

Daily Compliance Activity Report Trade Date: 02/10/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| | TOTELVIEWE NEVIETO | | TRUBE VIOLATIONS: 0 | | | | | | |
|----------------------|--------------------|--------|---------------------|---------|--------|--------|----------|----------|--------|
| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
| SAXON WOODS ADVISORS | 038 | ABT | S | 70,200 | 56.67 | n/a | 22-Apr | 2,808.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | ABX | В | 150,000 | 38.62 | n/a | n/a | 7,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ALV | SS | 30,000 | 20.05 | 30-Jan | 4-Feb | 1,200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANF | В | 20,000 | 21.58 | n/a | 6-Feb | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | AN | SS | 50,000 | 10.98 | 30-Jan | 30-Jan | 2,000.00 | 4.0 |
| FRIESS MGMT | 033 | AZO | S | 19,800 | 142.28 | n/a | n/a | 792.00 | 4.0 |
| LISTED ERR | 099 | AZO | В | 66 | 141.00 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | BAC | В | 100,000 | 6.36 | 16-Jan | 10-Feb | 4,000.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | BIG | В | 50,000 | 15.20 | 5-Dec | 5-Feb | 2,500.00 | 5.0 |
| HIGHBRIDGE/MS OLDS | 041 | BNI | В | 8,000 | 71.00 | n/a | n/a | 400.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BWA | SS | 30,000 | 20.08 | 27-Jan | 27-Jan | 1,200.00 | 4.0 |
| MILLRACE FUND LP | 028 | BWA | SS | 5,000 | 20.45 | 27-Jan | 27-Jan | 200.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | BWA | SS | 11,500 | 19.84 | 27-Jan | 27-Jan | 575.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | CAL | В | 10,000 | 13.73 | n/a | n/a | 500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | CAT | S | 10,000 | 32.47 | 22-0ct | 27-Jan | 500.00 | 5.0 |
| MOORE CAPITAL | 036 | CENX | S | 7,781 | 4.48 | n/a | n/a | 311.24 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | /Shr. | |
|------------------------|--|--|--|--|--|--|---|--|--------------------|--|
| JP MORGAN VENTURES | 046 | COST | SS | 22,300 | 44.16 | n/a | 27-Jul | 1,115.00 | 5.0 | |
| BALYASNY ASSET MGMT | 044 | С | В | 100,000 | 3.79 | n/a | 10-Feb | 3,000.00 | 3.0 | |
| HUNTER GLOBAL INVESTOR | 067 | DHI | S | 400,000 | 9.06 | n/a | n/a | 12,000.00 | 3.0 | |
| BUCK CAPITAL MGMT | 001 | DIN | В | 10,000 | 9.05 | n/a | n/a | 384.00 | 3.5 | |
| HUNTER GLOBAL INVESTOR | 067 | ED | S | 10,000 | 40.73 | n/a | n/a | 500.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | EL | ss | 50,000 | 26.79 | 20-Jan | 9-Feb | 2,000.00 | 4.0 | |
| CUMBERLAND | 038 | EXH | В | 10,000 | 22.71 | 27-Jan | 3-Feb | 400.00 | 4.0 | |
| BALYASNY ASSET MGMT | 044 | FITB | В | 100,000 | 2.70 | n/a | n/a | 3,000.00 | 3.0 | |
| RAINIER INV MGMT | 035 | FLS | В | 49,550 | 53.55 | n/a | n/a | 2,477.50 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | GCO | s | 35,000 | 14.77 | n/a | 10-Jan | 1,400.00 | 4.0 | |
