



## Daily Compliance Activity Report

Trade Date: 05/26/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	100	251.87	n/a	n/a	4.00	4.0
TRUSTCO/SUNTRUST	040	ACV	B	25,612	27.56	n/a	26-Apr	998.89	3.9
BALYASNY ASSET MGMT	044	AEO	B	100,000	13.89	n/a	26-May	5,000.00	5.0
CASTLEROCK	040	AEO	B	173,269	13.86	n/a	26-May	6,930.76	4.0
EXIS CAPITAL	044	AEO	B	40,000	13.98	n/a	26-May	2,000.00	5.0
TROUBH PART	067	AMGN	B	25,000	51.07	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	AMZN	B	400	125.36	n/a	n/a	16.00	4.0
SCHOTTENFELD ASSOC	041	APC	B	25,000	53.87	n/a	4-May	750.00	3.0
EXIS CAPITAL	044	ARO	B	800	28.40	n/a	21-May	40.00	5.0
BMO NESBITT BURNS	041	AXL	S	8,000	9.15	n/a	3-May	320.00	4.0
LAGRANGE CAP ADV	048	AXL	B	40,000	8.75	n/a	3-May	2,000.00	5.0
ROTHSCHILD ASSET	040	BGC	S	5,530	30.44	n/a	n/a	221.20	4.0
WINSLOW CAPITAL	030	BRCM	B	1,200	33.11	n/a	n/a	48.00	4.0
BROADARCH CAP/OLD NEWC	070	BYI	B	3,200	41.03	n/a	n/a	128.00	4.0
JP MORGAN VENTURES	046	CEPH	B	5,000	57.77	n/a	24-May	250.00	5.0
ROTHSCHILD ASSET	040	CMA	B	10,348	38.49	n/a	n/a	413.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	CSCO	S	10,610	22.97	n/a	n/a	530.50	5.0
WINSLOW CAPITAL	030	CSCO	B	200	23.61	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	CTSH	B	300	50.48	n/a	n/a	12.00	4.0
EXIS CAPITAL	044	DAN	S	20,000	10.39	n/a	30-Apr	1,000.00	5.0
SCOPUS FUND	041	DBRN	SS	10,900	26.82	n/a	n/a	545.00	5.0
SCOPUS FUND	041	DBRN	S	25,919	26.65	n/a	n/a	1,295.95	5.0
BENNETT LAWRENCE	028	DGIT	B	15,050	43.44	n/a	n/a	602.00	4.0
CASTLEROCK	040	DG	SS	54,675	30.47	n/a	26-Apr	2,187.00	4.0
HIGHBRIDGE CAP	041	DO	S	1,300	69.52	n/a	n/a	52.00	4.0
SENATOR INVESTMENT GROUP	036	EEM	B	75,000	37.20	n/a	n/a	2,250.00	3.0
JP MORGAN VENTURES	046	EEP	B	10,000	48.50	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	EL	B	2,100	57.96	n/a	17-May	84.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	20,000	1.47	n/a	n/a	800.00	4.0
HIGHBRIDGE CAP	041	FBR	S	74,989	15.59	n/a	n/a	2,999.56	4.0
CASTLEROCK	040	FDO	SS	26,717	41.54	n/a	7-Apr	1,068.68	4.0
HIGHBRIDGE CAP	041	FTI	B	8,310	60.63	n/a	n/a	332.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	F	SS	107,142	11.73	n/a	4-May	3,214.26	3.0
NEUBERGER BERMAN	036	GTLS	S	28,707	18.38	n/a	n/a	1,148.28	4.0
FRONTIER	048	HSP	B	91,070	51.38	n/a	n/a	3,642.80	4.0
STATE TEACHERS RET SYS	047	HST	B	10,000	13.75	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	IGT	B	7,500	19.00	n/a	23-Apr	300.00	4.0
ADALY INV MGMT	031	ILF	SS	25,000	41.29	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAP	041	IP	B	34,467	22.94	n/a	29-Apr	1,378.68	4.0
T. ROWE PRICE	033	IP	B	62,400	22.99	n/a	29-Apr	2,496.00	4.0
HARBORWATCH/DIAMBACK	232	IR	B	15,000	36.06	n/a	23-Apr	750.00	5.0
BALYASNY ASSET MGMT	044	JCG	C	20,000	42.81	n/a	n/a	1,000.00	5.0
MELLON/BANK OF NEW YORK	046	JNPR	B	12,835	26.17	n/a	n/a	641.75	5.0
EXIS CAPITAL	044	JNY	B	30,000	19.11	n/a	14-May	1,500.00	5.0
EXIS CAPITAL	044	KSS	B	5,000	50.55	n/a	14-May	250.00	5.0
PZENA INV ADV	044	LH	B	16,075	75.82	n/a	n/a	562.63	3.5
