



Daily Compliance Activity Report

Trade Date: 09/23/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|--------|--------|--------|----------|--------------|-----|
| ROTHSCHILD ASSET | 040 | ABM | S | 34,800 | 22.25 | n/a | n/a | 1,566.00 | 4.5 |
| BUCK CAPITAL MGMT | 001 | AEO | B | 20,000 | 15.65 | n/a | 5-Sep | 800.00 | 4.0 |
| BUCK | 015 | AET | B | 500 | 37.44 | n/a | n/a | 0.00 | 0.0 |
| REINHART & MAHONEY | 031 | AFG | B | 26,300 | 28.71 | n/a | n/a | 1,315.00 | 5.0 |
| AMATURO | 018 | AIG | B | 2,000 | 5.17 | n/a | n/a | 0.00 | 0.0 |
| AMATURO | 018 | AIG | S | 2,000 | 4.97 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | AILJN | B | 30 | 0.15 | n/a | n/a | 0.00 | 0.0 |
| TRUSTCO/SUNTRUST | 040 | ALV | B | 22,800 | 35.66 | 23-Jul | 30-Jul | 729.60 | 3.2 |
| BUCK CAPITAL MGMT | 001 | ANF | S | 10,000 | 41.94 | 7-Aug | 17-Sep | 400.00 | 4.0 |
| EPOCH INV MGMT | 030 | ARB | S | 3,900 | 47.73 | n/a | n/a | 156.00 | 4.0 |
| HOLDEN CAPITAL MGMT | 035 | ARO | SS | 10,000 | 30.95 | 28-Apr | 5-Sep | 500.00 | 5.0 |
| EPOCH INV MGMT | 030 | ATK | S | 1,300 | 100.13 | n/a | n/a | 52.00 | 4.0 |
| EPOCH INV MGMT | 030 | AWI | S | 950 | 32.97 | n/a | n/a | 38.00 | 4.0 |
| CAXTON PART | 040 | BDK | SS | 15,000 | 61.80 | n/a | n/a | 525.00 | 3.5 |
| THIRD COAST CAPITAL | 035 | BIG | B | 15,000 | 29.78 | 29-May | 5-Sep | 750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|--------------|----------|----------------|--------------|---------------|---------------|------------------|------------|
| PHILADELPHIA FINANCIAL | 033 | BLK | B | 10,026 | 189.71 | n/a | 19-Sep | 401.04 | 4.0 |
| PAW PARTNERS | 041 | BMC | B | 8,400 | 31.29 | n/a | n/a | 420.00 | 5.0 |
| JENNISON | 032 | BRCM | B | 142,200 | 19.27 | n/a | n/a | 5,261.40 | 3.7 |
| IRIDIAN ASSET MGMT. | 036 | CCK | B | 14,560 | 23.16 | n/a | n/a | 728.00 | 5.0 |
| BAIRD INVESTMENT | 031 | CHRW | B | 12,000 | 53.01 | n/a | n/a | 600.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CHS | S | 400,000 | 5.96 | 8-Aug | 17-Sep | 16,000.00 | 4.0 |
| NOMURA CAPITAL | 045 | CLUB | B | 8,100 | 7.47 | n/a | n/a | 324.00 | 4.0 |
| ZOLIDIS | 011 | CMG | S | 300 | 58.38 | 12-Sep | 12-Sep | 0.00 | 0.0 |
| AVESTA CAP | 229 | COH | SS | 25,000 | 27.00 | 30-Jul | 28-Aug | 1,250.00 | 5.0 |
| LATEFF MGMT | 035 | CVS | B | 3,500 | 33.95 | n/a | n/a | 490.00 | 14.0 |
| AMATURO | 018 | DIAWF | B | 30 | 4.80 | n/a | n/a | 0.00 | 0.0 |
| AMATURO | 018 | DIAWF | S | 30 | 6.00 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | DLTR | S | 500 | 36.31 | n/a | 5-Sep | 20.00 | 4.0 |
| JENNISON | 032 | DRIV | B | 140,900 | 39.62 | n/a | n/a | 5,213.30 | 3.7 |
| GAULT | 063 | DTO | S | 1,000 | 36.68 | n/a | n/a | 0.00 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 237 | EAT | S | 23,667 | 18.01 | n/a | 24-Apr | 1,183.35 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|---------------|------------|
| EPOCH INV MGMT | 030 | ECOL | S | 2,650 | 27.63 | n/a | n/a | 106.00 | 4.0 |
| PRIMECAP MGMT | 048 | EMC | B | 20,100 | 12.17 | n/a | n/a | 1,005.00 | 5.0 |
