



Daily Compliance Activity Report

Trade Date: 05/18/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	AAP	B	7,500	46.03	n/a	n/a	300.00	4.0
NEUBERGER BERMAN	036	ACC	B	50,000	26.19	n/a	n/a	2,000.00	4.0
TRUSTCO/SUNTRUST	040	ACV	B	20,629	28.02	n/a	26-Apr	804.54	3.9
MATRIX ASSET ADV.	036	ADM	B	3,300	26.90	n/a	10-May	132.00	4.0
HOOVER INV. MGMT	033	ALK	B	120,000	46.15	n/a	n/a	4,800.00	4.0
RAINIER INV MGMT	035	ALK	S	40,100	46.10	n/a	n/a	1,604.00	4.0
WHITE PINE CAPITAL	030	AMAT	B	35,000	13.07	n/a	n/a	1,750.00	5.0
GREEN ARROW DOUG	040	ANF	S	15,000	41.38	n/a	10-May	750.00	5.0
HIGHBRIDGE CAP	041	ANF	B	2,487	40.00	n/a	10-May	99.48	4.0
BALYASNY ASSET MGMT	044	ANN	B	30,000	22.70	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	27.87	n/a	10-May	800.00	4.0
PLATTE RIVER CAPITAL	240	AVP	B	20,800	27.72	n/a	3-May	832.00	4.0
MILLRACE FUND LP	028	AXL	B	1,300	8.35	n/a	3-May	39.00	3.0
WAGONHOUND/NIC	048	BAC	S	125,000	15.85	n/a	17-May	5,000.00	4.0
CAERUS GLOBAL	041	BC	SS	300	21.00	n/a	n/a	12.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	CAT	SS	15,000	63.53	n/a	12-May	600.00	4.0
STANDARD PACIFIC CAPITAL	040	CAT	SS	60,000	64.57	n/a	12-May	3,000.00	5.0
RBC CAPITAL MARKETS	040	CHS	B	10,000	14.45	n/a	5-Feb	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	150,000	14.10	n/a	5-Feb	5,250.00	3.5
BUCK CAPITAL MGMT	001	CRI	S	20,000	32.81	n/a	n/a	800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	CRI	S	100,000	32.76	n/a	n/a	3,000.00	3.0
TRUSTCO/SUNTRUST	040	CRR	S	14,500	67.60	n/a	5-May	565.49	3.9
OZ MGMT	040	DE	B	40,000	58.87	n/a	30-Apr	1,200.00	3.0
ROSEDALE CAPITAL	046	DE	B	10,000	58.08	n/a	30-Apr	500.00	5.0
HIGHBRIDGE CAP	041	DKS	B	9,349	27.12	n/a	7-May	373.96	4.0
BAIRD INVESTMENT	047	EMC	B	19,575	18.42	n/a	n/a	978.75	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.50	n/a	n/a	800.00	4.0
CATAPULT	040	FITB	B	9,300	13.51	n/a	n/a	465.00	5.0
BMO NESBITT BURNS	041	FRX	S	8,000	27.49	n/a	18-May	320.00	4.0
DIAMONDBACK CAP MGMT	232	F	SS	42,000	11.99	n/a	4-May	2,100.00	5.0
BUCK CAPITAL MGMT	001	GES	B	10,000	37.37	n/a	14-May	400.00	4.0
MERRILL ASSET/BLACKROCK	263	HCC	S	9,108	25.94	n/a	n/a	364.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAERUS GLOBAL	041	HRL	B	15,600	41.95	n/a	n/a	624.00	4.0
MILLENIUM PARTNERS	028	IP	B	30,000	23.32	n/a	29-Apr	1,200.00	4.0
VISIUM/BALY BOBBY	044	JCG	SS	10,000	46.21	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	JCP	S	10,000	27.77	n/a	14-May	400.00	4.0
SUFFOLK CAPITAL MGMT	040	JNJ	S	294,000	63.32	n/a	n/a	11,760.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	40,000	20.40	n/a	14-May	1,600.00	4.0
EXIS CAPITAL	044	JNY	B	5,000	19.80	n/a	14-May	250.00	5.0
SCOUT/UMB	047	JWN	B	21,000	39.68	n/a	14-May	1,050.00	5.0
PILOT ADV	242	KEG	B	40,000	10.75	n/a	27-Apr	1,200.00	3.0
SCOPUS FUND	041	KMT	S	40,800	28.84	n/a	30-Apr	2,040.00	5.0
PORTER-ORLIN	044	LINTA	B	25,000	13.18	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	040	LVS	B	10,000	23.13	n/a	13-May	400.00	4.0
THE JAY GOLDMAN	028	LVS	S	10,000	23.04	n/a	13-May	400.00	4.0
THE JAY GOLDMAN	028	MAR	S	5,000	35.80	n/a	n/a	200.00	4.0
ARCHON CAPITAL	035	MF	S	50,000	8.90	n/a	n/a	1,500.00	3.0
KENNEDY CAPITAL	046	MOV	B	8,500	12.74	n/a	n/a	340.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	MWIV	S	4,900	50.81	n/a	n/a	196.00	4.0
EXIS CAPITAL	044	M	B	10,000	21.94	n/a	13-May	500.00	5.0
HIGHBRIDGE CAP	041	M	B	4,565	21.99	n/a	13-May	182.60	4.0
