



Daily Compliance Activity Report

Trade Date: 05/17/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ANF	S	70,000	39.82	n/a	10-May	2,800.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	30,000	21.63	n/a	n/a	1,200.00	4.0
NEUBERGER BERMAN	036	ANR	S	50,300	40.20	n/a	n/a	2,012.00	4.0
PLATTE RIVER CAPITAL	240	AVP	B	6,600	27.85	n/a	3-May	264.00	4.0
LAGRANGE CAP ADV	048	AXL	B	10,000	8.50	n/a	3-May	500.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	B	10,100	20.92	n/a	n/a	404.00	4.0
ROYCE TRADING	216	BIIB	S	300	50.52	n/a	n/a	15.00	5.0
BALYASNY ASSET MGMT	044	BKC	S	30,000	19.88	n/a	29-Apr	1,500.00	5.0
JP MORGAN VENTURES	046	BMV	S	19,700	23.89	n/a	n/a	985.00	5.0
BASIX	033	BWA	B	12,000	38.07	n/a	30-Apr	360.00	3.0
TRELLUS PARTNERS LP	028	BWA	B	20,000	37.92	n/a	30-Apr	1,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRI	S	50,000	32.65	n/a	n/a	1,500.00	3.0
PARTNER REINSURANCE	033	DD	S	10,300	37.00	n/a	12-May	412.00	4.0
NEUBERGER BERMAN	036	DNR	S	124,900	16.18	n/a	n/a	4,996.00	4.0
COBALT	041	DTG	S	50,000	49.58	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	DTSI	SS	5,000	34.06	n/a	n/a	250.00	5.0
OMEGA ADVISORS	041	EBAY	B	25,000	22.00	n/a	n/a	1,000.00	4.0
PNC CAPITAL ADV	028	EMC	B	81,421	18.54	n/a	n/a	3,256.84	4.0
NEUBERGER BERMAN	036	ENR	S	54,790	56.39	n/a	3-May	2,191.60	4.0
SAXON WOODS ADVISORS	242	FOSL	B	5,000	39.26	n/a	n/a	200.00	4.0
JP MORGAN VENTURES	046	FRX	S	39,400	26.38	n/a	17-May	1,970.00	5.0
OZ MGMT	040	F	B	85,291	11.89	n/a	4-May	2,558.73	3.0
TRELLUS PARTNERS LP	028	F	B	100,000	11.81	n/a	4-May	5,000.00	5.0
NEUBERGER BERMAN	036	GGG	S	31,300	33.34	n/a	n/a	1,252.00	4.0
CAVU CAP ADV	028	GLW	B	25,000	18.13	n/a	10-May	1,250.00	5.0
EXIS CAPITAL	044	GYMB	B	10,000	45.85	n/a	17-May	500.00	5.0
PLATTE RIVER CAPITAL	240	HD	S	22,300	34.90	n/a	11-May	892.00	4.0
BALYASNY ASSET MGMT	044	HGG	B	20,000	27.94	n/a	n/a	1,000.00	5.0
THE JAY GOLDMAN	028	HPT	B	9,000	24.20	n/a	n/a	360.00	4.0
AVESTA CAP	229	INTC	B	500,000	21.69	n/a	n/a	15,000.00	3.0
KACELA CAPITAL	034	INTC	B	40,000	21.82	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	23.70	n/a	29-Apr	2,500.00	5.0
SENATOR INVESTMENT GROUP	036	IWM	SS	200,000	68.51	n/a	n/a	6,000.00	3.0
EXIS CAPITAL	044	JCP	B	15,000	27.47	n/a	14-May	750.00	5.0
EXIS CAPITAL	044	JNY	B	10,000	19.90	n/a	14-May	500.00	5.0
KACELA CAPITAL	034	KFT	B	55,000	30.54	n/a	n/a	2,200.00	4.0
JP MORGAN VENTURES	046	KMB	S	15,000	62.08	n/a	26-Apr	750.00	5.0
RBC CAPITAL MARKETS	040	KNX	SS	25,000	20.63	n/a	n/a	1,000.00	4.0
EXIS CAPITAL	044	KSS	SS	5,000	53.30	n/a	14-May	250.00	5.0
CATAPULT	040	KWK	SS	25,000	12.46	n/a	n/a	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	LPX	S	475,000	9.18	n/a	11-May	16,625.00	3.5
CAVU CAP ADV	028	LRCX	S	9,393	38.70	n/a	n/a	469.65	5.0
BALYASNY ASSET MGMT	044	LVS	C	50,000	22.71	n/a	13-May	2,500.00	5.0
CHILTON CAPITAL MGMT.	036	LVS	SS	50,000	22.72	n/a	13-May	1,500.00	3.0
RBC CAPITAL MARKETS	040	LVS	S	40,000	22.53	n/a	13-May	1,600.00	4.0
TYEE/TYGH	035	MAN	S	50,000	49.59	n/a	n/a	2,000.00	4.0
