



## Daily Compliance Activity Report

Trade Date: 03/18/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account                | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm. ¢/Shr. |     |
|------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| NEUBERGER BERMAN       | 036  | ACS    | S   | 14,600  | 47.28 | n/a    | n/a      | 657.00       | 4.5 |
| COUGAR TRADING         | 044  | ALV    | B   | 5,000   | 16.83 | 12-Mar | 12-Mar   | 250.00       | 5.0 |
| COLUMBIA PARTNERS      | 028  | AMB    | B   | 56,684  | 14.17 | n/a    | n/a      | 2,267.36     | 4.0 |
| JP MORGAN VENTURES     | 046  | ANF    | SS  | 15,000  | 22.73 | n/a    | 6-Feb    | 750.00       | 5.0 |
| NEWLAND CAPITAL MGT    | 067  | AOS    | S   | 115,000 | 23.54 | 12-Feb | 12-Feb   | 4,600.00     | 4.0 |
| NEUBERGER BERMAN       | 036  | ARE    | B   | 16,300  | 39.00 | n/a    | n/a      | 733.50       | 4.5 |
| JAT CAPITAL MANAGEMENT | 041  | ATVI   | B   | 130,000 | 9.47  | n/a    | n/a      | 3,900.00     | 3.0 |
| KACELA CAPITAL         | 034  | BBBY   | B   | 54,000  | 23.70 | n/a    | n/a      | 2,160.00     | 4.0 |
| DC CAPITAL             | 044  | BC     | B   | 50,000  | 3.27  | n/a    | n/a      | 1,500.00     | 3.0 |
| SANDLER O'NEILL ASSET  | 031  | BK     | S   | 24,900  | 28.20 | 21-Jan | 18-Mar   | 1,245.00     | 5.0 |
| MATLIN PATTERSON       | 046  | BTU    | S   | 100,000 | 27.15 | n/a    | n/a      | 3,000.00     | 3.0 |
| ACK ASSET              | 028  | BWA    | SS  | 7,700   | 20.63 | 12-Mar | 12-Mar   | 231.00       | 3.0 |
| BMO NESBITT BURNS      | 041  | BWA    | SS  | 25,000  | 20.07 | 12-Mar | 12-Mar   | 1,250.00     | 5.0 |
| BRENCOURT              | 028  | BWA    | SS  | 25,000  | 20.07 | 12-Mar | 12-Mar   | 1,250.00     | 5.0 |
| COUGAR TRADING         | 044  | BWA    | B   | 5,000   | 20.75 | 12-Mar | 12-Mar   | 250.00       | 5.0 |
| NEUBERGER BERMAN       | 036  | BXP    | B   | 18,000  | 37.69 | n/a    | n/a      | 810.00       | 4.5 |

| Account                  | RR #       | Symbol     | B/S       | Shares         | Price        | MRI           | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|-----------|----------------|--------------|---------------|---------------|-----------------|------------|
| WAGONHOUND/NIC           | 048        | CCK        | S         | 921            | 22.17        | n/a           | n/a           | 36.84           | 4.0        |
| MOORE CAPITAL            | 036        | CENX       | S         | 20,000         | 1.51         | n/a           | n/a           | 600.00          | 3.0        |
| RAINIER INV MGMT         | 035        | CEPH       | B         | 57,170         | 69.14        | 13-Feb        | 18-Mar        | 2,858.50        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>COH</b> | <b>B</b>  | <b>100,000</b> | <b>15.84</b> | <b>9-Jan</b>  | <b>22-Jan</b> | <b>4,000.00</b> | <b>4.0</b> |
| NEWCASTLE FUNDS          | 033        | CONN       | B         | 17,000         | 13.45        | n/a           | n/a           | 680.00          | 4.0        |
| STRAUSS ASSET MGMT       | 040        | CSGP       | B         | 10,000         | 27.39        | n/a           | n/a           | 400.00          | 4.0        |
| SANDLER O'NEILL ASSET    | 031        | DFS        | B         | 50,000         | 6.93         | n/a           | 17-Mar        | 1,500.00        | 3.0        |
| DIAMONDBACK CAP MGMT     | 232        | DHI        | C         | 50,000         | 7.84         | n/a           | n/a           | 2,500.00        | 5.0        |
| FARALLON CAP MGMT        | 040        | DNA        | B         | 35,300         | 93.65        | n/a           | n/a           | 1,059.00        | 3.0        |
| RAINIER INV MGMT         | 035        | DNA        | S         | 240,025        | 93.71        | n/a           | n/a           | 9,601.00        | 4.0        |
| <b>EGS ASSOCIATES LP</b> | <b>091</b> | <b>DSW</b> | <b>B</b>  | <b>4,000</b>   | <b>9.18</b>  | <b>14-Nov</b> | <b>13-Feb</b> | <b>240.00</b>   | <b>6.0</b> |
| KACELA CAPITAL           | 034        | DVN        | S         | 12,000         | 47.56        | 5-Feb         | 17-Mar        | 480.00          | 4.0        |
| SASCO                    | 038        | EP         | B         | 14,545         | 6.48         | n/a           | n/a           | 581.80          | 4.0        |
| HIGHBRIDGE/MS OLDS       | 041        | ERTS       | S         | 57,955         | 18.09        | n/a           | n/a           | 2,318.20        | 4.0        |
| NEWCASTLE FUNDS          | 033        | ETH        | B         | 10,000         | 8.63         | n/a           | n/a           | 400.00          | 4.0        |
| <b>EGS ASSOCIATES LP</b> | <b>091</b> | <b>FDO</b> | <b>SS</b> | <b>4,000</b>   | <b>32.02</b> | <b>5-Mar</b>  | <b>6-Mar</b>  | <b>240.00</b>   | <b>6.0</b> |

