

Daily Compliance Activity Report Trade Date: 09/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
BUCK CAPITAL MGMT	001	AAN	S	40,000	26.11	n/a	n/a	1,600.00	4.0
HIGHBRIDGE CAP	041	AAP	В	28,000	39.39	n/a	n/a	1,400.00	5.0
BUCK CAPITAL MGMT	001	AEO	В	90,000	16.24	25-Jun	4-Sep	3,600.00	4.0
ARCHON CAPITAL	035	AMB	В	15,000	23.49	n/a	n/a	450.00	3.0
CARLSON CAPITAL	203	BAC	В	50,300	16.87	11-May	15-Sep	2,012.00	4.0
KARSCH CAPITAL	034	BAC	S	300,000	16.89	11-May	15-Sep	9,000.00	3.0
SCOPUS FUND	041	BKI	S	21,374	11.06	n/a	n/a	1,068.70	5.0
MATRIX ASSET ADV.	036	BK	В	3,000	29.00	11-May	15-Sep	120.00	4.0
TRELLUS PARTNERS LP	028	BWA	В	30,000	33.17	3-Aug	24-Aug	1,500.00	5.0
ISLE RIDGE PARTNERS	041	BYD	SS	10,000	10.21	n/a	7-Aug	400.00	4.0
EPOCH INV MGMT	030	CAM	В	1,000	37.93	n/a	n/a	30.00	3.0
11:11 CAPITAL CORP	046	СЕРН	В	39,500	58.29	21-May	15-Sep	1,975.00	5.0
ISLE RIDGE PARTNERS	041	CHRS	В	25,000	4.86	n/a	22-Mar	1,000.00	4.0
EPOCH INV MGMT	030	CLB	В	3,900	100.95	n/a	15-Sep	117.00	3.0
EPOCH INV MGMT	030	COL	В	850	48.53	n/a	n/a	25.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
NOMURA CAPITAL	045	CORE	S	25,043	29.08	n/a	n/a	1,252.15	5.0
MATRIX ASSET ADV.	036	CSCO	S	4,000	23.00	n/a	22-Mar	160.00	4.0
EXIS CAPITAL	044	CTXS	В	20,000	36.71	n/a	n/a	1,000.00	5.0
AAD CAPITAL	048	DIS	В	50,000	28.21	n/a	n/a	2,000.00	4.0
BRAHMAN CAPITAL	028	DKS	SS	100,000	22.57	17-Aug	21-Aug	5,000.00	5.0
BMO NESBITT BURNS	041	FOR	В	10,000	15.09	6-Aug	6-Aug	500.00	5.0
DIAMONDBACK CAP MGMT	232	FWLT	S	20,000	32.13	n/a	n/a	1,000.00	5.0
TRELLUS PARTNERS LP	028	F	В	25,000	7.34	27-Aug	2-Sep	750.00	3.0
&LAG	048	F	В	20,000	7.30	27-Aug	2-Sep	1,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	В	77,500	22.57	n/a	10-Jan	3,100.00	4.0
BUCK CAPITAL MGMT	001	GIL	В	50,000	19.97	14-Aug	14-Aug	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	GPS	В	25,000	21.49	n/a	30-Jan	1,250.00	5.0
ISLE RIDGE PARTNERS	041	GT	В	15,000	17.51	n/a	n/a	600.00	4.0
11:11 CAPITAL CORP	046	HOLX	S	50,000	17.57	n/a	n/a	2,500.00	5.0
DSG CAPITAL	225	JCI	В	20,000	27.08	15-Sep	15-Sep	1,000.00	5.0
BUCK CAPITAL MGMT	001	KMX	В	62,147	18.78	n/a	10-Jan	2,485.88	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	
GREEN ARROW DOUG HARVEST MGMT	040	KSS KSS	S S	10,000 17,000	54.49 54.78	14-Aug 14-Aug	4-Sep 4-Sep	300.00 850.00	3.0 5.0	
SOROS	036	LOW	В	100,000	21.16	2-Sep	2-Sep	4,000.00	4.0	
CSFB GLOBAL PROPRIETARY	041	LPX	SS	25,000	7.43	n/a	5-Aug	1,250.00	5.0	
AAD CAPITAL	048	MAC	S	20,000	31.46	n/a	n/a	800.00	4.0	
OZ MGMT	040	MOS	С	62,513	53.35	n/a	n/a	1,875.39	3.0	
CIRCLE T/SES PART	035	MPEL	S	25 , 000	7.50	n/a	26-Aug	1,000.00	4.0	
ISLE RIDGE PARTNERS	041	MTN	В	10,000	33.75	n/a	n/a	400.00	4.0	
BMO NESBITT BURNS	041	М	S	25,000	17.33	n/a	4-Sep	1,250.00	5.0	
EPOCH INV MGMT	030	NYX	В	2,350	28.77	n/a	n/a	70.50	3.0	
BMO NESBITT BURNS	041	PCL	S	2,000	30.80	n/a	28-Jul	100.00	5.0	
EPOCH INV MGMT	030	PM	В	800	46.95	n/a	n/a	24.00	3.0	
EPOCH INV MGMT	030	PRU	В	1,050	50.48	n/a	n/a	31.50	3.0	
