

Daily Compliance Activity Report Trade Date: 08/29/2008

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
|--------------------------|------|--------|-----|-----------------|--------|--------|----------|----------|------|
| виск | 015 | AB | s | 1,500 | 54.80 | 15-Jul | 18-Aug | 0.00 | 0.0 |
| SINCLAIR | 031 | ADWJJ | S | 11 | 0.35 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | ARO | В | 10,000 | 34.46 | 28-Apr | 29-Aug | 500.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 237 | ARO | В | 100,000 | 34.98 | 28-Apr | 29-Aug | 5,000.00 | 5.0 |
| виск | 015 | BACUA | В | 15 | 0.66 | n/a | n/a | 0.00 | 0.0 |
| HIGHBRIDGE CAPITAL | 038 | BNI | В | 6,200 | 107.49 | n/a | n/a | 310.00 | 5.0 |
| PAW PARTNERS | 041 | CAJ | В | 14,400 | 44.91 | n/a | n/a | 576.00 | 4.0 |
| COLUMBIA PARTNERS | 028 | CHK | SS | 14,648 | 48.85 | n/a | n/a | 585.92 | 4.0 |
| HIGHBRIDGE CAPITAL | 038 | CNI | В | 22,800 | 52.84 | n/a | n/a | 1,140.00 | 5.0 |
| AVESTA CAP | 229 | CTV | SS | 10,000 | 49.07 | n/a | n/a | 500.00 | 5.0 |
| PAW PARTNERS | 041 | ELY | В | 34,600 | 13.54 | n/a | n/a | 1,730.00 | 5.0 |
| HUNTER GLOBAL INVESTOR | 067 | ETH | SS | 36,569 | 26.98 | n/a | n/a | 1,828.45 | 5.0 |
| FRONTPOINT | 044 | FCL | S | 23,600 | 59.25 | n/a | n/a | 826.00 | 3.5 |
| FPAS | 031 | FCL | S | 92 , 775 | 59.25 | n/a | n/a | 3,247.13 | 3.5 |
| COUGAR TRADING | 044 | FOSL | В | 5,000 | 29.44 | n/a | 13-Aug | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | 3 | Shares | Price | MRI | Research | Comm. | Shr. |
|--------------------|---|--|---|---|---|---|---|---|-----------------------|--|
| WAGONHOUND/NIC | 048 | FOSL | В | | 22,371 | 30.00 | n/a | 13-Aug | 894.84 | 4.0 |
| DUCK CARTEST MOVE | 001 | 550 | _ | | 20.000 | 26.02 | - 1- | 10 7 | 1 000 00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GCO | В | | 30,000 | 36.83 | n/a | 10-Jan | 1,200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GES | В | | 50,000 | 37.46 | n/a | n/a | 2,000.00 | 4.0 |
| WAGONHOUND/NIC | 048 | GES | В | | 236 | 37.80 | n/a | n/a | 9.44 | 4.0 |
| | | | _ | | | | , | , | | |
| SINCLAIR | 031 | GMUB | В | | 20 | 0.71 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | GPS | В | | 5,000 | 19.50 | n/a | 29-Aug | 250.00 | 5.0 |
| DAW DARTNERS | 0.4.1 | Cak | B | | 12 000 | 17 33 | n/a | n/a | 600 00 | 5.0 |
| IAW IAKINDKO | 011 | GDIC | ъ | | 12,000 | 47.55 | 11/ α | 11/α | 000.00 | 3.0 |
| NEUBERGER BERMAN | 036 | HCN | | S | 19,300 | 51.78 | n/a | n/a | 868.50 | 4.5 |
| FIRST NY SEC/CHRIS | 041 | TP | В | | 10.000 | 27.14 | 1 – Aug | 1 – A11a | 500.00 | 5.0 |
| | 041 | IP | | S | | 27.16 | _ | - | 750.00 | 5.0 |
| SCOPUS FUND | 041 | IP | В | | 25,000 | 27.00 | 1-Aug | 1-Aug | 1,250.00 | 5.0 |
