



Daily Compliance Activity Report

Trade Date: 09/02/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| FIRST INV MGMT CORP | 029 | AEP | B | 11,000 | 30.85 | n/a | n/a | 550.00 | 5.0 |
| CATAPULT | 040 | AGCO | B | 25,000 | 28.63 | 29-Jun | 29-Jul | 1,250.00 | 5.0 |
| STANDARD PACIFIC CAPITAL | 040 | AKS | S | 105,000 | 19.34 | n/a | n/a | 5,250.00 | 5.0 |
| STANDARD PACIFIC CAPITAL | 040 | APOL | B | 20,000 | 64.45 | n/a | n/a | 1,000.00 | 5.0 |
| SCOPUS FUND | 041 | ARM | B | 30,000 | 6.99 | n/a | n/a | 1,500.00 | 5.0 |
| LAGRANGE CAP ADV | 048 | AXL | B | 10,000 | 5.30 | 19-Aug | 2-Sep | 500.00 | 5.0 |
| CLOVIS CAPITAL | 012 | BBBY | SS | 50,000 | 35.47 | n/a | n/a | 2,500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | BDN | S | 40,000 | 9.63 | n/a | n/a | 1,600.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | BEN | C | 30,000 | 91.00 | 30-Jul | 2-Sep | 1,500.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | CPKI | B | 5,000 | 13.55 | 7-Aug | 7-Aug | 300.00 | 6.0 |
| JP MORGAN VENTURES | 046 | DELL | S | 18,200 | 15.40 | n/a | n/a | 910.00 | 5.0 |
| DSG CAPITAL | 225 | DVN | B | 1,000 | 61.68 | 5-Aug | 28-Aug | 50.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | FDX | B | 10,000 | 68.51 | n/a | n/a | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | FL | B | 30,000 | 10.58 | 27-Aug | 27-Aug | 1,200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|------------|---------------|-----------------|------------|
| LEVEL GLOBAL/CHRIS C | 041 | GCI | SS | 100,000 | 7.92 | n/a | n/a | 3,000.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | HBI | B | 40,000 | 19.60 | n/a | n/a | 1,600.00 | 4.0 |
| HEALTHCOR MGMT | 038 | HMA | SS | 100,000 | 6.40 | n/a | 31-Aug | 5,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | HOT | SS | 70,000 | 27.85 | n/a | n/a | 2,800.00 | 4.0 |
| LONG OAR GLOBAL INV | 040 | IPI | B | 6,300 | 23.89 | n/a | n/a | 252.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JCG | S | 20,000 | 31.99 | n/a | 30-Jan | 800.00 | 4.0 |
| SCOPUS FUND | 041 | JCP | S | 50,000 | 29.53 | 13-Apr | 2-Sep | 2,500.00 | 5.0 |
| KLEINHEINZ CAP PART | 031 | JOSB | B | 40,000 | 44.58 | n/a | n/a | 2,000.00 | 5.0 |
| WESTERN RESERVE | 031 | JPM | S | 1,000 | 41.44 | 7-Aug | 17-Aug | 50.00 | 5.0 |
| FIRST INV MGMT CORP | 029 | LZ | S | 6,000 | 63.16 | n/a | n/a | 300.00 | 5.0 |
| EATON VANCE MGMT | 039 | MA | B | 83,406 | 200.82 | 30-Jul | 2-Sep | 2,502.18 | 3.0 |
| MILLENIUM PARTNERS | 028 | MGM | S | 50,000 | 7.71 | n/a | 4-Aug | 2,000.00 | 4.0 |
| HOLDEN CAPITAL MGMT | 035 | MPEL | SS | 50,000 | 5.84 | n/a | 26-Aug | 2,500.00 | 5.0 |
| HOLDEN CAPITAL MGMT | 035 | MPEL | S | 6,000 | 5.84 | n/a | 26-Aug | 300.00 | 5.0 |
| HILLTOP PARK ASSOC | 041 | MSFT | S | 100,000 | 23.84 | n/a | 3-Apr | 5,000.00 | 5.0 |