| COUGAR TRADING | 044 | GIL | S | 15,000 | 10.64 | 11-Dec | 12-Dec | 750.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | HEW | В | 30,000 | 32.08 | n/a | n/a | 1,200.00 | 4.0 | |
| SANDLER O'NEILL ASSET | 031 | IVZ | В | 40,000 | 13.34 | 9-Jan | 10-Feb | 2,000.00 | 5.0 | |
| BALYASNY ASSET MGMT | 044 | JEC | В | 5,000 | 40.88 | n/a | n/a | 250.00 | 5.0 | |
| STERLING JOHNSTON | 035 | JWN | S | 17,200 | 14.07 | 9-Jan | 6-Feb | 688.00 | 4.0 | |
| | JP MORGAN VENTURES BALYASNY ASSET MGMT HUNTER GLOBAL INVESTOR BUCK CAPITAL MGMT HUNTER GLOBAL INVESTOR BUCK CAPITAL MGMT CUMBERLAND BALYASNY ASSET MGMT RAINIER INV MGMT BUCK CAPITAL MGMT COUGAR TRADING BUCK CAPITAL MGMT SANDLER O'NEILL ASSET BALYASNY ASSET MGMT | JP MORGAN VENTURES 046 BALYASNY ASSET MGMT 044 HUNTER GLOBAL INVESTOR 067 BUCK CAPITAL MGMT 001 HUNTER GLOBAL INVESTOR 067 BUCK CAPITAL MGMT 001 CUMBERLAND 038 BALYASNY ASSET MGMT 044 RAINIER INV MGMT 035 BUCK CAPITAL MGMT 001 COUGAR TRADING 044 BUCK CAPITAL MGMT 001 SANDLER O'NEILL ASSET 031 BALYASNY ASSET MGMT 044 | JP MORGAN VENTURES BALYASNY ASSET MGMT HUNTER GLOBAL INVESTOR BUCK CAPITAL MGMT HUNTER GLOBAL INVESTOR O67 BUCK CAPITAL MGMT O01 BUCK CAPITAL MGMT CUMBERLAND BALYASNY ASSET MGMT O38 EXH BALYASNY ASSET MGMT O44 FITB RAINIER INV MGMT O35 FLS BUCK CAPITAL MGMT O01 GCO COUGAR TRADING O44 GIL BUCK CAPITAL MGMT O01 HEW SANDLER O'NEILL ASSET O31 IVZ | BALYASNY ASSET MGMT HUNTER GLOBAL INVESTOR BUCK CAPITAL MGMT HUNTER GLOBAL INVESTOR BUCK CAPITAL MGMT HUNTER GLOBAL INVESTOR O67 BUCK CAPITAL MGMT O01 BUCK CAPITAL MGMT O01 EL SS CUMBERLAND O38 EXH B BALYASNY ASSET MGMT O44 FITB B B BUCK CAPITAL MGMT O05 FLS B BUCK CAPITAL MGMT O06 GCO S COUGAR TRADING O44 GIL S BUCK CAPITAL MGMT O01 HEW B SANDLER O'NEILL ASSET O31 IVZ B BALYASNY ASSET MGMT O44 JEC B | ### Description of the content of th | ### Description of the content of th | DF MORGAN VENTURES 046 COST SS 22,300 44.16 n/a BALYASNY ASSET MGMT 044 C B 100,000 3.79 n/a HUNTER GLOBAL INVESTOR 067 DHI S 400,000 9.06 n/a BUCK CAPITAL MGMT 001 DIN B 10,000 9.05 n/a HUNTER GLOBAL INVESTOR 067 ED S 10,000 40.73 n/a BUCK CAPITAL MGMT 001 EL SS 50,000 26.79 20-Jan CUMBERLAND 038 EXH B 10,000 22.71 27-Jan BALYASNY ASSET MGMT 044 FITB B 100,000 2.70 n/a RAINIER INV MGMT 035 FLS B 49,550 53.55 n/a BUCK CAPITAL MGMT 001 GCO S 35,000 14.77 n/a COUGAR TRADING 044 GIL S 15,000 10.64 11-Dec BUCK CAPITAL MGMT 001 HEW B 30,000 32.08 n/a SANDLER O'NEILL ASSET 031 IVZ B 40,000 13.34 9-Jan BALYASNY ASSET MGMT 044 JEC B 5,000 40.88 n/a | JP MORGAN VENTURES 046 COST SS 22,300 44.16 n/a 27-Jul BALYASNY ASSET MGMT 044 C B 100,000 3.79 n/a 10-Feb HUNTER GLOBAL INVESTOR 067 DHI S 400,000 9.06 n/a n/a BUCK CAPITAL MGMT 001 DIN B 10,000 9.05 n/a n/a HUNTER GLOBAL INVESTOR 067 ED S 10,000 40.73 n/a n/a BUCK CAPITAL MGMT 001 EL SS 50,000 26.79 20-Jan 9-Feb CUMBERLAND 038 EXH B 10,000 22.71 27-Jan 3-Feb BALYASNY ASSET MGMT 044 FITB B 100,000 2.70 n/a n/a RAINIER INV MGMT 035 FLS B 49,550 53.55 n/a n/a BUCK CAPITAL MGMT 001 GCO S 35,000 14.77 n/a 10-Jan COUGAR TRADING 044 GIL S 15,000 10.64 11-Dec 12-Dec BUCK CAPITAL MGMT 001 HEW B 30,000 32.08 n/a n/a SANDLER O'NEILL ASSET 031 IVZ B 40,000 13.34 9-Jan 10-Feb BALYASNY ASSET MGMT 044 JEC B 5,000 40.88 n/a n/a | JP MORGAN VENTURES | Second Color Seco |

