

## **Daily Compliance Activity Report** Trade Date: 01/09/2009

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
INDEPENDENCE INV	039	AGN	S	11,700	40.11	5-Jan	9-Jan	468.00	4.0
JENNISON	032	AMAT	В	732,100	10.46	n/a	n/a	27,087.70	3.7
THE BOSTON COMPANY	401	BEBE	S	169,531	6.30	n/a	n/a	6,781.24	4.0
SCOPUS FUND	041	BIG	В	10,000	14.11	5-Dec	6-Jan	500.00	5.0
HEALY CIRCLE	044	BWA	SS	25,000	22.86	16-Dec	16-Dec	1,000.00	4.0
MILLENIUM KOZLOW	028	BWA	SS	10,000	22.90	16-Dec	16-Dec	500.00	5.0
FORD FDN.	032	СВ	S	35,000	46.33	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	CCL	SS	100,000	23.49	n/a	26-Jan	4,000.00	4.0
BUCK CAPITAL MGMT	001	cvs	В	90,000	25.71	n/a	n/a	3,600.00	4.0
WILLIAM BLAIR	031	CYBS	В	71,300	11.15	n/a	n/a	2,852.00	4.0
INDEPENDENCE INV	039	DE	S	11,300	45.72	8-Dec	8-Dec	452.00	4.0
CUMBERLAND	038	EXH	В	20,000	23.92	n/a	16-Dec	800.00	4.0
BRIGADE CAPITAL MGMT	029	FCH	В	50,000	2.12	n/a	n/a	1,500.00	3.0
INDEPENDENCE INV	039	FLS	S	11,800	56.18	n/a	n/a	472.00	4.0
BUCK CAPITAL MGMT	001	FL	SS	157,600	8.12	7-0ct	12-Dec	4,728.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PENNANT CAP MGMT	029	FNF	S	200,000	16.65	n/a	n/a	6,000.00	3.0	
ROARING BLUE LION MGMT	012	FNF	В	15,000	16.44	n/a	n/a	600.00	4.0	
INDEPENDENCE INV	039	GS	S	12,600	84.70	15-Sep	16-Dec	504.00	4.0	
COUGAR TRADING	044	HAR	SS	15,000	20.34	n/a	26-Nov	750.00	5.0	
KLEINHEINZ CAP PART	031	HRB	В	25,000	21.50	n/a	n/a	1,250.00	5.0	
BUCK CAPITAL MGMT	001	JCG	S	45,000	10.04	n/a	9-Jan	1,800.00	4.0	
BUCK CAPITAL MGMT	001	JCP	SS	50,000	21.17	9-Jan	9-Jan	2,000.00	4.0	
BUCK CAPITAL MGMT	001	KSS	S	100,000	37.47	n/a	9-Jan	4,000.00	4.0	
HUNTER GLOBAL INVESTOR	067	MA	S	3,400	148.72	23-Dec	9-Jan	170.00	5.0	
COUGAR TRADING	044	MCD	В	2,000	60.37	13-Oct	8-Jan	100.00	5.0	
DALTON GREINER	012	MLI	S	9,200	23.34	n/a	18-Nov	460.00	5.0	
SANDLER O'NEILL ASSET	031	MS	S	75,000	19.82	18-Dec	18-Dec	3,000.00	4.0	
BALYASNY ASSET MGMT	044	M	SS	30,000	10.63	12-Aug	9-Jan	1,500.00	5.0	
BUCK CAPITAL MGMT	001	M	S	200,000	10.33	12-Aug	9-Jan	8,000.00	4.0	
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IKELLUS YAKINEKS LY	UZØ	PAG	55	400	9.30	n/a	∠3-nec	12.00	3.0	
HUNTER GLOBAL INVESTOR	067	PJC	В	15,000	32.94	n/a	n/a	750.00	5.0	
	PENNANT CAP MGMT ROARING BLUE LION MGMT  INDEPENDENCE INV  COUGAR TRADING  KLEINHEINZ CAP PART  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  HUNTER GLOBAL INVESTOR  COUGAR TRADING  DALTON GREINER  SANDLER O'NEILL ASSET  BALYASNY ASSET MGMT BUCK CAPITAL MGMT  BALYASNY ASSET MGMT TRELLUS PARTNERS LP	PENNANT CAP MGMT 029 ROARING BLUE LION MGMT 012  INDEPENDENCE INV 039  COUGAR TRADING 044  KLEINHEINZ CAP PART 031  