



Daily Compliance Activity Report

Trade Date: 10/02/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| EXIS CAPITAL | 044 | AA | B | 20,000 | 12.70 | n/a | n/a | 1,000.00 | 5.0 |
| SANDLER CAPITAL | 038 | ACN | B | 70,000 | 37.94 | n/a | n/a | 4,200.00 | 6.0 |
| NORTHPOINT | 030 | ADCT | S | 5,446 | 7.58 | n/a | n/a | 163.38 | 3.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | AEO | B | 75,000 | 16.20 | n/a | n/a | 3,000.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | AMG | SS | 10,000 | 61.48 | n/a | 2-Oct | 500.00 | 5.0 |
| SOUTH POINT CAP | 067 | AMSC | B | 25,000 | 31.67 | n/a | n/a | 1,250.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | ANF | B | 5,000 | 31.16 | n/a | n/a | 200.00 | 4.0 |
| JMP ASSET MGMT | 210 | ANN | SS | 14,000 | 14.56 | n/a | n/a | 700.00 | 5.0 |
| WELLS/STRONG LEDDY | 035 | ANN | S | 95,000 | 14.59 | n/a | n/a | 3,800.00 | 4.0 |
| LAGRANGE CAP ADV | 048 | AN | B | 3,454 | 16.95 | n/a | n/a | 172.70 | 5.0 |
| PROSPECTOR PARTNERS LLC | 036 | AU | S | 10,000 | 39.42 | n/a | n/a | 400.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | BAC | B | 40,000 | 16.44 | n/a | n/a | 2,000.00 | 5.0 |
| GCORE MANAGEMENT | 041 | CAR | SS | 25,000 | 12.23 | n/a | n/a | 1,250.00 | 5.0 |
| ARCHON CAPITAL | 035 | CLNE | SS | 22,400 | 13.40 | n/a | n/a | 896.00 | 4.0 |
| S.A.C.HABER/BOBBY | 044 | COF | B | 100,000 | 33.43 | n/a | n/a | 4,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|------------|------------|---------------|------------|
| BUCK CAPITAL MGMT | 001 | DDS | SS | 20,000 | 13.07 | n/a | n/a | 800.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | DOW | B | 15,000 | 23.89 | n/a | n/a | 750.00 | 5.0 |
| JP MORGAN VENTURES | 046 | DPZ | S | 75,000 | 8.51 | n/a | n/a | 2,250.00 | 3.0 |
| DSG CAPITAL | 225 | EWZ | B | 2,000 | 67.01 | n/a | n/a | 100.00 | 5.0 |
| JMP ASSET MGMT | 210 | FL | S | 15,000 | 11.40 | n/a | n/a | 750.00 | 5.0 |
| CUMBERLAND | 038 | FSLR | SS | 10,000 | 151.37 | n/a | n/a | 400.00 | 4.0 |
| TRAFELET & COMP. | 028 | F | B | 750,000 | 6.85 | n/a | 1-Oct | 30,000.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | F | B | 50,000 | 6.65 | n/a | 1-Oct | 1,500.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | GPS | S | 20,000 | 20.85 | n/a | n/a | 800.00 | 4.0 |
| CASTLEROCK | 040 | GPS | B | 58,240 | 21.00 | n/a | n/a | 2,329.60 | 4.0 |
| UBS OCONNOR | 031 | GS | B | 45,000 | 177.06 | n/a | n/a | 1,350.00 | 3.0 |
| EXIS CAPITAL | 044 | GYMB | S | 22,500 | 46.90 | n/a | n/a | 1,125.00 | 5.0 |
| KACELA CAPITAL | 034 | HOG | B | 37,600 | 21.12 | n/a | n/a | 1,504.00 | 4.0 |
| GCORE MANAGEMENT | 041 | HTZ | B | 25,000 | 9.93 | n/a | n/a | 1,250.00 | 5.0 |
| FIRST NY SEC/CHRIS | 041 | IP | S | 10,000 | 21.40 | n/a | 2-Oct | 500.00 | 5.0 |
| SCHOTTENFELD ASSOC | 041 | IP | S | 35,000 | 21.62 | n/a | 2-Oct | 1,050.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | JCG | S | 10,000 | 33.12 | n/a | n/a | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|------------|------------|-----------------|------------|
| EXIS CAPITAL | 044 | JCG | B | 10,000 | 34.31 | n/a | n/a | 500.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | JWN | B | 5,000 | 29.00 | n/a | n/a | 200.00 | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | KO | S | 10,000 | 53.72 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | LTD | S | 20,000 | 16.15 | n/a | n/a | 800.00 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | LVLTT | B | 20,000 | 1.33 | n/a | n/a | 1,200.00 | 6.0 |