| LISTED ERR | 099 | IP | В | | 30,000 | 27.27 | 1-Aug | 1-Aug | 0.00 | 0.0 |
| COLICAD TRADING | 044 | NMD | | C | 15 000 | 61 01 | 29-7119 | 20-7110 | 750 00 | 5.0 |
| COUGAN INADING | 044 | KMD | | S | 13,000 | 01.01 | 20 Aug | 20 Aug | 750.00 | 3.0 |
| CUMBERLAND | 038 | KNX | | S | 25,000 | 18.31 | n/a | n/a | 1,000.00 | 4.0 |
| DUCK CADIMAL MOMM | 001 | T T 7 | В | | 20, 000 | 16 11 | -/- | 29 3 | 800.00 | 4.0 |
| BUCK CAPITAL MGMI | 001 | 112 | ь | | 20,000 | 16.11 | II/a | 20-Aug | 800.00 | 4.0 |
| PAW PARTNERS | 041 | LXK | В | | 11,000 | 36.17 | n/a | n/a | 550.00 | 5.0 |
| N CUDATUON | 014 | MCE | ъ | | 150 | 72 25 | m/- | n/n | 0.00 | 0.0 |
| N SIRMITON | 014 | MCF | Þ | | 130 | 12.25 | п/а | II/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | MER | | S | 24,000 | 28.31 | 24-Jun | 15-Aug | 960.00 | 4.0 |
| | WAGONHOUND/NIC BUCK CAPITAL MGMT BUCK CAPITAL MGMT WAGONHOUND/NIC SINCLAIR COUGAR TRADING PAW PARTNERS NEUBERGER BERMAN FIRST NY SEC/CHRIS FIRST NY SEC/CHRIS SCOPUS FUND LISTED ERR COUGAR TRADING CUMBERLAND BUCK CAPITAL MGMT PAW PARTNERS N STRATTON | BUCK CAPITAL MGMT 001 BUCK CAPITAL MGMT 001 WAGONHOUND/NIC 048 SINCLAIR 031 COUGAR TRADING 044 PAW PARTNERS 041 NEUBERGER BERMAN 036 FIRST NY SEC/CHRIS 041 FIRST NY SEC/CHRIS 041 SCOPUS FUND 041 LISTED ERR 099 COUGAR TRADING 044 CUMBERLAND 038 BUCK CAPITAL MGMT 001 PAW PARTNERS 041 N STRATTON 014 | WAGONHOUND/NIC 048 FOSL BUCK CAPITAL MGMT 001 GES WAGONHOUND/NIC 048 GES SINCLAIR 031 GMUB COUGAR TRADING 044 GPS PAW PARTNERS 041 GSK NEUBERGER BERMAN 036 HCN FIRST NY SEC/CHRIS 041 IP FIRST NY SEC/CHRIS 041 IP SCOPUS FUND 041 IP LISTED ERR 099 IP COUGAR TRADING 044 KMB CUMBERLAND 038 KNX BUCK CAPITAL MGMT 001 LIZ PAW PARTNERS 041 LXK N STRATTON 014 MCF | BUCK CAPITAL MGMT 001 GCO B BUCK CAPITAL MGMT 001 GES B WAGONHOUND/NIC 048 GES B SINCLAIR 031 GMUB B COUGAR TRADING 044 GPS B PAW PARTNERS 041 GSK B FIRST NY SEC/CHRIS 041 IP B FIRST NY SEC/CHRIS 041 IP SCOPUS FUND 041 IP B LISTED ERR 099 IP B COUGAR TRADING 044 KMB CUMBERLAND 038 KNX BUCK CAPITAL MGMT 001 LIZ B PAW PARTNERS 041 LXK B N STRATTON 014 MCF B | BUCK CAPITAL MGMT BUCK CAPITAL MGMT O01 GCO B BUCK CAPITAL MGMT WAGONHOUND/NIC O48 GES B SINCLAIR O31 GMUB B COUGAR TRADING O44 GPS B COUGAR TRADING O41 GSK B NEUBERGER BERMAN O36 HCN S FIRST NY SEC/CHRIS O41 FOR B COUGAR TRADING O44 KMB S CUMBERLAND O38 KNX S BUCK CAPITAL MGMT O01 LIZ B PAW PARTNERS O41 LXK B N STRATTON O14 MCF B | WAGONHOUND/NIC 048 FOSL B 22,371 BUCK CAPITAL MGMT 001 GCO B 30,000 BUCK CAPITAL MGMT 001 GES B 50,000 WAGONHOUND/NIC 048 GES B 236 SINCLAIR 031 GMUB B 20 COUGAR TRADING 044 GPS B 5,000 PAW PARTNERS 041 GSK