



Daily Compliance Activity Report

Trade Date: 07/25/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|-----------|----------------|--------------|---------------|---------------|-----------------|------------|
| RAINIER INV MGMT | 035 | ACC | S | 7,100 | 28.75 | n/a | n/a | 355.00 | 5.0 |
| RHO CAPITAL MGMT | 041 | ACPW | B | 11,200 | 0.81 | n/a | n/a | 112.00 | 1.0 |
| COUGAR TRADING | 044 | AEO | S | 40,000 | 14.35 | 6-Mar | 16-Jul | 2,000.00 | 5.0 |
| CHILTON CAPITAL MGMT. | 036 | AIZ | C | 16,000 | 63.21 | n/a | n/a | 640.00 | 4.0 |
| CATAPULT | 040 | ALB | B | 21,441 | 36.42 | n/a | n/a | 1,072.05 | 5.0 |
| TRELLUS PARTNERS LP | 028 | ALV | B | 36,500 | 37.49 | 23-Jul | 23-Jul | 1,825.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ANF | B | 120,000 | 55.38 | 10-Jul | 11-Jul | 4,800.00 | 4.0 |
| COUGAR TRADING | 044 | ANF | B | 7,500 | 54.35 | 10-Jul | 11-Jul | 375.00 | 5.0 |
| DENVER INST. ADV | 046 | ANF | S | 218,200 | 55.66 | 10-Jul | 11-Jul | 8,728.00 | 4.0 |
| NEUBERGER BERMAN | 036 | ANF | S | 237,050 | 54.66 | 10-Jul | 11-Jul | 10,667.25 | 4.5 |
| BALYASNY ASSET MGMT | 044 | AN | B | 20,298 | 10.32 | 25-Jul | 25-Jul | 1,014.90 | 5.0 |
| BUCK CAPITAL MGMT | 001 | AN | SS | 150,000 | 10.43 | 25-Jul | 25-Jul | 6,000.00 | 4.0 |
| KARPNANCY | 023 | ARGN | B | 500 | 7.68 | 24-Jun | 17-Jul | 0.00 | 0.0 |
| COUGAR TRADING | 044 | ARO | B | 15,000 | 31.80 | 28-Apr | 11-Jul | 750.00 | 5.0 |
| BULL PATH CAPITAL | 044 | BARE | S | 42,500 | 16.68 | n/a | n/a | 2,125.00 | 5.0 |
| MAIRS AND POWER INV | 030 | BAX | S | 10,000 | 68.28 | n/a | 22-Apr | 500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| BALYASNY ASSET MGMT | 044 | BIG | B | 25,000 | 28.45 | 29-May | 11-Jul | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BIG | SS | 30,000 | 28.22 | 29-May | 11-Jul | 1,200.00 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 012 | BIG | B | 25,000 | 28.22 | 29-May | 11-Jul | 1,000.00 | 4.0 |
| BMO NESBITT BURNS | 041 | BWA | SS | 25,000 | 41.24 | 10-Jun | 17-Jul | 1,250.00 | 5.0 |
| ZOLIDIS | 011 | BWS | C | 1,500 | 16.15 | n/a | n/a | 0.00 | 0.0 |
| MS PRINCIPAL STRATEGIES | 041 | CLMS | SS | 376 | 18.50 | 18-Jul | 22-Jul | 11.28 | 3.0 |
| COUGAR TRADING | 044 | COH | S | 5,000 | 26.87 | 4-Apr | 18-Jul | 250.00 | 5.0 |
| GLG PARTNERS | 034 | COH | B | 25,000 | 26.70 | 4-Apr | 18-Jul | 1,250.00 | 5.0 |
| CATAPULT | 040 | CSX | B | 9,870 | 63.18 | n/a | n/a | 493.50 | 5.0 |
| CATAPULT | 040 | DBRN | B | 100,000 | 15.18 | n/a | n/a | 4,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | DNA | S | 20,000 | 95.50 | n/a | n/a | 900.00 | 4.5 |
| CATAPULT | 040 | DOV | SS | 16,659 | 49.15 | n/a | n/a | 832.95 | 5.0 |
| CATAPULT | 040 | ERTS | B | 11,400 | 47.66 | n/a | n/a | 456.00 | 4.0 |
| CATAPULT | 040 | FAST | SS | 13,473 | 47.88 | n/a | n/a | 673.65 | 5.0 |
| JP MORGAN VENTURES | 046 | FOSL | S | 35,000 | 27.44 | n/a | 9-Jul | 1,750.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | F | B | 15,000 | 5.25 | 25-Jul | 25-Jul | 600.00 | 4.0 |
| CATAPULT | 040 | GD | SS | 23,228 | 88.69 | n/a | n/a | 1,161.40 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------------|--------------|----------|--------------|-------------|------------|------------|-------------|------------|
| WEISS PECK | 040 | GIL | B | 14,900 | 25.53 | 30-Apr | 18-Jul | 745.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | GNTX | SS | 10,000 | 15.42 | 24-Jun | 23-Jul | 500.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | GNTX | SS | 5,000 | 15.40 | 24-Jun | 23-Jul | 250.00 | 5.0 |
