



Daily Compliance Activity Report

Trade Date: 04/29/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAVU CAP ADV	028	AA	B	24,900	13.78	n/a	n/a	1,245.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	46.38	n/a	9-Apr	1,750.00	3.5
EXIS CAPITAL	044	ARO	B	5,000	30.55	n/a	9-Apr	250.00	5.0
METROPOLITAN CAPITAL	044	AXL	S	38,500	11.70	n/a	20-Apr	1,925.00	5.0
GRUBER MACBAINE	033	BBBY	S	5,000	47.26	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	BONT	B	17,500	18.30	n/a	n/a	875.00	5.0
JP MORGAN VENTURES	046	BUCY	B	25,000	64.82	n/a	22-Feb	1,250.00	5.0
BMO NESBITT BURNS	041	BZ	S	25,000	7.35	n/a	n/a	1,250.00	5.0
TRELLUS PARTNERS LP	028	BZ	S	30,000	7.27	n/a	n/a	900.00	3.0
SANDLER CAPITAL	226	CAG	SS	70,000	24.67	n/a	n/a	4,200.00	6.0
HIGHBRIDGE CAP	041	COH	SS	17,000	42.67	n/a	21-Apr	680.00	4.0
GCORE MANAGEMENT	041	CSCO	B	25,000	27.49	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	CWTR	B	10,000	7.54	n/a	n/a	500.00	5.0
WATERFRONT CAP	028	DPZ	B	25,000	15.72	n/a	7-Apr	1,000.00	4.0
ADAGE CAPITAL MGMT	030	FDO	B	122,600	39.82	n/a	7-Apr	3,678.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	F	B	100,000	13.62	n/a	28-Apr	4,000.00	4.0
OZ MGMT	040	F	SS	112,996	13.51	n/a	28-Apr	3,389.88	3.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	100,000	25.73	n/a	n/a	3,500.00	3.5
LAGRANGE CAP ADV	048	HAR	B	20,000	40.84	n/a	20-Apr	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	HRB	S	8,900	18.88	n/a	n/a	356.00	4.0
WAGONHOUND/NIC	048	HSC	S	32,264	32.59	n/a	29-Apr	1,290.56	4.0
SCOPUS FUND	041	IP	S	37,100	28.76	n/a	29-Apr	1,855.00	5.0
JP MORGAN VENTURES	046	JOYG	B	10,000	61.10	n/a	4-Mar	500.00	5.0
SANDLER O'NEILL ASSET	031	JPM	S	175,000	43.96	n/a	15-Apr	8,750.00	5.0
NEWLAND CAPITAL MGT	067	KALU	B	25,000	39.85	n/a	n/a	1,000.00	4.0
PZENA INV ADV	044	KFT	B	4,475	29.98	n/a	n/a	156.63	3.5
NEUBERGER BERMAN	036	KRC	S	35,000	35.72	n/a	n/a	1,400.00	4.0
EXIS CAPITAL	044	KSS	SS	5,000	56.79	n/a	9-Apr	250.00	5.0
METROPOLITAN CAPITAL	044	LEA	B	5,500	81.74	n/a	20-Apr	275.00	5.0
GRUBER MACBAINE	033	LOW	S	5,000	27.48	n/a	22-Feb	200.00	4.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.52	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	MAR	B	25,000	36.91	n/a	n/a	1,250.00	5.0
CIRCLE T/SES PART	035	MGM	B	15,000	16.34	n/a	15-Apr	600.00	4.0
KADE CAPITAL LLC	036	MGM	S	17,500	16.51	n/a	15-Apr	875.00	5.0
EXIS CAPITAL	044	M	B	20,000	24.55	n/a	28-Apr	1,000.00	5.0
JP MORGAN VENTURES	046	NCI	S	40,000	13.21	n/a	n/a	2,000.00	5.0
HIGHBRIDGE CAP	041	NE	SS	85,500	42.32	n/a	n/a	3,420.00	4.0
