



Daily Compliance Activity Report

Trade Date: 01/30/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------------|------------|----------|------------|-------------|------------|------------|--------------|------------|
| WEISS PECK | 040 | AA | S | 53,100 | 8.01 | n/a | n/a | 2,124.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | ALV | B | 10,000 | 18.54 | 30-Jan | 30-Jan | 500.00 | 5.0 |
| COUGAR TRADING | 044 | ALV | SS | 10,000 | 19.21 | 30-Jan | 30-Jan | 500.00 | 5.0 |
| HARVEST MGMT | 039 | ALV | B | 10,000 | 19.13 | 30-Jan | 30-Jan | 500.00 | 5.0 |
| HARVEST MGMT | 039 | ALV | SS | 10,000 | 19.40 | 30-Jan | 30-Jan | 500.00 | 5.0 |
| ADALY INV MGMT | 067 | AN | SS | 6,500 | 9.73 | 30-Jan | 30-Jan | 195.00 | 3.0 |
| HOLDEN CAPITAL MGMT | 035 | AN | SS | 100,000 | 9.57 | 30-Jan | 30-Jan | 5,000.00 | 5.0 |
| HUNTER GLOBAL INVESTOR | 067 | BCR | B | 10,000 | 87.18 | n/a | 22-Apr | 500.00 | 5.0 |
| WEISS PECK | 040 | BGC | S | 7,800 | 16.25 | n/a | n/a | 312.00 | 4.0 |
| SAC CAP/ROSEN FOR BOBBY | 044 | BR | S | 100,000 | 13.52 | n/a | 30-Jan | 5.00 | 0.0 |
| COUGAR TRADING | 044 | BWA | SS | 5,000 | 17.08 | 27-Jan | 27-Jan | 250.00 | 5.0 |
| DSG CAPITAL | 225 | CAL | B | 10,000 | 13.54 | n/a | n/a | 500.00 | 5.0 |
| KACELA CAPITAL | 034 | CLX | B | 5,900 | 49.95 | 30-Jan | 30-Jan | 236.00 | 4.0 |
| MILLENIUM PARTNERS | 028 | CMCSA | S | 50,000 | 14.92 | n/a | 4-Jan | 2,000.00 | 4.0 |
| LUCHANKSY | 036 | CPN | S | 200 | 7.36 | n/a | n/a | 0.00 | 0.0 |
| FIRST NY SEC/CHRIS | 041 | DAL | S | 45,000 | 6.93 | n/a | n/a | 2,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| CUMBERLAND | 038 | EXH | B | 3,000 | 22.28 | 27-Jan | 27-Jan | 120.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | FDO | SS | 10,000 | 28.35 | 7-Jan | 7-Jan | 500.00 | 5.0 |
| SCHOTTENFELD ASSOC | 041 | F | S | 50,000 | 1.96 | 10-Nov | 28-Jan | 1,500.00 | 3.0 |
| WHALE ROCK CAP | 030 | GES | S | 84,800 | 16.07 | n/a | n/a | 3,392.00 | 4.0 |
| PHILADELPHIA FINANCIAL | 033 | GHL | B | 10,008 | 66.73 | n/a | n/a | 400.32 | 4.0 |
| COUGAR TRADING | 044 | GIL | S | 700 | 10.80 | 11-Dec | 12-Dec | 35.00 | 5.0 |
| WEISS PECK | 040 | GIL | S | 13,700 | 10.45 | 11-Dec | 12-Dec | 548.00 | 4.0 |
| HOLDEN CAPITAL MGMT | 035 | GNTX | SS | 30,000 | 8.53 | 30-Jan | 30-Jan | 1,500.00 | 5.0 |
| ADALY INV MGMT | 067 | GPI | B | 6,500 | 9.73 | n/a | 23-Dec | 195.00 | 3.0 |
| WAGONHOUND/NIC | 048 | GS | S | 5,000 | 83.55 | 15-Sep | 14-Jan | 200.00 | 4.0 |
| MILLRACE FUND LP | 028 | GYMB | B | 6,000 | 24.60 | 7-Nov | 30-Jan | 240.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | HAR | B | 10,000 | 16.57 | n/a | 26-Nov | 500.00 | 5.0 |
| BMO NESBITT BURNS | 041 | IP | B | 50,000 | 9.55 | 22-Sep | 29-Jan | 2,500.00 | 5.0 |
| SCOPUS FUND | 041 | ITW | B | 20,000 | 32.91 | 30-Jan | 30-Jan | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JCG | S | 50,000 | 10.21 | n/a | 30-Jan | 2,000.00 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 237 | JCG | B | 25,000 | 10.38 | n/a | 30-Jan | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| WAGONHOUND/NIC | 048 | JPM | B | 15,000 | 26.59 | 16-Jan | 16-Jan | 600.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | KCE | SS | 22,000 | 22.72 | n/a | n/a | 660.00 | 3.0 |
| MILLENIUM PARTNERS | 028 | KFT | B | 36,430 | 28.00 | n/a | n/a | 1,457.20 | 4.0 |
| MILLENIUM PARTNERS | 028 | KMB | B | 17,340 | 51.41 | 27-Jan | 27-Jan | 693.60 | 4.0 |
| 1798 CAPITAL MGMT | 040 | KR | SS | 10,000 | 22.91 | n/a | n/a | 500.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | MIND | S | 3,000 | 3.62 | n/a | n/a | 90.00 | 3.0 |
| MKT MAKER | 099 | MSFT | B | 1 | 17.66 | n/a | 3-Apr | 0.00 | 0.0 |
| NATIONAL BK OF CAN | 031 | MS | B | 25,000 | 20.28 | 18-Dec | 14-Jan | 1,000.00 | 4.0 |
