



Daily Compliance Activity Report

Trade Date: 03/20/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|--------|--------|--------|----------|--------------|-----|
| STRONG/MARK GRONET | 030 | AAI | B | 37,305 | 3.76 | n/a | n/a | 1,119.15 | 3.0 |
| POST ROAD CAP | 045 | ABM | SS | 14,000 | 16.10 | n/a | n/a | 420.00 | 3.0 |
| TRELLUS PARTNERS LP | 028 | ALV | SS | 5,000 | 17.21 | 12-Mar | 12-Mar | 250.00 | 5.0 |
| STRONG/MARK GRONET | 030 | ANH | B | 20,000 | 5.63 | n/a | n/a | 600.00 | 3.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | ARO | S | 25,000 | 24.61 | n/a | 13-Mar | 1,250.00 | 5.0 |
| STRONG/MARK GRONET | 030 | ASH | B | 10,000 | 6.95 | n/a | 11-Mar | 300.00 | 3.0 |
| TROUBH PART | 067 | BAC | B | 50,000 | 6.27 | 2-Mar | 18-Mar | 2,500.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | BJ | S | 60,800 | 30.73 | n/a | 27-Jul | 2,128.00 | 3.5 |
| MTB INV ADV | 034 | BKE | S | 5,950 | 29.62 | n/a | n/a | 297.50 | 5.0 |
| GREEN ARROW CAPITAL | 034 | BLK | S | 5,000 | 115.29 | 4-Mar | 20-Mar | 250.00 | 5.0 |
| NATIONAL BK OF CAN | 031 | BLK | SS | 5,000 | 113.96 | 4-Mar | 20-Mar | 200.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | BLK | SS | 25,000 | 114.10 | 4-Mar | 20-Mar | 1,250.00 | 5.0 |
| WAGONHOUND/NIC | 048 | BLK | S | 4,747 | 114.03 | 4-Mar | 20-Mar | 189.88 | 4.0 |
| COUGAR TRADING | 044 | BWA | SS | 5,000 | 18.44 | 12-Mar | 19-Mar | 250.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | BWA | SS | 5,394 | 19.53 | 12-Mar | 19-Mar | 269.70 | 5.0 |
| STRONG/MARK GRONET | 030 | CBI | B | 25,480 | 5.73 | n/a | n/a | 764.40 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| STELLIAM INV ADV | 040 | CLW | B | 25,000 | 7.02 | n/a | n/a | 750.00 | 3.0 |
| STRONG/MARK GRONET | 030 | CMO | B | 14,890 | 10.86 | n/a | n/a | 595.60 | 4.0 |
| STRONG/WELL HOWARD | 038 | CMO | B | 1,085 | 10.86 | n/a | n/a | 43.40 | 4.0 |
| FULLER & THALER ASSET | 033 | CRR | B | 30,000 | 30.45 | 5-Feb | 17-Mar | 900.00 | 3.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | CSCO | B | 25,000 | 15.79 | n/a | 22-Mar | 1,250.00 | 5.0 |
| THE BOSTON COMPANY | 401 | CTRN | S | 50,000 | 13.91 | n/a | n/a | 2,000.00 | 4.0 |
| EOS PARTNERS | 045 | CX | SS | 20,000 | 5.21 | n/a | n/a | 1,000.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | DE | C | 15,000 | 30.74 | 26-Jan | 19-Feb | 750.00 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | DFS | B | 26,500 | 5.97 | n/a | 19-Mar | 795.00 | 3.0 |
| WEINTRAUB CAPITAL MGT. | 040 | ENR | SS | 50,000 | 47.32 | 4-Nov | 20-Mar | 2,000.00 | 4.0 |
| CAXTON PART | 040 | ERTS | B | 56,942 | 18.60 | n/a | n/a | 1,992.98 | 3.5 |
| MTB INV ADV | 034 | FDO | S | 10,425 | 31.31 | 5-Mar | 6-Mar | 521.25 | 5.0 |
| PHILADELPHIA FINANCIAL | 033 | FII | B | 4,200 | 19.74 | 13-Nov | 20-Mar | 168.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 20,000 | 15.11 | n/a | 10-Jan | 800.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | GE | C | 50,000 | 9.31 | n/a | n/a | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GPS | B | 50,000 | 12.45 | n/a | 30-Jan | 2,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|---------------|--------------|-----------------|------------|
| THOMSON HORSTMAN BRYANT | 040 | GYMB | B | 11,600 | 17.90 | 5-Mar | 5-Mar | 580.00 | 5.0 |
| EOS PARTNERS | 045 | HNT | S | 20,000 | 15.41 | n/a | n/a | 1,000.00 | 5.0 |
| MILLENIUM PARTNERS | 028 | IP | SS | 20,000 | 7.03 | n/a | 20-Mar | 1,000.00 | 5.0 |
| STELLIAM INV ADV | 040 | IP | B | 25,000 | 7.18 | n/a | 20-Mar | 750.00 | 3.0 |
| NATIONAL BK OF CAN | 031 | IVZ | B | 45,000 | 12.38 | 10-Mar | 20-Mar | 1,800.00 | 4.0 |
| SCOPUS FUND | 041 | JCP | SS | 10,000 | 17.05 | 6-Feb | 6-Mar | 500.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | JCP | B | 25,000 | 17.06 | 6-Feb | 6-Mar | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JWN | SS | 30,000 | 14.56 | 20-Feb | 6-Mar | 1,200.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | KMT | SS | 1,100 | 15.83 | n/a | 30-Jan | 55.00 | 5.0 |
| T. ROWE PRICE | 033 | K | B | 144,300 | 36.47 | n/a | n/a | 5,772.00 | 4.0 |
| EPOCH INV MGMT | 030 | LH | S | 3,550 | 56.88 | n/a | n/a | 142.00 | 4.0 |
| BMO NESBITT BURNS | 041 | LM | B | 36,500 | 13.70 | 29-Jan | 20-Mar | 1,825.00 | 5.0 |
| MUHLENKAMP FUND | 046 | LM | B | 433,000 | 13.79 | 29-Jan | 20-Mar | 21,650.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | MGA | SS | 6,600 | 25.37 | n/a | n/a | 330.00 | 5.0 |
| STRONG/MARK GRONET | 030 | MJN | S | 46,500 | 27.72 | n/a | n/a | 1,860.00 | 4.0 |
| EPOCH INV MGMT | 030 | MON | S | 6,500 | 82.25 | n/a | 22-Jan | 260.00 | 4.0 |
| BABSON/OFI/TRINITY | 039 | MOV | S | 3,800 | 7.66 | n/a | n/a | 152.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|-----------|-------|-------|----------|--------------|-----|
| THOMSON HORSTMAN BRYANT | 040 | NWY | B | 86,300 | 2.78 | n/a | 30-Jan | 2,589.00 | 3.0 |
| MILLRACE FUND LP | 028 | PAG | SS | 20,000 | 9.02 | n/a | 18-Feb | 600.00 | 3.0 |
| TRELLUS PARTNERS LP | 028 | PAG | SS | 30,000 | 9.01 | n/a | 18-Feb | 900.00 | 3.0 |
| EPOCH INV MGMT | 030 | PM | S | 17,500 | 38.14 | n/a | n/a | 700.00 | 4.0 |
| BULL PATH CAPITAL | 044 | PNK | S | 17,500 | 6.99 | n/a | n/a | 875.00 | 5.0 |
| MTB INV ADV | 034 | PNRA | S | 5,425 | 52.38 | n/a | 13-Feb | 271.25 | 5.0 |
| EPOCH INV MGMT | 030 | RE | S | 6,600 | 66.97 | n/a | n/a | 264.00 | 4.0 |
| MACKLOWE ASSET MGMT | 041 | SBUX | SS | 50,000 | 11.37 | n/a | 17-Feb | 2,500.00 | 5.0 |
| CUMBERLAND | 038 | SPY | SS | 50,000 | 76.98 | n/a | n/a | 1,500.00 | 3.0 |
| TRIBE CAP/MILLENNIUM | 041 | STT | B | 15,000 | 26.05 | n/a | n/a | 750.00 | 5.0 |
| MILLENIUM PARTNERS | 028 | TIN | B | 20,000 | 4.57 | 5-Dec | 20-Mar | 1,000.00 | 5.0 |
| SCOPUS FUND | 041 | TIN | S | 25,000 | 4.68 | 5-Dec | 20-Mar | 1,250.00 | 5.0 |
| BMO NESBITT BURNS | 041 | WDR | SS | 30,500 | 16.30 | n/a | 20-Mar | 1,525.00 | 5.0 |
| EPOCH INV MGMT | 030 | WGL | B | 7,300 | 32.75 | n/a | n/a | 292.00 | 4.0 |
| EOS PARTNERS | 045 | WLP | S | 5,000 | 35.85 | n/a | n/a | 250.00 | 5.0 |
| SOROS | 036 | XRT | C | 1,015,000 | 21.49 | n/a | n/a | 30,450.00 | 3.0 |