RBC CAPITAL MARKETS	040	M	SS	10,000	21.91	n/a	13-May	400.00	4.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	70,200	14.79	n/a	9-Apr	2,808.00	4.0
NEUBERGER BERMAN	036	NDSN	S	13,500	69.48	n/a	n/a	540.00	4.0
MERRILL ASSET/BLACKROCK	263	NYB	S	12,600	16.10	n/a	4-May	504.00	4.0
EPOCH INV MGMT	030	PEP	B	131,000	66.83	n/a	n/a	3,930.00	3.0
MERRILL ASSET/BLACKROCK	263	PRA	S	15,200	60.70	n/a	n/a	608.00	4.0
EXIS CAPITAL	044	PVH	SS	5,000	57.96	n/a	14-May	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	50,000	57.61	n/a	14-May	1,500.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	100,000	57.47	n/a	14-May	3,000.00	3.0
PARTNER REINSURANCE	033	Q	B	5,900	5.32	n/a	n/a	236.00	4.0
COLUMBUS CIRCLE	036	RADS	B	2,626	15.46	n/a	n/a	99.04	3.0
NEUBERGER BERMAN	036	RBN	S	24,300	25.05	n/a	n/a	972.00	4.0
MERRILL ASSET/BLACKROCK	263	RGA	S	8,900	49.11	n/a	n/a	356.00	4.0
KADE CAPITAL LLC	036	RIG	B	15,000	62.20	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OMEGA ADVISORS	041	RIG	S	350,000	62.54	n/a	n/a	14,000.00	4.0
BENCHMARK	025	ROST	SS	2,500	51.62	n/a	n/a	100.00	4.0
WEISS PECK	040	ROST	C	4,100	52.54	n/a	n/a	205.00	5.0
CAVU CAP ADV	028	SNDK	B	50,000	42.66	n/a	n/a	2,500.00	5.0
PARTNER REINSURANCE	033	S	B	12,200	4.70	n/a	n/a	366.00	3.0
DELTEC ASSET MGMT.	040	TEX	B	7,000	22.85	n/a	30-Apr	350.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	54.93	n/a	17-May	400.00	4.0
EXIS CAPITAL	044	TJX	SS	2,800	44.52	n/a	10-May	140.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	10,000	33.06	n/a	28-Apr	400.00	4.0
EXIS CAPITAL	044	UA	B	5,000	32.25	n/a	28-Apr	250.00	5.0
HUNTER GLOBAL INVESTOR	067	USB	B	260,000	24.43	n/a	n/a	13,000.00	5.0
STANDARD PACIFIC CAPITAL	040	VALE	B	110,000	27.52	n/a	n/a	5,500.00	5.0
RBC CAPITAL MARKETS	040	VFC	SS	5,000	82.70	n/a	14-May	200.00	4.0
BMO NESBITT BURNS	041	WCRX	B	3,000	25.47	n/a	17-May	150.00	5.0
LISTED ERR	099	WCRX	B	2,600	25.48	n/a	17-May	0.00	0.0
LISTED ERR	099	WCRX	S	2,600	25.49	n/a	17-May	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WSM	S	75,000	29.02	n/a	n/a	2,625.00	3.5
RBC CAPITAL MARKETS	040	WYNN	B	5,000	84.65	n/a	11-May	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	XRT	SS	5,000	40.85	n/a	n/a	200.00	4.0
TOTAL (Trade Date):							123,672.18		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/18	ROSEDALE CAPITAL (ROSEGS)	046	DE	B	10,000	58.08	n/a	30-Apr	500.00 5.0
AO,CRT	05/13	CASEY CAPITAL (CASEGRIS)	067	JCG	B	23,117	46.39	n/a	n/a	924.68 4.0
AO,CXL	05/13	CASEY CAPITAL (&CASENFS)	067	JCG	B	23,117	46.39	n/a	n/a	924.68 4.0
AO,CRT	05/14	SAC CAPITAL/M GRONET (SACJCSPB)	030	KSS	B	10,000	53.98	n/a	14-May	350.00 3.5
AO,CXL	05/14	SAC CAPITAL/M GRONET (SACJGSMG)	030	KSS	B	10,000	53.98	n/a	14-May	350.00 3.5
AO,CXL	05/17	SCOPUS FUND (SCOPGS)	041	PKG	S	936	23.49	n/a	20-Apr	46.80 5.0
AO,CRT	05/17	SCOPUS FUND (SCOPGS)	041	PKG	S	728	23.49	n/a	20-Apr	36.40 5.0
AO,CXL	05/17	SCOPUS FUND (SCOPUBS)	041	PKG	S	4,264	23.49	n/a	20-Apr	213.20 5.0
AO,CRT	05/17	SCOPUS FUND (SCOPUBS)	041	PKG	S	4,472	23.49	n/a	20-Apr	223.60 5.0
AO,CRT	05/14	SAC CAPITAL/M GRONET (SACJCSPB)	030	TGT	B	15,000	55.75	n/a	17-May	525.00 3.5
AO,CXL	05/14	SAC CAPITAL/M GRONET (SACJGSMG)	030	TGT	B	15,000	55.75	n/a	17-May	525.00 3.5
CRT	05/18	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	067	USB	B	260,000	24.43	n/a	n/a	13000.00 5.0

TOTAL (AO, CXL, CRT) :**13,500.00**

TOTAL (Trade Date) :

123,672.18

TOTAL (AO, CXL, CRT) :

13,500.00

TOTAL (RUN DATE) / NFS :**137,172.18**

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