BUCK CAPITAL MGMT 001  BUCK CAPITAL MGMT 001  HUNTER GLOBAL INVESTOR 067  COUGAR TRADING 044  DALTON GREINER 012  SANDLER O'NEILL ASSET 031  BALYASNY ASSET MGMT 044  BUCK CAPITAL MGMT 001  BALYASNY ASSET MGMT 044  TRELLUS PARTNERS LP 028	PENNANT CAP MGMT ROARING BLUE LION MGMT O12 FNF INDEPENDENCE INV O39 GS COUGAR TRADING O44 HAR KLEINHEINZ CAP PART O31 HRB BUCK CAPITAL MGMT O01 JCG BUCK CAPITAL MGMT O01 KSS HUNTER GLOBAL INVESTOR DALTON GREINER O12 MLI SANDLER O'NEILL ASSET O31 MS BALYASNY ASSET MGMT O01 M BALYASNY ASSET MGMT TRELLUS PARTNERS LP O28 FNF FNF FNF FNF FNF FNF FNF FNF FNF FN	PENNANT CAP MGMT ROARING BLUE LION MGMT O12 FNF B  INDEPENDENCE INV O39 GS S  COUGAR TRADING O44 HAR SS  KLEINHEINZ CAP PART O31 HRB B  BUCK CAPITAL MGMT O01 JCG S  BUCK CAPITAL MGMT O01 JCP SS  BUCK CAPITAL MGMT O01 KSS S  HUNTER GLOBAL INVESTOR O67 MA S  COUGAR TRADING O44 MCD B  DALTON GREINER O12 MLI S  SANDLER O'NEILL ASSET O31 MS S  BALYASNY ASSET MGMT O01 M S  BALYASNY ASSET MGMT O02 BALYASNY ASSET MGMT O04 BALYASNY ASSET MGMT O05 BALYASNY ASSET MGMT O05 BALYASNY ASSET MGMT O06 BALYASNY ASSET MGMT O07 BALYASNY ASSET MGMT O07 BALYASNY ASSET MGMT O07 BALYASNY ASSET MGMT O08 BALYASNY ASSET MGMT O09 BALYASNY ASSET MGMT O09 BALYASNY ASSET MGMT O09 BALYASNY ASSET MGMT O	PENNANT CAP MGMT 029 FNF S 200,000 ROARING BLUE LION MGMT 012 FNF B 15,000 INDEPENDENCE INV 039 GS S 12,600 COUGAR TRADING 044 HAR SS 15,000 KLEINHEINZ CAP PART 031 HRB B 25,000 BUCK CAPITAL MGMT 001 JCG S 45,000 BUCK CAPITAL MGMT 001 JCP SS 50,000 HUNTER GLOBAL INVESTOR 067 MA S 3,400 COUGAR TRADING 044 MCD B 2,000 DALTON GREINER 012 MLI S 9,200 SANDLER O'NEILL ASSET 031 MS S 75,000 BALYASNY ASSET MGMT 044 M SS 30,000 BUCK CAPITAL MGMT 001 M S 200,000 BALYASNY ASSET MGMT 044 PAG SS 15,000 BALYASNY ASSET MGMT 044 PAG SS 15,000 TRELLUS PARTNERS LP 028 PAG SS 400	PENNANT CAP MGMT 029 FNF S 200,000 16.65 ROARING BLUE LION MGMT 012 FNF B 15,000 16.44  INDEPENDENCE INV 039 GS S 12,600 84.70  COUGAR TRADING 044 HAR SS 15,000 20.34  KLEINHEINZ CAP PART 031 HRB B 25,000 21.50  BUCK CAPITAL MGMT 001 JCG S 45,000 10.04  BUCK CAPITAL MGMT 001 JCP SS 50,000 21.17  BUCK CAPITAL MGMT 001 KSS S 100,000 37.47  HUNTER GLOBAL INVESTOR 067 MA S 3,400 148.72  COUGAR TRADING 044 MCD B 2,000 60.37  DALTON GREINER 012 MLI S 9,200 23.34  SANDLER O'NEILL ASSET 031 MS S 75,000 19.82  BALYASNY ASSET MGMT 044 M SS 30,000 10.63  BUCK CAPITAL MGMT 001 M S 200,000 10.33  BALYASNY ASSET MGMT 044 PAG SS 15,000 8.76  TRELLUS PARTNERS LP 028 PAG SS 400 9.30	PENNANT CAP MGMT 029 FNF S 200,000 16.65 n/a ROARING BLUE LION MGMT 012 FNF B 15,000 16.44 n/a  INDEPENDENCE