

Daily Compliance Activity Report Trade Date: 02/09/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.		
TRELLUS PARTNERS LP	028	ALV	SS	2,500	20.71	30-Jan	4-Feb	125.00	5.0		
BAIRD INVESTMENT	031	APC	В	2,925	41.58	3-Feb	4-Feb	146.25	5.0		
THE BOSTON COMPANY	401	ARO	S	126,911	22.91	n/a	6-Feb	5,076.44	4.0		
FRIESS MGMT	033	AZO	S	98,000	142.67	n/a	n/a	3,920.00	4.0		
BALYASNY ASSET MGMT	044	BIG	В	75 , 000	15.19	5-Dec	5-Feb	3,750.00	5.0		
TRELLUS PARTNERS LP	028	BWA	SS	2,500	20.49	27-Jan	27-Jan	125.00	5.0		
MILLENIUM PARTNERS	028	CAT	S	22,000	32.95	22-Oct	27-Jan	880.00	4.0		
RAMIUS CAP	040	CCK	S	75 , 000	21.62	n/a	n/a	3,750.00	5.0		
NEUBERGER BERMAN	036	EGP	S	12,700	30.85	n/a	n/a	571.50	4.5		
ROTHSCHILD ASSET	040	EMS	В	11,100	34.72	n/a	n/a	499.51	4.5		
1798 CAPITAL MGMT	040	FDO	В	20,000	27.56	7-Jan	4-Feb	1,000.00	5.0		
BUCK CAPITAL MGMT	001	FO	SS	50,000	33.16	n/a	n/a	2,000.00	4.0		
DIAMONDBACK CAP MGMT	232	GE	SS	100,000	12.36	n/a	n/a	5,000.00	5.0		
GOLDMAN SACHS ASSET MGMT	044	HPQ	S	95,200	36.26	n/a	n/a	2,856.00	3.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
IRIDIAN ASSET MGMT.	036	HUM	С	44,870	45.62	n/a	n/a	2,243.50	5.0	
SIGMA CAPITAL ASSOCIATES	237	JCP	В	50,000	16.20	6-Feb	6-Feb	2,500.00	5.0	
ROBX	033	JOYG	С	3,020	24.67	26-Jan	26-Jan	120.80	4.0	
JENNISON	032	KLAC	В	800,000	20.64	n/a	n/a	29,600.00	3.7	
SANDLER CAPITAL	038	LDK	В	100,000	11.34	n/a	n/a	6,000.00	6.0	
BUCK CAPITAL MGMT	001	MCD	В	43,000	58.37	13-0ct	9-Feb	1,720.00	4.0	
TRELLUS PARTNERS LP	028	MGA	SS	2,700	30.91	n/a	n/a	135.00	5.0	
WHITE PINE CAPITAL	030	MI	В	49,600	5.58	n/a	n/a	2,480.00	5.0	
PROSPECTOR PARTNERS LLC	036	NEM	S	10,000	40.55	n/a	n/a	400.00	4.0	
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	5.04	16-Dec	20-Jan	400.00	4.0	
PROSPECTOR PARTNERS LLC	036	NXY	S	20,000	15.75	n/a	n/a	800.00	4.0	
PROSPECTOR PARTNERS LLC	036	NYT	S	10,000	4.86	n/a	n/a	400.00	4.0	
REICH AND TANG	067	OMG	S	20,000	22.79	n/a	n/a	1,000.00	5.0	
TRELLUS PARTNERS LP	028	PCAR	SS	15,000	30.76	20-Nov	2-Feb	750.00	5.0	
MILLENIUM PARTNERS	028	РН	В	15,000	41.58	n/a	11-Dec	600.00	4.0	
