



Daily Compliance Activity Report

Trade Date: 04/21/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AMTD	B	15,000	20.29	n/a	n/a	750.00	5.0
MILLENIUM PARTNERS	028	AN	S	15,000	20.47	n/a	20-Apr	600.00	4.0
RBC CAPITAL MARKETS	040	AXL	B	50,000	11.11	n/a	20-Apr	2,000.00	4.0
CATAPULT	040	BAC	S	10,000	18.85	n/a	19-Apr	500.00	5.0
NEUBERGER BERMAN	036	BAX	S	50,300	58.70	n/a	n/a	2,012.00	4.0
GREEN ARROW DOUG	040	BGC	SS	10,000	29.74	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	BONT	B	5,000	16.75	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	BZ	B	25,000	6.93	n/a	n/a	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	CAT	SS	20,000	67.25	n/a	15-Apr	1,000.00	5.0
RBC CAPITAL MARKETS	040	CCL	SS	5,000	39.76	n/a	n/a	200.00	4.0
CATAPULT	040	CFR	B	1,244	58.38	n/a	n/a	62.20	5.0
LISTED ERR	099	CHRW	S	25,000	59.00	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	CLW	B	10,457	55.74	n/a	n/a	522.85	5.0
GREEN ARROW DOUG	040	CTB	SS	40,000	21.09	n/a	n/a	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	CWTR	B	20,000	8.32	n/a	n/a	1,000.00	5.0
EMERSON CAPITAL MGMT	048	DBRN	B	9,000	28.94	n/a	n/a	360.00	4.0
IRIDIAN ASSET MGMT.	036	DCP	S	19,510	17.17	n/a	n/a	975.50	5.0
RBC CAPITAL MARKETS	040	DDS	SS	15,000	28.09	n/a	n/a	600.00	4.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	15.79	n/a	21-Apr	1,250.00	5.0
GREEN ARROW DOUG	040	DLM	SS	10,000	16.05	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	DW	B	7,500	25.86	n/a	n/a	375.00	5.0
GREEN ARROW DOUG	040	EFA	SS	5,000	56.76	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	EXPD	B	25,000	40.18	n/a	n/a	1,000.00	4.0
ST OF MICHIAN	047	FE	B	360,000	37.85	n/a	n/a	10,800.00	3.0
CATAPULT	040	FITB	B	10,000	14.85	n/a	n/a	500.00	5.0
VISIUM/BALY BOBBY	044	FL	B	2,100	15.65	n/a	14-Apr	105.00	5.0
NWQ INVESTMENT MGMT CO	048	FMR	B	17,000	13.60	n/a	n/a	680.00	4.0
GREEN ARROW DOUG	040	FXI	SS	5,000	42.13	n/a	n/a	250.00	5.0
MILLENIUM PARTNERS	028	F	B	50,000	14.09	n/a	20-Apr	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	B	100,000	14.13	n/a	20-Apr	3,000.00	3.0
RBC CAPITAL MARKETS	040	F	B	150,000	14.06	n/a	20-Apr	3,000.00	2.0
SCOPUS FUND	041	GE	S	300,000	18.90	n/a	n/a	15,000.00	5.0
BALYASNY ASSET MGMT	044	GLW	SS	50,000	20.33	n/a	19-Mar	2,500.00	5.0
CASTLEROCK	040	GLW	B	77,289	20.44	n/a	19-Mar	3,091.56	4.0
MERRILL ASSET/BLACKROCK	263	HSC	B	7,500	32.99	n/a	1-Feb	300.00	4.0
DSG CAPITAL	225	IR	B	10,000	38.03	n/a	16-Feb	300.00	3.0
WAGONHOUND/NIC	048	JCI	B	6,198	34.48	n/a	26-Mar	247.92	4.0
CAERUS GLOBAL	041	JCP	B	5,000	30.01	n/a	21-Apr	200.00	4.0
