



Daily Compliance Activity Report

Trade Date: 03/23/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|--------------|--------------|------------|------------|--------------|------------|
| TRELLUS PARTNERS LP | 028 | ALV | SS | 5,000 | 17.58 | 12-Mar | 12-Mar | 250.00 | 5.0 |
| NEWLAND CAPITAL MGT | 067 | AOS | S | 16,600 | 24.10 | 12-Feb | 12-Feb | 664.00 | 4.0 |
| BASIX | 033 | ARG | SS | 15,000 | 33.39 | 23-Mar | 23-Mar | 450.00 | 3.0 |
| NEUBERGER BERMAN | 036 | BDN | S | 18,500 | 2.90 | n/a | n/a | 370.00 | 2.0 |
| CADIAN CAPITAL | 067 | BKE | SS | 60,000 | 31.05 | n/a | n/a | 2,400.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | BLK | B | 25,000 | 123.06 | 4-Mar | 20-Mar | 1,250.00 | 5.0 |
| WINSLOW CAPITAL | 030 | BLK | S | 71,530 | 121.65 | 4-Mar | 20-Mar | 2,861.20 | 4.0 |
| RDKC | 034 | CAKE | B | 45,000 | 11.52 | n/a | 13-Feb | 1,800.00 | 4.0 |
| PRINCIPLE CAPITAL | 040 | CVS | B | 12,600 | 27.97 | n/a | n/a | 378.00 | 3.0 |
| PRINCIPLE CAPITAL | 040 | CVS | S | 13,779 | 27.67 | n/a | n/a | 413.37 | 3.0 |
| COUGAR TRADING | 044 | DAI | B | 5,000 | 29.05 | n/a | n/a | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | DIS | B | 2,340 | 18.56 | n/a | n/a | 93.60 | 4.0 |
| JP MORGAN VENTURES | 046 | DKS | SS | 15,000 | 15.03 | n/a | 10-Mar | 750.00 | 5.0 |
| GARDNER LEWIS ASSET MGMT | 028 | DNA | S | 25,985 | 94.26 | n/a | n/a | 1,299.25 | 5.0 |
| NEWCASTLE FUNDS | 033 | ETH | B | 65,000 | 9.85 | n/a | n/a | 2,600.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|----------------|--------------|--------------|---------------|-----------------|------------|
| COBALT | 041 | FNB | B | 107,700 | 8.06 | n/a | n/a | 3,231.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 70,000 | 15.89 | n/a | 10-Jan | 2,800.00 | 4.0 |
| CASTLEROCK | 040 | GIS | B | 19,797 | 49.32 | n/a | n/a | 791.88 | 4.0 |
| COUGAR TRADING | 044 | GNTX | B | 5,000 | 9.86 | 30-Jan | 12-Mar | 200.00 | 4.0 |
| STERLING JOHNSTON | 035 | GR | B | 6,170 | 38.59 | 4-Feb | 4-Feb | 246.80 | 4.0 |
| FIRST NY SEC/CHRIS | 041 | GYMB | B | 8,500 | 18.32 | 5-Mar | 5-Mar | 425.00 | 5.0 |
| STRAUSS ASSET MGMT | 040 | GYMB | B | 25,000 | 18.71 | 5-Mar | 5-Mar | 1,000.00 | 4.0 |
| WAGONHOUND/NIC | 048 | GYMB | B | 2,231 | 18.23 | 5-Mar | 5-Mar | 89.24 | 4.0 |
| BUCK CAPITAL MGMT | 001 | HBI | B | 100,000 | 9.61 | n/a | n/a | 3,000.00 | 3.0 |
| PROSPECTOR PARTNERS LLC | 036 | HGT | B | 14,100 | 10.50 | n/a | n/a | 564.00 | 4.0 |
| CADIAN CAPITAL | 067 | HIBB | SS | 100,000 | 18.97 | n/a | n/a | 4,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | HOT | B | 50,000 | 12.84 | n/a | n/a | 2,000.00 | 4.0 |
| KLEINHEINZ CAP PART | 031 | HRB | S | 25,000 | 17.95 | n/a | n/a | 1,250.00 | 5.0 |
| MACKLOWE ASSET MGMT | 041 | HST | S | 75,000 | 4.18 | n/a | n/a | 2,250.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | JCP | B | 119,760 | 18.28 | 6-Feb | 6-Mar | 4,790.40 | 4.0 |
| MARINER/TRICADIA | 041 | JCP | SS | 50,000 | 18.56 | 6-Feb | 6-Mar | 2,500.00 | 5.0 |
| BULL PATH CAPITAL | 044 | KMB | S | 2,350 | 46.08 | 27-Jan | 20-Mar | 117.50 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| TRELLUS PARTNERS LP | 028 | KMT | SS | 6,700 | 16.25 | n/a | 30-Jan | 335.00 | 5.0 |
| UBS OCONNOR | 031 | KR | B | 150,000 | 20.80 | n/a | n/a | 4,500.00 | 3.0 |