| COUGAR TRADING | 044 | GPS | S | 15,000 | 16.65 | n/a | 11-Jul | 750.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | GYMB | S | 10,000 | 38.23 | 11-Jul | 11-Jul | 500.00 | 5.0 |
| COUGAR TRADING | 044 | GYMB | S | 10,000 | 38.91 | 11-Jul | 11-Jul | 500.00 | 5.0 |
| N STRATTON | 014 | HEMGF | B | 200 | 4.20 | n/a | n/a | 0.00 | 0.0 |
| BAIRD INVESTMENT | 031 | HRS | B | 4,075 | 51.17 | 2-Jun | 2-Jun | 203.75 | 5.0 |
| CATAPULT | 040 | HRS | B | 12,774 | 51.19 | 2-Jun | 2-Jun | 638.70 | 5.0 |
| ADALY INV MGMT | 067 | IP | B | 10,000 | 23.32 | 16-Jul | 16-Jul | 450.00 | 4.5 |
| CATAPULT | 040 | IP | B | 16,400 | 23.48 | 16-Jul | 16-Jul | 820.00 | 5.0 |
| PROSPECTOR PARTNERS LLC | 036 | IVZ | B | 12,600 | 22.07 | 24-Jul | 24-Jul | 504.00 | 4.0 |
| LEDDEY | 035 | JADE | S | 3,940 | 1.94 | n/a | n/a | 0.00 | 0.0 |
| WILLIAM BLAIR | 031 | JBHT | B | 13,370 | 36.32 | n/a | n/a | 534.80 | 4.0 |
| COUGAR TRADING | 044 | JCG | B | 13,000 | 30.48 | n/a | 30-May | 650.00 | 5.0 |
| COUGAR TRADING | 044 | JWN | S | 20,000 | 29.18 | 10-Jul | 11-Jul | 1,000.00 | 5.0 |
| COLE | N24 | KRY | B | 800 | 0.73 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|--------------|-----------|---------------|--------------|--------------|---------------|---------------|------------|
| COUGAR TRADING | 044 | KSS | B | 5,000 | 42.79 | n/a | 17-Jul | 250.00 | 5.0 |
| COUGAR TRADING | 044 | KSS | S | 5,000 | 43.80 | n/a | 17-Jul | 250.00 | 5.0 |
| JP MORGAN VENTURES | 046 | KSS | B | 25,000 | 43.70 | n/a | 17-Jul | 1,250.00 | 5.0 |
| CATAPULT | 040 | LECO | B | 9,825 | 79.35 | n/a | n/a | 491.25 | 5.0 |
| LEDDY | 035 | LEH | B | 700 | 17.25 | 9-Jun | 14-Jul | 0.00 | 0.0 |
| CATAPULT | 040 | LLL | SS | 19,706 | 93.74 | n/a | n/a | 985.30 | 5.0 |
| JMP ASSET MGMT | 210 | LYV | SS | 4,500 | 12.65 | n/a | n/a | 225.00 | 5.0 |
| CENTURION PARTNERS | 255 | MGM | B | 40,000 | 27.97 | n/a | 7-May | 2,000.00 | 5.0 |
| CATAPULT | 040 | NCR | B | 31,146 | 26.81 | n/a | n/a | 1,557.30 | 5.0 |
| BUCK CAPITAL MGMT | 001 | NWY | SS | 20,000 | 9.29 | n/a | 22-May | 800.00 | 4.0 |
| BASIX | 033 | PKG | B | 17,000 | 25.10 | 22-Jul | 22-Jul | 680.00 | 4.0 |
| BRENCOURT | 028 | PNC | SS | 30,000 | 67.34 | n/a | n/a | 1,500.00 | 5.0 |
| N STRATTON | 014 | PNWIF | B | 300 | 3.20 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | PPG | SS | 13,779 | 60.73 | n/a | 17-Jul | 688.95 | 5.0 |
| ZOLIDIS | 011 | QUKTD | S | 6 | 9.60 | n/a | n/a | 0.00 | 0.0 |
| FIRST NEW YORK LEDDY | 035 | Q | B | 10,000 | 3.63 | n/a | n/a | 600.00 | 6.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| HUNTER GLOBAL INVESTOR | 067 | RIG | S | 34,000 | 133.03 | n/a | n/a | 1,700.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | RL | S | 40,000 | 60.71 | 7-Feb | 25-Jul | 1,600.00 | 4.0 |
| COUGAR TRADING | 044 | RL | S | 15,000 | 60.77 | 7-Feb | 25-Jul | 750.00 | 5.0 |
| RBC CAPITAL MARKETS | 034 | ROST | B | 10,000 | 37.66 | n/a | n/a | 400.00 | 4.0 |
| MENCKE | 055 | RTIX | B | 25 | 8.51 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | SAH | S | 6,682 | 10.30 | n/a | 17-Jul | 334.10 | 5.0 |
| COUGAR TRADING | 044 | SSO | S | 5,000 | 59.52 | n/a | n/a | 250.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | SUP | B | 700 | 17.27 | 25-Jul | 25-Jul | 35.00 | 5.0 |