| TRELLUS PARTNERS LP | 028 | LVS | B | 50,000 | 14.90 | n/a | n/a | 2,500.00 | 5.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | MAR | SS | 150,000 | 25.63 | n/a | n/a | 4,500.00 | 3.0 |
| CASTLE ARK | 031 | MET | S | 200,260 | 35.77 | n/a | n/a | 12,015.60 | 6.0 |
| BUCK CAPITAL MGMT | 001 | MGM | SS | 75,000 | 10.80 | n/a | n/a | 3,000.00 | 4.0 |
| NEWCASTLE FUNDS | 255 | MHK | SS | 31,800 | 43.77 | n/a | n/a | 1,272.00 | 4.0 |
| CATAPULT | 040 | MON | B | 30,000 | 75.26 | n/a | n/a | 1,500.00 | 5.0 |
| FORD FDN. | 032 | MON | S | 13,000 | 75.08 | n/a | n/a | 650.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | M | B | 10,000 | 17.26 | n/a | n/a | 400.00 | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | NKE | C | 50,000 | 62.10 | n/a | n/a | 1,500.00 | 3.0 |
| NEWCASTLE FUNDS | 255 | OI | B | 20,000 | 35.87 | n/a | n/a | 800.00 | 4.0 |
| THIRD POINT MGMT | 044 | ORCL | S | 200,000 | 20.27 | n/a | n/a | 8,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|---------------|------------|
| MILLENIUM PARTNERS | 028 | PKG | B | 25,000 | 18.79 | n/a | 2-Oct | 1,000.00 | 4.0 |
| SCOPUS FUND | 041 | PKG | B | 35,400 | 19.13 | n/a | 2-Oct | 1,770.00 | 5.0 |
| EXIS CAPITAL | 044 | PLCE | S | 10,000 | 28.37 | n/a | n/a | 500.00 | 5.0 |
| COUGAR TRADING | 044 | PVH | S | 5,000 | 40.68 | n/a | n/a | 250.00 | 5.0 |
| FORD FDN. | 032 | PX | B | 13,000 | 79.49 | n/a | n/a | 650.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 10,000 | 73.14 | n/a | n/a | 400.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | ROST | B | 10,000 | 46.54 | n/a | n/a | 400.00 | 4.0 |
| PZENA INV ADV | 044 | SKX | B | 20,600 | 16.83 | n/a | n/a | 721.00 | 3.5 |
| PZENA INV ADV | 044 | TBL | B | 31,600 | 13.33 | n/a | n/a | 1,106.00 | 3.5 |
| BALYASNY ASSET MGMT | 044 | TEX | C | 50,000 | 18.42 | n/a | n/a | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TGT | S | 10,000 | 46.28 | n/a | n/a | 400.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | TGT | B | 5,000 | 46.09 | n/a | n/a | 200.00 | 4.0 |
| SCHOTTENFELD ASSOC | 041 | TIN | S | 10,000 | 16.13 | n/a | 2-Oct | 300.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | TJX | B | 10,000 | 36.56 | n/a | n/a | 400.00 | 4.0 |
| PZENA INV ADV | 044 | TWP | B | 14,300 | 17.19 | n/a | n/a | 500.50 | 3.5 |
| PZENA INV ADV | 044 | WBS | B | 12,600 | 11.85 | n/a | n/a | 441.00 | 3.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|--------|-------|-----|----------|-------------------|-----|
| RBC CAPITAL MARKETS | 040 | WEN | SS | 25,000 | 4.73 | n/a | 2-Oct | 1,000.00 | 4.0 |
| JP MORGAN VENTURES | 046 | WINN | B | 20,000 | 12.13 | n/a | n/a | 1,000.00 | 5.0 |
| NEWCASTLE FUNDS | 255 | WMT | C | 45,800 | 49.20 | n/a | n/a | 1,832.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | WRC | B | 20,000 | 41.97 | n/a | 2-Oct | 800.00 | 4.0 |
| PZENA INV ADV | 044 | XOM | B | 44,100 | 66.57 | n/a | n/a | 1,543.53 | 3.5 |
| EXIS CAPITAL | 044 | ZQK | B | 11,000 | 2.40 | n/a | n/a | 550.00 | 5.0 |
| PZENA INV ADV | 044 | ZRAN | B | 17,800 | 10.75 | n/a | n/a | 623.00 | 3.5 |