| Account                  | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢/Shr. |     |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| PIONEER MICHAEL NOLAN    | 067  | FHN    | B   | 28,600  | 10.92 | n/a    | n/a      | 858.00      | 3.0 |
| NEUBERGER BERMAN         | 036  | FIS    | S   | 52,500  | 17.44 | n/a    | n/a      | 2,362.50    | 4.5 |
| BUCK CAPITAL MGMT        | 001  | GCO    | B   | 10,000  | 15.84 | n/a    | 10-Jan   | 400.00      | 4.0 |
| BUCK CAPITAL MGMT        | 001  | GES    | B   | 180,000 | 16.61 | n/a    | n/a      | 7,200.00    | 4.0 |
| EGS ASSOCIATES LP        | 091  | GES    | SS  | 4,500   | 17.77 | n/a    | n/a      | 270.00      | 6.0 |
| US BANCORP               | 030  | GES    | B   | 15,000  | 15.79 | n/a    | n/a      | 750.00      | 5.0 |
| COLUMBUS CIRCLE          | 036  | GIS    | S   | 81,731  | 48.69 | n/a    | n/a      | 3,269.24    | 4.0 |
| BALYASNY ASSET MGMT      | 044  | GNTX   | SS  | 25,000  | 8.86  | 30-Jan | 12-Mar   | 1,000.00    | 4.0 |
| BUCK CAPITAL MGMT        | 001  | GPS    | B   | 250,000 | 12.51 | n/a    | 30-Jan   | 10,000.00   | 4.0 |
| WAGONHOUND/NIC           | 048  | IBM    | B   | 10,000  | 92.02 | n/a    | n/a      | 400.00      | 4.0 |
| WAGONHOUND/NIC           | 048  | IWC    | B   | 7,865   | 25.33 | n/a    | n/a      | 235.95      | 3.0 |
| AVESTA CAP               | 229  | JCP    | B   | 75,000  | 17.16 | 6-Feb  | 6-Mar    | 3,750.00    | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041  | JCP    | B   | 100,000 | 17.72 | 6-Feb  | 6-Mar    | 5,000.00    | 5.0 |
| JAT CAPITAL MANAGEMENT   | 041  | JNPR   | B   | 110,000 | 15.27 | n/a    | 22-Mar   | 4,400.00    | 4.0 |
| CRAMER ROSENTHAL/SCOTT   | 012  | JPM    | B   | 3,300   | 26.64 | 16-Jan | 18-Mar   | 132.00      | 4.0 |
| BUCK CAPITAL MGMT        | 001  | JWN    | SS  | 50,000  | 15.22 | 20-Feb | 6-Mar    | 2,000.00    | 4.0 |
| RAINIER INV MGMT         | 035  | KEX    | S   | 23,450  | 25.05 | n/a    | n/a      | 1,172.50    | 5.0 |

