



## Daily Compliance Activity Report

Trade Date: 04/20/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ST OF MICHIAN	047	AAPL	B	50,000	245.87	n/a	n/a	1,500.00	3.0
EXIS CAPITAL	044	AEO	SS	30,000	17.84	n/a	9-Apr	1,500.00	5.0
WINSLOW CAPITAL	030	AMZN	S	700	143.65	n/a	n/a	28.00	4.0
MILLENIUUM PARTNERS	028	AN	B	10,000	19.58	n/a	20-Apr	300.00	3.0
DIAMONDBACK CAP MGMT	232	BAC	S	30,000	18.54	n/a	19-Apr	1,500.00	5.0
PZENA INV ADV	044	BAC	B	1,750	18.60	n/a	19-Apr	61.25	3.5
RBC CAPITAL MARKETS	040	BHP	SS	4,200	79.21	n/a	n/a	168.00	4.0
WINSLOW CAPITAL	030	BIDU	S	100	630.73	n/a	n/a	4.00	4.0
VISIUM/BALY BOBBY	044	BKC	S	15,000	21.34	n/a	7-Apr	750.00	5.0
PZENA INV ADV	044	BP	B	700	60.54	n/a	n/a	24.50	3.5
WINSLOW CAPITAL	030	BRCM	S	1,600	35.59	n/a	n/a	64.00	4.0
CIRCLE T/SES PART	035	BYD	S	15,000	11.10	n/a	n/a	600.00	4.0
WEISS PECK	040	CAKE	C	4,900	28.63	n/a	19-Apr	245.00	5.0
WINSLOW CAPITAL	030	CELG	S	1,400	60.94	n/a	n/a	56.00	4.0
MILLENIUUM PARTNERS	028	COH	B	35,637	41.98	n/a	14-Apr	1,069.11	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	COST	S	1,300	59.74	n/a	n/a	52.00	4.0
WINSLOW CAPITAL	030	CSCO	S	6,100	27.38	n/a	n/a	244.00	4.0
DIAMONDBACK CAP MGMT	232	CS	C	25,000	51.71	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	CTRP	S	800	37.88	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	CTSH	S	3,700	52.89	n/a	n/a	185.00	5.0
WINSLOW CAPITAL	030	CTXS	S	800	48.64	n/a	n/a	40.00	5.0
SCHOTTENFELD ASSOC	041	C	B	50,000	4.99	n/a	19-Apr	1,500.00	3.0
WINSLOW CAPITAL	030	DELL	S	3,600	16.90	n/a	n/a	144.00	4.0
GREEN ARROW DOUG	040	EAT	B	10,000	19.70	n/a	n/a	500.00	5.0
APEX CAPITAL MGMT.	261	EBAY	S	200,000	26.37	n/a	n/a	8,000.00	4.0
WINSLOW CAPITAL	030	EQIX	S	900	99.00	n/a	n/a	36.00	4.0
MERRILL ASSET/BLACKROCK	263	ESL	B	9,800	52.94	n/a	n/a	392.00	4.0
WINSLOW CAPITAL	030	ESRX	S	800	104.31	n/a	n/a	32.00	4.0
FIRST NY SEC/CHRIS	041	FBR	SS	10,000	22.92	n/a	n/a	500.00	5.0
SCHOTTENFELD ASSOC	041	FBR	B	30,000	22.81	n/a	n/a	900.00	3.0
HARBORWATCH/DIAMBACK	232	FCX	B	35,000	81.01	n/a	n/a	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ST OF MICHIAN	047	FE	B	240,000	37.75	n/a	n/a	7,200.00	3.0
NWQ INVESTMENT MGMT CO	048	FMR	B	7,000	13.34	n/a	n/a	280.00	4.0
<b>MASTERS CAPITAL MANAGE</b>	<b>091</b>	<b>F</b>	<b>B</b>	<b>100,000</b>	<b>13.72</b>	<b>n/a</b>	<b>20-Apr</b>	<b>4,000.00</b>	<b>4.0</b>
OZ MGMT	040	F	B	300,000	13.78	n/a	20-Apr	9,000.00	3.0
OZ MGMT	040	F	C	244,000	13.76	n/a	20-Apr	7,320.00	3.0
TROUBH PART	067	F	B	50,000	13.90	n/a	20-Apr	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	GE	S	250,000	19.12	n/a	n/a	12,500.00	5.0
MILLENIU PARTNERS	028	GE	S	25,000	19.10	n/a	n/a	1,000.00	4.0
EXIS CAPITAL	044	GIII	B	1,620	28.58	n/a	n/a	81.00	5.0
