



## Daily Compliance Activity Report

Trade Date: 08/10/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price        | MRI          | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|----------|---------------|--------------|--------------|---------------|-----------------|------------|
| BALYASNY ASSET MGMT      | 044        | AEO        | B        | 40,000        | 15.14        | 25-Jun       | 7-Aug         | 2,000.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ARO</b> | <b>S</b> | <b>40,000</b> | <b>36.66</b> | <b>n/a</b>   | <b>7-Aug</b>  | <b>1,600.00</b> | <b>4.0</b> |
| L.R.BURTSCHY & CO        | 045        | AXL        | B        | 50,000        | 3.15         | n/a          | 10-Aug        | 3,000.00        | 6.0        |
| OZ MGMT                  | 040        | AXL        | B        | 375,000       | 3.48         | n/a          | 10-Aug        | 11,250.00       | 3.0        |
| SLS CAPITAL LLC          | 224        | AXL        | B        | 70,000        | 3.17         | n/a          | 10-Aug        | 1,750.00        | 2.5        |
| CARLSON CAPITAL          | 203        | BAC        | S        | 119,800       | 16.68        | 11-May       | 20-Jul        | 4,792.00        | 4.0        |
| RBC CAPITAL MARKETS      | 040        | BBY        | B        | 10,000        | 37.58        | n/a          | 27-Jul        | 400.00          | 4.0        |
| SCOPUS FUND              | 041        | BWY        | B        | 1,000         | 15.70        | n/a          | n/a           | 50.00           | 5.0        |
| TROUBH PART              | 067        | DELL       | S        | 25,000        | 13.55        | n/a          | n/a           | 1,250.00        | 5.0        |
| CUMBERLAND               | 038        | EXH        | B        | 10,000        | 17.32        | 27-May       | 3-Aug         | 400.00          | 4.0        |
| DSG CAPITAL              | 225        | F          | B        | 2,000         | 7.90         | 3-Aug        | 10-Aug        | 60.00           | 3.0        |
| TRELLUS PARTNERS LP      | 028        | F          | B        | 150,000       | 7.82         | 3-Aug        | 10-Aug        | 4,500.00        | 3.0        |
| <b>LISTED ERR</b>        | <b>099</b> | <b>F</b>   | <b>S</b> | <b>500</b>    | <b>7.72</b>  | <b>3-Aug</b> | <b>10-Aug</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GCO</b> | <b>S</b> | <b>30,000</b> | <b>23.03</b> | <b>n/a</b>   | <b>10-Jan</b> | <b>1,200.00</b> | <b>4.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GES</b> | <b>S</b> | <b>27,000</b> | <b>29.22</b> | <b>n/a</b>   | <b>n/a</b>    | <b>1,080.00</b> | <b>4.0</b> |
| EATON VANCE MGMT         | 039        | GE         | B        | 900,000       | 14.75        | n/a          | n/a           | 27,000.00       | 3.0        |