EXIS CAPITAL	044	JCP	SS	15,000	30.46	n/a	21-Apr	750.00	5.0
CATAPULT	040	JNS	S	10,000	15.41	n/a	n/a	500.00	5.0
EGS ASSOCIATES LP	091	JNY	B	3,000	21.63	n/a	14-Apr	180.00	6.0
FARALLON CAP MGMT	040	JOE	SS	83,400	35.82	n/a	n/a	3,336.00	4.0
APEX CAPITAL MGMT.	261	KEY	S	200,000	9.05	n/a	n/a	6,000.00	3.0
RBC CAPITAL MARKETS	040	KSS	B	7,500	56.33	n/a	9-Apr	300.00	4.0
OZ MGMT	040	LEA	B	20,000	84.48	n/a	20-Apr	600.00	3.0
IRIDIAN ASSET MGMT.	036	LMT	S	6,090	86.39	n/a	14-Apr	304.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	MAR	S	15,000	34.27	n/a	n/a	600.00	4.0
SUFFOLK CAPITAL MGMT	040	MCD	B	172,400	70.96	n/a	21-Apr	6,896.00	4.0
CAVU CAP ADV	028	MOS	B	10,000	53.64	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	MS	B	10,000	31.20	n/a	21-Apr	500.00	5.0
BIXBY LLC	070	M	B	10,000	23.06	n/a	9-Apr	300.00	3.0
GREEN ARROW DOUG	040	NWL	B	30,000	17.19	n/a	n/a	1,500.00	5.0
RBC CAPITAL MARKETS	040	ORLY	S	7,500	44.12	n/a	n/a	300.00	4.0
SAC TRADING TOM LEDDY	035	PII	SS	50,000	64.00	n/a	n/a	1,750.00	3.5
EMERSON CAPITAL MGMT	048	PRGO	SS	4,500	59.59	n/a	19-Apr	180.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	65,000	63.66	n/a	21-Apr	1,950.00	3.0
RBC CAPITAL MARKETS	040	RCL	SS	5,000	34.27	n/a	n/a	200.00	4.0
IRIDIAN ASSET MGMT.	036	RTN	S	5,970	59.94	n/a	13-Apr	298.50	5.0
EMERSON CAPITAL MGMT	048	R	S	3,000	46.02	n/a	n/a	120.00	4.0
CAVU CAP ADV	028	SNDK	S	35,390	37.64	n/a	n/a	1,769.50	5.0
CHART WELL ADV	028	SOA	S	21,475	16.80	n/a	n/a	859.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	SOA	S	30,000	16.85	n/a	n/a	1,500.00	5.0
GREEN ARROW DOUG	040	SON	B	20,000	32.92	n/a	n/a	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	99,400	23.58	n/a	21-Apr	4,970.00	5.0
HUNTER GLOBAL INVESTOR	067	TIN	B	491,500	23.61	n/a	21-Apr	24,575.00	5.0
CASTLEROCK	040	TJX	B	68,526	46.46	n/a	9-Apr	2,741.04	4.0
RBC CAPITAL MARKETS	040	TJX	B	10,000	46.70	n/a	9-Apr	400.00	4.0
COUGAR TRADING	044	TM	SS	5,000	78.03	n/a	n/a	250.00	5.0
CAVU CAP ADV	028	TNB	B	11,400	41.61	n/a	n/a	570.00	5.0
AVENUE CAPITAL MGMT	070	TRW	B	85,900	32.85	n/a	n/a	2,577.00	3.0
MILLENIUM PARTNERS	028	TYC	S	10,000	39.86	n/a	29-Jan	400.00	4.0
TRELLUS PARTNERS LP	028	URI	B	15,000	10.69	n/a	n/a	750.00	5.0
CAVU CAP ADV	028	UTX	SS	25,000	74.28	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	WAG	B	9,000	35.80	n/a	n/a	360.00	4.0
&PRO	036	WAG	B	1,000	35.80	n/a	n/a	40.00	4.0
RBC CAPITAL MARKETS	040	WCN	B	10,000	34.79	n/a	n/a	400.00	4.0
CHILTON CAPITAL MGMT.	036	WFT	S	100,000	16.85	n/a	n/a	3,000.00	3.0