CATAPULT	040	PXP	SS	25,000	28.65	n/a	n/a	1,250.00	5.0	
FIRST NY SEC/CHRIS	041	RRR	S	30,000	7.99	n/a	11-Aug	1,500.00	5.0	
BMO NESBITT BURNS	041	RYN	S	2,000	42.54	n/a	3-Aug	100.00	5.0	
	GREEN ARROW DOUG HARVEST MGMT SOROS CSFB GLOBAL PROPRIETARY AAD CAPITAL OZ MGMT CIRCLE T/SES PART ISLE RIDGE PARTNERS BMO NESBITT BURNS EPOCH INV MGMT BMO NESBITT BURNS EPOCH INV MGMT CATAPULT FIRST NY SEC/CHRIS	GREEN ARROW DOUG HARVEST MGMT SOROS CSFB GLOBAL PROPRIETARY O41 AAD CAPITAL OZ MGMT CIRCLE T/SES PART O35 ISLE RIDGE PARTNERS O41 BMO NESBITT BURNS O41 EPOCH INV MGMT O30 EPOCH INV MGMT O30 CATAPULT O40 CATAPULT O40 O40 O40 O40 O40 O40 O40 O4	GREEN ARROW DOUG HARVEST MGMT SOROS SOROS CSFB GLOBAL PROPRIETARY AAD CAPITAL OZ MGMT OZ MGMT OZ MGMT O40 MOS CIRCLE T/SES PART O35 MPEL ISLE RIDGE PARTNERS O41 MTN BMO NESBITT BURNS O41 BMO NESBITT BURNS O41 EPOCH INV MGMT O30 PM EPOCH INV MGMT O30 PM EPOCH INV MGMT O30 PRU CATAPULT O40 PXP	GREEN ARROW DOUG HARVEST MGMT O39 KSS S SOROS O36 LOW B CSFB GLOBAL PROPRIETARY O41 LPX SS AAD CAPITAL O48 MAC S OZ MGMT O40 MOS C CIRCLE T/SES PART O35 MPEL S ISLE RIDGE PARTNERS O41 MTN B BMO NESBITT BURNS O41 M S EPOCH INV MGMT O30 NYX B EPOCH INV MGMT O30 PM B EPOCH INV MGMT O30 PRU B CATAPULT O40 PXP SS FIRST NY SEC/CHRIS O41 RRR S	GREEN ARROW DOUG HARVEST MGMT 039 KSS S 10,000 SOROS 036 LOW B 100,000 CSFB GLOBAL PROPRIETARY 041 LPX SS 25,000 AAD CAPITAL 048 MAC S 20,000 OZ MGMT 040 MOS C 62,513 CIRCLE T/SES PART 035 MPEL S 25,000 ISLE RIDGE PARTNERS 041 MTN B 10,000 BMO NESBITT BURNS 041 M S 25,000 EPOCH INV MGMT 030 NYX B 2,350 EPOCH INV MGMT 030 PM B 800 EPOCH INV MGMT 030 PRU B 1,050 CATAPULT 040 PXP SS 25,000 FIRST NY SEC/CHRIS 041 RRR S 30,000	GREEN ARROW DOUG HARVEST MGMT 039 KSS S 10,000 54.49 HARVEST MGMT 039 KSS S 17,000 54.78 SOROS 036 LOW B 100,000 21.16 CSFB GLOBAL PROPRIETARY 041 LPX SS 25,000 7.43 AAD CAPITAL 048 MAC S 20,000 31.46 OZ MGMT 040 MOS C 62,513 53.35 CIRCLE T/SES PART 035 MPEL S 25,000 7.50 ISLE RIDGE PARTNERS 041 MTN B 10,000 33.75 BMO NESBITT BURNS 041 M S 25,000 17.33 EPOCH INV MGMT 030 NYX B 2,350 28.77 BMO NESBITT BURNS 041 PCL S 2,000 30.80 EPOCH INV MGMT 030 PM B 800 46.95 EPOCH INV MGMT 030 PRU B 1,050 50.48 CATAPULT 040 PXP SS 25,000 7.99	GREEN ARROW DOUG HARVEST MGMT 039 KSS S 17,000 54.49 14-Aug 14-Aug SOROS 036 LOW B 100,000 21.16 2-Sep CSFB GLOBAL PROPRIETARY 041 LPX SS 25,000 7.43 n/a AAD CAPITAL 048 MAC S 20,000 31.46 n/a 02 MGMT 040 MOS C 62,513 53.35 n/a CIRCLE T/SES PART 035 MPEL S 25,000 7.50 n/a ISLE RIDGE PARTNERS 041 MTN B 10,000 33.75 n/a EMO NESBITT BURNS 041 MT B 2,350 28.77 n/a EMO NESBITT BURNS 041 PCL S 2,000 30.80 n/a EPOCH INV MGMT 030 PM B 800 46.95 n/a EPOCH INV MGMT 030 PRU B 1,050 50.48 n/a CATAPULT 040 PXP SS 25,000 7.99 n/a	GREEN ARROW DOUG HARVEST MEMT 039 KSS S 10,000 54.49 14-Aug 4-Sep 14-Aug 4-Sep 14-Aug 4-Sep 17,000 54.78 14-Aug 4-Sep 14-Aug 4-Sep 17,000 54.78 17,000 54.78 14-Aug 4-Sep 17,000 7.43 17	GREEN ARROW DOUG	GREEN ARROW DOOG

