



Daily Compliance Activity Report

Trade Date: 04/16/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	SS	241,600	17.67	n/a	9-Apr	7,248.00	3.0
MERRILL ASSET/BLACKROCK	263	AGCO	S	31,700	38.53	n/a	18-Mar	1,268.00	4.0
CASTLEROCK	040	AMR	SS	352,098	8.90	n/a	n/a	14,083.92	4.0
LEVIN CAPITAL STRATEGIES	012	ANF	C	40,000	48.50	n/a	9-Apr	1,200.00	3.0
RBC CAPITAL MARKETS	040	ANF	SS	5,000	49.62	n/a	9-Apr	200.00	4.0
CASTLEROCK	040	ANN	SS	84,884	22.13	n/a	n/a	3,395.36	4.0
THE JAY GOLDMAN	028	ANN	B	30,000	22.11	n/a	n/a	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	ATR	C	10,000	42.49	n/a	n/a	500.00	5.0
COBALT	041	BAC	SS	100,000	18.67	n/a	15-Apr	5,000.00	5.0
PORTER-ORLIN-FELDMAN	044	BAC	SS	59,000	18.56	n/a	15-Apr	2,950.00	5.0
PORTER-ORLIN-FELDMAN	044	BAC	S	41,000	18.56	n/a	15-Apr	2,050.00	5.0
WAGONHOUND/NIC	048	BAC	B	25,000	19.06	n/a	15-Apr	1,000.00	4.0
BALYASNY ASSET MGMT	044	BA	SS	50,000	70.78	n/a	14-Apr	2,500.00	5.0
EXIS CAPITAL	044	BONT	B	10,000	16.94	n/a	n/a	500.00	5.0
ACK ASSET	028	CHP	B	92,000	1.77	n/a	n/a	2,760.00	3.0
SANDLER O'NEILL ASSET	031	C	S	250,000	4.64	n/a	15-Apr	5,000.00	2.0
TRELLUS PARTNERS LP	028	DAN	S	20,900	13.59	n/a	25-Feb	1,045.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BERMAN CAPITAL MGMT	046	DELL	B	20,000	16.92	n/a	n/a	600.00	3.0
GREEN ARROW DOUG	040	EFA	SS	10,000	57.19	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	ELS	B	7,848	56.34	n/a	n/a	313.92	4.0
MERRILL ASSET/BLACKROCK	263	ENR	B	3,100	61.25	n/a	3-Mar	124.00	4.0
1798 CAPITAL MGMT	040	FOR	B	20,000	21.29	n/a	26-Mar	1,000.00	5.0
BMO NESBITT BURNS	041	FOR	S	5,000	21.16	n/a	26-Mar	500.00	10.0
ROYCE TRADING	216	FRX	B	100,000	27.84	n/a	16-Apr	5,000.00	5.0
TROUBH PART	067	F	S	75,000	13.71	n/a	5-Apr	3,750.00	5.0
PROSPECTOR PARTNERS LLC	036	GFI	B	20,000	12.51	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	HEI	S	10,900	51.61	n/a	n/a	436.00	4.0
ROTHSCHILD ASSET	040	HNI	B	15,951	28.50	n/a	n/a	638.04	4.0
JENNISON	032	INTC	S	570,000	24.03	n/a	n/a	21,090.00	3.7
NICOLAS APPLGATE	048	INTC	B	40,000	24.04	n/a	n/a	1,600.00	4.0
ARMATURE CAPITAL	041	IP	B	10,000	27.91	n/a	26-Mar	400.00	4.0
BMO NESBITT BURNS	041	IP	SS	50,000	27.65	n/a	26-Mar	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	210,000	27.71	n/a	26-Mar	10,500.00	5.0
SCAJ	030	JCI	B	25,000	32.49	n/a	26-Mar	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	JCP	B	45,000	31.32	n/a	9-Apr	2,250.00	5.0
RBC CAPITAL MARKETS	040	JWN	SS	10,000	43.12	n/a	9-Apr	400.00	4.0
DIAMONDBACK CAP MGMT	232	KSS	SS	25,000	57.64	n/a	9-Apr	1,250.00	5.0
