



Daily Compliance Activity Report

Trade Date: 09/17/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ACM	B	800	28.79	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	ACN	B	1,000	36.27	n/a	n/a	40.00	4.0
COOPER CREEK PART	028	ALV	SS	5,000	35.78	10-Jun	22-Jul	150.00	3.0
WINSLOW CAPITAL	030	AMT	B	800	36.37	n/a	n/a	32.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	34.13	3-Jun	4-Sep	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	AN	S	30,000	17.83	3-Aug	5-Aug	1,500.00	5.0
BMO NESBITT BURNS	041	AXL	SS	50,000	7.79	19-Aug	2-Sep	2,500.00	5.0
COOPER CREEK PART	028	AXL	S	25,000	7.71	19-Aug	2-Sep	750.00	3.0
COUGAR TRADING	044	AXL	S	10,000	7.57	19-Aug	2-Sep	400.00	4.0
LAGRANGE CAP ADV	048	AXL	B	20,000	7.60	19-Aug	2-Sep	1,000.00	5.0
OZ MGMT	040	AXL	B	50,000	7.73	19-Aug	2-Sep	1,500.00	3.0
SCHOTTENFELD ASSOC	041	AXL	B	30,000	7.64	19-Aug	2-Sep	900.00	3.0
DIAMONDBACK CAP MGMT	232	BAC	S	50,000	17.34	11-May	15-Sep	2,500.00	5.0
WINSLOW CAPITAL	030	BAX	B	1,000	58.93	n/a	22-Apr	40.00	4.0
WINSLOW CAPITAL	030	BBY	B	700	37.52	n/a	27-Jul	28.00	4.0
FORD FDN.	032	BIIB	S	10,000	50.84	n/a	n/a	500.00	5.0
WINSLOW CAPITAL	030	BLK	B	300	202.55	24-Aug	14-Sep	12.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	BTU	B	400	39.62	n/a	n/a	16.00	4.0
TRELLUS PARTNERS LP	028	BWA	B	20,000	31.51	3-Aug	24-Aug	1,000.00	5.0
BMO NESBITT BURNS	041	BZ	S	25,000	5.40	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	CCL	B	900	32.74	n/a	26-Jan	36.00	4.0
NEUBERGER BERMAN	036	CELG	S	348,221	52.84	n/a	n/a	15,669.99	4.5
LEVEL GLOBAL/CHRIS C	041	COH	B	100,000	32.92	n/a	29-Jul	3,000.00	3.0
CAVU CAP ADV	028	COST	B	25,000	58.01	n/a	27-Jul	1,250.00	5.0
LEVEL GLOBAL/CHRIS C	041	CRI	B	78,900	26.26	n/a	n/a	2,367.00	3.0
WINSLOW CAPITAL	030	CVS	B	1,300	36.50	n/a	n/a	52.00	4.0
ASCEND PARTNERS	033	C	B	250,000	4.32	17-Sep	17-Sep	5,000.00	2.0
SCHOTTENFELD ASSOC	041	DFS	S	50,000	15.63	17-Sep	17-Sep	1,500.00	3.0
DIAMONDBACK CAP MGMT	232	DHI	S	25,000	13.56	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	DHR	B	1,000	68.37	n/a	n/a	40.00	4.0
HARBORWATCH/DIAMBACK	232	DOW	S	25,000	26.00	n/a	30-Jul	1,250.00	5.0
WINSLOW CAPITAL	030	ECL	B	700	47.30	25-Aug	17-Sep	28.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DC CAPITAL	044	ELY	S	6,707	7.60	n/a	n/a	201.21	3.0
BMO NESBITT BURNS	041	FOR	S	6,000	15.95	6-Aug	6-Aug	240.00	4.0
ARCHON CAPITAL	035	FST	B	10,000	18.99	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	FTI	B	700	54.29	n/a	n/a	28.00	4.0
LAGRANGE CAP ADV	048	F	B	10,000	7.01	27-Aug	2-Sep	500.00	5.0
TRELLUS PARTNERS LP	028	F	B	25,000	6.92	27-Aug	2-Sep	750.00	3.0
FORD FDN.	032	GILD	B	25,000	46.17	n/a	n/a	1,250.00	5.0
RAINIER INV MGMT	035	GS	B	158,780	182.32	14-Jul	15-Sep	6,351.20	4.0
WINSLOW CAPITAL	030	GS	B	400	181.18	14-Jul	15-Sep	16.00	4.0
WINSLOW CAPITAL	030	HK	B	800	24.27	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	HPQ	B	2,000	45.61	n/a	n/a	80.00	4.0
CONIFER/ISF	025	HPY	S	5,000	14.56	n/a	n/a	250.00	5.0
SLS CAPITAL LLC	224	HUM	S	57,900	40.18	n/a	n/a	2,316.00	4.0
WINSLOW CAPITAL	030	IBM	B	200	121.92	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	ICE	B	300	96.00	n/a	n/a	12.00	4.0
CLOVIS CAPITAL	012	IP	SS	50,000	24.09	16-Sep	16-Sep	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	JCP	B	20,000	33.91	13-Apr	15-Sep	800.00	4.0
OZ MGMT	040	JPM	S	200,000	44.72	7-Aug	15-Sep	6,000.00	3.0