TOTAL (Trade Date):

115,947.11

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO,CRT | 03/19 | ACK ASSET (ACKABEARPB) | 028 | BWA | SS | 7,700 | 20.00 | 12-Mar | 19-Mar | 231.00 3.0 |
| AO,CXL | 03/19 | ACK ASSET (&ACKAGS) | 028 | BWA | SS | 7,700 | 20.00 | 12-Mar | 19-Mar | 231.00 3.0 |
| AO,CXL | 03/19 | STELLIAM INV ADV (STLLGSBULK) | 040 | CLW | B | 15,000 | 8.49 | n/a | n/a | 750.00 5.0 |
| AO,CRT | 03/19 | STELLIAM INV ADV (STLLGSBULK) | 040 | CLW | B | 15,000 | 8.49 | n/a | n/a | 450.00 3.0 |
| AO,CRT | 03/19 | FIRST NEW YORK NICK (FNYNJPMBS) | 029 | Q | S | 20,000 | 3.54 | n/a | n/a | 1000.00 5.0 |
| AO,CXL | 03/19 | FIRST NEW YORK NICK (FNYNGS) | 029 | Q | S | 20,000 | 3.54 | n/a | n/a | 1000.00 5.0 |

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| TOTAL (AO, CXL, CRT) : | -300.00 |
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|------------------------|------------|
| TOTAL (Trade Date) : | 115,947.11 |
| TOTAL (AO, CXL, CRT) : | -300.00 |

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| TOTAL (RUN DATE) / NFS: | 115,647.11 |
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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