EXIS CAPITAL	044	KSS	SS	5,000	57.16	n/a	9-Apr	250.00	5.0
1798 CAPITAL MGMT	040	LORL	B	1,000	38.55	n/a	n/a	50.00	5.0
SUN AMERICA ASSET MGMT	030	LO	B	2,013	77.86	n/a	n/a	80.52	4.0
EMERSON CAPITAL MGMT	048	LVLTT	B	25,000	1.68	n/a	n/a	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	B	2,800	22.73	n/a	14-Apr	112.00	4.0
CIRCLE T/SES PART	035	MGM	B	25,000	14.68	n/a	15-Apr	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	MO	B	8,496	21.06	n/a	n/a	339.84	4.0
RBC CAPITAL MARKETS	040	PG	B	5,000	63.45	n/a	18-Mar	200.00	4.0
BMO NESBITT BURNS	041	PKG	S	24,100	25.00	n/a	26-Mar	1,205.00	5.0
JP MORGAN VENTURES	046	PRI	S	20,000	22.98	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	PSUN	B	20,000	6.00	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	263	RECN	B	66,600	19.10	n/a	n/a	2,664.00	4.0
PROSPECTOR PARTNERS LLC	036	SLE	B	10,000	13.94	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	SPY	SS	75,000	119.15	n/a	n/a	2,625.00	3.5
SAXON WOODS ADVISORS	242	TGT	S	232,200	55.93	n/a	9-Apr	6,966.00	3.0
1798 CAPITAL MGMT	040	THO	B	1,000	35.04	n/a	n/a	50.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	40,000	22.66	n/a	26-Mar	2,000.00	5.0
RBC CAPITAL MARKETS	040	TIN	S	10,000	23.47	n/a	26-Mar	400.00	4.0
1798 CAPITAL MGMT	040	TKR	B	8,000	31.93	n/a	n/a	400.00	5.0
BALYASNY ASSET MGMT	044	TRW	SS	25,000	34.17	n/a	n/a	1,250.00	5.0
BRANDWINE	028	UNH	S	42,100	30.73	n/a	n/a	1,684.00	4.0
RBC CAPITAL MARKETS	040	VALE	SS	25,000	34.15	n/a	n/a	1,000.00	4.0
NEWLAND CAPITAL MGT	067	VMC	S	10,000	52.94	n/a	n/a	400.00	4.0
CASTLEROCK	040	WRC	SS	62,265	50.14	n/a	2-Mar	2,490.60	4.0
1798 CAPITAL MGMT	040	WY	B	29,800	47.67	n/a	26-Mar	1,490.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	10,000	47.23	n/a	26-Mar	500.00	5.0
RBC CAPITAL MARKETS	040	XRT	SS	17,500	43.38	n/a	n/a	700.00	4.0
EXIS CAPITAL	044	ZQK	B	10,000	5.25	n/a	12-Mar	500.00	5.0

TOTAL (Trade Date):

138,184.20

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/16	THE JAY GOLDMAN (GOLDGSBULK)	028	ANN	B	30,000	22.11	n/a	n/a	1200.00 4.0
AO,CXL	04/13	SHEFFIELD ASSET MGMT (SHEFJPM)	031	PKG	B	20,000	24.25	n/a	26-Mar	1000.00 5.0
AO,CRT	04/13	SHEFFIELD ASSET MGMT (SHEFMS)	031	PKG	B	20,000	24.25	n/a	26-Mar	1000.00 5.0

TOTAL (AO, CXL, CRT) :	1,200.00
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TOTAL (Trade Date) :	138,184.20
TOTAL (AO, CXL, CRT) :	1,200.00

TOTAL (RUN DATE) / NFS:	139,384.20
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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