



Daily Compliance Activity Report

Trade Date: 05/28/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	S	200	11.63	n/a	n/a	10.00	5.0
DAVIDSON KEMPNER ADVISOR	040	AGN	C	50,000	60.42	n/a	24-May	2,500.00	5.0
PATTEN & PATTEN	067	AGN	S	250	60.65	n/a	24-May	12.50	5.0
SUN AMERICA ASSET MGMT	030	ANR	B	22,200	38.56	n/a	n/a	888.00	4.0
PATTEN & PATTEN	067	APD	B	350	69.34	n/a	10-May	17.50	5.0
COLUMBUS CIRCLE	036	ATI	S	7,000	55.28	n/a	n/a	280.00	4.0
NEUBERGER BERMAN	036	ATU	B	30,800	20.44	n/a	n/a	1,232.00	4.0
ROYCE TRADING	216	BIIB	B	500	47.59	n/a	n/a	25.00	5.0
LEVEL GLOBAL SHARED ACCT	257	BKC	C	36,200	19.19	n/a	29-Apr	1,086.00	3.0
CHILTON CAPITAL MGMT.	036	BKD	SS	100,000	17.80	n/a	n/a	3,000.00	3.0
BRIGADE CAPITAL MGMT	029	BONT	S	53,900	13.11	n/a	n/a	1,617.00	3.0
PATTEN & PATTEN	067	CAG	S	300	24.28	n/a	n/a	15.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRI	S	200,000	30.93	n/a	n/a	6,000.00	3.0
COLUMBUS CIRCLE	036	CRM	S	5,000	86.42	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	CVA	S	1,000	15.49	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	ENDP	SS	30,000	21.04	n/a	24-May	1,050.00	3.5
PATTEN & PATTEN	067	EPP	S	810	37.25	n/a	n/a	40.50	5.0
PATTEN & PATTEN	067	ETN	B	350	70.09	n/a	27-May	17.50	5.0
PATTEN & PATTEN	067	EWG	B	1,850	19.25	n/a	n/a	92.50	5.0
CHILTON CAPITAL MGMT.	036	GDX	SS	50,000	49.61	n/a	n/a	1,500.00	3.0
BMO NESBITT BURNS	041	GES	S	5,000	38.30	n/a	28-May	250.00	5.0
EXIS CAPITAL	044	GES	SS	10,000	38.28	n/a	28-May	500.00	5.0
WHITE PINE CAPITAL	030	GGG	S	9,200	31.59	n/a	n/a	460.00	5.0
BMO NESBITT BURNS	041	GIL	S	5,500	28.94	n/a	14-May	275.00	5.0
STATE TEACHERS RET SYS	047	GT	B	25,000	11.91	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	GYMB	B	5,000	44.80	n/a	28-May	250.00	5.0
CHILTON CAPITAL MGMT.	036	HOT	SS	100,000	46.64	n/a	n/a	3,000.00	3.0
EXIS CAPITAL	044	HWD	B	10,000	12.40	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	ITT	S	500	48.45	n/a	30-Apr	25.00	5.0
EXIS CAPITAL	044	JNY	B	20,000	20.07	n/a	14-May	1,000.00	5.0
BMO NESBITT BURNS	041	JWN	B	10,000	40.01	n/a	28-May	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	JWN	B	20,000	40.00	n/a	28-May	1,000.00	5.0
SCOPUS FUND	041	KSS	B	25,000	51.26	n/a	28-May	1,250.00	5.0
COLUMBUS CIRCLE	036	KSU	S	10,600	38.42	n/a	n/a	424.00	4.0
Õ Ravi Sadarangani		KSWS	S	100	12.4800	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		KSWS	S	100	12.4800	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		KSWS	S	500	12.4800	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	LANC	B	8,100	54.81	n/a	n/a	324.00	4.0
FIRST NEW YORK LEDDY	035	LVLTT	S	20,000	1.32	n/a	n/a	800.00	4.0
DIAMONDBACK CAP MGMT	232	LVS	S	65,000	23.29	n/a	13-May	3,250.00	5.0
CHILTON CAPITAL MGMT.	036	MAR	SS	100,000	33.66	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	21.80	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	M	B	15,000	22.16	n/a	28-May	750.00	5.0
FARBER/WEISS PECK	070	NUAN	S	23,000	17.14	n/a	n/a	920.00	4.0
PATTEN & PATTEN	067	PID	B	800	13.06	n/a	n/a	40.00	5.0
HARVEST MGMT	029	PLCE	B	10,000	47.37	n/a	21-May	500.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	6,000	47.30	n/a	21-May	240.00	4.0
STERLING JOHNSTON	035	PLCE	B	50,000	47.14	n/a	21-May	2,000.00	4.0
MELLON/BANK OF NEW YORK	046	PVX	B	14,000	7.02	n/a	n/a	700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLENHILL CAPITAL	212	QQQQ	B	500,000	45.64	n/a	n/a	25,000.00	5.0
COUGAR TRADING	044	TAST	S	2,500	6.25	n/a	n/a	100.00	4.0
PATTEN & PATTEN	067	TEVA	B	950	55.08	n/a	27-May	47.50	5.0
EXIS CAPITAL	044	TJX	SS	5,000	45.74	n/a	28-May	250.00	5.0
LISTED ERR	099	TLB	S	100	15.12	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TM	SS	5,000	72.47	n/a	n/a	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TPX	B	50,000	33.58	n/a	n/a	1,500.00	3.0
EXIS CAPITAL	044	UA	B	30,003	34.25	n/a	28-Apr	1,500.15	5.0
STATE TEACHERS RET SYS	047	VZ	S	45,000	27.61	n/a	n/a	2,250.00	5.0
HARVEST MGMT	029	XRT	SS	11,500	40.75	n/a	n/a	345.00	3.0