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PZENA INV ADV	044	SKX	В	41,391	18.49	n/a	13-Mar	1,448.69	3.5
PLATTE RIVER CAPITAL	240	SLB	В	4,000	59.87	n/a	n/a	160.00	4.0
BUCK CAPITAL MGMT	001	TGT	В	30,000	47.43	3-Sep	3-Sep	1,200.00	4.0
LATEFF MGMT	035	TIN	S	7,750	18.65	14-Aug	14-Aug	865.00	13.0
SCOPUS FUND	041	TJX	В	10,000	37.08	28-Jul	4-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	TWB	В	20,000	8.30	n/a	30-Jan	600.00	3.0
AAD CAPITAL	048	UFS	SS	30,000	37.95	n/a	n/a	1,200.00	4.0
HOLLIS CAPITAL	033	UFS	В	4,000	36.95	n/a	n/a	200.00	5.0
EPOCH INV MGMT	030	V	В	2,350	72.57	n/a	14-Sep	70.50	3.0
TRELLUS PARTNERS LP	028	WBC	В	10,000	19.28	5-Aug	5-Aug	500.00	5.0
EPOCH INV MGMT	030	WFT	В	1,500	21.51	n/a	n/a	45.00	3.0
WILLOW CREEK	033	WGO	SS	5,000	12.50	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	WM	В	2,950	30.49	n/a	n/a	88.50	3.0
NEWLAND CAPITAL MGT	067	WOR	S	5,000	15.00	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	WRC	В	25,000	42.46	15-Sep	15-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	35,900	43.02	15-Sep	15-Sep	1,436.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
EPOCH INV MGMT	030	WU	В	4,600	18.79	n/a	n/a	138.00	3.0	
BMO NESBITT BURNS	041	WY	SS	50,000	39.85	n/a	3-Aug	2,500.00	5.0	
SCHOTTENFELD ASSOC	041	WY	В	40,000	39.09	n/a	3-Aug	1,200.00	3.0	
SCOPUS FUND	041	WY	S	39,500	39.56	n/a	3-Aug	1,975.00	5.0	
EPOCH INV MGMT	030	MOX	В	2,100	69.75	n/a	n/a	63.00	3.0	

TOTAL (Trade Date): 80,537.31

Cancel/Corrects and As-Of Trades

Туре	Date	Account		Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	09/14	CATAPULT (CATADEUTCH)	040	EMC	В	46,500	16.81	n/a	n/a	0.00	0.0
AO,CRT	09/14	CATAPULT (CATADEUTCH)	040	EMC	В	46,500	16.81	n/a	n/a	2325.00	5.0
AO,CXL	09/14	COLONIAL FUND LLC (COLOMAINSL)	036	F	В	25,000	7.35	27-Aug	2-Sep	1250.00	5.0
AO,CRT	09/14	COLONIAL FUND LLC (COLOMAINSL)	036	F	В	25,000	7.35	27-Aug	2-Sep	750.00	3.0
AO,CXL AO,CRT	09/14 09/14	CSFB GLOBAL PROPRIETARY (CSFBGLOBAL) CSFB GLOBAL PROPRIETARY (CSFBGLOBAL)	041	LPX LPX	SS SS	80,000 80,000	7.26 7.26	n/a n/a	5–Aug 5–Aug	4000.00	5.0 5.0
AO, CXL	09/14	BUCK CAPITAL MGMT (BUCKGILAGX)	001	RL	S	20,000	68.69	6-Aug	6-Aug	800.00	4.0
AO, CRT	09/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	S	20,000	68.69	6-Aug	6-Aug	800.00	4.0
AO,CXL	09/14	COUGAR TRADING (COUGCITI)	044	SLM	S	10,000	8.82	12-Aug	14-Sep	500.00	5.0
AO, CRT	09/14	COUGAR TRADING (COUGCITI)	044	SLM	S	10,000	8.82	12-Aug	14-Sep	400.00	4.0
CRT	09/15	SCOPUS FUND (SCOPBANC O)	041	WY	S	7,900	39.56	n/a	3-Aug	395.00	5.0
CRT	09/15	SCOPUS FUND (SCOPUBS)	041	WY	S	31,600	39.56	n/a	3-Aug	1580.00	5.0

TOTAL	/ AO	CYT.	CRT):	3,700.00
TOTAL	(AU,	CAL,	CRI).	3,700.00

TOTAL (RUN DATE) / NFS:	84,237.31
TOTAL (AO, CXL, CRT):	3,700.00
TOTAL (Trade Date):	80,537.31

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