



Daily Compliance Activity Report

Trade Date: 08/21/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	100	168.60	n/a	n/a	4.00	4.0
NORTHPOINT	030	AAP	S	600	43.33	n/a	n/a	24.00	4.0
FORD FDN.	032	AA	S	40,000	12.53	n/a	n/a	2,000.00	5.0
WINSLOW CAPITAL	030	ADBE	B	200	32.58	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	AMZN	B	100	84.50	n/a	n/a	4.00	4.0
M&I FUNDS	047	AN	B	16,009	19.07	3-Aug	5-Aug	640.36	4.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	37.76	n/a	21-Aug	1,600.00	4.0
SCOPUS FUND	041	ARO	S	15,300	39.42	n/a	21-Aug	765.00	5.0
REICH AND TANG	067	ASH	S	10,000	35.39	n/a	24-Jul	500.00	5.0
ACK ASSET	028	BWA	SS	10,000	31.09	3-Aug	5-Aug	300.00	3.0
BALYASNY ASSET MGMT	044	BWA	S	13,787	31.09	3-Aug	5-Aug	689.35	5.0
CIRCLE T/SES PART	035	BWA	S	55,000	30.81	3-Aug	5-Aug	2,200.00	4.0
SCOPUS FUND	041	BZ	S	25,000	4.52	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	CHRW	B	100	57.53	n/a	n/a	4.00	4.0
CASTLE ARK	031	CLX	C	650	58.49	13-Aug	13-Aug	39.00	6.0
SONTERRA CAP	041	CPN	SS	30,000	12.27	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CSCO	B	900	22.17	n/a	22-Mar	36.00	4.0
WINSLOW CAPITAL	030	CTSH	B	600	34.45	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	EQIX	B	100	86.11	n/a	n/a	4.00	4.0
DSG CAPITAL	225	EWJ	B	15,000	10.15	n/a	n/a	450.00	3.0
WINSLOW CAPITAL	030	EXPD	B	100	33.49	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	FAST	B	100	37.20	n/a	n/a	4.00	4.0
NUMERIC	060	FDO	B	26,300	29.67	n/a	4-Aug	789.00	3.0
BUCK CAPITAL MGMT	001	FL	B	164,896	10.36	27-Apr	21-Aug	6,595.84	4.0
COLUMBIA PARTNERS	028	FL	C	143,914	10.34	27-Apr	21-Aug	5,756.56	4.0
RBC CAPITAL MARKETS	040	FL	B	50,000	10.38	27-Apr	21-Aug	2,000.00	4.0
THIRD COAST CAPITAL	035	FL	B	15,000	10.60	27-Apr	21-Aug	750.00	5.0
COOPER CREEK PART	028	F	B	25,000	7.70	3-Aug	21-Aug	750.00	3.0
SCHOTTENFELD ASSOC	041	F	S	100,000	7.72	3-Aug	21-Aug	3,000.00	3.0
SCOPUS FUND	041	F	B	30,000	7.74	3-Aug	21-Aug	1,500.00	5.0
TRELLUS PARTNERS LP	028	F	B	100,000	7.73	3-Aug	21-Aug	3,000.00	3.0
BUCK CAPITAL MGMT	001	GCO	S	24,200	20.50	n/a	10-Jan	968.00	4.0
WINSLOW CAPITAL	030	GILD	B	400	46.71	n/a	n/a	16.00	4.0
SAXON WOODS ADVISORS	038	GS	B	66,500	163.63	14-Jul	14-Jul	2,660.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TPG-AXON	040	HAL	S	1,000,000	24.98	n/a	n/a	50,000.00	5.0
HOLLIS CAPITAL	033	HOT	B	5,000	30.65	n/a	n/a	250.00	5.0
SUN AMERICA ASSET MGMT	030	IACI	S	5,400	19.25	n/a	n/a	216.00	4.0
WINSLOW CAPITAL	030	ILMN	B	100	35.92	n/a	n/a	4.00	4.0
BMO NESBITT BURNS	041	IP	SS	200,000	20.96	14-Aug	14-Aug	10,000.00	5.0
CAVU CAP ADV	028	JCI	S	50,000	25.31	4-Aug	20-Aug	2,500.00	5.0
WINSLOW CAPITAL	030	JNPR	B	300	24.57	n/a	22-Mar	12.00	4.0
SCOPUS FUND	041	KMB	SS	20,000	59.31	27-Jul	27-Jul	1,000.00	5.0
MILLENIUM PARTNERS	028	K	B	1,578	47.40	n/a	n/a	63.12	4.0
HIGHBRIDGE CAPITAL	038	LPX	SS	50,000	6.39	n/a	5-Aug	2,000.00	4.0
SAC TRADIN/BINDER	044	LVS	B	58,000	13.98	14-Aug	14-Aug	2,320.00	4.0
BUCK CAPITAL MGMT	001	MAR	B	50,000	24.81	n/a	n/a	2,000.00	4.0
FORD FDN.	032	MMM	S	12,000	71.99	7-Aug	7-Aug	600.00	5.0
WINSLOW CAPITAL	030	MRVL	B	500	14.19	n/a	n/a	20.00	4.0
WINSLOW CAPITAL	030	MSFT	B	500	24.02	n/a	3-Apr	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	M	B	260,000	15.49	n/a	13-Aug	10,400.00	4.0
SCOPUS FUND	041	M	B	35,000	15.37	n/a	13-Aug	1,750.00	5.0
BUCK CAPITAL MGMT	001	NP	S	14,790	11.55	11-Aug	11-Aug	591.60	4.0
NUMERIC	060	ODP	S	22,700	5.35	n/a	27-Jul	681.00	3.0
SCOPUS FUND	041	OMX	B	70,000	10.88	n/a	15-Apr	3,500.00	5.0
WINSLOW CAPITAL	030	ORCL	B	600	22.00	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	ORLY	B	100	38.46	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	PCLN	B	100	152.30	n/a	n/a	4.00	4.0
COHE & STEERS	091	PCL	S	247,040	31.47	n/a	28-Jul	9,881.60	4.0
THOMAS WEISEL ASSET MGMT	035	PDC	B	4,265	6.03	n/a	n/a	127.95	3.0
CASTLE ARK	031	PHM	S	1,267	12.62	n/a	n/a	76.02	6.0
WINSLOW CAPITAL	030	QCOM	B	600	46.95	n/a	n/a	24.00	4.0
KACELA CAPITAL	034	QLGC	B	20,000	14.53	n/a	n/a	800.00	4.0
STRAUSS ASSET MGMT	040	RAVN	B	5,000	31.77	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	RIMM	B	100	76.69	n/a	n/a	4.00	4.0
BUCK CAPITAL MGMT	001	RL	S	19,700	67.52	6-Aug	6-Aug	788.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	SCHW	B	900	17.95	n/a	n/a	36.00	4.0
COBALT	041	SLM	B	50,000	8.71	12-Aug	12-Aug	2,500.00	5.0
RBC CAPITAL MARKETS	040	SPLS	B	15,000	21.96	n/a	27-Jul	600.00	4.0
MILLENIUM PARTNERS	028	SWY	S	15,626	19.18	n/a	n/a	625.04	4.0
SUN AMERICA ASSET MGMT	030	SYNA	B	13,800	25.65	n/a	n/a	552.00	4.0
MILLENIUM PARTNERS	028	TAP	B	4,838	46.40	n/a	n/a	193.52	4.0
BNP PARIBAS SEC	040	TEN	SS	15,000	17.50	n/a	n/a	600.00	4.0
WINSLOW CAPITAL	030	TEVA	B	400	51.97	29-Jul	17-Aug	16.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	45.56	19-Aug	19-Aug	800.00	4.0
COOPER CREEK PART	028	TIS	S	10,000	20.46	n/a	n/a	400.00	4.0
HARBORWATCH/DIAMBACK	232	TXT	B	75,000	14.60	n/a	n/a	3,750.00	5.0
FORD FDN.	032	UNP	S	27,000	61.87	n/a	n/a	1,350.00	5.0
KLEINHEINZ CAP PART	031	VLO	B	75,000	18.57	n/a	n/a	3,750.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	39.05	28-Jul	12-Aug	400.00	4.0
TRUST CO/COWEN/CALF.	040	YHOO	B	157,947	14.84	n/a	n/a	6,317.88	4.0

