



Daily Compliance Activity Report

Trade Date: 04/28/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	ADP	S	175,000	44.17	n/a	n/a	7,000.00	4.0
THIRD COAST CAPITAL	035	AEO	S	41,000	17.33	n/a	9-Apr	2,050.00	5.0
BALYASNY ASSET MGMT	044	ALV	B	24,500	53.44	n/a	28-Apr	1,225.00	5.0
GCORE MANAGEMENT	041	ALV	B	10,000	53.52	n/a	28-Apr	500.00	5.0
WAGONHOUND/NIC	048	ALV	B	796	53.37	n/a	28-Apr	31.84	4.0
BMO NESBITT BURNS	041	ANF	SS	5,000	47.46	n/a	9-Apr	250.00	5.0
M&I FUNDS	047	ASH	S	17,446	60.75	n/a	27-Apr	697.84	4.0
GRUBER MACBAINE	033	BBBY	S	5,000	46.58	n/a	n/a	200.00	4.0
SCOUT/UMB	047	BIG	S	26,850	38.65	n/a	4-Mar	1,342.50	5.0
BNP PARIBAS SEC	040	BWA	S	7,500	39.66	n/a	23-Apr	300.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	BZ	B	56,050	7.09	n/a	n/a	2,242.00	4.0
TRELLUS PARTNERS LP	028	BZ	S	50,000	7.14	n/a	n/a	1,500.00	3.0
WEISS PECK	040	CAKE	SS	1,300	28.45	n/a	23-Apr	65.00	5.0
BMO NESBITT BURNS	041	COH	SS	6,000	42.32	n/a	21-Apr	300.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	42.29	n/a	21-Apr	400.00	4.0
EXIS CAPITAL	044	CRI	B	5,000	32.85	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	263	CRR	S	7,100	76.00	n/a	27-Apr	284.00	4.0
EXIS CAPITAL	044	CWTR	B	20,000	7.62	n/a	n/a	1,000.00	5.0
LAGRANGE CAP ADV	048	DELL	B	30,000	16.30	n/a	n/a	1,500.00	5.0
CONIFER/ISF	025	DOW	B	5,000	31.71	n/a	28-Apr	250.00	5.0
HARBORWATCH/DIAMBACK	232	DOW	SS	10,000	31.03	n/a	28-Apr	500.00	5.0
RBC CAPITAL MARKETS	040	DOW	SS	50,000	31.25	n/a	28-Apr	2,000.00	4.0
LATEFF MGMT	035	DVN	B	2,500	67.87	n/a	27-Apr	500.00	20.0
GREEN ARROW DOUG	040	ETH	S	19,600	21.43	n/a	n/a	980.00	5.0
STERLING JOHNSTON	035	FRED	B	100,000	14.03	n/a	n/a	4,000.00	4.0
HIGHBRIDGE CAP	041	FTI	B	1,467	67.19	n/a	n/a	58.68	4.0
CENTURION PARTNERS	041	F	B	50,000	13.17	n/a	28-Apr	2,000.00	4.0
LAGRANGE CAP ADV	048	F	B	30,000	13.35	n/a	28-Apr	1,500.00	5.0
OZ MGMT	040	F	B	62,929	13.37	n/a	28-Apr	1,887.87	3.0
OZ MGMT	040	F	C	112,995	13.17	n/a	28-Apr	3,389.85	3.0
ROSEDALE CAPITAL	046	F	B	70,000	12.99	n/a	28-Apr	2,800.00	4.0
SCHOTTENFELD ASSOC	041	F	B	50,000	13.09	n/a	28-Apr	1,500.00	3.0
SCOPUS FUND	041	F	B	150,000	13.36	n/a	28-Apr	7,500.00	5.0
SLS CAPITAL LLC	224	F	B	178,600	13.06	n/a	28-Apr	7,144.00	4.0
TRELLUS PARTNERS LP	028	F	B	100,000	13.17	n/a	28-Apr	5,000.00	5.0
TROUBH PART	067	F	B	50,000	13.08	n/a	28-Apr	2,500.00	5.0
HIGHBRIDGE CAP	041	GDX	B	6,299	48.98	n/a	n/a	251.96	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	GIII	B	4,047	28.98	n/a	n/a	202.35	5.0
GALT INVESTMENT	041	GPS	B	25,000	25.50	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	HSP	S	2,000	54.24	n/a	n/a	200.00	10.0
CATAPULT	040	H	B	12,000	39.70	n/a	n/a	480.00	4.0
ARMATURE CAPITAL	041	IP	B	20,000	27.19	n/a	19-Apr	800.00	4.0
HIGHBRIDGE CAP	041	IP	B	2,950	27.46	n/a	19-Apr	118.00	4.0
EGS ASSOCIATES LP	091	JNY	SS	4,500	23.09	n/a	14-Apr	270.00	6.0
EXIS CAPITAL	044	JNY	B	15,000	22.85	n/a	14-Apr	750.00	5.0
FARALLON CAP MGMT	040	JOE	SS	48,300	36.01	n/a	n/a	1,932.00	4.0
