



## Daily Compliance Activity Report

Trade Date: 06/24/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price        | MRI          | Research      | Comm. ¢/Shr.  |            |
|--------------------------|------------|------------|-----------|---------------|--------------|--------------|---------------|---------------|------------|
| WINSLOW CAPITAL          | 030        | AAPL       | B         | 500           | 137.03       | n/a          | n/a           | 20.00         | 4.0        |
| BALYASNY ASSET MGMT      | 044        | AB         | B         | 7,500         | 19.97        | 5-Jun        | 17-Jun        | 375.00        | 5.0        |
| WINSLOW CAPITAL          | 030        | ADBE       | B         | 200           | 27.87        | n/a          | n/a           | 8.00          | 4.0        |
| WINSLOW CAPITAL          | 030        | ADSK       | B         | 200           | 19.99        | n/a          | n/a           | 8.00          | 4.0        |
| HUNTER GLOBAL INVESTOR   | 067        | AEP        | B         | 70,000        | 28.59        | n/a          | n/a           | 3,500.00      | 5.0        |
| BALYASNY ASSET MGMT      | 044        | AMG        | B         | 10,000        | 54.76        | 5-Jun        | 17-Jun        | 500.00        | 5.0        |
| BALYASNY ASSET MGMT      | 044        | AMG        | S         | 10,000        | 55.62        | 5-Jun        | 17-Jun        | 500.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ANF</b> | <b>SS</b> | <b>20,000</b> | <b>26.06</b> | <b>3-Jun</b> | <b>18-Jun</b> | <b>800.00</b> | <b>4.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ARO</b> | <b>B</b>  | <b>6,000</b>  | <b>33.08</b> | <b>n/a</b>   | <b>5-Jun</b>  | <b>240.00</b> | <b>4.0</b> |
| BALYASNY ASSET MGMT      | 044        | AXL        | B         | 75,000        | 2.93         | n/a          | 10-Jun        | 3,000.00      | 4.0        |
| CENTURION PARTNERS       | 041        | AXL        | B         | 65,000        | 3.06         | n/a          | 10-Jun        | 2,600.00      | 4.0        |
| COLONIAL FUND LLC        | 036        | AXL        | B         | 25,000        | 3.12         | n/a          | 10-Jun        | 1,250.00      | 5.0        |
| DIAMONDBACK CAP MGMT     | 232        | AXL        | B         | 299,540       | 3.19         | n/a          | 10-Jun        | 8,986.20      | 3.0        |
| FIRST NY SEC/CHRIS       | 041        | AXL        | B         | 25,000        | 3.10         | n/a          | 10-Jun        | 1,250.00      | 5.0        |
| WAGONHOUND/NIC           | 048        | AXL        | B         | 59,824        | 2.93         | n/a          | 10-Jun        | 1,794.72      | 3.0        |
| WOOSTER CAPITAL          | 035        | AXL        | B         | 200,000       | 3.05         | n/a          | 10-Jun        | 6,000.00      | 3.0        |
| KARSCH CAPITAL           | 034        | BAC        | B         | 575,000       | 12.43        | 11-May       | 17-Jun        | 17,250.00     | 3.0        |
| APEX CAPITAL MGMT.       | 033        | BBBY       | C         | 100,000       | 28.04        | n/a          | n/a           | 4,000.00      | 4.0        |