| Account                  | RR #       | Symbol     | B/S      | Shares         | Price        | MRI           | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| KACELA CAPITAL           | 034        | KMX        | B        | 80,000         | 11.82        | n/a           | 10-Jan        | 3,200.00        | 4.0        |
| PRINCIPLE CAPITAL        | 040        | KMX        | S        | 82,200         | 11.72        | n/a           | 10-Jan        | 2,466.00        | 3.0        |
| RBC CAPITAL MARKETS      | 034        | KR         | S        | 20,000         | 21.31        | n/a           | n/a           | 800.00          | 4.0        |
| T. ROWE PRICE            | 033        | K          | B        | 208,400        | 36.95        | n/a           | n/a           | 8,336.00        | 4.0        |
| UBS OCONNOR              | 031        | LAZ        | B        | 93,966         | 27.77        | n/a           | n/a           | 2,818.98        | 3.0        |
| DE SHAW                  | 040        | LQD        | S        | 5,000          | 92.32        | n/a           | n/a           | 250.00          | 5.0        |
| NEUBERGER BERMAN         | 036        | MAC        | B        | 53,300         | 8.00         | n/a           | n/a           | 1,599.00        | 3.0        |
| TOKIO MARINE ASSET MGMT  | 045        | MCD        | S        | 11,200         | 54.10        | 13-Oct        | 9-Mar         | 448.00          | 4.0        |
| TOKIO MARINE ASSET MGMT  | 045        | MMM        | S        | 12,200         | 48.04        | 8-Dec         | 17-Mar        | 488.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>MWV</b> | <b>S</b> | <b>40,000</b>  | <b>11.19</b> | <b>28-Jan</b> | <b>28-Jan</b> | <b>1,600.00</b> | <b>4.0</b> |
| ROSEDALE CAPITAL         | 046        | MYL        | S        | 25,000         | 13.63        | n/a           | 17-Mar        | 1,250.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>M</b>   | <b>S</b> | <b>100,000</b> | <b>8.38</b>  | <b>n/a</b>    | <b>6-Mar</b>  | <b>3,000.00</b> | <b>3.0</b> |
| SANDLER O'NEILL ASSET    | 031        | NTRS       | B        | 100,000        | 59.66        | 14-Jan        | 18-Mar        | 5,000.00        | 5.0        |
| TOKIO MARINE ASSET MGMT  | 045        | NTRS       | B        | 25,300         | 59.11        | 14-Jan        | 18-Mar        | 1,012.00        | 4.0        |
| MOORE CAPITAL            | 036        | NWL        | SS       | 25,000         | 6.66         | n/a           | n/a           | 1,000.00        | 4.0        |
| TOKIO MARINE ASSET MGMT  | 045        | OXY        | S        | 10,900         | 54.03        | n/a           | n/a           | 436.00          | 4.0        |

| Account                       | RR #       | Symbol     | B/S      | Shares        | Price       | MRI          | Research      | Comm.¢/Shr.     |            |
|-------------------------------|------------|------------|----------|---------------|-------------|--------------|---------------|-----------------|------------|
| SENATOR INVESTMENT GROUP      | 036        | PBI        | S        | 50,000        | 21.61       | n/a          | n/a           | 2,000.00        | 4.0        |
| WAGONHOUND/NIC                | 048        | PCLN       | B        | 1,002         | 77.10       | n/a          | n/a           | 40.08           | 4.0        |
| DE SHAW                       | 040        | PFE        | SS       | 100,000       | 14.20       | n/a          | 31-Mar        | 3,000.00        | 3.0        |
| TOKIO MARINE ASSET MGMT       | 045        | PG         | S        | 15,200        | 47.34       | 12-Mar       | 12-Mar        | 608.00          | 4.0        |
| SAXON WOODS ADVISORS          | 038        | PNC        | B        | 145,600       | 29.78       | n/a          | n/a           | 5,824.00        | 4.0        |
| CASTLE ARK                    | 031        | PRE        | S        | 22,140        | 60.43       | n/a          | n/a           | 1,328.40        | 6.0        |
| NEWLAND CAPITAL MGT           | 067        | RKT        | B        | 6,100         | 25.41       | n/a          | n/a           | 244.00          | 4.0        |
| GLOBAL 56 LLC                 | 060        | SKX        | B        | 2,500         | 5.93        | n/a          | 13-Mar        | 125.00          | 5.0        |
| US BANCORP                    | 030        | SKX        | S        | 46,141        | 5.98        | n/a          | 13-Mar        | 2,307.05        | 5.0        |
| CR INTRINIC INVESTMENT        | 044        | SNY        | B        | 15,000        | 27.53       | n/a          | n/a           | 750.00          | 5.0        |
| COUGAR TRADING                | 044        | SUP        | B        | 5,000         | 11.59       | 27-Feb       | 27-Feb        | 250.00          | 5.0        |
| WASHINGTON ASSET              | 048        | TBT        | S        | 15,000        | 44.80       | n/a          | n/a           | 750.00          | 5.0        |
| KACELA CAPITAL                | 034        | TDW        | S        | 15,000        | 38.59       | n/a          | n/a           | 600.00          | 4.0        |
| BMO NESBITT BURNS             | 041        | TIN        | SS       | 41,700        | 4.90        | 5-Dec        | 28-Jan        | 2,085.00        | 5.0        |
| BMO NESBITT BURNS             | 041        | TIN        | S        | 8,300         | 4.90        | 5-Dec        | 28-Jan        | 415.00          | 5.0        |
| <b>MASTERS CAPITAL MANAGE</b> | <b>091</b> | <b>TIN</b> | <b>S</b> | <b>45,600</b> | <b>4.32</b> | <b>5-Dec</b> | <b>28-Jan</b> | <b>1,368.00</b> | <b>3.0</b> |
| BENCHMARK                     | 028        | TJX        | B        | 10,000        | 25.51       | n/a          | 6-Mar         | 400.00          | 4.0        |