| MS PRINCIPAL STRATEGIES | 041 | ERJ | B | 27,300 | 29.53 | n/a | n/a | 1,365.00 | 5.0 |
| HUNTER GLOBAL INVESTOR | 067 | FDO | SS | 300 | 27.25 | 23-Jul | 5-Sep | 15.00 | 5.0 |
| PILOT ADV | 038 | FDO | SS | 25,000 | 26.70 | 23-Jul | 5-Sep | 980.00 | 2.0 |
| EATON VANCE MGMT | 039 | FE | B | 247,033 | 66.62 | n/a | n/a | 7,410.99 | 3.0 |
| ETON PARK CAPITAL | 039 | FE | B | 512 | 66.62 | n/a | n/a | 15.36 | 3.0 |
| JENNISON | 032 | FSLR | S | 183,900 | 214.54 | n/a | n/a | 6,804.30 | 3.7 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 10,000 | 33.62 | n/a | 10-Jan | 400.00 | 4.0 |
| BUCK | 015 | GSMN | S | 10 | 6.10 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | GSVP | B | 8 | 2.45 | n/a | n/a | 0.00 | 0.0 |
| CAXTON PART | 040 | HANS | S | 91,172 | 30.61 | n/a | n/a | 3,191.02 | 3.5 |
| BUCK | 015 | HD | SS | 1,000 | 25.89 | n/a | 27-Jul | 0.00 | 0.0 |
| MS PRINCIPAL STRATEGIES | 041 | HLX | S | 13,800 | 27.87 | n/a | n/a | 690.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | HOT | SS | 20,000 | 33.54 | n/a | n/a | 800.00 | 4.0 |
| FRONTPOINT/COPIA-ANDREW | 031 | IWM | B | 200,000 | 71.99 | n/a | n/a | 6,000.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| SINCLAIR | 031 | IZUCF | B | 4 | 2.20 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | JCG | S | 250,000 | 29.72 | n/a | 17-Sep | 10,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JWN | SS | 145,000 | 31.66 | 10-Jul | 17-Sep | 5,800.00 | 4.0 |
| SINCLAIR | 031 | KGCBW | B | 10 | 3.00 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | KMT | S | 49,300 | 31.64 | 18-Sep | 18-Sep | 2,218.53 | 4.5 |
| BUCK | 015 | LIZ | SS | 1,500 | 17.66 | n/a | 18-Sep | 0.00 | 0.0 |
| HUNTER GLOBAL INVESTOR | 067 | LO | B | 80,000 | 69.57 | n/a | n/a | 4,000.00 | 5.0 |
| CAXTON PART | 040 | LVS | SS | 10,000 | 33.89 | n/a | n/a | 350.00 | 3.5 |
| AMATURO | 018 | MPEL | B | 2,000 | 4.19 | n/a | n/a | 0.00 | 0.0 |
| THE JAY GOLDMAN | 034 | MSFT | S | 25,000 | 26.06 | n/a | 3-Apr | 1,000.00 | 4.0 |
| DAWSON SANBERG & CO | 041 | MU | S | 500,000 | 4.17 | n/a | n/a | 15,000.00 | 3.0 |
| PAW PARTNERS | 041 | NOK | S | 20,000 | 20.04 | n/a | n/a | 1,000.00 | 5.0 |
| LUCHANSKY1 | 036 | NTRZ | S | 1,000 | 0.44 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | NTY | S | 67,000 | 29.16 | n/a | n/a | 3,350.00 | 5.0 |
| JENNISON | 032 | PAYX | B | 60,800 | 31.90 | n/a | n/a | 2,249.60 | 3.7 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|--------------|-----------|---------------|--------------|------------|---------------|-----------------|------------|
| N STRATTON | 014 | PNWIF | B | 500 | 2.05 | n/a | n/a | 0.00 | 0.0 |
| THE JAY GOLDMAN | 034 | RFMD | S | 25,000 | 3.32 | n/a | n/a | 1,000.00 | 4.0 |
| MAGNETAR FINANCIAL | 031 | RYL | S | 92,000 | 24.49 | n/a | n/a | 2,760.00 | 3.0 |
| ZOLIDIS | 011 | SDS | B | 500 | 70.82 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET | 032 | SF | S | 500 | 49.00 | n/a | n/a | 25.00 | 5.0 |