| Account              | RR # | Symbol | B/S | Shares | Price  | MRI    | Research | Comm.¢/Shr. |     |
|----------------------|------|--------|-----|--------|--------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT    | 001  | BBY    | B   | 6,000  | 33.22  | n/a    | 27-Jul   | 240.00      | 4.0 |
| DIAMONDBACK CAP MGMT | 232  | BCS    | S   | 10,000 | 18.00  | n/a    | n/a      | 500.00      | 5.0 |
| BALYASNY ASSET MGMT  | 044  | BEN    | B   | 20,000 | 70.20  | 5-Jun  | 17-Jun   | 1,000.00    | 5.0 |
| WINSLOW CAPITAL      | 030  | BIDU   | B   | 100    | 282.53 | n/a    | n/a      | 4.00        | 4.0 |
| SLS CAPITAL LLC      | 224  | BKS    | B   | 39,600 | 20.45  | n/a    | n/a      | 1,584.00    | 4.0 |
| SAVI                 | 040  | BSX    | B   | 20,000 | 9.48   | n/a    | 22-Apr   | 1,000.00    | 5.0 |
| WINSLOW CAPITAL      | 030  | CHRW   | B   | 100    | 50.89  | n/a    | n/a      | 4.00        | 4.0 |
| BALYASNY ASSET MGMT  | 044  | CLMS   | SS  | 6,900  | 14.00  | n/a    | 17-Jun   | 345.00      | 5.0 |
| MILLRACE FUND LP     | 028  | CPKI   | B   | 16,000 | 12.60  | 29-May | 12-Jun   | 640.00      | 4.0 |
| WINSLOW CAPITAL      | 030  | CSCO   | B   | 2,700  | 18.79  | n/a    | 22-Mar   | 108.00      | 4.0 |
| DIAMONDBACK CAP MGMT | 232  | CS     | SS  | 5,000  | 44.09  | n/a    | n/a      | 250.00      | 5.0 |
| WINSLOW CAPITAL      | 030  | CTSH   | B   | 1,900  | 25.61  | n/a    | n/a      | 76.00       | 4.0 |
| BUCK CAPITAL MGMT    | 001  | DAI    | SS  | 10,000 | 35.26  | n/a    | n/a      | 400.00      | 4.0 |
| BUCK CAPITAL MGMT    | 001  | EL     | SS  | 20,000 | 32.45  | 5-May  | 5-May    | 800.00      | 4.0 |
| WINSLOW CAPITAL      | 030  | EQIX   | B   | 500    | 69.08  | n/a    | n/a      | 20.00       | 4.0 |

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| BALYASNY ASSET MGMT      | 044        | EV         | SS        | 6,000         | 25.71        | 19-May        | 23-Jun        | 300.00          | 5.0        |
| KLEINHEINZ CAP PART      | 031        | EXH        | B         | 50,000        | 15.58        | 27-May        | 22-Jun        | 2,500.00        | 5.0        |
| WINSLOW CAPITAL          | 030        | EXPD       | B         | 300           | 32.29        | n/a           | n/a           | 12.00           | 4.0        |
| WINSLOW CAPITAL          | 030        | FAST       | B         | 200           | 33.16        | n/a           | n/a           | 8.00            | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>FL</b>  | <b>SS</b> | <b>50,000</b> | <b>10.34</b> | <b>27-Apr</b> | <b>22-May</b> | <b>2,000.00</b> | <b>4.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GCO</b> | <b>B</b>  | <b>10,000</b> | <b>19.35</b> | <b>n/a</b>    | <b>10-Jan</b> | <b>400.00</b>   | <b>4.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GES</b> | <b>B</b>  | <b>6,000</b>  | <b>24.87</b> | <b>n/a</b>    | <b>n/a</b>    | <b>240.00</b>   | <b>4.0</b> |
| FIRST NY SEC/CHRIS       | 041        | GE         | SS        | 25,000        | 11.95        | n/a           | n/a           | 1,250.00        | 5.0        |
| KARSCH CAPITAL           | 034        | GE         | C         | 89,200        | 11.96        | n/a           | n/a           | 2,676.00        | 3.0        |
| WINSLOW CAPITAL          | 030        | GILD       | B         | 1,100         | 46.36        | n/a           | n/a           | 44.00           | 4.0        |
| WINSLOW CAPITAL          | 030        | GOOG       | B         | 200           | 410.99       | n/a           | n/a           | 8.00            | 4.0        |
| WINSLOW CAPITAL          | 030        | ILMN       | B         | 200           | 36.64        | n/a           | n/a           | 8.00            | 4.0        |
| STG INVESTORS            | 041        | INTC       | B         | 25,000        | 16.17        | n/a           | n/a           | 750.00          | 3.0        |
| SCHOTTENFELD ASSOC       | 041        | IP         | S         | 19,600        | 13.88        | 23-Jun        | 23-Jun        | 588.00          | 3.0        |
| NEUBERGER BERMAN         | 036        | ISLE       | B         | 60,094        | 11.90        | n/a           | 26-Jan        | 2,704.23        | 4.5        |
| WINSLOW CAPITAL          | 030        | JNPR       | B         | 300           | 22.73        | n/a           | 22-Mar        | 12.00           | 4.0        |

