

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	В	800	28.79	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	ACN	В	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	В	800	36.37	n/a	n/a	32.00	4.0
BUCK CAPITAL MGMT	001	ANF	В	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	В	20,000	7.60	19-Aug	2-Sep	1,000.00	5.0
OZ MGMT	040	AXL	В	50,000	7.73	19-Aug	2-Sep	1,500.00	3.0
SCHOTTENFELD ASSOC	041	AXL	В	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	В	1,000	58.93	n/a	22-Apr	40.00	4.0
WINSLOW CAPITAL	030	BBY	В	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	В	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	В	400	39.62	n/a	n/a	16.00	4.0
TRELLUS PARTNERS LP	028	BWA	В	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	В	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	СОН	В	100,000	32.92	n/a	29-Jul	3,000.00	3.0
CAVU CAP ADV	028	COST	В	25,000	58.01	n/a	27-Jul	1,250.00	5.0
LEVEL GLOBAL/CHRIS C	041	CRI	В	78 , 900	26.26	n/a	n/a	2,367.00	3.0
WINSLOW CAPITAL	030	CVS	В	1,300	36.50	n/a	n/a	52.00	4.0
ASCEND PARTNERS	033	С	В	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	В	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	В	700	47.30	25-Aug	17-Sep	28.00	4.0
	WINSLOW CAPITAL TRELLUS PARTNERS LP BMO NESBITT BURNS WINSLOW CAPITAL NEUBERGER BERMAN LEVEL GLOBAL/CHRIS C CAVU CAP ADV LEVEL GLOBAL/CHRIS C WINSLOW CAPITAL ASCEND PARTNERS SCHOTTENFELD ASSOC DIAMONDBACK CAP MGMT WINSLOW CAPITAL HARBORWATCH/DIAMBACK	WINSLOW CAPITAL 030 TRELLUS PARTNERS LP 028 BMO NESBITT BURNS 041 WINSLOW CAPITAL 030 NEUBERGER BERMAN 036 LEVEL GLOBAL/CHRIS C 041 CAVU CAP ADV 028 LEVEL GLOBAL/CHRIS C 041 WINSLOW CAPITAL 030 ASCEND PARTNERS 033 SCHOTTENFELD ASSOC 041 DIAMONDBACK CAP MGMT 232 WINSLOW CAPITAL 030 HARBORWATCH/DIAMBACK 232	WINSLOW CAPITAL TRELLUS PARTNERS LP BMO NESBITT BURNS WINSLOW CAPITAL NEUBERGER BERMAN CCL NEUBERGER BERMAN CAVU CAP ADV CAVU CAP ADV CEVEL GLOBAL/CHRIS C WINSLOW CAPITAL WINSLOW CAPITAL WINSLOW CAPITAL SCHOTTENFELD ASSOC DIAMONDBACK CAP MGMT WINSLOW CAPITAL WINSLOW CAPITAL WINSLOW CAPITAL DIAMONDBACK CAP MGMT WINSLOW CAPITAL DOW	WINSLOW CAPITAL TRELLUS PARTNERS LP BMO NESBITT BURNS WINSLOW CAPITAL NEUBERGER BERMAN LEVEL GLOBAL/CHRIS C CAVU CAP ADV LEVEL GLOBAL/CHRIS C WINSLOW CAPITAL WINSLOW CAPITAL O30 CCL B CAVU CAP ADV O28 COST B LEVEL GLOBAL/CHRIS C O41 CRI B WINSLOW CAPITAL O30 CVS B ASCEND PARTNERS O33 C B SCHOTTENFELD ASSOC O41 DFS S WINSLOW CAPITAL O30 DHR B WINSLOW CAPITAL