| TRUST CO/COWEN/CALF. | 040 | SLE | B | 114,820 | 13.07 | n/a | n/a | 4,592.80 | 4.0 |
| PAW PARTNERS | 041 | SYMC | S | 25,000 | 19.76 | n/a | 3-Apr | 1,250.00 | 5.0 |
| MAGUIRE | 039 | TAST | S | 600 | 4.50 | n/a | n/a | 0.00 | 0.0 |
| MS PRINCIPAL STRATEGIES | 041 | TEO | B | 8,400 | 12.22 | n/a | n/a | 420.00 | 5.0 |
| BAIRD INVESTMENT | 031 | TGT | B | 6,950 | 50.23 | n/a | 22-Sep | 347.50 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TGT | SS | 80,000 | 49.53 | n/a | 22-Sep | 3,200.00 | 4.0 |
| CAMBIAR CAP | 046 | TGT | B | 33,310 | 49.80 | n/a | 22-Sep | 1,332.40 | 4.0 |
| COUGAR TRADING | 044 | TJX | SS | 5,000 | 32.17 | 11-Aug | 5-Sep | 250.00 | 5.0 |
| THIRD COAST CAPITAL | 035 | TRN | B | 10,000 | 31.18 | n/a | n/a | 500.00 | 5.0 |
| PERRY PARTNERS | 041 | TTWO | S | 177,082 | 16.29 | n/a | n/a | 5,312.46 | 3.0 |
| EPOCH INV MGMT | 030 | TUP | B | 1,500 | 28.57 | n/a | n/a | 60.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | TWB | S | 10,000 | 9.11 | n/a | 20-Aug | 400.00 | 4.0 |
| LEDDY | 035 | VC | B | 4,500 | 2.97 | n/a | 31-Jul | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | VVC | B | 2,950 | 27.70 | n/a | n/a | 118.00 | 4.0 |
| EPOCH INV MGMT | 030 | WBC | B | 1,850 | 37.95 | n/a | 30-Jul | 74.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | WDR | S | 20,000 | 25.15 | 15-Jul | 19-Sep | 600.00 | 3.0 |
| CAXTON PART | 040 | WFC | S | 46,548 | 35.85 | n/a | n/a | 1,629.20 | 3.5 |
| BUCK CAPITAL MGMT | 001 | WRC | S | 20,000 | 46.59 | 8-Aug | 28-Aug | 800.00 | 4.0 |
| EPOCH INV MGMT | 030 | WRES | B | 2,900 | 10.41 | n/a | n/a | 116.00 | 4.0 |
| EPOCH INV MGMT | 030 | WR | B | 3,350 | 23.55 | n/a | n/a | 134.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | XLF | B | 75,000 | 20.51 | n/a | n/a | 3,000.00 | 4.0 |
| ROSEDALE CAPITAL | 046 | YHOO | S | 30,000 | 18.86 | n/a | n/a | 1,500.00 | 5.0 |
| BUCK | 015 | YUM | B | 500 | 36.37 | 14-Aug | 19-Sep | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | | 141,894.85 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-----------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO, | 09/22 | NOMURA CAPITAL (NOMUSTRATE) | 045 | ACW | B | 1,600 | 1.34 | n/a | n/a | 32.00 2.0 |
| AO, | 09/22 | NOMURA CAPITAL (NOMUBATT2) | 045 | ACW | B | 1,800 | 1.34 | n/a | n/a | 36.00 2.0 |
| AO, | 09/22 | NOMURA CAPITAL (NOMUBSMAN) | 045 | ACW | B | 1,800 | 1.34 | n/a | n/a | 36.00 2.0 |
| AO, | 09/22 | RAMIUS CAP (RAMICSFB) | 040 | ALV | B | 46,800 | 37.38 | 23-Jul | 30-Jul | 2340.00 5.0 |
| AO, | 09/22 | RAMIUS CAP (RAMICSFB) | 040 | BWA | B | 48,300 | 36.37 | 10-Jun | 1-Aug | 2415.00 5.0 |
| AO, | 09/22 | US BANCORP (USBCFEDSCC) | 030 | CBK | S | 601 | 10.66 | n/a | 17-Sep | 30.05 5.0 |
| AO, | 09/22 | US BANCORP (USBCFABAXS) | 030 | CBK | S | 493 | 10.66 | n/a | 17-Sep | 24.65 5.0 |
| AO, | 09/22 | US BANCORP (USBCEMGRX) | 030 | CBK | S | 34,508 | 10.66 | n/a | 17-Sep | 1725.40 5.0 |
| AO, | 09/22 | US BANCORP (USBCSIMS) | 030 | CBK | S | 465 | 10.66 | n/a | 17-Sep | 23.25 5.0 |