INV 039 GS S 12,600 84.70 15-Sep  COUGAR TRADING 044 HAR SS 15,000 20.34 n/a  KLEINHEINZ CAP PART 031 HRB B 25,000 21.50 n/a  BUCK CAPITAL MGMT 001 JCG S 45,000 21.17 9-Jan  BUCK CAPITAL MGMT 001 JCP SS 50,000 21.17 9-Jan  BUCK CAPITAL MGMT 001 KSS S 100,000 37.47 n/a  HUNTER GLOBAL INVESTOR 067 MA S 3,400 148.72 23-Dec  COUGAR TRADING 044 MCD B 2,000 60.37 13-Oct  DALTON GREINER 012 MLI S 9,200 23.34 n/a  SANDLER O'NEILL ASSET 031 MS S 75,000 19.82 18-Dec  BALYASNY ASSET MGMT 044 M SS 30,000 10.63 12-Aug  BUCK CAPITAL MGMT 001 M S 200,000 10.33 12-Aug  BALYASNY ASSET MGMT 044 PAG SS 15,000 8.76 n/a  TRELLUS PARTNERS LP 028 PAG SS 15,000 8.76 n/a	PENNANT CAP MGMT 029 FNF S 200,000 16.65 n/a n/a ROARING BLUE LION MGMT 012 FNF B 15,000 16.44 n/a n/a n/a  INDEPENDENCE INV 039 GS S 12,600 84.70 15-Sep 16-Dec  COUGAR TRADING 044 HAR SS 15,000 20.34 n/a 26-Nov  KLEINHEINZ CAP PART 031 HRB B 25,000 21.50 n/a n/a  BUCK CAPITAL MGMT 001 JCG S 45,000 10.04 n/a 9-Jan  BUCK CAPITAL MGMT 001 JCP SS 50,000 21.17 9-Jan 9-Jan  BUCK CAPITAL MGMT 001 KSS S 100,000 37.47 n/a 9-Jan  HUNTER GLOBAL INVESTOR 067 MA S 3,400 148.72 23-Dec 9-Jan  COUGAR TRADING 044 MCD B 2,000 60.37 13-Oct 8-Jan  DALTON GREINER 012 MLI S 9,200 23.34 n/a 18-Nov  SANDLER O'NEILL ASSET 031 MS S 75,000 19.82 18-Dec 18-Dec  BALYASNY ASSET MGMT 044 M SS 30,000 10.63 12-Aug 9-Jan  BUCK CAPITAL MGMT 001 M S 200,000 10.33 12-Aug 9-Jan  BALYASNY ASSET MGMT 044 M SS 30,000 10.63 12-Aug 9-Jan  BALYASNY ASSET MGMT 044 M SS 30,000 10.63 12-Aug 9-Jan  BALYASNY ASSET MGMT 044 PAG SS 15,000 8.76 n/a 23-Dec  TRELLUS PARTNERS LP 028 PAG SS 400 9.30 n/a 23-Dec	PENNANT CAP MGMT         029         FNF         S         200,000         16.65         n/a         n/a         6,000.00           ROARING BLUE LION MGMT         012         FNF         B         15,000         16.44         n/a         n/a         600.00           INDEPENDENCE INV         039         GS         S         12,600         84.70         15-Sep         16-Dec         504.00           COUGAR TRADING         044         HAR         SS         15,000         20.34         n/a         26-Nov         755.00           KLEINHEINZ CAP FART         031         HRB         B         25,000         21.50         n/a         n/a         1,250.00           BUCK CAPITAL MGMT         001         JCG         S         45,000         10.04         n/a         9-Jan         1,800.00           BUCK CAPITAL MGMT         001         JCF         SS         50,000         21.17         9-Jan         9-Jan         1,000.00           HUNTER GLOBAL INVESTOR         067         MA         