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.   |            |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| TROUBH PART              | 067        | GE         | SS       | 25,000        | 14.43        | n/a           | n/a           | 1,250.00      | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GIL</b> | <b>B</b> | <b>20,000</b> | <b>18.03</b> | <b>25-Jun</b> | <b>25-Jun</b> | <b>800.00</b> | <b>4.0</b> |
| RBC CAPITAL MARKETS      | 040        | GVA        | B        | 10,000        | 34.06        | n/a           | n/a           | 400.00        | 4.0        |
| CUMBERLAND               | 038        | HCP        | B        | 5,000         | 27.61        | n/a           | n/a           | 200.00        | 4.0        |
| MILLENIUM PARTNERS       | 028        | HRP        | B        | 150,000       | 5.74         | n/a           | n/a           | 6,000.00      | 4.0        |
| RBC CAPITAL MARKETS      | 040        | JCG        | B        | 10,000        | 31.45        | n/a           | 30-Jan        | 400.00        | 4.0        |
| RBC CAPITAL MARKETS      | 040        | JCP        | B        | 15,000        | 33.75        | 13-Apr        | 7-Aug         | 600.00        | 4.0        |
| SANDLER O'NEILL ASSET    | 031        | JPM        | S        | 25,000        | 43.02        | 7-Aug         | 7-Aug         | 1,250.00      | 5.0        |
| EIDELMAN,FINGER & CO     | 045        | JSM        | S        | 5,800         | 15.04        | n/a           | n/a           | 290.00        | 5.0        |
| WHITE PINE CAPITAL       | 030        | KMT        | B        | 32,050        | 22.15        | 30-Jul        | 30-Jul        | 1,602.50      | 5.0        |
| M&I FUNDS                | 047        | MCD        | S        | 50,000        | 56.17        | n/a           | 10-Aug        | 2,000.00      | 4.0        |
| RBC CAPITAL MARKETS      | 040        | MCD        | B        | 10,000        | 56.04        | n/a           | 10-Aug        | 400.00        | 4.0        |
| RBC CAPITAL MARKETS      | 040        | MGM        | B        | 20,000        | 9.48         | n/a           | 4-Aug         | 800.00        | 4.0        |
| RBC CAPITAL MARKETS      | 040        | MWV        | SS       | 20,000        | 20.99        | n/a           | 29-Jul        | 800.00        | 4.0        |
| <b>LISTED ERR</b>        | <b>099</b> | <b>MWV</b> | <b>B</b> | <b>20,000</b> | <b>20.99</b> | <b>n/a</b>    | <b>29-Jul</b> | <b>0.00</b>   | <b>0.0</b> |
| <b>LISTED ERR</b>        | <b>099</b> | <b>MWV</b> | <b>S</b> | <b>20,000</b> | <b>20.99</b> | <b>n/a</b>    | <b>29-Jul</b> | <b>0.00</b>   | <b>0.0</b> |
| COBALT                   | 041        | M          | SS       | 25,000        | 15.79        | n/a           | 7-Aug         | 1,250.00      | 5.0        |

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| CAXTON PART              | 040        | ORCL       | S        | 63,020        | 21.07        | n/a           | n/a           | 2,205.72        | 3.5        |
| FINANCIAL STOCK LP       | 028        | PRU        | S        | 22,869        | 47.10        | n/a           | n/a           | 914.76          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>PVH</b> | <b>S</b> | <b>21,858</b> | <b>35.43</b> | <b>28-Jul</b> | <b>28-Jul</b> | <b>874.32</b>   | <b>4.0</b> |
| <b>EGS ASSOCIATES LP</b> | <b>091</b> | <b>PVH</b> | <b>B</b> | <b>3,500</b>  | <b>34.62</b> | <b>28-Jul</b> | <b>28-Jul</b> | <b>210.00</b>   | <b>6.0</b> |
| HOLDEN CAPITAL MGMT      | 035        | RIMM       | S        | 10,000        | 73.17        | n/a           | n/a           | 400.00          | 4.0        |
| RBC CAPITAL MARKETS      | 040        | RRD        | S        | 15,000        | 15.78        | n/a           | n/a           | 600.00          | 4.0        |
| <b>COHE &amp; STEERS</b> | <b>091</b> | <b>RYN</b> | <b>S</b> | <b>62,400</b> | <b>41.46</b> | <b>n/a</b>    | <b>3-Aug</b>  | <b>2,496.00</b> | <b>4.0</b> |
| WAGONHOUND/NIC           | 048        | SFSF       | B        | 12,311        | 11.03        | n/a           | n/a           | 492.44          | 4.0        |
| STRAUSS ASSET MGMT       | 040        | SGMS       | S        | 7,500         | 18.55        | n/a           | n/a           | 300.00          | 4.0        |
| THOMAS WEISEL ASSET MGMT | 035        | SONO       | S        | 6,440         | 22.96        | n/a           | n/a           | 193.20          | 3.0        |
| RBC CAPITAL MARKETS      | 040        | TIN        | S        | 55,000        | 16.30        | 23-Jul        | 23-Jul        | 2,200.00        | 4.0        |
| SCOPUS FUND              | 041        | URI        | B        | 10,000        | 8.14         | n/a           | 29-Oct        | 500.00          | 5.0        |
| TYEE/TYGH                | 035        | WDR        | B        | 40,000        | 27.42        | 29-Jul        | 7-Aug         | 1,600.00        | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>WRC</b> | <b>S</b> | <b>32,000</b> | <b>38.94</b> | <b>28-Jul</b> | <b>28-Jul</b> | <b>1,280.00</b> | <b>4.0</b> |
| NEW JERSEY DIV OF INV.   | 030        | XOM        | B        | 50,000        | 69.34        | n/a           | n/a           | 2,000.00        | 4.0        |