| WEISS PECK | 040 | LM | B | 7,900 | 15.00 | 29-Jan | 20-Mar | 395.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | MAR | B | 50,000 | 16.67 | n/a | n/a | 2,000.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | MGA | SS | 13,400 | 26.84 | n/a | n/a | 670.00 | 5.0 |
| AVESTA CAP | 229 | MMM | B | 25,000 | 48.45 | 8-Dec | 17-Mar | 1,250.00 | 5.0 |
| WAGONHOUND/NIC | 048 | MWJ | B | 1,000 | 36.54 | n/a | n/a | 30.00 | 3.0 |
| GARDNER LEWIS ASSET MGMT | 028 | OEH | S | 121,530 | 4.63 | n/a | n/a | 4,861.20 | 4.0 |
| TRELLUS PARTNERS LP | 028 | PAG | SS | 15,000 | 9.50 | n/a | 18-Feb | 450.00 | 3.0 |
| TRELLUS PARTNERS LP | 028 | PCAR | SS | 10,000 | 26.96 | 20-Nov | 17-Mar | 500.00 | 5.0 |
| BULL PATH CAPITAL | 044 | PENN | S | 10,462 | 22.90 | n/a | n/a | 523.10 | 5.0 |
| EGS ASSOCIATES LP | 091 | PLCE | SS | 3,500 | 22.36 | 19-Mar | 19-Mar | 210.00 | 6.0 |
| BUCK CAPITAL MGMT | 001 | RNT | B | 70,000 | 23.70 | n/a | n/a | 2,800.00 | 4.0 |
| CUMBERLAND | 038 | SPY | B | 50,000 | 80.67 | n/a | n/a | 1,500.00 | 3.0 |
| HARP | 012 | TIN | B | 100,000 | 4.87 | 5-Dec | 20-Mar | 4,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------------|------------|----------|----------------|--------------|---------------|--------------|------------------|------------|
| BMO NESBITT BURNS | 041 | TYC | S | 38,793 | 20.35 | 12-Nov | 3-Feb | 1,939.65 | 5.0 |
| BARCLEYS CAP (OLD LEHM) | 041 | WAG | S | 200,000 | 26.62 | n/a | n/a | 8,000.00 | 4.0 |
| GARDNER LEWIS ASSET MGMT | 028 | WFC | B | 60,750 | 16.24 | n/a | n/a | 3,037.50 | 5.0 |
| BUCK CAPITAL MGMT | 001 | WMT | S | 130,000 | 50.08 | 10-Oct | 6-Mar | 5,200.00 | 4.0 |
| GALT INVESTMENT | 041 | WTSIA | S | 30,000 | 3.18 | n/a | n/a | 1,500.00 | 5.0 |
| NEWCASTLE FUNDS | 033 | YUM | S | 40,000 | 28.02 | n/a | 5-Feb | 1,600.00 | 4.0 |
| TOTAL (Trade Date) : | | | | | | | | 90,386.69 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CXL | 03/20 | EOS PARTNERS (EOSPMAIN A) | 045 | CX | SS | 20,000 | 5.21 | n/a | n/a | 1000.00 5.0 |
| AO,CRT | 03/20 | EOS PARTNERS (EOSPMAIN A) | 045 | CX | SS | 20,000 | 5.21 | n/a | n/a | 800.00 4.0 |
| AO,CXL | 03/20 | EOS PARTNERS (EOSPMAIN A) | 045 | HNT | S | 20,000 | 15.41 | n/a | n/a | 1000.00 5.0 |
| AO,CRT | 03/20 | EOS PARTNERS (EOSPMAIN A) | 045 | HNT | S | 20,000 | 15.41 | n/a | n/a | 800.00 4.0 |
| AO,CXL | 03/18 | SENATOR INVESTMENT GROUP (SENAJPMORG) | 036 | PBI | S | 50,000 | 21.61 | n/a | n/a | 2000.00 4.0 |
| AO,CRT | 03/18 | SENATOR INVESTMENT GROUP (SENAMS) | 036 | PBI | S | 50,000 | 21.61 | n/a | n/a | 2000.00 4.0 |
| AO,CRT | 03/20 | TRIBE CAP/MILLENNIUM (TRICCREDSU) | 041 | STT | B | 15,000 | 26.05 | n/a | n/a | 750.00 5.0 |
| AO,CXL | 03/20 | TRIBE CAP/MILLENNIUM (TRICMLPICS) | 041 | STT | B | 15,000 | 26.05 | n/a | n/a | 750.00 5.0 |
| AO,CXL | 03/20 | EOS PARTNERS (EOSPMAIN A) | 045 | WLP | S | 5,000 | 35.85 | n/a | n/a | 250.00 5.0 |
| AO,CRT | 03/20 | EOS PARTNERS (EOSPMAIN A) | 045 | WLP | S | 5,000 | 35.85 | n/a | n/a | 200.00 4.0 |

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| TOTAL (AO, CXL, CRT) : | -450.00 |
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|-----------------------|-----------|
| TOTAL (Trade Date): | 90,386.69 |
| TOTAL (AO, CXL, CRT): | -450.00 |

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| TOTAL (RUN DATE) / NFS: | 89,936.69 |
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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