| Account                     | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢/Shr.       |     |
|-----------------------------|------|--------|-----|---------|-------|--------|----------|-------------------|-----|
| COUGAR TRADING              | 044  | TJX    | B   | 10,000  | 25.59 | n/a    | 6-Mar    | 500.00            | 5.0 |
| NEUBERGER BERMAN            | 036  | TXN    | S   | 171,400 | 16.66 | n/a    | n/a      | 7,713.00          | 4.5 |
| NEUBERGER BERMAN            | 036  | VNO    | B   | 18,800  | 36.21 | n/a    | n/a      | 846.00            | 4.5 |
| NEUBERGER BERMAN            | 036  | WMGI   | B   | 24,400  | 13.03 | n/a    | n/a      | 1,098.00          | 4.5 |
| BUCK CAPITAL MGMT           | 001  | WMT    | S   | 10,000  | 50.07 | 10-Oct | 6-Mar    | 400.00            | 4.0 |
| COUGAR TRADING              | 044  | WRC    | B   | 5,000   | 19.43 | 27-Feb | 27-Feb   | 250.00            | 5.0 |
| EGS ASSOCIATES LP           | 091  | WRC    | B   | 4,500   | 18.63 | 27-Feb | 27-Feb   | 270.00            | 6.0 |
| THIRD POINT MGMT            | 044  | X      | C   | 150,000 | 19.30 | n/a    | n/a      | 6,000.00          | 4.0 |
| <b>TOTAL (Trade Date) :</b> |      |        |     |         |       |        |          | <b>168,424.90</b> |     |

**Cancel/Corrects and As-Of Trades**

| Type                          | Date  | Account                          | RR # | Symbol | B/S | Shares | Price | MRI   | Research | Comm.¢/Shr. |
|-------------------------------|-------|----------------------------------|------|--------|-----|--------|-------|-------|----------|-------------|
| AO,CXL                        | 03/12 | SOLARIS INV MGMT (SOLA865)       | 029  | BRCM   | B   | 2,700  | 18.99 | n/a   | n/a      | 135.00 5.0  |
| AO,CRT                        | 03/12 | SOLARIS INV MGMT (SOLA865)       | 029  | BRCM   | B   | 2,700  | 18.99 | n/a   | n/a      | 135.00 5.0  |
| AO,CXL                        | 03/17 | LISTED ERR (LISTED ERR)          | 099  | CONN   | S   | 90     | 13.44 | n/a   | n/a      | 0.00 0.0    |
| AO,CRT                        | 03/17 | MILLENIU M PARTNERS (MILPCREDSU) | 028  | PKG    | S   | 20,000 | 11.91 | 5-Dec | 21-Jan   | 800.00 4.0  |
| AO,CXL                        | 03/17 | MILLENIU M PARTNERS (MILPUSE)    | 028  | PKG    | S   | 20,000 | 11.91 | 5-Dec | 21-Jan   | 800.00 4.0  |
| AO,CRT                        | 03/17 | MILLENIU M PARTNERS (MILPCREDSU) | 028  | RKT    | SS  | 20,000 | 25.43 | n/a   | n/a      | 800.00 4.0  |
| AO,CXL                        | 03/17 | MILLENIU M PARTNERS (MILPUSE)    | 028  | RKT    | SS  | 20,000 | 25.43 | n/a   | n/a      | 800.00 4.0  |
| AO,CRT                        | 03/17 | AMBER CAPITAL (AMBRAMFGS)        | 046  | TD     | SS  | 1,500  | 33.40 | n/a   | n/a      | 60.00 4.0   |
| AO,CXL                        | 03/17 | ARAGON GLOBAL (ARAGGS)           | 041  | TD     | SS  | 1,500  | 33.40 | n/a   | n/a      | 60.00 4.0   |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                                  |      |        |     |        |       |       |          | <b>0.00</b> |

|                        |            |
|------------------------|------------|
| TOTAL (Trade Date) :   | 168,424.90 |
| TOTAL (AO, CXL, CRT) : | 0.00       |

|                                 |                   |
|---------------------------------|-------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>168,424.90</b> |
|---------------------------------|-------------------|

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