O30 DHR B HARBORWATCH/DIAMBACK 232 DOW S	WINSLOW CAPITAL 030 BTU B 400 TRELLUS PARTNERS LP 028 BWA B 20,000 BMO NESBITT BURNS 041 BZ S 25,000 WINSLOW CAPITAL 030 CCL B 900 NEUBERGER BERMAN 036 CELG S 348,221 LEVEL GLOBAL/CHRIS C 041 COH B 100,000 CAVU CAP ADV 028 COST B 25,000 LEVEL GLOBAL/CHRIS C 041 CRI B 78,900 WINSLOW CAPITAL 030 CVS B 1,300 ASCEND PARTNERS 033 C B 250,000 SCHOTTENFELD ASSOC 041 DFS S 50,000 DIAMONDBACK CAP MGMT 232 DHI S 25,000 WINSLOW CAPITAL 030 DHR B 1,000 HARBORWATCH/DIAMBACK 232 DOW S 25,000	WINSLOW CAPITAL 030 BTU B 400 39.62 TRELLUS PARTNERS LP 028 BWA B 20,000 31.51 BMO NESBITT BURNS 041 BZ S 25,000 5.40 WINSLOW CAPITAL 030 CCL B 900 32.74 NEUBERGER BERMAN 036 CELG S 348,221 52.84 LEVEL GLOBAL/CHRIS C 041 COH B 100,000 32.92 CAVU CAP ADV 028 COST B 25,000 58.01 LEVEL GLOBAL/CHRIS C 041 CRI B 78,900 26.26 WINSLOW CAPITAL 030 CVS B 1,300 36.50 ASCEND PARTNERS 033 C B 250,000 4.32 SCHOTTENFELD ASSOC 041 DFS S 50,000 15.63 DIAMONDBACK CAP MGMT 232 DHI S 25,000 13.56 WINSLOW CAPITAL 030 DHR B 1,000 68.37 HARBORWATCH/DIAMBACK 232 DOW S 25,000 26.00	WINSLOW CAPITAL 030 BTU B 400 39.62 n/a TRELLUS PARTNERS LP 028 BWA B 20,000 31.51 3-Aug BMO NESBITT BURNS 041 BZ S 25,000 5.40 n/a WINSLOW CAPITAL 030 CCL B 900 32.74 n/a NEUBERGER BERMAN 036 CELG S 348,221 52.84 n/a LEVEL GLOBAL/CHRIS C 041 COH B 100,000 32.92 n/a CAVU CAP ADV 028 COST B 25,000 58.01 n/a LEVEL GLOBAL/CHRIS C 041 CRI B 78,900 26.26 n/a WINSLOW CAPITAL 030 CVS B 1,300 36.50 n/a ASCEND PARTNERS 033 C B 250,000 4.32 17-Sep SCHOTTENFELD ASSOC 041 DFS S 50,000 15.63 17-Sep DIAMONDBACK CAP MGMT 232 DHI S 25,000 13.56 n/a WINSLOW CAPITAL 030 DHR B 1,000 68.37 n/a HARBORWATCH/DIAMBACK 232 DOW S 25,000 26.00 n/a	WINSLOW CAPITAL 030 BTU B 400 39.62 n/a n/a TRELLUS PARTNERS LP 028 BWA B 20,000 31.51 3-Aug 24-Aug BMO NESBITT BURNS 041 BZ S 25,000 5.40 n/a n/a WINSLOW CAPITAL 030 CCL B 900 32.74 n/a 26-Jan NEUBERGER BERMAN 036 CELG S 348,221 52.84 n/a n/a LEVEL GLOBAL/CHRIS C 041 COH B 100,000 32.92 n/a 29-Jul CAVU CAP ADV 028 COST B 25,000 58.01 n/a 27-Jul LEVEL GLOBAL/CHRIS C 041 CRI B 78,900 26.26 n/a n/a WINSLOW CAPITAL 030 CVS B 1,300 36.50 n/a n/a ASCEND PARTNERS 033 C B 250,000 4.32 17-Sep 17-Sep SCHOTTENFELD ASSOC 041 DFS S 50,000 15.63 17-Sep 17-Sep DIAMONDBACK CAP MGMT 232 DHI S 25,000 13.56 n/a n/a WINSLOW CAPITAL 030 DHR B 1,000 68.37 n/a n/a HARBORWATCH/DIAMBACK 232 DOW S 25,000 26.00 n/a 30-Jul	WINSLOW CAPITAL 030 BTU B 400 39.62