| PROSPECTOR PARTNERS LLC | 036 | MXGL | B | 10,000 | 20.20 | n/a | n/a | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | M | B | 50,000 | 14.82 | n/a | 2-Sep | 2,000.00 | 4.0 |
| SUFFOLK CAPITAL MGMT | 040 | NKE | S | 25,200 | 53.63 | n/a | n/a | 1,008.00 | 4.0 |
| FIRST INV MGMT CORP | 029 | NOK | B | 24,400 | 13.25 | n/a | n/a | 1,220.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | OI | B | 25,000 | 32.64 | n/a | n/a | 1,250.00 | 5.0 |
| BENCHMARK | 028 | OLN | S | 5,000 | 16.01 | n/a | 20-Jun | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | OXM | B | 20,000 | 14.01 | n/a | n/a | 800.00 | 4.0 |
| IVORY CAPITAL | 034 | PCS | S | 100,000 | 7.87 | n/a | n/a | 5,000.00 | 5.0 |
| STANDARD PACIFIC CAPITAL | 040 | POT | SS | 13,000 | 87.62 | n/a | n/a | 650.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PVH | B | 10,000 | 37.65 | 21-Aug | 2-Sep | 400.00 | 4.0 |
| LEVEL GLOBAL/CHRIS C | 041 | PVH | B | 50,000 | 37.87 | 21-Aug | 2-Sep | 1,500.00 | 3.0 |
| HIGHBRIDGE CAPITAL | 038 | RF | SS | 125,000 | 5.28 | n/a | n/a | 3,750.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | RGR | SS | 25,000 | 12.54 | n/a | n/a | 1,000.00 | 4.0 |
| JP MORGAN VENTURES | 046 | SKX | S | 32,200 | 17.40 | n/a | 13-Mar | 1,610.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | SPY | B | 30,000 | 100.04 | n/a | n/a | 1,200.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | STLD | B | 25,000 | 15.97 | n/a | n/a | 1,250.00 | 5.0 |
| WESTERN RESERVE | 031 | SWHC | B | 2,000 | 5.26 | n/a | n/a | 100.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|--------|-------|--------|----------|------------------|-----|
| LONG OAR GLOBAL INV | 040 | TEN | SS | 35,600 | 13.95 | n/a | n/a | 1,424.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TGT | B | 50,000 | 46.41 | 19-Aug | 2-Sep | 2,000.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | TROW | C | 30,000 | 43.03 | n/a | 2-Sep | 1,500.00 | 5.0 |
| HARBORWATCH/DIAMBACK | 232 | TYC | C | 20,000 | 31.25 | 30-Jul | 30-Jul | 1,000.00 | 5.0 |
| WESTERN RESERVE | 031 | USB | S | 1,000 | 21.11 | n/a | n/a | 50.00 | 5.0 |
| STANDARD PACIFIC CAPITAL | 040 | WFC | SS | 50,000 | 26.21 | n/a | n/a | 2,500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | WL | B | 45,000 | 13.13 | n/a | n/a | 2,250.00 | 5.0 |
| EPOCH INV MGMT | 030 | WRC | B | 78,700 | 36.90 | 28-Jul | 2-Sep | 2,361.00 | 3.0 |
| HOLDEN CAPITAL MGMT | 035 | WYNN | SS | 20,000 | 52.25 | n/a | 26-Aug | 1,000.00 | 5.0 |
| STANDARD PACIFIC CAPITAL | 040 | X | S | 53,000 | 41.45 | n/a | n/a | 2,650.00 | 5.0 |
| HOLDEN CAPITAL MGMT | 035 | ZUMZ | SS | 50,000 | 12.03 | n/a | n/a | 2,500.00 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 91,837.18 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO, | 09/01 | 1798 CAPITAL MGMT (1798MS) | 040 | ANF | B | 15,000 | 31.83 | 3-Jun | 27-Aug | 750.00 5.0 |