JET CAPITAL/CHRIS	041	ME	B	10,000	21.70	n/a	n/a	300.00	3.0
JET CAPITAL/CHRIS	041	ME	S	30,000	21.84	n/a	n/a	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HEALTHCOR MGMT	219	MKC	C	100,000	38.34	n/a	n/a	5,000.00	5.0
WINSLOW CAPITAL	030	MRVL	B	1,800	19.22	n/a	n/a	72.00	4.0
FIRST NY SEC/CHRIS	041	MSFT	B	25,000	26.08	n/a	n/a	1,250.00	5.0
WADDELL AND REED	047	MSFT	S	1,000,000	26.28	n/a	n/a	30,000.00	3.0
T. ROWE PRICE	033	MYL	S	32,600	19.53	n/a	24-May	1,304.00	4.0
EXIS CAPITAL	044	M	B	5,000	21.70	n/a	13-May	250.00	5.0
TPG-AXON	040	ORCL	B	400,000	22.51	n/a	n/a	20,000.00	5.0
WINSLOW CAPITAL	030	ORCL	B	1,200	22.53	n/a	n/a	48.00	4.0
BALYASNY ASSET MGMT	044	PAG	B	25,000	13.14	n/a	3-May	1,250.00	5.0
CIRCLE T/SES PART	035	PAG	B	80,000	13.06	n/a	3-May	3,200.00	4.0
LAGRANGE CAP ADV	048	PAG	B	30,000	12.82	n/a	3-May	1,500.00	5.0
WOOSTER CAPITAL	035	PAG	B	100,000	12.92	n/a	3-May	5,000.00	5.0
STATE TEACHERS RET SYS	047	PEP	S	146,000	62.05	n/a	n/a	7,300.00	5.0
BMO NESBITT BURNS	041	PKG	SS	4,000	21.19	n/a	20-Apr	200.00	5.0
FIRST NEW YORK NICK	029	Q	S	10,000	5.17	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	RCL	B	2,000	28.63	n/a	n/a	80.00	4.0
STATE TEACHERS RET SYS	047	RIG	S	30,000	59.01	n/a	n/a	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>86.57</b>	<b>n/a</b>	<b>20-May</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	SHPGY	B	1,100	58.78	n/a	26-May	44.00	4.0
CASEY CAPITAL	067	STX	B	10,000	15.82	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	STX	S	238,700	15.71	n/a	n/a	9,548.00	4.0
STATE TEACHERS RET SYS	047	TCO	B	6,000	38.62	n/a	n/a	300.00	5.0
BMO NESBITT BURNS	041	TIN	B	9,000	20.25	n/a	21-Apr	450.00	5.0
COUGAR TRADING	044	TM	SS	5,000	71.97	n/a	n/a	250.00	5.0
ROTHSCHILD ASSET	040	TSN	B	20,421	17.03	n/a	n/a	816.84	4.0
BUCK CAPITAL MGMT	001	UA	SS	5,500	33.77	n/a	28-Apr	220.00	4.0
HIGHBRIDGE CAP	041	UPL	S	5,714	42.78	n/a	27-Apr	228.56	4.0
WINSLOW CAPITAL	030	URBN	B	900	37.00	n/a	n/a	36.00	4.0
BMO NESBITT BURNS	041	USG	SS	2,000	17.66	n/a	22-Apr	100.00	5.0
EXIS CAPITAL	044	WRC	SS	7,500	42.05	n/a	14-May	375.00	5.0
LEVIN CAPITAL STRATEGIES	012	WRC	B	25,000	42.15	n/a	14-May	750.00	3.0
HIGHBRIDGE CAP	041	XEC	B	3,784	68.35	n/a	n/a	151.36	4.0
TOTAL (Trade Date):								146,996.02	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/25	SOLARIS INV MGMT (SOLA62)	029	ADM	S	100	24.38	n/a	10-May	5.00 5.0
AO,CXL	05/25	SOLARIS INV MGMT (SOLA2)	029	ADM	S	100	24.38	n/a	10-May	5.00 5.0
AO,CRT	05/25	SOLARIS INV MGMT (SOLA429)	029	ADM	S	100	24.38	n/a	10-May	5.00 5.0
AO,CRT	05/25	SOLARIS INV MGMT (SOLA5)	029	ADM	S	100	24.38	n/a	10-May	5.00 5.0
CRT	05/26	WOOSTER CAPITAL (WOOSGOLDMA)	035	PAG	B	100,000	12.92	n/a	3-May	5000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>5,000.00</b>

TOTAL (Trade Date) :	146,996.02
TOTAL (AO, CXL, CRT) :	5,000.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>151,996.02</b>
---------------------------------	-------------------

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