CHILTON CAPITAL MGMT.	036	NOK	C	100,000	12.12	n/a	n/a	3,000.00	3.0
EATON VANCE MGMT	048	NOK	B	800,000	12.08	n/a	n/a	24,000.00	3.0
SOROS	036	NOK	SS	248,500	12.06	n/a	n/a	9,940.00	4.0
LAGRANGE CAP ADV	048	PAG	B	500	15.45	n/a	20-Apr	25.00	5.0
WOOSTER CAPITAL	035	PAG	S	50,000	15.90	n/a	20-Apr	2,500.00	5.0
CATAPULT	040	PG	S	50,000	61.14	n/a	26-Apr	2,000.00	4.0
CAVU CAP ADV	028	PG	S	20,000	61.98	n/a	26-Apr	1,000.00	5.0
EXIS CAPITAL	044	PIR	B	25,000	8.68	n/a	n/a	1,250.00	5.0
BRIGADE CAPITAL MGMT	029	PLCE	S	50,000	47.85	n/a	27-Apr	1,500.00	3.0
IRONBOUND CAPITAL	012	PSA	B	70,600	98.11	n/a	n/a	2,118.00	3.0
NEUBERGER BERMAN	036	PX	B	18,727	84.19	n/a	28-Apr	749.08	4.0
JP MORGAN VENTURES	046	PZZA	S	25,000	27.84	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WESLEY CAPITAL	029	RYN	B	25,000	49.53	n/a	19-Apr	1,000.00	4.0
EXIS CAPITAL	044	SKX	SS	5,000	39.30	n/a	n/a	250.00	5.0
M&I FUNDS	047	SLE	B	21,437	14.24	n/a	n/a	857.48	4.0
NEUBERGER BERMAN	036	SLG	S	6,800	64.39	n/a	n/a	272.00	4.0
JP MORGAN VENTURES	046	SPY	B	35,000	120.82	n/a	n/a	1,050.00	3.0
COUGAR TRADING	044	TM	B	10,000	78.01	n/a	n/a	500.00	5.0
MAIRS AND POWER INV	030	TRV	S	40,000	51.21	n/a	n/a	2,000.00	5.0
EXIS CAPITAL	044	UA	B	5,000	35.89	n/a	28-Apr	250.00	5.0
KADE CAPITAL LLC	036	WYNN	B	10,000	91.42	n/a	14-Apr	500.00	5.0
KADE CAPITAL LLC	036	WYNN	S	5,000	92.91	n/a	14-Apr	250.00	5.0
OZ MGMT	040	WYNN	B	25,000	90.82	n/a	14-Apr	750.00	3.0
THE JAY GOLDMAN	028	WYN	S	5,000	27.47	n/a	n/a	200.00	4.0
OZ MGMT	040	WY	S	75,000	50.64	n/a	19-Apr	2,250.00	3.0
PZENA INV ADV	044	ZMH	B	5,125	61.65	n/a	n/a	179.38	3.5
TOTAL (Trade Date) :								118,262.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/27	MILLENIUUM PARTNERS (MILPMLICS)	028	F	B	50,000	13.89	n/a	28-Apr	2000.00 4.0
AO,CXL	04/27	MILLENIUUM PARTNERS (MILPCSTARS)	028	F	B	50,000	13.89	n/a	28-Apr	2000.00 4.0
CRT	04/29	WOOSTER CAPITAL (WOOSGOLDMA)	035	PAG	S	50,000	15.90	n/a	20-Apr	2500.00 5.0
AO,CRT	04/26	STELLIAM INV ADV (STLLGSBULK)	034	PKD	SS	25,000	5.58	n/a	n/a	750.00 3.0
AO,CXL	04/26	STELLIAM INV ADV (STLLMSEXEC)	034	PKD	SS	25,000	5.58	n/a	n/a	750.00 3.0
CRT	04/29	JP MORGAN VENTURES (JPMVJPM)	046	SPY	B	35,000	120.82	n/a	n/a	1050.00 3.0

TOTAL (AO, CXL, CRT) :	3,550.00
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TOTAL (Trade Date) :	118,262.01
TOTAL (AO, CXL, CRT) :	3,550.00

TOTAL (RUN DATE) / NFS:	121,812.01
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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