TOTAL (Trade Date) :								74,484.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/27	MADISON ST PARTNERS LLC (MADIJPM)	046	BRCM	B	306	33.94	n/a	n/a	15.30	5.0
AO,CXL	05/27	MADISON ST PARTNERS LLC (MADIGS)	046	BRCM	B	25,000	33.94	n/a	n/a	1250.00	5.0
AO,CRT	05/27	MADISON ST PARTNERS LLC (MADIGS)	046	BRCM	B	24,694	33.94	n/a	n/a	1234.70	5.0
AO,	05/27	COLUMBUS CIRCLE (COLC4025)	036	PAY	B	670	18.91	n/a	n/a	26.80	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC0921)	036	PAY	B	1,036	18.91	n/a	n/a	41.44	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3075)	036	PAY	B	731	18.91	n/a	n/a	29.24	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3075)	036	PAY	B	2,337	18.91	n/a	n/a	93.48	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC7945)	036	PAY	B	205	18.91	n/a	n/a	8.20	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3025)	036	PAY	B	5,142	18.91	n/a	n/a	205.68	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3065)	036	PAY	B	3,963	18.91	n/a	n/a	158.52	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3055)	036	PAY	B	2,032	18.91	n/a	n/a	81.28	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC4005)	036	PAY	B	1,443	18.91	n/a	n/a	57.72	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3066)	036	PAY	B	333	18.91	n/a	n/a	13.32	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC0750)	036	PAY	B	4,004	18.91	n/a	n/a	160.16	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3080)	036	PAY	B	1,870	18.91	n/a	n/a	74.80	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC5930)	036	PAY	B	3,313	18.91	n/a	n/a	132.52	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC0907)	036	PAY	B	518	18.91	n/a	n/a	20.72	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC0890)	036	PAY	B	2,378	18.91	n/a	n/a	95.12	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC5910)	036	PAY	B	1,788	18.91	n/a	n/a	71.52	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC1550)	036	PAY	B	304	18.91	n/a	n/a	12.16	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3052)	036	PAY	B	2,622	18.91	n/a	n/a	104.88	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3040)	036	PAY	B	3,069	18.91	n/a	n/a	122.76	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC0820)	036	PAY	B	2,073	18.91	n/a	n/a	82.92	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC0830)	036	PAY	B	99	18.91	n/a	n/a	3.96	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC7950)	036	PAY	B	416	18.91	n/a	n/a	16.64	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC3078)	036	PAY	B	132	18.91	n/a	n/a	5.28	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/27	COLUMBUS CIRCLE (COLC3076)	036	PAY	B	1,605	18.91	n/a	n/a	64.20	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC0450)	036	PAY	B	182	18.91	n/a	n/a	7.28	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC0400)	036	PAY	B	752	18.91	n/a	n/a	30.08	4.0
AO,	05/27	COLUMBUS CIRCLE (COLC5920)	036	PAY	B	426	18.91	n/a	n/a	17.04	4.0
AO,CXL	05/27	POINT BLANK CAPITAL (POINJEFFPB)	028	PCL	B	4,000	34.89	n/a	27-Apr	200.00	5.0
AO,CRT	05/27	POINT BLANK CAPITAL (POINJEFFPB)	028	PCL	B	4,000	34.89	n/a	27-Apr	80.00	2.0
AO,CXL	05/27	STANDARD PACIFIC CAPITAL (SPACJPMORG)	040	ROST	SS	35,000	52.82	n/a	n/a	1750.00	5.0
AO,CRT	05/27	STANDARD PACIFIC CAPITAL (SPACUBS)	040	ROST	SS	35,000	52.82	n/a	n/a	1750.00	5.0
AO,	05/27	WHITE PINE CAPITAL (WPIN0002)	030	TBT	S	1,000	40.21	n/a	n/a	50.00	5.0
AO,	05/27	WHITE PINE CAPITAL (WPIN0002)	030	TLT	B	300	96.52	n/a	n/a	15.00	5.0
AO,CXL	05/27	POINT BLANK CAPITAL (POINJEFFPB)	028	UFS	B	3,000	61.12	n/a	n/a	150.00	5.0
AO,CRT	05/27	POINT BLANK CAPITAL (POINJEFFPB)	028	UFS	B	3,000	61.12	n/a	n/a	60.00	2.0
AO,CXL	05/27	POINT BLANK CAPITAL (POINJEFFPB)	028	WPP	B	6,000	8.68	n/a	n/a	300.00	5.0
AO,CRT	05/27	POINT BLANK CAPITAL (POINJEFFPB)	028	WPP	B	6,000	8.68	n/a	n/a	120.00	2.0
TOTAL (AO, CXL, CRT) :										1,412.72	

TOTAL (Trade Date) :	74,484.15
TOTAL (AO, CXL, CRT) :	1,412.72

TOTAL (RUN DATE) / NFS:

75,896.87

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