



Daily Compliance Activity Report

Trade Date: 05/10/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ST OF MICHIAN	047	AB	S	60,000	30.58	n/a	n/a	1,800.00	3.0
BUCK CAPITAL MGMT	001	AEO	B	40,000	16.24	n/a	10-May	1,600.00	4.0
EXIS CAPITAL	044	AEO	B	35,000	16.38	n/a	10-May	1,750.00	5.0
MELLON/BANK OF NEW YORK	046	AGN	B	55,643	62.59	n/a	10-May	2,782.15	5.0
VISIUM/BALY BOBBY	044	AGN	S	25,000	62.78	n/a	10-May	1,250.00	5.0
NEUBERGER BERMAN	036	AKR	B	28,300	18.16	n/a	n/a	1,132.00	4.0
EXIS CAPITAL	044	ANN	SS	10,000	23.38	n/a	n/a	500.00	5.0
HIGHBRIDGE CAP	041	ANR	B	5,703	44.04	n/a	n/a	228.12	4.0
MELLON/BANK OF NEW YORK	046	APD	B	5,000	72.00	n/a	10-May	250.00	5.0
HARBORWATCH/DIAMBACK	232	APH	S	15,000	44.42	n/a	n/a	750.00	5.0
DSM CAPITAL PARTNERS	032	ART	B	5,055	21.01	n/a	n/a	252.75	5.0
ROYCE TRADING	216	BIIB	S	100	51.64	n/a	n/a	5.00	5.0
RBC CAPITAL MARKETS	040	BJ	SS	5,000	37.62	n/a	n/a	200.00	4.0
ROYCE TRADING	216	BMRN	S	200	20.71	n/a	n/a	10.00	5.0
LATEFF MGMT	035	BMS	B	1,500	28.67	n/a	n/a	270.00	18.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	BONT	B	30,000	14.43	n/a	n/a	1,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	CCL	B	15,400	38.85	n/a	n/a	616.00	4.0
RBC CAPITAL MARKETS	040	CCL	B	5,000	38.63	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	CNX	B	29,000	41.20	n/a	n/a	1,160.00	4.0
ROYCE TRADING	216	CRS	S	300	41.00	n/a	n/a	15.00	5.0
WAGONHOUND/NIC	048	CVGI	S	6,754	11.96	n/a	n/a	270.16	4.0
SAGE ASSET MGMT	012	C	B	135,000	4.20	n/a	4-May	4,050.00	3.0
PILOT ROCK	028	DAN	S	173,674	12.26	n/a	30-Apr	6,946.96	4.0
CASTLEROCK	040	DG	SS	41,000	27.71	n/a	26-Apr	1,640.00	4.0
NEUBERGER BERMAN	036	DPS	S	177,630	36.27	n/a	n/a	7,105.20	4.0
BENCHMARK	025	DVN	B	5,000	67.44	n/a	5-May	200.00	4.0
LATEFF MGMT	035	DVN	B	1,000	67.74	n/a	5-May	300.00	30.0
CASTLE ARK	031	EMR	B	99,870	50.51	n/a	n/a	5,992.20	6.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.59	n/a	n/a	800.00	4.0
DSM CAPITAL PARTNERS	032	EXPE	B	9,955	23.42	n/a	n/a	497.75	5.0
CAVU CAP ADV	028	FDX	B	50,000	87.60	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRAFELET & COMP.	028	F	B	350,000	12.24	n/a	4-May	17,500.00	5.0
SAGE ASSET MGMT	012	GENZ	SS	24,700	51.51	n/a	n/a	1,235.00	5.0
EXIS CAPITAL	044	GES	SS	5,000	41.30	n/a	18-Mar	250.00	5.0
DSM CAPITAL PARTNERS	032	GYMB	B	5,030	45.24	n/a	10-May	251.50	5.0
CASTLEROCK	040	HAR	SS	28,368	39.81	n/a	20-Apr	1,134.72	4.0
BMO NESBITT BURNS	041	HBI	B	9,000	27.71	n/a	10-May	360.00	4.0
FIRST NY SEC/CHRIS	041	HBI	S	10,000	28.02	n/a	10-May	500.00	5.0
GRUBER MACBAIN	033	HD	S	10,000	35.06	n/a	23-Feb	400.00	4.0
MERRILL ASSET/BLACKROCK	263	HHS	S	18,000	14.36	n/a	n/a	720.00	4.0
SACC-SCHWARTZ	044	ITW	S	25,000	50.01	n/a	30-Apr	875.00	3.5
EXIS CAPITAL	044	JCG	B	5,000	46.08	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	29.44	n/a	10-May	1,200.00	4.0
RBC CAPITAL MARKETS	040	JCP	B	10,000	29.02	n/a	10-May	400.00	4.0
MERRILL ASSET/BLACKROCK	263	JLL	S	9,400	77.13	n/a	n/a	376.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	30,000	20.34	n/a	29-Apr	1,200.00	4.0