BMO NESBITT BURNS	041	JWN	B	4,500	42.22	n/a	9-Apr	225.00	5.0
BMO NESBITT BURNS	041	KSS	B	3,500	56.68	n/a	9-Apr	175.00	5.0
RBC CAPITAL MARKETS	040	KSS	B	5,000	56.89	n/a	9-Apr	200.00	4.0
EXIS CAPITAL	044	LIZ	B	20,000	9.00	n/a	7-Oct	1,000.00	5.0
CAVU CAP ADV	028	LOW	S	25,000	27.37	n/a	22-Feb	1,250.00	5.0
GRUBER MACBAINE	033	LOW	S	5,000	27.42	n/a	22-Feb	200.00	4.0
MESIROW	031	MGLN	S	18,107	41.95	n/a	n/a	724.28	4.0
M&I FUNDS	047	MIDD	S	2,000	62.72	n/a	5-Mar	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	MWW	B	12,440	17.33	n/a	n/a	622.00	5.0
THIRD COAST CAPITAL	035	M	B	20,000	24.26	n/a	28-Apr	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	OMC	S	11,190	42.17	n/a	n/a	447.60	4.0
BMO NESBITT BURNS	041	PAG	S	25,000	15.13	n/a	20-Apr	1,250.00	5.0
WOOSTER CAPITAL	035	PAG	B	50,000	15.09	n/a	20-Apr	2,500.00	5.0
NEUBERGER BERMAN	036	PCG	B	16,900	43.31	n/a	n/a	676.00	4.0
WESLEY CAPITAL	029	PCL	B	50,000	40.24	n/a	27-Apr	2,000.00	4.0
LAGRANGE CAP ADV	048	PFCB	SS	8,000	44.88	n/a	28-Apr	400.00	5.0
RBC CAPITAL MARKETS	040	PFCB	B	300	43.66	n/a	28-Apr	12.00	4.0
HIGHBRIDGE CAP	041	PKG	B	3,071	24.96	n/a	20-Apr	122.84	4.0
BRIGADE CAPITAL MGMT	029	PLCE	S	17,839	48.41	n/a	27-Apr	535.17	3.0
NEUBERGER BERMAN	036	PM	B	9,700	49.02	n/a	n/a	388.00	4.0
SCOUT/UMB	047	PVH	S	36,850	63.36	n/a	21-Apr	1,842.50	5.0
BENNETT LAWRENCE	028	RHI	S	20,800	28.10	n/a	n/a	832.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ROST	SS	100,000	56.78	n/a	n/a	3,500.00	3.5
WESLEY CAPITAL	029	RYN	B	25,000	48.17	n/a	19-Apr	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLOBAL 56 LLC	060	SIMG	S	7,500	3.97	n/a	n/a	225.00	3.0
HARBORWATCH/DIAMBACK	232	TIN	S	10,000	23.28	n/a	21-Apr	500.00	5.0
SENATOR INVESTMENT GROUP	036	TIN	B	80,000	23.09	n/a	21-Apr	2,400.00	3.0
BMO NESBITT BURNS	041	TJX	B	5,000	46.74	n/a	9-Apr	250.00	5.0
PAW PARTNERS	045	TNS	B	5,000	26.64	n/a	n/a	250.00	5.0
MAIRS AND POWER INV	030	TRV	S	50,000	50.95	n/a	n/a	2,500.00	5.0
BMO NESBITT BURNS	041	UA	SS	7,000	35.38	n/a	28-Apr	350.00	5.0
PAW PARTNERS	045	UA	S	5,000	35.34	n/a	28-Apr	250.00	5.0
PILOT ADV	242	WU	S	95,175	18.71	n/a	n/a	3,807.00	4.0
OZ MGMT	040	WY	B	65,000	50.00	n/a	19-Apr	1,950.00	3.0
WESLEY CAPITAL	029	WY	S	40,000	49.41	n/a	19-Apr	1,600.00	4.0
RBC CAPITAL MARKETS	040	XRT	B	10,000	43.47	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	ZQK	B	10,000	5.76	n/a	12-Mar	500.00	5.0
TOTAL (Trade Date) :							106,867.28		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/26	STELLIAM INV ADV (STLLMSEXEC)	034	PKD	SS	25,000	5.58	n/a	n/a	1250.00 5.0
AO,CRT	04/26	STELLIAM INV ADV (STLLMSEXEC)	034	PKD	SS	25,000	5.58	n/a	n/a	750.00 3.0

TOTAL (AO, CXL, CRT) :	-500.00
-------------------------------	----------------

TOTAL (Trade Date) :	106,867.28
TOTAL (AO, CXL, CRT) :	-500.00

TOTAL (RUN DATE) / NFS:	106,367.28
--------------------------------	-------------------

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