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|--------------------------|------|--------|-----|-----------------|--------|--------|----------|----------|--------|---|
| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. | |
| BUCK CAPITAL MGMT | 001 | KFY | В | 20,000 | 10.41 | n/a | n/a | 800.00 | 4.0 | |
| BALYASNY ASSET MGMT | 044 | KMT | S | 25 , 000 | 19.82 | 18-Sep | 30-Jan | 1,250.00 | 5.0 | |
| SYSTEMATIC FINANCIAL MGT | 035 | KR | S | 220,000 | 21.36 | n/a | n/a | 7,700.00 | 3.5 | |
| BUCK CAPITAL MGMT | 001 | MAR | SS | 21,500 | 15.50 | n/a | n/a | 860.00 | 4.0 | |
| TRELLUS PARTNERS LP | 028 | MGA | SS | 4,700 | 30.28 | n/a | n/a | 235.00 | 5.0 | |
| BALYASNY ASSET MGMT | 044 | MI | S | 15,000 | 4.26 | n/a | n/a | 450.00 | 3.0 | |
| MKT MAKER | 099 | MSFT | В | 1 | 19.60 | n/a | 3-Apr | 0.00 | 0.0 | |
| SANDLER O'NEILL ASSET | 031 | MS | В | 50,000 | 22.94 | 18-Dec | 10-Feb | 2,500.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | NDN | В | 40,000 | 7.38 | 31-0ct | 5-Feb | 1,200.00 | 3.0 | |
| PERMIAN/BAYPIONT | 028 | NFLX | SS | 8,200 | 36.51 | n/a | n/a | 410.00 | 5.0 | |
| HIGHBRIDGE/MS OLDS | 041 | NSC | В | 16,000 | 39.27 | n/a | n/a | 800.00 | 5.0 | |
| CENTURION GLOBAL MGMT LL | 041 | NTAP | S | 18,000 | 15.68 | n/a | n/a | 900.00 | 5.0 | |
| HUNTER GLOBAL INVESTOR | 067 | NVR | S | 11,900 | 395.68 | n/a | n/a | 595.00 | 5.0 | |
| TRELLUS PARTNERS LP | 028 | PAG | SS | 37 , 500 | 8.53 | n/a | 23-Dec | 1,125.00 | 3.0 | |
| CRAMER ROSENTHAL/SCOTT | 012 | PEP | S | 7,000 | 49.50 | n/a | n/a | 280.00 | 4.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
|------------------------|------|--------|-----|---------|-------|--------|----------|----------|------|
| CR INTRINIC INVESTMENT | 044 | PFE | В | 150,000 | 14.14 | n/a | 31-Mar | 7,500.00 | 5.0 |
| COLUMBIA PARTNERS | 028 | QDEL | В | 37,917 | 12.96 | n/a | n/a | 1,516.68 | 4.0 |
| BUCK CAPITAL MGMT | 001 | RCL | SS | 50,000 | 7.20 | 30-Jan | 30-Jan | 1,500.00 | 3.0 |
| LAGRANGE CAP ADV | 048 | RDEN | В | 10,000 | 6.50 | 20-Jan | 20-Jan | 500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | STI | S | 25,000 | 10.62 | n/a | n/a | 1,250.00 | 5.0 |
| KEEFE BRUYETTE WOODS A | 045 | TROW | SS | 16,800 | 28.29 | n/a | 10-Feb | 840.00 | 5.0 |
| MERRILL ASSET | 032 | TXT | S | 108,884 | 6.60 | n/a | n/a | 4,899.78 | 4.5 |
| BUCK CAPITAL MGMT | 001 | VFC | s | 65,000 | 55.40 | n/a | n/a | 2,600.00 | 4.0 |
| BENNETT LAWRENCE | 045 | VNO | В | 7,700 | 53.00 | n/a | n/a | 346.50 | 4.5 |