ROYCE TRADING	216	KCI	S	100	42.46	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC COHEN	044	KMB	B	100,000	62.93	n/a	26-Apr	3,500.00	3.5
PLATTE RIVER CAPITAL	240	KO	B	17,000	54.01	n/a	23-Apr	680.00	4.0
EXIS CAPITAL	044	KSS	SS	20,000	55.73	n/a	10-May	1,000.00	5.0
NEUBERGER BERMAN	036	LLL	S	16,840	88.63	n/a	n/a	673.60	4.0
GRUBER MACBAINE	033	LOW	S	10,000	26.80	n/a	22-Feb	400.00	4.0
COOPER CREEK PART	028	LPX	SS	33,500	10.50	n/a	19-Apr	1,340.00	4.0
RBC CAPITAL MARKETS	040	LVS	S	15,100	23.10	n/a	7-May	604.00	4.0
NEUBERGER BERMAN	036	MCO	B	63,970	21.40	n/a	n/a	2,558.80	4.0
HIGHBRIDGE CAP	041	MEE	S	37,858	35.12	n/a	n/a	1,514.32	4.0
NEUBERGER BERMAN	036	MHP	B	61,590	28.54	n/a	n/a	2,463.60	4.0
WAGONHOUND/NIC	048	MJN	S	155	51.00	n/a	n/a	6.20	4.0
RBC CAPITAL MARKETS	040	MW	B	5,000	22.78	n/a	n/a	200.00	4.0
DSM CAPITAL PARTNERS	032	MXB	B	17,490	33.43	n/a	n/a	874.50	5.0
RBC CAPITAL MARKETS	040	M	SS	35,000	23.58	n/a	10-May	1,400.00	4.0
CAVU CAP ADV	028	NOK	S	39,900	11.25	n/a	n/a	1,995.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	NWL	B	45,000	16.58	n/a	n/a	2,250.00	5.0
SIGMA CAP BOBBY	044	ODP	S	100,000	6.41	n/a	n/a	3,500.00	3.5
THE JAY GOLDMAN	028	OEH	B	40,000	12.72	n/a	n/a	1,600.00	4.0
APEX CAPITAL MGMT.	261	PALM	S	400,000	5.67	n/a	n/a	12,000.00	3.0
NEUBERGER BERMAN	036	PEB	B	31,195	19.15	n/a	n/a	1,247.80	4.0
LAGRANGE CAP ADV	048	PFCB	SS	5,300	43.72	n/a	28-Apr	265.00	5.0
WEISS PECK	040	PFCB	SS	5,000	43.60	n/a	28-Apr	250.00	5.0
EXIS CAPITAL	044	PLCE	SS	5,000	43.25	n/a	27-Apr	250.00	5.0
NEUBERGER BERMAN	036	PLD	B	25,060	12.25	n/a	n/a	1,002.40	4.0
SCOUT/UMB	047	PNRA	B	31,850	77.77	n/a	28-Apr	1,592.50	5.0
MERRILL ASSET/BLACKROCK	263	PRE	S	13,300	74.13	n/a	n/a	532.00	4.0
JP MORGAN VENTURES	046	PVH	B	15,000	58.21	n/a	21-Apr	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	25,000	58.26	n/a	21-Apr	750.00	3.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	25,000	58.63	n/a	21-Apr	750.00	3.0
MERRILL ASSET/BLACKROCK	263	RGA	S	8,100	49.56	n/a	n/a	324.00	4.0
JP MORGAN VENTURES	046	RRC	S	47,000	46.98	n/a	28-Apr	2,350.00	5.0
CASTLEROCK	040	SHW	B	23,293	79.01	n/a	10-May	931.72	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	SJM	S	100	59.68	n/a	n/a	5.00	5.0
ARMATURE CAPITAL	041	SOA	S	25,000	15.68	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	SVU	S	300	14.07	n/a	n/a	15.00	5.0
HARBORWATCH/DIAMBACK	232	SWK	B	25,000	60.54	n/a	n/a	1,250.00	5.0
LATEFF MGMT	035	TEVA	B	750	59.14	n/a	10-May	262.50	35.0
HIGHBRIDGE CAP	041	TIN	B	11,944	21.04	n/a	21-Apr	477.76	4.0
EXIS CAPITAL	044	TLB	SS	10,000	16.35	n/a	n/a	500.00	5.0
COUGAR TRADING	044	TM	B	5,000	76.59	n/a	n/a	250.00	5.0
LATEFF MGMT	035	TRV	B	1,000	50.28	n/a	n/a	280.00	28.0
ROYCE TRADING	216	TTEC	S	200	15.73	n/a	n/a	10.00	5.0
SCOPUS FUND	041	USG	SS	10,000	21.28	n/a	22-Apr	500.00	5.0
CR INTRINIC INVESTMENT	044	VRX	SS	2,670	46.50	n/a	n/a	93.45	3.5
ROYCE TRADING	216	WCRX	S	300	25.34	n/a	10-May	15.00	5.0
ROYCE TRADING	216	WDC	S	100	40.28	n/a	n/a	5.00	5.0
