



Daily Compliance Activity Report

Trade Date: 03/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CARDINAL CAPITAL	044	AEO	B	20,300	18.94	n/a	11-Mar	1,015.00	5.0
LEVIN CAPITAL STRATEGIES	012	ALV	S	10,000	52.11	n/a	23-Mar	300.00	3.0
LUCID PARTNERS	067	AOS	S	10,463	52.61	n/a	23-Mar	418.52	4.0
HOLLIS CAPITAL	033	APC	B	2,000	72.06	n/a	30-Mar	100.00	5.0
SCOPUS FUND	041	BIG	B	45,000	37.32	n/a	4-Mar	2,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	BJ	C	200,000	37.09	n/a	n/a	6,000.00	3.0
EXIS CAPITAL	044	BONT	B	18,375	13.12	n/a	n/a	918.75	5.0
LAGRANGE CAP ADV	048	BONT	SS	900	13.25	n/a	n/a	45.00	5.0
RAMIUS CAP	040	CAT	C	43,425	63.26	n/a	28-Jan	1,737.00	4.0
KENNEDY CAPITAL	046	CBK	B	2,200	7.98	n/a	n/a	66.00	3.0
GRANAHAN INV	039	CNK	B	50,000	18.24	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	COH	B	7,500	40.41	n/a	21-Jan	300.00	4.0
COLUMBUS CIRCLE	036	COO	S	3,283	38.72	n/a	n/a	131.32	4.0
COLUMBIA PARTNERS	028	CREE	B	24,228	71.13	n/a	n/a	969.12	4.0
COLUMBIA PARTNERS	028	CRM	S	29,193	75.44	n/a	n/a	1,167.72	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	DOV	C	25,000	47.07	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.63	n/a	n/a	600.00	6.0
CUMBERLAND	239	EXH	S	10,000	24.29	n/a	30-Mar	400.00	4.0
OZ MGMT	040	F	C	50,000	13.34	n/a	30-Mar	1,500.00	3.0
OZ MGMT	040	F	SS	50,000	13.23	n/a	30-Mar	1,500.00	3.0
ROSEDALE CAPITAL	046	F	S	100,000	13.26	n/a	30-Mar	4,000.00	4.0
SCHOTTENFELD ASSOC	041	F	SS	50,000	13.24	n/a	30-Mar	1,500.00	3.0
PROSPECTOR PARTNERS LLC	036	HES	B	10,000	62.21	n/a	n/a	400.00	4.0
THE JAY GOLDMAN	028	HOT	SS	5,000	47.12	n/a	n/a	200.00	4.0
RAMIUS CAP	040	HSC	S	27,725	31.96	n/a	1-Feb	1,109.00	4.0
GREEN ARROW DOUG	040	KFT	B	25,000	30.51	n/a	n/a	1,250.00	5.0
GREEN ARROW DOUG	040	LIZ	B	25,000	7.35	n/a	7-Oct	1,250.00	5.0
MISSION POINT	048	LMT	S	6,025	84.10	n/a	23-Mar	301.25	5.0
GREEN ARROW DOUG	040	LTD	B	25,000	25.91	n/a	n/a	1,250.00	5.0
AVESTA CAP	229	LVS	S	100,000	21.18	n/a	30-Mar	3,000.00	3.0
CIRCLE T/SES PART	035	LVS	S	50,000	21.16	n/a	30-Mar	2,000.00	4.0
EGS ASSOCIATES LP	091	LVS	SS	6,500	21.20	n/a	30-Mar	390.00	6.0
OZ MGMT	040	LVS	SS	174,402	21.20	n/a	30-Mar	5,232.06	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	LVS	B	10,000	21.80	n/a	30-Mar	400.00	4.0
TRELLUS PARTNERS LP	028	LVS	SS	15,000	21.63	n/a	30-Mar	750.00	5.0
THE JAY GOLDMAN	028	MAR	B	55,000	31.88	n/a	n/a	2,200.00	4.0
TROUBH PART	067	MGM	SS	25,000	12.27	n/a	12-Mar	1,250.00	5.0
RAMIUS CAP	040	MIDD	C	10,000	57.77	n/a	5-Mar	400.00	4.0
MAIRS AND POWER INV	030	MMM	S	10,000	84.30	n/a	18-Feb	500.00	5.0
CIRCLE T/SES PART	035	MPEL	SS	100,000	4.58	n/a	30-Mar	4,000.00	4.0
BASCOM HILL PARTNERS LLC	033	MS	B	5,000	29.05	n/a	30-Mar	150.00	3.0
HOLLIS CAPITAL	033	MS	B	3,000	29.08	n/a	30-Mar	150.00	5.0
LAGRANGE CAP ADV	048	MS	B	10,000	29.00	n/a	30-Mar	500.00	5.0
IVORY CAPITAL	034	MU	B	111,100	10.72	n/a	n/a	5,555.00	5.0
BRIGADE CAPITAL MGMT	029	M	S	50,000	22.00	n/a	5-Mar	1,500.00	3.0
EXIS CAPITAL	044	M	B	20,000	22.00	n/a	5-Mar	1,000.00	5.0
KACELA CAPITAL	034	M	B	30,000	22.05	n/a	5-Mar	1,200.00	4.0
LAGRANGE CAP ADV	048	M	SS	5,000	22.15	n/a	5-Mar	250.00	5.0
FINANCIAL STOCK LP	028	NARA	S	50,000	8.66	n/a	n/a	2,000.00	4.0
SCOPUS FUND	041	NWL	B	15,000	15.22	n/a	n/a	750.00	5.0
PROSPECTOR PARTNERS LLC	036	NXY	B	10,000	24.69	n/a	n/a	400.00	4.0
LAGRANGE CAP ADV	048	PAG	B	10,000	14.70	n/a	23-Mar	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WESLEY CAPITAL	029	PCL	B	20,000	38.90	n/a	26-Mar	800.00	4.0
MELLON/BANK OF NEW YORK	046	RA	B	112,200	11.61	n/a	n/a	5,610.00	5.0
GREEN ARROW DOUG	040	RGC	B	25,000	17.86	n/a	n/a	1,250.00	5.0
WESLEY CAPITAL	029	RYN	B	15,000	46.25	n/a	26-Mar	600.00	4.0
GOLD SACHS SPECIAL SIT	030	SPY	SS	50,000	117.68	n/a	n/a	2,500.00	5.0
CHILTON CAPITAL MGMT.	036	TXI	C	3,400	35.00	n/a	n/a	102.00	3.0
RBC CAPITAL MARKETS	040	WYNN	B	2,500	77.10	n/a	30-Mar	100.00	4.0
WESLEY CAPITAL	029	WY	B	50,000	45.49	n/a	26-Mar	2,000.00	4.0
LISTED ERR	099	WY	B	5,000	45.23	n/a	26-Mar	0.00	0.0
LISTED ERR	099	WY	S	5,000	45.24	n/a	26-Mar	0.00	0.0
TOTAL (Trade Date) :								80,967.74	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	03/25	TRELLUS PARTNERS LP (TRELMAIN)	028	FOR	B	10,000	19.64	n/a 26-Mar	500.00 5.0
AO,CRT	03/25	TRELLUS PARTNERS LP (TRELMAIN)	028	FOR	B	10,000	19.64	n/a 26-Mar	300.00 3.0

TOTAL (AO, CXL, CRT) :	-200.00
-------------------------------	----------------

TOTAL (Trade Date) :	80,967.74
TOTAL (AO, CXL, CRT) :	-200.00

TOTAL (RUN DATE) / NFS:	80,767.74
--------------------------------	------------------

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