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**TOTAL (Trade Date):**

**94,640.94**

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

| Type                          | Date         | Account                         | RR #       | Symbol     | B/S      | Shares        | Price        | MRI          | Research      | Comm.¢/Shr.      |
|-------------------------------|--------------|---------------------------------|------------|------------|----------|---------------|--------------|--------------|---------------|------------------|
| AO,CRT                        | 08/05        | ADAGE CAPITAL MGMT (ADAGMS)     | 030        | AOS        | SS       | 50,000        | 40.06        | 17-Jul       | 17-Jul        | 2000.00 4.0      |
| AO,CXL                        | 08/05        | ADAGE CAPITAL MGMT (ADAGESHORT) | 030        | AOS        | SS       | 50,000        | 40.06        | 17-Jul       | 17-Jul        | 2000.00 4.0      |
| AO,CXL                        | 08/07        | WOOSTER CAPITAL (WOOSGOLDMA)    | 035        | AXL        | B        | 100,000       | 3.33         | n/a          | 10-Aug        | 5000.00 5.0      |
| AO,CRT                        | 08/07        | WOOSTER CAPITAL (WOOSGOLDMA)    | 035        | AXL        | B        | 100,000       | 3.33         | n/a          | 10-Aug        | 3000.00 3.0      |
| <b>AO,</b>                    | <b>08/07</b> | <b>LISTED ERR (LISTED ERR)</b>  | <b>099</b> | <b>F</b>   | <b>B</b> | <b>500</b>    | <b>8.15</b>  | <b>3-Aug</b> | <b>10-Aug</b> | <b>0.00 0.0</b>  |
| AO,CXL                        | 08/07        | DSG CAPITAL (DSGCJEFF)          | 225        | F          | B        | 7,500         | 8.15         | 3-Aug        | 10-Aug        | 262.50 3.5       |
| AO,CRT                        | 08/07        | DSG CAPITAL (DSGCJEFF)          | 225        | F          | B        | 7,000         | 8.15         | 3-Aug        | 10-Aug        | 245.00 3.5       |
| AO,CXL                        | 08/06        | M&I FUNDS (MIFD122)             | 047        | GPS        | B        | 11,583        | 17.85        | n/a          | 30-Jan        | 463.32 4.0       |
| AO,CRT                        | 08/06        | M&I FUNDS (MIFD122)             | 047        | GPS        | B        | 11,500        | 17.85        | n/a          | 30-Jan        | 460.00 4.0       |
| AO,                           | 08/06        | M&I FUNDS (MIFDMAIN)            | 047        | GPS        | B        | 83            | 17.85        | n/a          | 30-Jan        | 3.32 4.0         |
| AO,CXL                        | 08/06        | MILLENIUM PARTNERS (MILPINTREG) | 028        | LOW        | B        | 91,500        | 22.74        | 10-Aug       | 10-Aug        | 3660.00 4.0      |
| AO,CRT                        | 08/06        | MILLENIUM PARTNERS (MILPUSE)    | 028        | LOW        | B        | 91,500        | 22.74        | 10-Aug       | 10-Aug        | 3660.00 4.0      |
| <b>CRT</b>                    | <b>08/10</b> | <b>LISTED ERR (LISTED ERR)</b>  | <b>099</b> | <b>MWV</b> | <b>B</b> | <b>20,000</b> | <b>20.99</b> | <b>n/a</b>   | <b>29-Jul</b> | <b>0.00 0.0</b>  |
| <b>CRT</b>                    | <b>08/10</b> | <b>LISTED ERR (LISTED ERR)</b>  | <b>099</b> | <b>MWV</b> | <b>S</b> | <b>20,000</b> | <b>20.99</b> | <b>n/a</b>   | <b>29-Jul</b> | <b>0.00 0.0</b>  |
| <b>TOTAL (AO, CXL, CRT) :</b> |              |                                 |            |            |          |               |              |              |               | <b>-2,017.50</b> |

|                       |           |
|-----------------------|-----------|
| TOTAL (Trade Date):   | 94,640.94 |
| TOTAL (AO, CXL, CRT): | -2,017.50 |

**TOTAL (RUN DATE) / NFS:**

**92,623.44**

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