GREEN ARROW DOUG	040	WGO	B	25,000	15.92	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	067	WM	SS	25,000	35.15	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	WSM	B	7,500	30.63	n/a	n/a	300.00	4.0
HIGHBRIDGE CAP	041	WY	S	38,435	50.30	n/a	19-Apr	1,537.40	4.0
RBC CAPITAL MARKETS	040	XRT	SS	20,000	43.11	n/a	n/a	800.00	4.0
TOTAL (Trade Date) :								139,295.97	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/20	MILLENIUUM PARTNERS (MILPMLICS)	028	AN	B	10,000	19.58	n/a	20-Apr	300.00 3.0
AO,CXL	04/20	MILLENIUUM PARTNERS (MILPML)	028	AN	B	10,000	19.58	n/a	20-Apr	300.00 3.0
AO,CRT	04/20	MILLENIUUM PARTNERS (MILPMLICS)	028	COH	B	35,637	41.98	n/a	21-Apr	1069.11 3.0
AO,CXL	04/20	MILLENIUUM PARTNERS (MILPML)	028	COH	B	35,637	41.98	n/a	21-Apr	1069.11 3.0
AO,CXL	04/20	WINSLOW CAPITAL (WINS130FIS)	030	CTSH	S	3,700	52.89	n/a	n/a	185.00 5.0
AO,CRT	04/20	WINSLOW CAPITAL (WINS107MGI)	030	CTSH	S	3,700	52.89	n/a	n/a	148.00 4.0
AO,CXL	04/20	WINSLOW CAPITAL (WINS130FIS)	030	CTXS	S	800	48.64	n/a	n/a	40.00 5.0
AO,CRT	04/20	WINSLOW CAPITAL (WINS107MGI)	030	CTXS	S	800	48.64	n/a	n/a	32.00 4.0
CRT	04/21	EMERSON CAPITAL MGMT (EMERGSPB)	048	DBRN	B	9,000	28.94	n/a	n/a	360.00 4.0
CRT	04/21	RBC CAPITAL MARKETS (RBCCMAIN)	040	F	B	150,000	14.06	n/a	20-Apr	3000.00 2.0
AO,CRT	04/20	MILLENIUUM PARTNERS (MILPMLICS)	028	GPI	SS	20,000	33.82	n/a	20-Apr	600.00 3.0
AO,CXL	04/20	MILLENIUUM PARTNERS (MILPML)	028	GPI	SS	20,000	33.82	n/a	20-Apr	600.00 3.0
AO,	04/20	FARALLON CAP MGMT (FARACS)	040	MHK	SS	700	60.02	n/a	n/a	28.00 4.0
AO,CXL	04/20	FARALLON CAP MGMT (FARABULK F)	040	MHK	SS	3,208	60.02	n/a	n/a	128.32 4.0
AO,	04/20	FARALLON CAP MGMT (FARABULK F)	040	MHK	SS	2,508	60.02	n/a	n/a	100.32 4.0
AO,CXL	04/20	TRELLUS PARTNERS LP (TRELMAIN)	028	MS	B	20,000	30.05	n/a	21-Apr	600.00 3.0
AO,CRT	04/20	TRELLUS PARTNERS LP (TRELMAIN)	028	MS	B	20,000	30.05	n/a	21-Apr	1000.00 5.0
AO,CRT	04/20	MILLENIUUM PARTNERS (MILPMLICS)	028	PAG	B	35,000	15.39	n/a	20-Apr	1050.00 3.0
AO,CXL	04/20	MILLENIUUM PARTNERS (MILPML)	028	PAG	B	35,000	15.39	n/a	20-Apr	1050.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/20	STANDARD PACIFIC CAPITAL (SPACUBS)	040	VALE	SS	110,000	33.03	n/a	n/a	5500.00 5.0
AO,CXL	04/20	STANDARD PACIFIC CAPITAL (SPACMS)	040	VALE	SS	110,000	33.03	n/a	n/a	5500.00 5.0
TOTAL (AO, CXL, CRT) :										3,715.00

TOTAL (Trade Date) :	139,295.97
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TOTAL (RUN DATE) / NFS :	143,010.97
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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