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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	В	10,000	18.99	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	FTI	В	700	54.29	n/a	n/a	28.00	4.0
LAGRANGE CAP ADV	048	F	В	10,000	7.01	27-Aug	2-Sep	500.00	5.0
TRELLUS PARTNERS LP	028	F	В	25,000	6.92	27-Aug	2-Sep	750.00	3.0
FORD FDN.	032	GILD	В	25,000	46.17	n/a	n/a	1,250.00	5.0
RAINIER INV MGMT	035	GS	В	158 , 780	182.32	14-Jul	15-Sep	6,351.20	4.0
WINSLOW CAPITAL	030	GS	В	400	181.18	14-Jul	15-Sep	16.00	4.0
WINSLOW CAPITAL	030	НК	В	800	24.27	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	HPQ	В	2,000	45.61	n/a	n/a	80.00	4.0
CONIFER/ISF	025	НРҮ	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	В	200	121.92	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	ICE	В	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	В	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	В	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	В	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	LVLT	SS	20,000	1.37	n/a	4-Jan	1,200.00	6.0
WINSLOW CAPITAL	030	MA	В	300	218.56	30-Jul	16-Sep	12.00	4.0
WINSLOW CAPITAL	030	MFE	В	600	42.53	n/a	3-Apr	24.00	4.0
WINSLOW CAPITAL	030	MHS	В	2,300	55.02	n/a	n/a	92.00	4.0
WINSLOW CAPITAL	030	MON	В	800	79.80	n/a	11-Sep	32.00	4.0
WINSLOW CAPITAL	030	MR	В	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	М	SS	35,000	17.91	n/a	4-Sep	1,750.00	5.0
BUCK CAPITAL MGMT	001	M	В	30,000	17.49	n/a	4-Sep	1,200.00	4.0
CAERUS GLOBAL	041	М	В	10,000	17.69	n/a	4-Sep	400.00	4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
BALYASNY ASSET MGMT	044	NTRS	С	25,000	60.63	22-Apr	15-Sep	1,250.00	5.0	
EXIS CAPITAL	044	NWY	В	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	В	700	45.17	n/a	n/a	28.00	4.0	
BMO NESBITT BURNS	041	PCL	В	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	В	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	В	5,000	75.18	6-Aug	6-Aug	200.00	4.0	
BALYASNY ASSET MGMT	044	RRR	В	35,000	8.20	17-Sep	17-Sep	1,750.00	5.0	
BMO NESBITT BURNS	041	RYN	В	1,000	44.38	n/a	3-Aug	40.00	4.0	
NEUBERGER BERMAN	036	SNI	В	42,600	36.58	n/a	n/a	1,917.00	4.5	
WINSLOW CAPITAL	030	STJ	В	800	37.99	n/a	n/a	32.00	4.0	

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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	В	1,500	36.83	n/a	n/a	60.00	4.0	
WINSLOW CAPITAL	030	SWN	В	1,000	44.89	n/a	15-Sep	40.00	4.0	
WINSLOW CAPITAL	030	TGT	В	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	В	53,700	15.50	n/a	n/a	2,685.00	5.0	
WINSLOW CAPITAL	030	UNP	В	1,200	62.34	n/a	n/a	48.00	4.0	
WINSLOW CAPITAL	030	UTX	В	1,100	62.53	n/a	n/a	44.00	4.0	
WINSLOW CAPITAL	030	V	В	1,300	73.50	n/a	16-Sep	52.00	4.0	
WINSLOW CAPITAL	030	WFT	В	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	В	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	В	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	В	25 , 000	49.41	n/a	n/a	1,250.00 5.0
OTAL (Trade Date):							1	32,279.15

Туре	Date Account	RR # Syml	ool B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):						0.00
	(Trade Date): (AO, CXL, CRT):					132 , 2	79.15 0.00
TOTAL	(RUN DATE) / NFS:					132,2	79.15

Legend:

O: 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