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|-----------------|------------|
| DIAMONDBACK CAP MGMT     | 232        | JPM        | B        | 5,000         | 33.58        | n/a        | 17-Jun     | 250.00          | 5.0        |
| SIGMA CAPITAL ASSOCIATES | 041        | JWN        | B        | 25,000        | 18.58        | 20-Feb     | 5-Jun      | 1,000.00        | 4.0        |
| DIAMONDBACK CAP MGMT     | 232        | KO         | SS       | 20,000        | 47.42        | n/a        | n/a        | 1,000.00        | 5.0        |
| CUMBERLAND               | 038        | LINTA      | S        | 50,000        | 4.97         | n/a        | n/a        | 1,500.00        | 3.0        |
| KEEFE BRUYETTE WOODS A   | 045        | LM         | SS       | 20,000        | 23.08        | 5-Jun      | 17-Jun     | 1,000.00        | 5.0        |
| WINSLOW CAPITAL          | 030        | LRCX       | B        | 100           | 24.09        | n/a        | n/a        | 4.00            | 4.0        |
| DISIPLINED GROWTH INV.   | 030        | LTD        | S        | 9,960         | 11.50        | n/a        | 30-Jan     | 498.00          | 5.0        |
| AELTUS/ING IVESTMENT MGT | 215        | MIG        | S        | 228,563       | 6.46         | n/a        | n/a        | 7,999.73        | 3.5        |
| DSG CAPITAL              | 225        | MPXL       | SS       | 2,500         | 4.74         | n/a        | 23-Jun     | 125.00          | 5.0        |
| WINSLOW CAPITAL          | 030        | MRVL       | B        | 700           | 11.84        | n/a        | n/a        | 28.00           | 4.0        |
| WINSLOW CAPITAL          | 030        | MSFT       | B        | 1,800         | 23.66        | n/a        | 3-Apr      | 72.00           | 4.0        |
| SCOPUS FUND              | 041        | M          | B        | 122,300       | 11.50        | n/a        | 5-Jun      | 6,115.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>NKE</b> | <b>B</b> | <b>28,700</b> | <b>53.02</b> | <b>n/a</b> | <b>n/a</b> | <b>1,148.00</b> | <b>4.0</b> |
| WINSLOW CAPITAL          | 030        | ORCL       | B        | 2,000         | 21.42        | n/a        | n/a        | 80.00           | 4.0        |
| WINSLOW CAPITAL          | 030        | PCLN       | B        | 300           | 110.27       | n/a        | n/a        | 12.00           | 4.0        |