	IRIDIAN ASSET MGMT. SIGMA CAPITAL ASSOCIATES ROBX JENNISON SANDLER CAPITAL BUCK CAPITAL MGMT TRELLUS PARTNERS LP WHITE PINE CAPITAL PROSPECTOR PARTNERS LLC PROSPECTOR PARTNERS LLC PROSPECTOR PARTNERS LLC PROSPECTOR PARTNERS LLC TRELLUS PARTNERS LLC REICH AND TANG TRELLUS PARTNERS LP	IRIDIAN ASSET MGMT. 036 SIGMA CAPITAL ASSOCIATES 237 ROBX 033 JENNISON 032 SANDLER CAPITAL 038 BUCK CAPITAL MGMT 001 TRELLUS PARTNERS LP 028 WHITE PINE CAPITAL 030 PROSPECTOR PARTNERS LLC 036 PROSPECTOR PARTNERS LLC 036 PROSPECTOR PARTNERS LLC 036 PROSPECTOR PARTNERS LLC 036 REICH AND TANG 067 TRELLUS PARTNERS LP 028	IRIDIAN ASSET MGMT. 036 HUM SIGMA CAPITAL ASSOCIATES 237 JCP ROBX 033 JOYG JENNISON 032 KLAC SANDLER CAPITAL 038 LDK BUCK CAPITAL MGMT 001 MCD TRELLUS PARTNERS LP 028 MGA WHITE PINE CAPITAL 030 MI PROSPECTOR PARTNERS LLC 036 NEM PROSPECTOR PARTNERS LLC 036 NP PROSPECTOR PARTNERS LLC 036 NXY PROSPECTOR PARTNERS LLC 036 NXY PROSPECTOR PARTNERS LLC 036 NYT REICH AND TANG 067 OMG TRELLUS PARTNERS LP 028 PCAR	IRIDIAN ASSET MGMT. SIGMA CAPITAL ASSOCIATES 237 JCP B ROBX 033 JOYG C JENNISON 032 KLAC B SANDLER CAPITAL 038 LDK B BUCK CAPITAL MGMT 001 MCD B TRELLUS PARTNERS LP 028 MGA SS WHITE PINE CAPITAL 030 MI B PROSPECTOR PARTNERS LLC 036 NEM S PROSPECTOR PARTNERS LLC 036 NY S REICH AND TANG 067 OMG S TRELLUS PARTNERS LP 028 PCAR SS	IRIDIAN ASSET MGMT. 036 HUM C 44,870 SIGMA CAPITAL ASSOCIATES 237 JCP B 50,000 ROBX 033 JOYG C 3,020 JENNISON 032 KLAC B 800,000 SANDLER CAPITAL 038 LDK B 100,000 BUCK CAPITAL MGMT 001 MCD B 43,000 TRELLUS PARTNERS LP 028 MGA SS 2,700 WHITE PINE CAPITAL 030 MI B 49,600 PROSPECTOR PARTNERS LLC 036 NEM S 10,000 PROSPECTOR PARTNERS LLC 036 NY S 20,000 PROSPECTOR PARTNERS LLC 036 NY S 10,000 PROSPECTOR PARTNERS LLC 036 NY S 10,000 REICH AND TANG 067 OMG S 20,000 TRELLUS PARTNERS LP 028 PCAR SS 15,000	IRIDIAN ASSET MGMT. 036 HUM C 44,870 45.62 SIGMA CAPITAL ASSOCIATES 237 JCP B 50,000 16.20 ROBX 033 JOYG C 3,020 24.67 JENNISON 032 KLAC B 800,000 20.64 SANDLER CAPITAL 038 LDK B 100,000 11.34 BUCK CAPITAL MGMT 001 MCD B 43,000 58.37 TRELLUS PARTNERS LP 028 MGA SS 2,700 30.91 WHITE PINE CAPITAL 030 MI B 49,600 5.58 PROSPECTOR PARTNERS LLC 036 NEM S 10,000 40.55 PROSPECTOR PARTNERS LLC 036 NP S 10,000 5.04 PROSPECTOR PARTNERS LLC 036 NXY S 20,000 15.75 PROSPECTOR PARTNERS LLC 036 NYT S 10,000 4.86 REICH AND TANG 067 OMG S 20,000 22.79 TRELLUS PARTNERS LP 028 PCAR SS 15,000 30.76	IRIDIAN ASSET MGMT. 036 HUM C 44,870 45.62 n/a SIGMA CAPITAL ASSOCIATES 237 JCP B 50,000 16.20 6-Feb ROBX 033 JOYG C 3,020 24.67 26-Jan JENNISON 032 KLAC B 800,000 20.64 n/a SANDLER CAPITAL 038 LDK B 100,000 11.34 n/a BUCK CAPITAL MGMT 001 MCD B 43,000 58.37 13-Oct TRELLUS PARTNERS LP 028 MGA SS 2,700 30.91 n/a WHITE PINE CAPITAL 