TOTAL (Trade Date):

161,286.84

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/20	ASCEND PARTNERS (ASCEDBAB)	033	COLM	C	785	36.15	n/a	n/a	39.25 5.0
AO,	08/20	ASCEND PARTNERS (ASCECITI)	033	COLM	C	521	36.15	n/a	n/a	26.05 5.0
AO,	08/20	ASCEND PARTNERS (ASCEMSPB)	033	COLM	C	2,483	36.15	n/a	n/a	124.15 5.0
AO,	08/20	ASCEND PARTNERS (ASCEBNPC)	033	COLM	C	311	36.15	n/a	n/a	15.55 5.0
AO,	08/20	LEVEL GLOBAL PARTNERS (LEVEGS)	031	GME	S	857,000	23.72	n/a	n/a	8570.00 1.0
AO,CXL	08/19	CENTURION PARTNERS (CENTUBS)	041	MA	S	5,000	196.18	30-Jul	20-Aug	200.00 4.0
AO,CRT	08/19	CENTURION PARTNERS (CENTBSPT)	041	MA	S	5,000	196.18	30-Jul	20-Aug	200.00 4.0
AO,CRT	08/18	SENATOR INVESTMENT GROUP (SENAJPMORG)	036	PCU	SS	7,500	26.05	n/a	n/a	300.00 4.0
AO,CXL	08/18	SENATOR INVESTMENT GROUP (SENAGS)	036	PCU	SS	7,500	26.05	n/a	n/a	300.00 4.0
AO,CXL	08/20	TROUBH PART (TROUGOLD)	067	SLM	B	50,000	8.47	12-Aug	12-Aug	2500.00 5.0
AO,CRT	08/20	TROUBH PART (TROUGOLD)	067	SLM	B	100,000	8.47	12-Aug	12-Aug	5000.00 5.0

TOTAL (AO, CXL, CRT) :**11,275.00**

TOTAL (Trade Date):

161,286.84

TOTAL (AO, CXL, CRT):

11,275.00

TOTAL (RUN DATE) / NFS:**172,561.84**

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