S         3,400         148.72         23-Dec         9-Jan         170.00           COUGAR TRADING         044         MCD         B         2,000         60.37         13-Oct	PENNANT CAP MGMT 029 FNF S 200,000 16.65 n/a n/a 6,000.00 3.0 ROARING BLUE LION MGMT 012 FNF B 15,000 16.44 n/a n/a 600.00 4.0 INDEPENDENCE INV 039 CS S 12,600 84.70 15-Sep 16-Dec 504.00 4.0 COUGAR TRADING 044 HAR SS 15,000 20.34 n/a 26-Nov 750.00 5.0 RLEINHEINZ CAP PART 031 HRB B 25,000 21.50 n/a n/a 1,250.00 5.0 BUCK CAPITAL MGMT 001 JCG S 45,000 10.04 n/a 9-Jan 1,800.00 4.0 BUCK CAPITAL MGMT 001 JCF SS 50,000 21.17 9-Jan 9-Jan 2,000.00 4.0 BUCK CAPITAL MGMT 001 KSS S 100,000 37.47 n/a 9-Jan 4,000.00 4.0 HUNTER GLOBAL INVESTOR 067 MA S 3,400 148.72 23-Dec 9-Jan 170.00 5.0 COUGAR TRADING 044 MCD B 2,000 60.37 13-Oet 8-Jan 100.00 5.0 DALTON GREINER 012 MLI S 9,200 23.34 n/a 18-Nov 460.00 5.0 SANDLER O'NEILL ASSET 031 MS S 75,000 19.82 18-Dec 18-Dec 3,000.00 4.0 BALYASNY ASSET MCMT 044 M SS 30,000 10.63 12-Aug 9-Jan 1,500.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,000 8.76 n/a 23-Dec 750.00 5.0 BALYASNY ASSET MCMT 044 PAC SS 15,00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
BUCK CAPITAL MGMT	001	PVH	s	20,000	18.91	18-Dec	18-Dec	800.00	4.0
COUGAR TRADING	044	PVH	В	7,500	18.51	18-Dec	18-Dec	375.00	5.0
HUNTER GLOBAL INVESTOR	067	RJF	В	28,000	17.91	n/a	n/a	1,120.00	4.0
COUGAR TRADING	044	RL	В	5,000	41.81	n/a	6-Nov	250.00	5.0
INDEPENDENCE INV	039	RL	S	10,800	43.04	n/a	6-Nov	432.00	4.0
ENTRUST CAPITAL	040	SHW	S	64,000	60.37	n/a	27-Oct	3,200.00	5.0
CENTURION GLOBAL MGMT LL	041	SQNM	S	20,000	22.96	n/a	n/a	600.00	3.0
CHARTER OAK	033	STJ	В	50,000	32.63	n/a	n/a	2,500.00	5.0
PRINCIPLE CAPITAL	040	TIF	SS	35,200	22.94	n/a	12-Dec	1,056.00	3.0
BUCK CAPITAL MGMT	001	VFC	SS	30,000	52.21	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	18.81	7-Nov	7-Nov	800.00	4.0
EGS ASSOCIATES LP	091	WRC	В	3,000	18.16	7-Nov	7-Nov	180.00	6.0
BUCK CAPITAL MGMT	001	WRI	S	50,000	18.84	n/a	n/a	2,000.00	4.0

TOTAL (Trade Date): 102,649.94

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	01/08	MILLENIUM PARTNERS (MILPCREDSU)	028	PKG	В	30,000	13.73	5-Dec	5-Dec	1500.00	5.0
AO,CXL	01/08	MILLENIUM PARTNERS (MILPOMNIST)	028	PKG	В	30,000	13.73	5-Dec	5-Dec	1500.00	5.0
AO,CXL	01/06	JMP ASSET MGMT (JMPAGS)	210	WSM	В	10,000	8.90	n/a	n/a	300.00	3.0
AO, CRT	01/06	JMP ASSET MGMT (JMPAGS)	210	WSM	В	10,000	8.90	n/a	n/a	400.00	4.0
TOTAL	(AO, 0	CXL, CRT):								100.00	

TOTAL (RUN DATE) / NFS:	102,749.94
TOTAL (AO, CXL, CRT):	100.00
TOTAL (Trade Date):	102,649.94

## Legend:

O: 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