| AO, | 09/22 | CAXTON PART (CAXTBBCICS) | 040 | CCL | S | 10,000 | 37.43 | n/a | 26-Jan | 350.00 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTBBCICS) | 040 | CCL | S | 14,727 | 37.26 | n/a | 26-Jan | 515.45 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFXXMS) | 040 | CCL | S | 29,190 | 37.43 | n/a | 26-Jan | 1021.65 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFXXMS) | 040 | CCL | S | 42,989 | 37.26 | n/a | 26-Jan | 1504.62 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFCIMS) | 040 | CCL | S | 6,342 | 37.43 | n/a | 26-Jan | 221.97 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFCIMS) | 040 | CCL | S | 9,340 | 37.26 | n/a | 26-Jan | 326.90 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTBBCICS) | 040 | GIS | S | 13,000 | 68.87 | n/a | n/a | 455.00 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFXXMS) | 040 | GIS | S | 39,401 | 68.87 | n/a | n/a | 1379.04 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFCIMS) | 040 | GIS | S | 8,573 | 68.87 | n/a | n/a | 300.06 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTBBCICS) | 040 | KO | S | 19,000 | 51.63 | n/a | n/a | 665.00 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFXXMS) | 040 | KO | S | 56,201 | 51.63 | n/a | n/a | 1967.04 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFCIMS) | 040 | KO | S | 12,256 | 51.63 | n/a | n/a | 428.96 3.5 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------------------------------|-------|--------------------------|------|--------|-----|--------|-------|-----|----------|-------------------|
| AO, | 09/22 | CAXTON PART (CAXTBBCICS) | 040 | MCO | S | 21,875 | 35.11 | n/a | n/a | 765.63 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTBBCICS) | 040 | MCO | S | 11,397 | 34.91 | n/a | n/a | 398.90 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFXXMS) | 040 | MCO | S | 60,689 | 35.11 | n/a | n/a | 2124.12 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFXXMS) | 040 | MCO | S | 31,617 | 34.91 | n/a | n/a | 1106.60 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFCIMS) | 040 | MCO | S | 13,409 | 35.11 | n/a | n/a | 469.32 3.5 |
| AO, | 09/22 | CAXTON PART (CAXTKFCIMS) | 040 | MCO | S | 6,986 | 34.91 | n/a | n/a | 244.51 3.5 |
| AO, | 09/22 | RAMIUS CAP (RAMICSFB) | 040 | MGA | B | 30,700 | 57.07 | n/a | n/a | 1535.00 5.0 |
| AO,CRT | 09/17 | ZOLIDIS (ZOLIDIS) | 011 | UYG | B | 1,000 | 16.78 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 09/17 | ZOLIDIS (ZOLIDIS) | 011 | UYG | B | 1,000 | 16.78 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 09/18 | ZOLIDIS (ZOLIDIS) | 011 | UYG | S | 1,000 | 17.80 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 09/18 | ZOLIDIS (ZOLIDIS) | 011 | UYG | S | 1,000 | 17.80 | n/a | n/a | 0.00 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 22,442.12 |
| TOTAL (Trade Date) : | | | | | | | | | | 141,894.85 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 22,442.12 |
| TOTAL (RUN DATE) / NFS : | | | | | | | | | | 164,336.97 |

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