| LEDDY | 035 | TEX | S | 600 | 49.11 | 24-Jul | 24-Jul | 0.00 | 0.0 |
| CASTLEROCK | 040 | TIF | SS | 38,900 | 37.23 | n/a | 2-Jun | 1,556.00 | 4.0 |
| CATAPULT | 040 | TIN | B | 15,000 | 13.95 | 29-Apr | 11-Jul | 750.00 | 5.0 |
| COUGAR TRADING | 044 | TIN | B | 5,000 | 13.70 | 29-Apr | 11-Jul | 250.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | TIN | B | 30,000 | 13.79 | 29-Apr | 11-Jul | 1,500.00 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | TIN | B | 16,806 | 13.65 | 29-Apr | 11-Jul | 840.30 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | TROW | B | 14,500 | 55.21 | 25-Jul | 25-Jul | 725.00 | 5.0 |
| CUMBERLAND | 038 | TSCO | SS | 25,000 | 37.76 | n/a | n/a | 1,000.00 | 4.0 |
| KENNEDY CAPITAL | 046 | TSFG | B | 50,000 | 5.41 | n/a | n/a | 1,500.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------------|-------------|----------|--------------|--------------|------------|------------|------------------|------------|
| CATAPULT | 040 | TTC | B | 21,192 | 33.79 | n/a | n/a | 1,059.60 | 5.0 |
| WAGONHOUND/NIC | 048 | URBN | S | 368 | 30.96 | 15-May | 9-Jul | 14.72 | 4.0 |
| KERN | 050 | WBTB | B | 30 | 0.45 | n/a | n/a | 0.00 | 0.0 |
| KORMAN | 003 | WFR | B | 3,000 | 42.74 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | WMT | B | 5,000 | 57.10 | 30-Jun | 11-Jul | 250.00 | 5.0 |
| JP MORGAN VENTURES | 046 | WMT | B | 15,000 | 57.51 | 30-Jun | 11-Jul | 750.00 | 5.0 |
| COUGAR TRADING | 044 | ZQK | SS | 6,400 | 8.40 | n/a | 9-Jul | 256.00 | 4.0 |
| ROSEDALE CAPITAL | 046 | ZQK | B | 25,000 | 8.07 | n/a | 9-Jul | 1,000.00 | 4.0 |
| TOTAL (Trade Date) : | | | | | | | | 93,887.75 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------------------------|-------|------------------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| CRT | 07/25 | MAIRS AND POWER INV (MAIRGROWTH) | 030 | BAX | S | 10,000 | 68.28 | n/a | 22-Apr | 500.00 5.0 |
| AO, | 07/24 | TRELLUS PARTNERS LP (TRELMAIN) | 028 | F | SS | 67,480 | 5.39 | 25-Jul | 25-Jul | 2024.40 3.0 |
| AO, | 07/24 | TRELLUS PARTNERS LP (TRELMERR) | 028 | F | SS | 4,260 | 5.39 | 25-Jul | 25-Jul | 127.80 3.0 |
| AO, | 07/24 | TRELLUS PARTNERS LP (TRELGS) | 028 | F | SS | 4,260 | 5.39 | 25-Jul | 25-Jul | 127.80 3.0 |
| AO, | 07/24 | BASIX (BASIUBS) | 033 | FL | S | 28,000 | 14.28 | 2-Apr | 9-Jul | 1120.00 4.0 |
| AO, | 07/24 | UBS OCONNOR (UBSOLEHCHA) | 031 | JNS | S | 43,124 | 30.35 | 25-Jul | 25-Jul | 1293.72 3.0 |
| AO, | 07/24 | UBS OCONNOR (UBSOCSFBCO) | 031 | JNS | S | 81,876 | 30.35 | 25-Jul | 25-Jul | 2456.28 3.0 |
| AO,CXL | 07/23 | NEUBERGER BERMAN (NBER770152) | 036 | ME | S | 9,800 | 27.32 | n/a | n/a | 441.00 4.5 |
| AO, | 07/23 | NEUBERGER BERMAN (NBER770152) | 036 | ME | S | 9,800 | 27.32 | n/a | n/a | 416.50 4.3 |
| AO,CXL | 07/23 | NEUBERGER BERMAN (NBER550030) | 036 | ME | S | 43,800 | 27.32 | n/a | n/a | 1971.00 4.5 |
| AO, | 07/23 | NEUBERGER BERMAN (NBER550030) | 036 | ME | S | 43,800 | 27.32 | n/a | n/a | 1861.50 4.3 |
| CRT | 07/25 | N STRATTON (N STRATTON) | 014 | PNWIF | B | 300 | 3.20 | n/a | n/a | 0.00 0.0 |
| AO, | 07/24 | BAYPOINT TRADING/XYLEM (BAYXXYLEM) | 091 | SPP | B | 50,000 | 10.00 | n/a | n/a | 2000.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 9,516.00 |

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 93,887.75 |
| TOTAL (AO, CXL, CRT) : | 9,516.00 |

TOTAL (RUN DATE) / NFS:

103,403.75

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