	4.0
HILLIARD LYONS CAP MGMT	047	OMC	S	755	40.95	n/a	n/a	22.65	3.0
HILLIARD LYONS CAP MGMT	047	PEP	S	433	66.27	n/a	n/a	12.99	3.0
HILLIARD LYONS CAP MGMT	047	PFE	S	543	16.18	n/a	n/a	16.29	3.0
HILLIARD LYONS CAP MGMT	047	PGR	S	1,895	20.33	n/a	n/a	56.85	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HILLIARD LYONS CAP MGMT	047	PG	S	416	62.53	n/a	30-Apr	12.48	3.0
SCOPUS FUND	041	PKG	B	58,763	22.95	n/a	20-Apr	2,938.15	5.0
EXIS CAPITAL	044	PLCE	SS	5,000	42.40	n/a	27-Apr	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	43,550	57.51	n/a	14-May	1,306.50	3.0
GRUBER MACBAINE	033	QLD	B	15,000	60.91	n/a	n/a	600.00	4.0
ARCHON CAPITAL	035	RAX	S	12,000	17.05	n/a	n/a	480.00	4.0
BUCK CAPITAL MGMT	001	RL	S	30,000	88.90	n/a	14-May	1,200.00	4.0
EXIS CAPITAL	044	SKS	B	10,000	9.05	n/a	n/a	500.00	5.0
CARDINAL CAPITAL	044	SSI	B	1,800	14.50	n/a	n/a	90.00	5.0
FRED ALGER MGMT	035	SWKS	B	336,900	15.43	n/a	n/a	12,802.20	3.8
BAIRD INVESTMENT	047	SWN	B	10,175	38.60	n/a	30-Apr	508.75	5.0
HILLIARD LYONS CAP MGMT	047	TEL	S	906	28.87	n/a	n/a	27.18	3.0
MAIRS AND POWER INV	030	TGT	S	10,000	55.57	n/a	10-May	500.00	5.0
RBC CAPITAL MARKETS	040	TGT	B	5,000	55.28	n/a	10-May	200.00	4.0
RBC CAPITAL MARKETS	040	TGT	S	10,000	55.31	n/a	10-May	400.00	4.0
SAC CAPITAL/M GRONET	030	TGT	B	15,000	55.75	n/a	10-May	525.00	3.5
BUCK CAPITAL MGMT	001	TJX	S	20,000	44.97	n/a	10-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	TJX	SS	5,000	45.12	n/a	10-May	250.00	5.0
HILLIARD LYONS CAP MGMT	047	TJX	S	748	45.26	n/a	10-May	22.44	3.0
RAMIUS CAP	040	TJX	S	27,375	45.56	n/a	10-May	1,095.00	4.0
CAVU CAP ADV	028	TLB	S	41,694	16.13	n/a	n/a	2,084.70	5.0
COUGAR TRADING	044	TM	SS	10,000	75.61	n/a	n/a	500.00	5.0
HILLIARD LYONS CAP MGMT	047	TYC	S	993	38.62	n/a	28-Apr	29.79	3.0
EXIS CAPITAL	044	UA	B	10,000	32.82	n/a	28-Apr	500.00	5.0
GALT INVESTMENT	041	URBN	B	35,000	35.94	n/a	n/a	1,750.00	5.0
CAERUS GLOBAL	041	URI	B	10,000	13.45	n/a	n/a	400.00	4.0
HILLIARD LYONS CAP MGMT	047	USB	S	1,459	25.44	n/a	n/a	43.77	3.0
RBC CAPITAL MARKETS	040	VALE	SS	30,000	27.53	n/a	n/a	1,200.00	4.0
RBC CAPITAL MARKETS	040	VFC	B	5,000	82.48	n/a	14-May	200.00	4.0
TPG-AXON	040	V	S	275,000	76.71	n/a	14-May	13,750.00	5.0
HILLIARD LYONS CAP MGMT	047	WAT	S	606	67.90	n/a	n/a	18.18	3.0
BERMAN CAPITAL MGMT	046	XRT	S	15,000	40.96	n/a	n/a	450.00	3.0
RBC CAPITAL MARKETS	040	XRT	B	5,000	40.91	n/a	n/a	200.00	4.0

TOTAL (Trade Date):

103,382.46

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	05/13	LISTED ERR (LISTED ERR)	099	EQR	S	10,000	47.64	n/a	n/a	0.00	0.0
AO,CRT	05/13	LISTED ERR (LISTED ERR)	097	EQR	S	10,000	47.81	n/a	n/a	0.00	0.0
CRT	05/14	GRUBER MACBAINE (GRBRMAIN)	033	QLD	B	15,000	60.91	n/a	n/a	600.00	4.0
CRT	05/14	COUGAR TRADING (COUGPB MS)	044	TM	SS	10,000	75.61	n/a	n/a	500.00	5.0
TOTAL (AO, CXL, CRT) :										1,100.00	

TOTAL (Trade Date) :	103,382.46
TOTAL (AO, CXL, CRT) :	1,100.00

TOTAL (RUN DATE) / NFS:	104,482.46
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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