WINSLOW CAPITAL	030	GILD	S	1,300	45.12	n/a	n/a	52.00	4.0
WINSLOW CAPITAL	030	GOOG	S	200	557.69	n/a	n/a	8.00	4.0
MILLENIU PARTNERS	028	GPI	SS	20,000	33.82	n/a	20-Apr	600.00	3.0
EXIS CAPITAL	044	GYMB	S	10,000	52.08	n/a	9-Apr	500.00	5.0
BALYASNY ASSET MGMT	044	HBI	B	50,000	29.17	n/a	n/a	2,500.00	5.0
SENATOR INVESTMENT GROUP	036	HD	SS	100,000	35.27	n/a	23-Feb	3,000.00	3.0
NEUBERGER BERMAN	036	HEI	S	17,600	52.55	n/a	n/a	704.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	20,000	27.47	n/a	19-Apr	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HILLTOP PARK ASSOC	041	IP	SS	25,000	27.48	n/a	19-Apr	1,000.00	4.0
RBC CAPITAL MARKETS	040	IP	SS	20,000	27.24	n/a	19-Apr	800.00	4.0
CLOVIS CAPITAL	012	IVZ	B	200,000	22.44	n/a	2-Mar	10,000.00	5.0
PZENA INV ADV	044	JCP	B	7,050	31.05	n/a	9-Apr	246.75	3.5
RBC CAPITAL MARKETS	040	JCP	S	10,000	31.37	n/a	9-Apr	400.00	4.0
PZENA INV ADV	044	JNJ	B	2,000	65.86	n/a	n/a	70.00	3.5
WINSLOW CAPITAL	030	JNPR	S	2,000	31.55	n/a	n/a	80.00	4.0
LAGRANGE CAP ADV	048	JNS	SS	4,200	15.50	n/a	n/a	210.00	5.0
DIAMONDBACK CAP MGMT	232	JPM	S	15,000	45.69	n/a	15-Apr	750.00	5.0
PZENA INV ADV	044	JPM	B	7,575	45.82	n/a	15-Apr	265.13	3.5
RBC CAPITAL MARKETS	040	KSS	B	10,000	56.38	n/a	9-Apr	400.00	4.0
EXIS CAPITAL	044	LIZ	B	30,000	8.65	n/a	7-Oct	1,500.00	5.0
WINSLOW CAPITAL	030	LLTC	S	1,600	31.18	n/a	n/a	64.00	4.0
AVESTA CAP	229	LOW	S	100,000	26.76	n/a	22-Feb	3,000.00	3.0
THE JAY GOLDMAN	028	LPX	S	20,000	11.40	n/a	19-Apr	800.00	4.0
WINSLOW CAPITAL	030	LRCX	S	1,500	40.38	n/a	n/a	60.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	1,650	27.37	n/a	n/a	82.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	LVS	B	20,000	23.79	n/a	14-Apr	800.00	4.0
THE JAY GOLDMAN	028	LVS	S	22,500	23.65	n/a	14-Apr	900.00	4.0
LEVIN CAPITAL STRATEGIES	012	MCD	S	30,000	70.39	n/a	19-Apr	900.00	3.0
LAGRANGE CAP ADV	048	MCO	B	5,000	26.69	n/a	n/a	250.00	5.0
FARALLON CAP MGMT	040	MHK	SS	3,208	60.02	n/a	n/a	128.32	4.0
LEVIN CAPITAL STRATEGIES	012	MMM	B	10,000	84.60	n/a	18-Feb	300.00	3.0
WINSLOW CAPITAL	030	MRVL	S	3,800	22.04	n/a	n/a	152.00	4.0
WINSLOW CAPITAL	030	MSFT	S	3,100	31.33	n/a	n/a	124.00	4.0
TRELLUS PARTNERS LP	028	MS	B	20,000	30.05	n/a	15-Apr	600.00	3.0
FIRST NY SEC/CHRIS	041	M	B	2,300	22.87	n/a	9-Apr	115.00	5.0
LAGRANGE CAP ADV	048	NFLX	SS	2,000	87.07	n/a	n/a	100.00	5.0
WINSLOW CAPITAL	030	ORCL	S	4,300	26.10	n/a	n/a	172.00	4.0
WINSLOW CAPITAL	030	ORLY	S	1,300	44.25	n/a	n/a	52.00	4.0
MILLENIUM PARTNERS	028	PAG	B	35,000	15.39	n/a	20-Apr	1,050.00	3.0
CASTLE ARK	031	PCAR	B	82,712	46.26	n/a	7-Apr	4,962.72	6.0
WINSLOW CAPITAL	030	PCLN	S	500	256.26	n/a	n/a	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	261	PFE	S	200,000	16.77	n/a	n/a	8,000.00	4.0