B 12,000 NEUBERGER BERMAN 036 HCN S 19,300 FIRST NY SEC/CHRIS 041 IP B 10,000 FIRST NY SEC/CHRIS 041 IP S 15,000 SCOPUS FUND 041 IP B 30,000 LISTED ERR 099 IP B 30,000 CUMBERLAND 038 KNX S 25,000 BUCK CAPITAL MGMT 001 LIZ B 20,000 PAW PARTNERS 041 LXK B 11,000 | WAGONHOUND/NIC 048 FOSL B 22,371 30.00 BUCK CAPITAL MGMT 001 GCO B 30,000 36.83 BUCK CAPITAL MGMT 001 GES B 50,000 37.46 WAGONHOUND/NIC 048 GES B 236 37.80 SINCLAIR 031 GMUB B 20 0.71 COUGAR TRADING 044 GPS B 5,000 19.50 PAW PARTNERS 041 GSK B 12,000 47.33 NEUBERGER BERMAN 036 HCN S 19,300 51.78 FIRST NY SEC/CHRIS 041 IP B 10,000 27.14 FIRST NY SEC/CHRIS 041 IP B 15,000 27.16 SCOPUS FUND 041 IP B 30,000 27.27 COUGAR TRADING 044 KMB S 15,000 61.81 CUMBERLAND 038 KNX S 25,000 16.11 </td <td>WAGONHOUND/NIC 048 FOSI. B 22,371 30.00 n/a BUCK CAPITAL MGMT 001 GCO B 30,000 36.83 n/a BUCK CAPITAL MGMT 001 GES B 50,000 37.46 n/a WAGONHOUND/NIC 048 GES B 236 37.80 n/a SINCLAIR 031 GMUB B 20 0.71 n/a COUGAR TRADING 044 GPS B 5,000 19.50 n/a PAW PARTNERS 041 GSK B 12,000 47.33 n/a NEUBERGER BERMAN 036 HCN S 19,300 51.78 n/a FIRST NY SEC/CHRIS 041 IP B 10,000 27.14 1-Aug FIRST NY SEC/CHRIS 041 IP B 15,000 27.16 1-Aug SCOPUS FUND 041 IP B 25,000 27.00 1-Aug LISTED ER 099</td> <td>### BUCK CAPITAL MGMT</td> <td>WAGONHOUND/NIC 048 FOSL B 22,371 30.00 n/a 13-Aug 894.84 BUCK CAPITAL MGMT 001 GCO B 30,000 36.83 n/a 10-Jan 1,200.00 BUCK CAPITAL MGMT 001 GES B 50,000 37.46 n/a n/a 2,000.00 WAGONHOUND/NIC 048 GES B 236 37.80 n/a n/a 9.44 SINCLAIR 031 GMUB B 20 0.71 n/a n/a 0.00 COUGAR TRADING 044 GPS B 5,000 19.50 n/a 29-Aug 250.00 PAW PARTNERS 041 GSK B 12,000 47.33 n/a n/a 600.00 PIRST NY SEC/CHRIS 041 IP B 10,000 27.14 1-Aug 1-Aug 50.00 SCOPUS FUND 041 IP B 25,000 27.00 1-Aug 1-Aug 1,250.00</td> | WAGONHOUND/NIC 048 FOSI. B 22,371 30.00 n/a BUCK CAPITAL MGMT 001 GCO B 30,000 36.83 n/a BUCK CAPITAL MGMT 001 GES B 50,000 37.46 n/a WAGONHOUND/NIC 048 GES B 236 37.80 n/a SINCLAIR 031 GMUB B 20 0.71 n/a COUGAR TRADING 044 GPS B 5,000 19.50 n/a PAW PARTNERS 041 GSK B 12,000 47.33 n/a NEUBERGER BERMAN 036 HCN S 19,300 51.78 n/a FIRST NY SEC/CHRIS 041 IP B 10,000 27.14 1-Aug FIRST NY SEC/CHRIS 041 IP B 15,000 27.16 1-Aug SCOPUS FUND 041 IP B 25,000 27.00 1-Aug LISTED ER 099 | ### BUCK CAPITAL MGMT | WAGONHOUND/NIC 048 FOSL B 22,371 30.00 n/a 13-Aug 894.84 BUCK CAPITAL MGMT 001 GCO B 30,000 36.83 n/a 10-Jan 1,200.00 BUCK CAPITAL MGMT 001 GES B 50,000 37.46 n/a n/a 2,000.00 WAGONHOUND/NIC 048 GES B 236 37.80 n/a n/a 9.44 SINCLAIR 031 GMUB B 20 0.71 n/a n/a 0.00 COUGAR TRADING 044 GPS B 5,000 19.50 n/a 29-Aug 250.00 PAW PARTNERS 041 GSK B 12,000 47.33 n/a n/a 600.00 PIRST NY SEC/CHRIS 041 IP B 10,000 27.14 1-Aug 1-Aug 50.00 SCOPUS FUND 041 IP B 25,000 27.00 1-Aug 1-Aug 1,250.00 |