| Account                  | RR #       | Symbol    | B/S      | Shares        | Price        | MRI        | Research      | Comm.¢/Shr.   |            |
|--------------------------|------------|-----------|----------|---------------|--------------|------------|---------------|---------------|------------|
| HIGHBRIDGE CAPITAL       | 038        | PIKE      | B        | 9,800         | 11.89        | n/a        | n/a           | 490.00        | 5.0        |
| HIGHBRIDGE CAPITAL       | 038        | PWR       | B        | 6,000         | 22.33        | n/a        | n/a           | 300.00        | 5.0        |
| CRAMER ROSENTHAL/SCOTT   | 012        | QCOM      | B        | 36,200        | 44.65        | n/a        | n/a           | 1,086.00      | 3.0        |
| WINSLOW CAPITAL          | 030        | QCOM      | B        | 1,700         | 45.10        | n/a        | n/a           | 68.00         | 4.0        |
| STG INVESTORS            | 041        | QLGC      | B        | 50,000        | 12.47        | n/a        | n/a           | 1,500.00      | 3.0        |
| DISIPLINED GROWTH INV.   | 030        | RCL       | S        | 6,100         | 13.47        | 22-Apr     | 24-Apr        | 305.00        | 5.0        |
| WINSLOW CAPITAL          | 030        | RIMM      | B        | 100           | 71.48        | n/a        | n/a           | 4.00          | 4.0        |
| BALYASNY ASSET MGMT      | 044        | RJF       | B        | 6,000         | 16.21        | n/a        | n/a           | 300.00        | 5.0        |
| DIAMONDBACK CAP MGMT     | 232        | RJF       | B        | 10,000        | 15.95        | n/a        | n/a           | 500.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>RL</b> | <b>B</b> | <b>10,000</b> | <b>50.79</b> | <b>n/a</b> | <b>28-May</b> | <b>400.00</b> | <b>4.0</b> |
| SCOPUS FUND              | 041        | RL        | B        | 5,200         | 51.44        | n/a        | 28-May        | 260.00        | 5.0        |
| CARDINAL CAPITAL         | 044        | RRD       | B        | 70,200        | 11.60        | n/a        | n/a           | 3,510.00      | 5.0        |
| SCOPUS FUND              | 041        | RYN       | B        | 11,500        | 35.83        | n/a        | 1-May         | 575.00        | 5.0        |
| WINSLOW CAPITAL          | 030        | SCHW      | B        | 2,600         | 17.39        | n/a        | n/a           | 104.00        | 4.0        |
| CATAPULT                 | 040        | SHW       | SS       | 30,000        | 52.56        | 17-Apr     | 24-Jun        | 1,500.00      | 5.0        |
| NEWCASTLE FUNDS          | 255        | SHW       | C        | 20,000        | 53.28        | 17-Apr     | 24-Jun        | 800.00        | 4.0        |
| APEX CAPITAL MGMT.       | 033        | STM       | B        | 50,000        | 7.34         | n/a        | n/a           | 1,500.00      | 3.0        |

| Account                     | RR #       | Symbol     | B/S      | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.       |            |
|-----------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|-------------------|------------|
| MATRIX ASSET ADV.           | 036        | TEL        | B        | 6,000         | 18.45        | n/a           | n/a           | 180.00            | 3.0        |
| WINSLOW CAPITAL             | 030        | TEVA       | B        | 1,100         | 47.33        | 18-Feb        | 23-Jun        | 44.00             | 4.0        |
| COUGAR TRADING              | 044        | TJX        | S        | 7,500         | 30.70        | 4-May         | 5-Jun         | 375.00            | 5.0        |
| DISIPLINED GROWTH INV.      | 030        | TJX        | S        | 8,600         | 30.55        | 4-May         | 5-Jun         | 430.00            | 5.0        |
| DIAMONDBACK CAP MGMT        | 232        | TSN        | S        | 30,000        | 12.50        | n/a           | n/a           | 1,500.00          | 5.0        |
| SOLARIS INV MGMT            | 029        | WDC        | B        | 60,000        | 25.64        | n/a           | n/a           | 3,000.00          | 5.0        |
| CENTURION PARTNERS          | 041        | WDR        | B        | 10,000        | 25.07        | 5-Jun         | 17-Jun        | 400.00            | 4.0        |
| AVESTA CAP                  | 229        | WMT        | SS       | 100,000       | 48.40        | 11-May        | 19-Jun        | 4,000.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b>    | <b>001</b> | <b>WRC</b> | <b>S</b> | <b>10,000</b> | <b>31.37</b> | <b>13-May</b> | <b>13-May</b> | <b>400.00</b>     | <b>4.0</b> |
| AELTUS/ING IVESTMENT MGT    | 215        | XCO        | S        | 94,500        | 10.69        | n/a           | n/a           | 3,307.50          | 3.5        |
| TROUBH PART                 | 067        | YHOO       | S        | 25,000        | 15.51        | n/a           | n/a           | 1,250.00          | 5.0        |
| <b>TOTAL (Trade Date) :</b> |            |            |          |               |              |               |               | <b>121,473.38</b> |            |