RBC CAPITAL MARKETS	040	PKG	S	14,600	25.38	n/a	20-Apr	584.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	62,475	62.59	n/a	14-Apr	1,874.25	3.0
BENCHMARK	025	QCOM	B	5,000	43.34	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	QCOM	S	3,300	42.88	n/a	n/a	132.00	4.0
DISIPLINED GROWTH INV.	030	RCL	S	2,700	34.12	n/a	n/a	135.00	5.0
HARVEST MGMT	029	ROST	B	15,000	56.82	n/a	n/a	750.00	5.0
WINSLOW CAPITAL	030	SCHW	S	2,800	19.28	n/a	n/a	112.00	4.0
WINSLOW CAPITAL	030	SHPGY	S	800	68.01	n/a	19-Apr	32.00	4.0
WINSLOW CAPITAL	030	SPLS	S	2,300	24.09	n/a	n/a	92.00	4.0
MATRIX ASSET ADV.	036	STT	B	7,000	45.74	n/a	15-Apr	280.00	4.0
DISIPLINED GROWTH INV.	030	SY	S	27,775	46.13	n/a	n/a	1,388.75	5.0
WINSLOW CAPITAL	030	TEVA	S	1,900	62.46	n/a	19-Apr	76.00	4.0
ARMATURE CAPITAL	041	TIN	B	3,300	23.33	n/a	19-Apr	132.00	4.0
BASIX	033	TIN	S	16,000	23.22	n/a	19-Apr	480.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	95,000	23.27	n/a	19-Apr	4,750.00	5.0
HARBORWATCH/DIAMBACK	232	TIN	B	20,000	23.46	n/a	19-Apr	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	TIN	B	33,100	23.33	n/a	19-Apr	1,655.00	5.0
DISCIPLINED GROWTH INV.	030	TJX	S	19,950	45.83	n/a	9-Apr	997.50	5.0
HARVEST MGMT	029	TJX	SS	18,500	45.94	n/a	9-Apr	925.00	5.0
HILLTOP PARK ASSOC	041	UFS	SS	10,000	73.38	n/a	n/a	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	URBN	SS	25,000	37.96	n/a	n/a	750.00	3.0
WINSLOW CAPITAL	030	URBN	S	2,000	38.34	n/a	n/a	80.00	4.0
STANDARD PACIFIC CAPITAL	040	VALE	SS	110,000	33.03	n/a	n/a	5,500.00	5.0
PROSPECTOR PARTNERS LLC	036	WAG	B	10,000	36.20	n/a	n/a	400.00	4.0
SAC TRADING TOM LEDDY	035	WEN	B	50,000	5.44	n/a	7-Apr	1,750.00	3.5
GREEN ARROW DOUG	040	X	S	15,000	59.15	n/a	n/a	750.00	5.0
<b>TOTAL (Trade Date):</b>								<b>139,251.78</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/16	CASTLEROCK (CASTDBPB)	040	ANN	SS	22,527	22.13	n/a	n/a	901.08 4.0
AO,CRT	04/16	CASTLEROCK (CASTMERRIL)	040	ANN	SS	22,527	22.13	n/a	n/a	901.08 4.0
CRT	04/20	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	C	B	50,000	4.99	n/a	19-Apr	1500.00 3.0
AO,CRT	04/19	CATAPULT (CATAML)	040	EMN	B	10,000	64.95	n/a	n/a	500.00 5.0
AO,CXL	04/19	CATAPULT (CATADEUTCH)	040	EMN	B	10,000	64.95	n/a	n/a	500.00 5.0
CRT	04/20	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	FBR	B	30,000	22.81	n/a	n/a	900.00 3.0
CRT	04/20	CLOVIS CAPITAL (CLOVGOLDMA)	012	IVZ	B	200,000	22.44	n/a	2-Mar	10000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>12,400.00</b>

TOTAL (Trade Date) :	139,251.78
TOTAL (AO, CXL, CRT) :	12,400.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>151,651.78</b>
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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