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|--------------------------|------|--------|-----|----|-----------------|-------|--------|----------|----------|-------|--|
| TRIVIUM CAP MGMT | 251 | MFE | | SS | 25,000 | 39.71 | n/a | 3-Apr | 1,000.00 | 4.0 | |
| NEUBERGER BERMAN | 036 | MIC | | S | 27 , 600 | 20.88 | n/a | n/a | 1,242.00 | 4.5 | |
| COUGAR TRADING | 044 | М | В | | 10,000 | 20.39 | 12-Aug | 29-Aug | 500.00 | 5.0 | |
| HIGHBRIDGE CAPITAL | 038 | NSC | В | | 5,400 | 74.18 | n/a | n/a | 270.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | ОХМ | В | | 10,000 | 23.07 | n/a | n/a | 400.00 | 4.0 | |
| LEDDY | 035 | PCL | | S | 700 | 50.47 | n/a | 11-Jul | 0.00 | 0.0 | |
| BUCK CAPITAL MGMT | 001 | PVH | | S | 12,000 | 37.96 | 5-May | 28-Aug | 480.00 | 4.0 | |
| DAVIDSON KEMPNER ADVISOR | 040 | QCOM | В | | 57,500 | 52.75 | n/a | n/a | 2,875.00 | 5.0 | |
| PAKLER | 029 | RHD | В | | 375 | 3.80 | n/a | n/a | 0.00 | 0.0 | |
| IRIDIAN ASSET MGMT. | 036 | ROC | В | | 32,210 | 37.85 | n/a | n/a | 1,610.50 | 5.0 | |
| BUCK | 015 | RYN | В | | 1,200 | 45.30 | n/a | 24-Jul | 0.00 | 0.0 | |
| COUGAR TRADING | 044 | SSO | В | | 10,000 | 62.36 | n/a | n/a | 500.00 | 5.0 | |
| MAIRS AND POWER INV | 030 | STJ | | S | 20,000 | 45.95 | n/a | n/a | 1,000.00 | 5.0 | |
| GOLD SACHS SPECIAL SIT | 030 | TEN | | SS | 30,300 | 14.73 | n/a | n/a | 1,515.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | TGT | В | | 20,000 | 53.49 | n/a | 20-Aug | 800.00 | 4.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------------------------|------|--------|-----|-----------------|-------|--------|----------|--------------|
| PRINCIPLE CAPITAL | 040 | THI | SS | 117,900 | 31.43 | n/a | 24-Apr | 3,537.00 3.0 |
| GOLD SACHS SPECIAL SIT | 030 | TRW | SS | 36,600 | 19.23 | n/a | n/a | 1,830.00 5.0 |
| DALTON GREINER | 012 | WRC | S | 39 , 967 | 51.24 | 8-Aug | 28-Aug | 1,998.35 5.0 |
| SIGMA CAPITAL ASSOCIATES | 237 | YUM | S | 50,000 | 35.80 | 14-Aug | 14-Aug | 2,500.00 5.0 |
| COUGAR TRADING | 044 | ZQK | В | 25,000 | 7.72 | 27-Aug | 27-Aug | 1,000.00 4.0 |

Cancel/Corrects and As-Of Trades

| /28 MORGAN BANK /JPM (JPMBA98531) O, CXL, CRT): | 012 | SPY | В | 94,250 129. | 51 n/a | | 2827.50 3 2,827.50 |
|---|-----|-----|---|-------------|--------|----|-----------------------|
| O, CXL, CRT): | | | | | | 2 | 2,827.50 |
| | | | | | | | |
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| | | | | | | | |
| rade Date): | | | | | | 51 | .,934.13 |
| O, CXL, CRT): | | | | | | | 2,827.50 |
| | | | | | | | |
| | | | | | | | |

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