HIGHBRIDGE CAP	041	WLT	B	2,851	78.36	n/a	n/a	114.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUBER MACBAIN	033	WMT	S	2,300	52.71	n/a	27-Apr	92.00	4.0
VISIUM/BALY BOBBY	044	WMT	C	40,000	52.10	n/a	27-Apr	2,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	WRC	B	25,000	43.96	n/a	2-Mar	750.00	3.0
LEVIN CAPITAL STRATEGIES	012	WRC	S	25,000	44.05	n/a	2-Mar	750.00	3.0
RBC CAPITAL MARKETS	040	WRC	B	10,000	44.34	n/a	2-Mar	400.00	4.0
THE JAY GOLDMAN	028	WYNN	SS	6,000	82.16	n/a	30-Apr	240.00	4.0
S.A.C. CAP/ORENSTEIN	044	XLI	B	150,000	31.75	n/a	n/a	5,250.00	3.5
TOTAL (Trade Date):							137,045.70		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/07	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	AAI	S	41,520	5.15	n/a	n/a	1660.80 4.0
AO,CRT	05/07	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	AAI	S	41,520	5.15	n/a	n/a	1245.60 3.0
AO,CXL	05/06	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	ANSS	B	175	44.94	n/a	n/a	8.75 5.0
AO,	05/06	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	ANSS	B	175	44.94	n/a	n/a	8.75 5.0
AO,CXL	05/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	CTXS	B	135	44.64	n/a	n/a	6.75 5.0
AO,	05/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	CTXS	B	135	44.64	n/a	n/a	6.75 5.0
AO,	05/07	SENATOR INVESTMENT GROUP (SENAMS)	036	FDX	S	50,000	82.85	n/a	n/a	1500.00 3.0
AO,CXL	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	GYMB	B	135	48.70	n/a	10-May	6.75 5.0
AO,	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	GYMB	B	135	48.70	n/a	10-May	6.75 5.0
AO,CXL	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	IDXX	S	115	66.22	n/a	n/a	5.75 5.0
AO,	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	IDXX	S	115	66.22	n/a	n/a	5.75 5.0
AO,	05/07	SENATOR INVESTMENT GROUP (SENAJPM)	036	IWM	SS	75,000	66.39	n/a	n/a	2250.00 3.0
AO,CXL	05/05	SCOUT/UMB (SUMBSMALL)	047	KMT	S	50,000	31.15	n/a	30-Apr	2500.00 5.0
AO,CRT	05/05	SCOUT/UMB (SUMBSMALL)	047	KMT	S	50,000	31.15	n/a	30-Apr	1500.00 3.0
AO,CXL	05/05	SCOUT/UMB (SUMBMAIN)	047	KMT	S	1,300	31.15	n/a	30-Apr	65.00 5.0
AO,CRT	05/05	SCOUT/UMB (SUMBMAIN)	047	KMT	S	1,300	31.15	n/a	30-Apr	39.00 3.0
AO,CXL	05/05	SCOUT/UMB (SUMBM&INV)	047	KMT	S	1,700	31.15	n/a	30-Apr	85.00 5.0
AO,CRT	05/05	SCOUT/UMB (SUMBM&INV)	047	KMT	S	1,700	31.15	n/a	30-Apr	51.00 3.0
AO,CXL	05/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	MDSO	B	385	14.47	n/a	n/a	19.25 5.0
AO,	05/07	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	MDSO	B	385	14.47	n/a	n/a	19.25 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/06	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	NTAP	S	205	34.10	n/a	n/a	10.25 5.0
AO,	05/06	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	NTAP	S	205	34.10	n/a	n/a	10.25 5.0
TOTAL (AO, CXL, CRT) :										2,274.80

TOTAL (Trade Date) :	137,045.70
TOTAL (AO, CXL, CRT) :	2,274.80

TOTAL (RUN DATE) / NFS :	139,320.50
---------------------------------	-------------------

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