WINSLOW CAPITAL	030	JPM	B	1,500	44.73	7-Aug	15-Sep	60.00	4.0
EXIS CAPITAL	044	KSS	SS	2,500	55.04	14-Aug	4-Sep	125.00	5.0
WINSLOW CAPITAL	030	KSS	B	700	54.96	14-Aug	4-Sep	28.00	4.0
NEUBERGER BERMAN	036	LINC	S	3,500	20.45	n/a	n/a	157.50	4.5
FIRST NEW YORK LEDDY	035	LVLTT	SS	20,000	1.37	n/a	4-Jan	1,200.00	6.0
WINSLOW CAPITAL	030	MA	B	300	218.56	30-Jul	16-Sep	12.00	4.0
WINSLOW CAPITAL	030	MFE	B	600	42.53	n/a	3-Apr	24.00	4.0
WINSLOW CAPITAL	030	MHS	B	2,300	55.02	n/a	n/a	92.00	4.0
WINSLOW CAPITAL	030	MON	B	800	79.80	n/a	11-Sep	32.00	4.0
WINSLOW CAPITAL	030	MR	B	900	31.57	n/a	n/a	36.00	4.0
DIAMONDBACK CAP MGMT	232	MS	SS	5,000	30.87	11-May	15-Sep	250.00	5.0
ACK ASSET	028	MTW	S	35,000	9.74	11-Sep	11-Sep	1,050.00	3.0
BMO NESBITT BURNS	041	M	SS	35,000	17.91	n/a	4-Sep	1,750.00	5.0
BUCK CAPITAL MGMT	001	M	B	30,000	17.49	n/a	4-Sep	1,200.00	4.0
CAERUS GLOBAL	041	M	B	10,000	17.69	n/a	4-Sep	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	NTRS	C	25,000	60.63	22-Apr	15-Sep	1,250.00	5.0
EXIS CAPITAL	044	NWY	B	5,000	5.15	n/a	30-Jan	250.00	5.0
CUMBERLAND	038	ODFL	S	25,000	34.46	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	ODFL	S	74,200	34.30	n/a	n/a	3,339.00	4.5
SENATOR INVESTMENT GROUP	036	OLN	S	15,000	17.66	n/a	20-Jun	600.00	4.0
WINSLOW CAPITAL	030	PBR	B	700	45.17	n/a	n/a	28.00	4.0
BMO NESBITT BURNS	041	PCL	B	1,500	32.74	n/a	28-Jul	60.00	4.0
MILLRACE FUND LP	028	PLCE	SS	12,000	28.78	n/a	4-Sep	480.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PNC	S	196,250	45.44	n/a	n/a	6,868.75	3.5
RAMIUS CAP	040	PTEN	B	90,000	15.54	n/a	n/a	3,600.00	4.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.46	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	RL	B	5,000	75.18	6-Aug	6-Aug	200.00	4.0
BALYASNY ASSET MGMT	044	RRR	B	35,000	8.20	17-Sep	17-Sep	1,750.00	5.0
BMO NESBITT BURNS	041	RYN	B	1,000	44.38	n/a	3-Aug	40.00	4.0
NEUBERGER BERMAN	036	SNI	B	42,600	36.58	n/a	n/a	1,917.00	4.5
WINSLOW CAPITAL	030	STJ	B	800	37.99	n/a	n/a	32.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	SUP	S	10,000	15.48	10-Aug	10-Aug	500.00	5.0
WINSLOW CAPITAL	030	SU	B	1,500	36.83	n/a	n/a	60.00	4.0
WINSLOW CAPITAL	030	SWN	B	1,000	44.89	n/a	15-Sep	40.00	4.0
WINSLOW CAPITAL	030	TGT	B	600	48.81	3-Sep	3-Sep	24.00	4.0
HOTCHKIS & WILEY	035	TRV	S	75,100	47.85	n/a	n/a	3,755.00	5.0
CAVU CAP ADV	028	TSO	B	53,700	15.50	n/a	n/a	2,685.00	5.0
WINSLOW CAPITAL	030	UNP	B	1,200	62.34	n/a	n/a	48.00	4.0
WINSLOW CAPITAL	030	UTX	B	1,100	62.53	n/a	n/a	44.00	4.0
WINSLOW CAPITAL	030	V	B	1,300	73.50	n/a	16-Sep	52.00	4.0
WINSLOW CAPITAL	030	WFT	B	2,200	22.13	n/a	n/a	88.00	4.0
HUNTER GLOBAL INVESTOR	067	WMT	SS	50,000	50.00	11-May	13-Aug	2,500.00	5.0
WINSLOW CAPITAL	030	WMT	B	1,000	49.89	11-May	13-Aug	40.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	43.94	15-Sep	15-Sep	800.00	4.0
EMERSON CAPITAL MGMT	048	WSM	S	4,900	19.81	n/a	n/a	196.00	4.0
SCOPUS FUND	041	WY	B	1,500	38.84	n/a	3-Aug	75.00	5.0
MERRILL ASSET/BLACKROCK	214	XRX	S	490,300	9.53	n/a	n/a	22,063.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	067	X	B	25,000	49.41	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):								132,279.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									132,279.15
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									132,279.15
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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