030 MI B 49,600 5.58 n/a PROSPECTOR PARTNERS LLC 036 NEM S 10,000 40.55 n/a PROSPECTOR PARTNERS LLC 036 NP S 10,000 5.04 16-Dec PROSPECTOR PARTNERS LLC 036 NYY S 20,000 15.75 n/a PROSPECTOR PARTNERS LLC 036 NYT S 10,000 4.86 n/a REICH AND TANG 067 OMG S 20,000 22.79 n/a TRELLUS PARTNERS LP 028 PCAR SS 15,000 30.76 20-Nov	IRIDIAN ASSET MGMT. 036 HUM C 44,870 45.62 n/a n/a SIGMA CAPITAL ASSOCIATES 237 JCP B 50,000 16.20 6-Feb 6-Feb ROBX 033 JOYG C 3,020 24.67 26-Jan 26-Jan JENNISON 032 KLAC B 800,000 20.64 n/a n/a n/a SANDLER CAPITAL 038 LDK B 100,000 11.34 n/a n/a n/a BUCK CAPITAL MGMT 001 MCD B 43,000 58.37 13-Oct 9-Feb TRELLUS PARINERS LP 028 MGA SS 2,700 30.91 n/a n/a n/a PROSPECTOR PARTNERS LLC 036 NP S 10,000 40.55 n/a n/a PROSPECTOR PARTNERS LLC 036 NXY S 20,000 15.75 n/a n/a PROSPECTOR PARTNERS LLC 036 NXY S 20,000 15.75 n/a n/a REICH AND TANG 067 OMG S 20,000 22.79 n/a n/a REICH AND TANG 067 OMG S 20,000 22.79 n/a n/a TRELLUS PARTNERS LP 028 PCAR SS 15,000 30.76 20-Nov 2-Feb	IRIDIAN ASSET MGMT. 036 HUM C 44,870 45.62 n/a n/a 2,243.50 SIGNA CAPITAL ASSOCIATES 237 JCP B 50,000 16.20 6-Feb 6-Feb 2,500.00 ROBX 033 JOYG C 3,020 24.67 26-Jan 26-Jan 120.80 JENNISON 032 KLAC B 800,000 20.64 n/a n/a 29,600.00 SANDLER CAPITAL 038 LDK B 100,000 11.34 n/a n/a 6,000.00 BUCK CAPITAL MGMT 001 MCD B 43,000 58.37 13-Oct 9-Feb 1,720.00 TRELLUS PARTNERS LP 028 MGA SS 2,700 30.91 n/a n/a 135.00 WHITE PINE CAPITAL 030 MI B 49,600 5.58 n/a n/a 2,480.00 PROSPECTOR PARTNERS LLC 036 NEM S 10,000 40.55 n/a n/a 400.00 PROSPECTOR PARTNERS LLC 036 NY S 20,000 15.75 n/a n/a 800.00 PROSPECTOR PARTNERS LLC 036 NY S 10,000 4.86 n/a n/a 400.00 PROSPECTOR PARTNERS LLC 036 NY S 10,000 4.86 n/a n/a 400.00 REICH AND TANG 067 OMC S 20,000 22.79 n/a n/a 1,000.00	TRIDIAN ASSET MCMT. 036 HUM C 44,870 45.62 n/a n/a 2,243.50 5.0 SIGMA CAPITAL ASSOCIATES 237 JCP B 50,000 16.20 6-Feb 6-Feb 2,500.00 5.0 ROBX 033 JOYG C 3,020 24.67 26-Jan 26-Jan 120.80 4.0 JENNISON 032 KLAC B 800,000 20.64 n/a n/a 29,600.00 3.7 SANDLER CAPITAL 039 LDK B 100,000 11.34 n/a n/a n/a 6,000.00 6.0 BUCK CAPITAL MCMT 001 MCD B 43,000 58.37 13-Oct 9-Feb 1,720.00 4.0 TRELLOS PARTNERS LP 029 MGA SS 2,700 30.91 n/a n/a n/a 135.00 5.0 WHITE PINE CAPITAL 030 MI B 49,600 5.58 n/a n/a 10.4 2,480.00 5.0 PROSPECTOR FARTNERS LC 036 NP S 10,000 40.55 n/a n/a 400.00 4.0 PROSPECTOR FARTNERS LC 036 NRY S 20,000 15.75 n/a n/a 800.00 4.