PLATTE RIVER CAPITAL	240	MAR	S	24,400	35.02	n/a	n/a	976.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	MOV	B	11,500	12.72	n/a	n/a	460.00	4.0
FRED ALGER MGMT	035	MSSR	S	5,100	9.45	n/a	n/a	153.00	3.0
NEUBERGER BERMAN	036	MWIV	S	3,300	50.55	n/a	n/a	132.00	4.0
SACC-SCHWARTZ	044	MWV	SS	50,000	24.91	n/a	28-Apr	1,750.00	3.5
BALYASNY ASSET MGMT	044	M	B	30,000	21.90	n/a	13-May	1,500.00	5.0
EXIS CAPITAL	044	M	B	5,000	21.85	n/a	13-May	250.00	5.0
NEUBERGER BERMAN	036	NDSN	S	8,600	69.00	n/a	n/a	344.00	4.0
NEUBERGER BERMAN	036	NSC	S	25,040	58.07	n/a	n/a	1,001.60	4.0
THE JAY GOLDMAN	028	OEH	S	20,000	11.59	n/a	n/a	800.00	4.0
FEDERATED INV/KAUFMAN	029	OSIP	S	227,776	57.35	n/a	n/a	12,527.69	5.5
KACELA CAPITAL	034	PCAR	SS	28,000	43.20	n/a	30-Apr	1,120.00	4.0
NEUBERGER BERMAN	036	PEB	B	14,075	18.96	n/a	n/a	563.00	4.0
RBC CAPITAL MARKETS	040	PKG	B	35,000	23.46	n/a	20-Apr	1,400.00	4.0
SCOPUS FUND	041	PKG	S	5,200	23.49	n/a	20-Apr	260.00	5.0
NEUBERGER BERMAN	036	RBN	S	15,800	24.93	n/a	n/a	632.00	4.0
THE JAY GOLDMAN	028	RCL	B	5,000	30.96	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	RKT	S	29,000	52.95	n/a	n/a	1,450.00	5.0
EXIS CAPITAL	044	RSH	B	5,000	19.26	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	SKX	S	20,000	36.28	n/a	n/a	1,000.00	5.0
CATAPULT	040	TCB	SS	9,600	16.84	n/a	n/a	480.00	5.0
BMO NESBITT BURNS	041	TIN	B	25,000	21.40	n/a	21-Apr	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	TIN	S	412,000	21.45	n/a	21-Apr	20,600.00	5.0
SACC-SCHWARTZ	044	TIN	B	25,000	21.45	n/a	21-Apr	875.00	3.5
CAERUS GLOBAL	041	TJX	B	14,188	45.13	n/a	10-May	567.52	4.0
BALYASNY ASSET MGMT	044	TLB	B	30,000	15.69	n/a	n/a	1,500.00	5.0
EXIS CAPITAL	044	TLB	SS	4,100	16.40	n/a	n/a	205.00	5.0
COUGAR TRADING	044	TM	B	5,000	77.24	n/a	n/a	250.00	5.0
FRED ALGER MGMT	035	TRV	S	72,230	49.84	n/a	n/a	2,744.74	3.8
ROYCE TRADING	216	TTEC	S	800	15.08	n/a	n/a	40.00	5.0
HARBORWATCH/DIAMBACK	232	TXT	S	30,000	22.57	n/a	n/a	1,500.00	5.0
EXIS CAPITAL	044	URBN	SS	5,000	35.67	n/a	n/a	250.00	5.0
DELTEC ASSET MGMT.	040	UUP	S	16,000	25.21	n/a	n/a	800.00	5.0
RBC CAPITAL MARKETS	040	VALE	B	25,000	26.76	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	WDC	S	400	39.15	n/a	n/a	20.00	5.0
CAERUS GLOBAL	041	WMT	S	29,154	52.57	n/a	17-May	1,166.16	4.0
JP MORGAN VENTURES	046	YUM	S	20,000	40.47	n/a	15-Apr	1,000.00	5.0
TOTAL (Trade Date) :								159,641.53	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/17	COBALT (COBAGS)	041	DTG	S	50,000	49.58	n/a	n/a	2500.00 5.0
CRT	05/17	THE JAY GOLDMAN (GOLDGSBULK)	028	OEH	S	20,000	11.59	n/a	n/a	800.00 4.0
AO,CXL	05/14	SYSTEMATIC FINANCIAL MGT (&SYST11)	035	PVH	B	125	57.51	n/a	14-May	3.75 3.0
AO,CRT	05/14	SYSTEMATIC FINANCIAL MGT (SYST11)	035	PVH	B	125	57.51	n/a	14-May	3.75 3.0
TOTAL (AO, CXL, CRT) :										3,300.00

TOTAL (Trade Date) :	159,641.53
TOTAL (AO, CXL, CRT) :	3,300.00

TOTAL (RUN DATE) / NFS:	162,941.53
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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