| AO,CXL | 09/01 | 1798 CAPITAL MGMT (1798GS) | 040 | ANF | B | 15,000 | 31.83 | 3-Jun | 27-Aug | 750.00 5.0 |
| AO,CXL | 09/01 | CONIFER/ISF (CONIISFRIP) | 025 | C | S | 25,000 | 4.66 | n/a | 17-Aug | 1250.00 5.0 |
| AO,CRT | 09/01 | CONIFER/ISF (CONIISFRIP) | 025 | C | S | 25,000 | 4.66 | n/a | 17-Aug | 750.00 3.0 |
| AO,CRT | 09/01 | BRENCOURT (BRENMSPB) | 028 | F | B | 50,000 | 7.63 | 27-Aug | 2-Sep | 1500.00 3.0 |
| AO,CXL | 09/01 | BRENCOURT (BRENGS) | 028 | F | B | 50,000 | 7.63 | 27-Aug | 2-Sep | 2500.00 5.0 |
| AO,CXL | 09/01 | IRONBOUND CAPITAL (IROBGs) | 012 | FOR | S | 13,200 | 14.46 | 6-Aug | 6-Aug | 660.00 5.0 |
| AO,CRT | 09/01 | IRONBOUND CAPITAL (IROBGs) | 012 | FOR | S | 13,200 | 14.46 | 6-Aug | 6-Aug | 396.00 3.0 |
| AO,CXL | 09/01 | LONG OAR GLOBAL INV (LONGGSPB) | 040 | GTI | SS | 24,500 | 13.73 | n/a | n/a | 1225.00 5.0 |
| AO,CRT | 09/01 | LONG OAR GLOBAL INV (LONGGSPB) | 040 | GTI | SS | 24,500 | 13.73 | n/a | n/a | 980.00 4.0 |
| AO, | 09/01 | 1798 CAPITAL MGMT (1798MS) | 040 | JCP | B | 15,000 | 29.87 | 13-Apr | 2-Sep | 750.00 5.0 |
| AO, | 09/01 | 1798 CAPITAL MGMT (1798MS) | 040 | JCP | B | 10,000 | 29.74 | 13-Apr | 2-Sep | 500.00 5.0 |
| AO,CXL | 09/01 | 1798 CAPITAL MGMT (1798GS) | 040 | JCP | B | 15,000 | 29.87 | 13-Apr | 2-Sep | 750.00 5.0 |
| AO,CXL | 09/01 | 1798 CAPITAL MGMT (1798GS) | 040 | JCP | B | 10,000 | 29.74 | 13-Apr | 2-Sep | 500.00 5.0 |
| AO,CXL | 09/01 | COBALT (COBAJPM) | 041 | KWK | SS | 50,000 | 10.46 | n/a | n/a | 2000.00 4.0 |
| AO,CRT | 09/01 | COBALT (COBAJPM) | 041 | KWK | SS | 50,000 | 10.46 | n/a | n/a | 2500.00 5.0 |
| AO,CXL | 08/25 | EMERSON CAPITAL MGMT (EMERGSPB) | 048 | SPLS | B | 8,000 | 21.80 | n/a | 27-Jul | 240.00 3.0 |
| AO,CRT | 08/25 | EMERSON CAPITAL MGMT (EMERGSPB) | 048 | SPLS | B | 8,000 | 21.80 | n/a | 27-Jul | 320.00 4.0 |
| AO, | 09/01 | 1798 CAPITAL MGMT (1798MS) | 040 | TGT | B | 25,000 | 46.49 | 19-Aug | 2-Sep | 1250.00 5.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO,CXL | 09/01 | 1798 CAPITAL MGMT (1798GS) | 040 | TGT | B | 25,000 | 46.49 | 19-Aug | 2-Sep | 1250.00 5.0 |
| AO, | 09/01 | 1798 CAPITAL MGMT (1798MS) | 040 | WTW | SS | 5,000 | 26.40 | n/a | n/a | 250.00 5.0 |
| AO,CXL | 09/01 | 1798 CAPITAL MGMT (1798GS) | 040 | WTW | SS | 5,000 | 26.40 | n/a | n/a | 250.00 5.0 |
| AO, | 09/01 | 1798 CAPITAL MGMT (1798MS) | 040 | YUM | SS | 20,000 | 33.70 | n/a | 15-Jul | 1000.00 5.0 |
| AO,CXL | 09/01 | 1798 CAPITAL MGMT (1798GS) | 040 | YUM | SS | 20,000 | 33.70 | n/a | 15-Jul | 1000.00 5.0 |

TOTAL (AO, CXL, CRT) : **-1,429.00**

TOTAL (Trade Date) : 91,837.18
TOTAL (AO, CXL, CRT) : -1,429.00

TOTAL (RUN DATE) / NFS: **90,408.18**

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