| TOTAL (Trade Date) : | | | | | | | | 128,515.31 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------------------------|------|--------|-----|---------|-------|-----|----------|--------------|
| AO, | 10/01 | WELLS/STRONG LEDDY (WCAPWC1877) | 035 | BEXP | S | 16,400 | 8.66 | n/a | n/a | 492.00 3.0 |
| AO,CXL | 10/01 | EXIS CAPITAL (EXISOPUSGS) | 044 | FL | S | 1,900 | 11.63 | n/a | n/a | 95.00 5.0 |
| AO,CRT | 10/01 | EXIS CAPITAL (EXISOPUSGS) | 044 | FL | S | 1,850 | 11.63 | n/a | n/a | 92.50 5.0 |
| AO,CXL | 10/01 | EXIS CAPITAL (EXISRBC) | 044 | FL | S | 3,100 | 11.63 | n/a | n/a | 155.00 5.0 |
| AO,CRT | 10/01 | EXIS CAPITAL (EXISRBC) | 044 | FL | S | 3,150 | 11.63 | n/a | n/a | 157.50 5.0 |
| AO,CXL | 10/01 | MILLENIUUM PARTNERS (MILPINTREG) | 028 | GCI | B | 23,872 | 11.77 | n/a | n/a | 954.88 4.0 |
| AO,CRT | 10/01 | MILLENIUUM PARTNERS (MILPUSE) | 028 | GCI | B | 23,872 | 11.77 | n/a | n/a | 954.88 4.0 |
| AO,CXL | 10/01 | MILLENIUUM PARTNERS (MILPINTREG) | 028 | GPS | B | 13,377 | 21.00 | n/a | n/a | 535.08 4.0 |
| AO,CRT | 10/01 | MILLENIUUM PARTNERS (MILPUSE) | 028 | GPS | B | 13,377 | 21.00 | n/a | n/a | 535.08 4.0 |
| AO,CXL | 10/01 | MILLENIUUM PARTNERS (MILPINTREG) | 028 | GT | B | 17,337 | 16.21 | n/a | n/a | 693.48 4.0 |
| AO,CRT | 10/01 | MILLENIUUM PARTNERS (MILPUSE) | 028 | GT | B | 17,337 | 16.21 | n/a | n/a | 693.48 4.0 |
| AO,CXL | 10/01 | MILLENIUUM PARTNERS (MILPINTREG) | 028 | HD | S | 53,372 | 26.25 | n/a | n/a | 2134.88 4.0 |
| AO,CRT | 10/01 | MILLENIUUM PARTNERS (MILPUSE) | 028 | HD | S | 53,372 | 26.25 | n/a | n/a | 2134.88 4.0 |
| AO,CXL | 09/30 | CLOVIS CAPITAL (CLOVGOLDMA) | 012 | IWM | B | 250,000 | 59.85 | n/a | n/a | 10750.00 4.3 |
| AO,CRT | 09/30 | CLOVIS CAPITAL (CLOVGOLDMA) | 012 | IWM | B | 250,000 | 59.85 | n/a | n/a | 7500.00 3.0 |
| AO, | 10/01 | WELLS/STRONG LEDDY (WCAPWC1877) | 035 | JDAS | S | 10,300 | 21.41 | n/a | n/a | 309.00 3.0 |
| AO,CXL | 10/01 | MILLENIUUM PARTNERS (MILPINTREG) | 028 | M | B | 15,955 | 17.60 | n/a | n/a | 638.20 4.0 |
| AO,CRT | 10/01 | MILLENIUUM PARTNERS (MILPUSE) | 028 | M | B | 15,955 | 17.60 | n/a | n/a | 638.20 4.0 |
| AO, | 10/01 | WELLS/STRONG LEDDY (WCAPWC1877) | 035 | PSS | S | 17,500 | 16.94 | n/a | n/a | 525.00 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|----------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,CXL | 10/01 | CATAPULT (CATADEUTCH) | 040 | SFD | B | 75,000 | 12.89 | n/a | n/a | 0.00 | 0.0 |
| AO,CRT | 10/01 | CATAPULT (CATADEUTCH) | 040 | SFD | B | 75,000 | 12.89 | n/a | n/a | 3000.00 | 4.0 |
| AO,CXL | 10/01 | MILLENIUUM PARTNERS (MILPINTREG) | 028 | TGT | B | 6,070 | 46.19 | n/a | n/a | 242.80 | 4.0 |
| AO,CRT | 10/01 | MILLENIUUM PARTNERS (MILPUSE) | 028 | TGT | B | 6,070 | 46.19 | n/a | n/a | 242.80 | 4.0 |
| AO, | 10/01 | WELLS/STRONG LEDDY (WCAPWC1877) | 035 | WRES | S | 15,700 | 2.89 | n/a | n/a | 471.00 | 3.0 |

| | |
|-------------------------------|-----------------|
| TOTAL (AO, CXL, CRT) : | 1,547.00 |
|-------------------------------|-----------------|

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 128,515.31 |
| TOTAL (AO, CXL, CRT) : | 1,547.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 130,062.31 |
|--------------------------------|-------------------|

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