



Daily Compliance Activity Report

Trade Date: 04/05/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	AN	S	40,000	18.30	n/a	1-Apr	1,600.00	4.0
GALT INVESTMENT	041	BBY	S	25,000	43.00	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	BJ	B	40,000	37.04	n/a	n/a	1,600.00	4.0
RBC CAPITAL MARKETS	040	BJ	S	10,000	37.00	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	BONT	B	10,000	13.88	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	BZ	S	90,000	6.62	n/a	n/a	2,700.00	3.0
SUN AMERICA ASSET MGMT	030	CVS	B	2,000	35.98	n/a	n/a	80.00	4.0
THE JAY GOLDMAN	028	FDO	S	15,000	37.34	n/a	4-Mar	600.00	4.0
TIBURION CAP MGMT	025	FOR	B	8,900	19.09	n/a	26-Mar	445.00	5.0
CASTLE ARK	031	ICE	S	98,560	110.57	n/a	n/a	5,913.60	6.0
ARMATURE CAPITAL	041	IP	SS	10,000	25.49	n/a	26-Mar	400.00	4.0
RBC CAPITAL MARKETS	040	JBHT	B	10,000	35.63	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	JCP	B	10,000	33.44	n/a	31-Mar	500.00	5.0
GREEN ARROW DOUG	040	JCP	B	25,000	33.65	n/a	31-Mar	1,250.00	5.0
SUN AMERICA ASSET MGMT	030	KO	S	1,400	54.80	n/a	18-Mar	56.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	KSS	B	10,000	57.17	n/a	31-Mar	500.00	5.0
OZ MGMT	040	LEA	S	39,311	79.97	n/a	25-Mar	1,179.33	3.0
RBC CAPITAL MARKETS	040	LEA	B	10,000	80.30	n/a	25-Mar	400.00	4.0
THE JAY GOLDMAN	028	MAR	S	10,000	32.35	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	MDP	S	10,000	35.14	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	MW	S	51,073	24.07	n/a	n/a	2,042.92	4.0
US BANCORP	030	MYL	B	275,625	23.55	n/a	5-Apr	13,781.25	5.0
EXIS CAPITAL	044	M	B	20,000	22.40	n/a	31-Mar	1,000.00	5.0
THE JAY GOLDMAN	028	M	B	25,000	22.37	n/a	31-Mar	1,000.00	4.0
MISSION POINT	048	NOC	B	3,325	66.41	n/a	1-Mar	166.25	5.0
CATAPULT	040	ODP	B	100,000	8.22	n/a	n/a	4,000.00	4.0
BNP PARIBAS SEC	040	PAG	S	10,149	15.66	n/a	23-Mar	405.96	4.0
WESLEY CAPITAL	029	PCL	B	15,000	39.68	n/a	26-Mar	600.00	4.0
GALT INVESTMENT	041	PLCE	S	5,059	45.75	n/a	22-Mar	252.95	5.0
SCOPUS FUND	041	PVH	B	2,500	59.75	n/a	23-Mar	125.00	5.0
WESLEY CAPITAL	029	RYN	B	20,000	46.54	n/a	26-Mar	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	SKX	SS	10,000	37.10	n/a	n/a	500.00	5.0
CATAPULT	040	SPLS	SS	50,000	23.69	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	TGT	S	7,582	53.82	n/a	31-Mar	303.28	4.0
SCHOTTENFELD ASSOC	041	TIN	S	24,900	21.45	n/a	26-Mar	747.00	3.0
COUGAR TRADING	044	TM	SS	10,000	80.27	n/a	n/a	500.00	5.0
COUGAR TRADING	044	TM	S	5,000	80.54	n/a	n/a	250.00	5.0
KAILIX INV ADV	048	TRW	S	30,000	30.42	n/a	n/a	1,500.00	5.0
PIONEER MICHAEL NOLAN	067	VRGY	S	82,100	11.55	n/a	n/a	2,463.00	3.0
UBS OCONNOR	031	WFC	B	240,000	31.55	n/a	30-Mar	7,200.00	3.0
BNP PARIBAS SEC	040	WMT	B	11,535	55.44	n/a	18-Feb	461.40	4.0
SCOPUS FUND	041	WMT	SS	25,000	55.56	n/a	18-Feb	1,250.00	5.0
ROTHSCHILD ASSET	040	WPP	S	42,910	8.90	n/a	n/a	1,716.40	4.0
RBC CAPITAL MARKETS	040	WYNN	B	5,000	79.61	n/a	1-Apr	200.00	4.0
PROSPECTOR PARTNERS LLC	036	XRX	B	10,000	10.11	n/a	n/a	400.00	4.0
TOTAL (Trade Date) :								64,239.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/31	SENATOR INVESTMENT GROUP (SENAMS)	036	CA	B	200,000	23.55	n/a	n/a	6000.00 3.0
AO,CRT	03/31	SENATOR INVESTMENT GROUP (SENAGS)	036	CA	B	200,000	23.55	n/a	n/a	6000.00 3.0
AO,	04/01	SEVEN LOCKS CAPITAL (SEVEGSBULK)	067	CCK	B	5,000	27.26	n/a	n/a	150.00 3.0
AO,CXL	04/01	ROSEDALE CAPITAL (ROSEGS)	046	EK	S	50,000	5.96	n/a	n/a	2500.00 5.0
AO,CRT	04/01	ROSEDALE CAPITAL (ROSEGS)	046	EK	S	50,000	5.96	n/a	n/a	1500.00 3.0
AO,	04/01	SEVEN LOCKS CAPITAL (SEVEGSBULK)	067	LEA	B	5,000	80.28	n/a	25-Mar	150.00 3.0
AO,	04/01	BRIGADE CAPITAL MGMT (BRICGS)	029	SVU	B	50,000	16.71	n/a	n/a	1500.00 3.0
TOTAL (AO, CXL, CRT) :										800.00

TOTAL (Trade Date):	64,239.34
TOTAL (AO, CXL, CRT):	800.00

TOTAL (RUN DATE) / NFS:	65,039.34
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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