**Cancel/Corrects and As-Of Trades**

| Type                          | Date  | Account                             | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢/Shr.   |
|-------------------------------|-------|-------------------------------------|------|--------|-----|---------|-------|--------|----------|---------------|
| AO,CXL                        | 06/23 | CENTURION GLOBAL MGMT LL (CGLOMSCO) | 041  | AXL    | B   | 45,000  | 2.63  | n/a    | 10-Jun   | 1350.00 3.0   |
| AO,CRT                        | 06/23 | CENTURION PARTNERS (CENTBSPT)       | 041  | AXL    | B   | 45,000  | 2.63  | n/a    | 10-Jun   | 1800.00 4.0   |
| AO,CRT                        | 06/23 | SCHOTTENFELD ASSOC (SCHOGROUP)      | 041  | BAC    | B   | 50,000  | 12.22 | 11-May | 17-Jun   | 1500.00 3.0   |
| AO,CXL                        | 06/23 | SCHOTTENFELD ASSOC (SCHOUSE)        | 041  | BAC    | B   | 50,000  | 12.22 | 11-May | 17-Jun   | 1500.00 3.0   |
| AO,                           | 06/23 | BAIRD INVESTMENT (BAIRJB473L)       | 256  | CAM    | S   | 1,600   | 26.51 | n/a    | n/a      | 80.00 5.0     |
| AO,                           | 06/23 | BAIRD INVESTMENT (BAIRBLCFB)        | 256  | CAM    | S   | 2,550   | 26.51 | n/a    | n/a      | 127.50 5.0    |
| AO,                           | 06/23 | BAIRD INVESTMENT (BAIRVB515)        | 256  | CAM    | S   | 1,975   | 26.51 | n/a    | n/a      | 98.75 5.0     |
| AO,CXL                        | 06/23 | SENATOR INVESTMENT GROUP (SENAGS)   | 036  | CF     | B   | 20,000  | 72.57 | n/a    | n/a      | 1000.00 5.0   |
| AO,CRT                        | 06/23 | SENATOR INVESTMENT GROUP (SENAGS)   | 036  | CF     | B   | 20,000  | 72.57 | n/a    | n/a      | 800.00 4.0    |
| AO,CRT                        | 06/23 | CONI (CONIISF)                      | 025  | EMC    | S   | 5,000   | 12.54 | n/a    | n/a      | 250.00 5.0    |
| AO,CXL                        | 06/23 | WILLOW CREEK (WILLMAIN4C)           | 025  | EMC    | S   | 5,000   | 12.54 | n/a    | n/a      | 250.00 5.0    |
| AO,CXL                        | 06/23 | FIRST NY SEC/CHRIS (FNYCHRIS)       | 041  | IP     | S   | 10,000  | 13.12 | 23-Jun | 23-Jun   | 600.00 6.0    |
| AO,CRT                        | 06/23 | FIRST NY SEC/CHRIS (FNYCHRIS)       | 041  | IP     | S   | 10,000  | 13.12 | 23-Jun | 23-Jun   | 500.00 5.0    |
| AO,CXL                        | 06/23 | FARALLON CAP MGMT (FARABULK F)      | 040  | KBE    | SS  | 295,000 | 17.26 | n/a    | n/a      | 11800.00 4.0  |
| AO,CRT                        | 06/23 | FARALLON CAP MGMT (FARABULK F)      | 040  | KBE    | SS  | 295,000 | 17.26 | n/a    | n/a      | 5900.00 2.0   |
| AO,CXL                        | 06/23 | CHILTON CAPITAL MGMT. (CHILJPMBS)   | 036  | SLV    | S   | 198,280 | 13.62 | n/a    | n/a      | 0.00 0.0      |
| AO,                           | 06/23 | CHILTON CAPITAL MGMT. (CHILJPMBS)   | 036  | SLV    | S   | 198,280 | 13.62 | n/a    | n/a      | 5948.40 3.0   |
| AO,CXL                        | 06/23 | CUMBERLAND (CUMBMS04)               | 038  | XLV    | SS  | 25,000  | 25.55 | n/a    | n/a      | 1000.00 4.0   |
| AO,CRT                        | 06/23 | CUMBERLAND (CUMBMS04)               | 038  | XLV    | SS  | 25,000  | 25.55 | n/a    | n/a      | 750.00 3.0    |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                                     |      |        |     |         |       |        |          | <b>254.65</b> |

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|                       |            |
|-----------------------|------------|
| TOTAL (Trade Date):   | 121,473.38 |
| TOTAL (AO, CXL, CRT): | 254.65     |

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|                                |                   |
|--------------------------------|-------------------|
| <b>TOTAL (RUN DATE) / NFS:</b> | <b>121,728.03</b> |
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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