| KLEINHEINZ CAP PART | 031 | WFMI | S | 50,000 | 10.52 | n/a | n/a | 2,500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | WLK | S | 20,000 | 14.23 | n/a | n/a | 1,000.00 | 5.0 |
| | | | | · | | | | | |
| BALYASNY ASSET MGMT | 044 | WL | С | 30,000 | 11.07 | n/a | n/a | 1,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | WMT | S | 30,000 | 47.61 | 10-0ct | 10-Feb | 1,200.00 | 4.0 |
| KLEINHEINZ CAP PART | 031 | WMT | S | 75,000 | 47.59 | 10-Oct | 10-Feb | 3,750.00 | 5.0 |
| WHALE ROCK CAP | 030 | WRC | S | 66,000 | 22.75 | 7-Nov | 27-Jan | 2,640.00 | 4.0 |
| BMO NESBITT BURNS | 041 | WY | В | 25,000 | 26.95 | 9-Feb | 9-Feb | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------------------------|------|--------|-----|--------|-------|-----|----------|--------------|
| SENATOR INVESTMENT GROUP | 036 | XLF | S | 35,000 | 9.00 | n/a | n/a | 1,750.00 5.0 |
| TOTAL (Trade Date): | | | | | | | 11 | .2,098.70 |

Cancel/Corrects and As-Of Trades

| Туре | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr |
|---------|-------|--------------------------------|------|--------|-----|--------|-------|--------|----------|---------|-------|
| AO, | 02/09 | 1798 CAPITAL MGMT (1798MS) | 040 | FDO | В | 5,000 | 27.56 | 7-Jan | 4-Feb | 250.00 | 5.0 |
| ۸٥, | 02/09 | 1798 CAPITAL MGMT (1798MS) | 040 | FDO | В | 10,000 | 27.46 | 7-Jan | 4-Feb | 500.00 | 5.0 |
| 0, | 02/09 | 1798 CAPITAL MGMT (1798MS) | 040 | FDO | В | 5,000 | 27.36 | 7-Jan | 4-Feb | 250.00 | 5.0 |
| O,CXL | 02/09 | 1798 CAPITAL MGMT (1798GS) | 040 | FDO | В | 5,000 | 27.56 | 7-Jan | 4-Feb | 250.00 | 5.0 |
| AO, CXL | 02/09 | 1798 CAPITAL MGMT (1798GS) | 040 | FDO | В | 10,000 | 27.46 | 7-Jan | 4-Feb | 500.00 | 5.0 |
| AO,CXL | 02/09 | 1798 CAPITAL MGMT (1798GS) | 040 | FDO | В | 5,000 | 27.36 | 7-Jan | 4-Feb | 250.00 | 5.0 |
| O, CXL | 02/09 | BUCK CAPITAL MGMT (BUCKJPMBS) | 001 | MCD | В | 16,000 | 58.37 | 13-Oct | 9-Feb | 640.00 | 4.0 |
| O, CRT | 02/09 | BUCK CAPITAL MGMT (BUCKJPMBS) | 001 | MCD | В | 27,000 | 58.37 | 13-Oct | 9-Feb | 1080.00 | 4.0 |
| O, CXL | 02/09 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | MCD | В | 27,000 | 58.37 | 13-Oct | 9-Feb | 1080.00 | 4.0 |
| O, CRT | 02/09 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | MCD | В | 16,000 | 58.37 | 13-Oct | 9-Feb | 640.00 | 4.0 |
| AO, | 02/09 | WHITE PINE CAPITAL (WPIN4428) | 030 | MI | В | 2,200 | 5.58 | n/a | n/a | 110.00 | 5.0 |
| AO,CXL | 02/09 | WHITE PINE CAPITAL (WPIN04427) | 030 | MI | В | 2,200 | 5.58 | n/a | n/a | 110.00 | 5.0 |
| AO,CXL | 02/09 | COLUMBIA PARTNERS (COLPTID) | 028 | QDEL | В | 165 | 13.36 | n/a | n/a | 6.60 | 4.0 |
| ۸٥, | 02/09 | COLUMBIA PARTNERS (COLPTID) | 028 | QDEL | В | 165 | 13.36 | n/a | n/a | 6.60 | 4.0 |

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|------------|
| 0.00 |
| 112,098.70 |
| |

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