| WAGONHOUND/NIC | 048 | MS | S | 25,000 | 21.18 | 18-Dec | 14-Jan | 1,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | M | B | 140,000 | 9.11 | 12-Aug | 30-Jan | 4,200.00 | 3.0 |
| WHITE PINE CAPITAL | 030 | OME | S | 2,600 | 3.83 | n/a | n/a | 78.00 | 3.0 |
| SCHOTTENFELD ASSOC | 041 | PCAR | B | 20,000 | 26.03 | 20-Nov | 30-Dec | 800.00 | 4.0 |
| SCOPUS FUND | 041 | PCAR | SS | 20,000 | 26.13 | 20-Nov | 30-Dec | 1,000.00 | 5.0 |
| COUGAR TRADING | 044 | PLCE | SS | 3,800 | 19.26 | 6-Jan | 30-Jan | 190.00 | 5.0 |
| COLUMBIA PARTNERS | 028 | QDEL | B | 11,949 | 12.31 | n/a | n/a | 477.96 | 4.0 |
| FIRST NEW YORK NICK | 029 | Q | S | 40,000 | 3.24 | n/a | n/a | 2,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------------|-----------|----------|---------------|--------------|------------|---------------|------------------|------------|
| HUNTER GLOBAL INVESTOR | 067 | RJF | SS | 25,000 | 19.07 | n/a | n/a | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 80,000 | 40.79 | n/a | 20-Jan | 3,200.00 | 4.0 |
| COUGAR TRADING | 044 | RL | B | 10,000 | 40.36 | n/a | 20-Jan | 500.00 | 5.0 |
| JP MORGAN VENTURES | 046 | RL | SS | 12,400 | 40.74 | n/a | 20-Jan | 620.00 | 5.0 |
| SENVEST PART | 045 | RVI | B | 25,000 | 2.35 | n/a | n/a | 750.00 | 3.0 |
| PERMIAN/BAYPIONT | 028 | SFD | B | 12,600 | 11.90 | n/a | n/a | 504.00 | 4.0 |
| CARDINAL CAPITAL | 044 | SSI | B | 14,000 | 7.19 | n/a | 30-Jan | 420.00 | 3.0 |
| PRINCIPLE CAPITAL | 040 | TIF | SS | 85,300 | 21.12 | n/a | 30-Jan | 2,559.00 | 3.0 |
| SCOPUS FUND | 041 | TIN | S | 75,000 | 5.64 | 5-Dec | 28-Jan | 3,750.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | TTEC | S | 2,000 | 8.07 | n/a | n/a | 100.00 | 5.0 |
| COUGAR TRADING | 044 | UA | B | 10,000 | 18.00 | n/a | 30-Jan | 500.00 | 5.0 |
| 1798 CAPITAL MGMT | 040 | WAG | B | 5,000 | 28.10 | n/a | n/a | 250.00 | 5.0 |
| KLEINHEINZ CAP PART | 031 | WMT | S | 75,000 | 47.72 | 10-Oct | 8-Jan | 3,750.00 | 5.0 |
| COUGAR TRADING | 044 | WRC | B | 4,500 | 23.00 | 7-Nov | 27-Jan | 225.00 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 64,377.08 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|--------------------------------------|------|--------|-----|--------|-------|--------|----------|----------------|
| AO,CXL | 01/29 | STELLIAM INV ADV (STLLGSBULK) | 040 | BA | B | 30,000 | 41.22 | n/a | n/a | 1500.00 5.0 |
| AO,CRT | 01/29 | STELLIAM INV ADV (STLLMSEXEC) | 040 | BA | B | 30,000 | 41.22 | n/a | n/a | 1500.00 5.0 |
| AO,CXL | 01/27 | MACKLOWE ASSET MGMT (MACKCSMILP) | 041 | HD | B | 15,000 | 22.21 | n/a | 27-Jul | 750.00 5.0 |
| AO,CRT | 01/27 | MACKLOWE ASSET MGMT (MACKCSMILP) | 041 | HD | B | 15,000 | 22.21 | n/a | 27-Jul | 600.00 4.0 |
| AO,CXL | 01/29 | COLUMBIA PARTNERS (COLPTID) | 028 | QDEL | B | 203 | 12.41 | n/a | n/a | 8.12 4.0 |
| AO, | 01/29 | COLUMBIA PARTNERS (COLPTID) | 028 | QDEL | B | 203 | 12.41 | n/a | n/a | 8.12 4.0 |
| AO,CRT | 01/29 | VISIUM/BALY HOWARD (VISHJPM) | 038 | RL | B | 10,000 | 41.48 | n/a | 20-Jan | 500.00 5.0 |
| AO,CXL | 01/29 | VISIUM/DIV OF BALY BOBBY (VISBMSBOB) | 044 | RL | B | 10,000 | 41.48 | n/a | 20-Jan | 500.00 5.0 |
| AO,CXL | 01/29 | DENVER INST. ADV (DENV70) | 046 | SWN | B | 5,200 | 31.74 | 19-Dec | 19-Dec | 208.00 4.0 |
| AO, | 01/29 | DENVER INST. ADV (DENV7) | 046 | SWN | B | 5,200 | 31.74 | 19-Dec | 19-Dec | 208.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -150.00 |

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|------------------------|-----------|
| TOTAL (Trade Date) : | 64,377.08 |
| TOTAL (AO, CXL, CRT) : | -150.00 |

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| TOTAL (RUN DATE) / NFS : | 64,227.08 |
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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