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 15.75 n/a n/a 800.00 4.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 15.75 n/a n/a 800.00 4.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 15.75 n/a n/a 800.00 4.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 15.75 n/a n/a 10.4 400.00 4.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 4.86 n/a n/a 1.400.00 4.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20,000 22.79 n/a n/a 1.400.00 5.0 PROSPECTOR FARTNERS LC 036 NXY S 20.000 22.79 n/a NXY S 20.000 20

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PROSPECTOR PARTNERS LLC	036	PPS	S	20,000	12.00	n/a	n/a	800.00	4.0
COLUMBIA PARTNERS	028	QDEL	В	45,493	13.36	n/a	n/a	1,819.72	4.0
BUCK CAPITAL MGMT	001	RL	В	10,000	40.86	n/a	5-Feb	400.00	4.0
CASTLE ARK	031	RRC	S	163,700	40.60	n/a	n/a	9,822.00	6.0
NEUBERGER BERMAN	036	SKT	S	12,600	31.35	n/a	n/a	567.00	4.5
BUCK CAPITAL MGMT	001	SSI	S	40,000	8.09	n/a	6-Feb	1,200.00	3.0
BUCK CAPITAL MGMT	001	SUI	S	30,000	12.46	n/a	n/a	1,200.00	4.0
CAXTON PART	040	WMI	S	11,889	29.00	n/a	n/a	416.12	3.5
HARVEST MGMT	039	ZUMZ	В	10,000	8.88	n/a	n/a	300.00	3.0

TOTAL (Trade Date): 95,373.84

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
70 011	00/05	I THEODER (I THEILD)	000	DUA	0.0	100 000	10 50	07 -	27	F000 00	F 0
AO, CXL	02/05	LITESPEED (LITEURS)	028	BWA	SS	100,000	18.59		27-Jan	5000.00	5.0
AO, CRT	02/05	LITESPEED (LITEUBS)	028	BWA	SS	100,000	18.59		27-Jan	3000.00	3.0
AO, CXL	02/06	LITESPEED (LITEUBS)	028	BWA	SS	70,000	20.37		27-Jan	3500.00	5.0
AO,CRT	02/06	LITESPEED (LITEUBS)	028	BWA	SS	70,000	20.37		27-Jan	2100.00	3.0
AO,	02/06	RESURGENCE ASSET MGMT (RESU7001)	070	BWA	SS	14,966	21.35		27-Jan	748.30	5.0
AO,	02/06	RESURGENCE ASSET MGMT (RESU7103)	070	BWA	SS	3,899	21.35	27-Jan	27-Jan	194.95	5.0
AO,	02/06	RESURGENCE ASSET MGMT (RESU7002)	070	BWA	SS	1,135	21.35	27-Jan	27-Jan	56.75	5.0
AO, CRT	02/06	STELLIAM INV ADV (STLLGSBULK)	040	CMG	SS	15,000	51.17	23-0ct	9-Feb	750.00	5.0
AO,CXL	02/06	STELLIAM INV ADV (STLLMSEXEC)	040	CMG	SS	15,000	51.17	23-Oct	9-Feb	750.00	5.0
AO,CXL	02/05	COOPER CREEK PART (COOPGS)	028	HAR	В	10,000	13.49	5-Feb	5-Feb	500.00	5.0
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AO, CRT	02/05	COOPER CREEK PART (COOPGS)	028	HAR	В	10,000	13.49	5-Feb	5-Feb	400.00	4.0
AO,CXL	02/06	BALYASNY ASSET MGMT (BALYGS)	044	LTD	S	30,000	8.83	8-Jan	30-Jan	1500.00	5.0
AO,CRT	02/06	BALYASNY ASSET MGMT (BALYGS)	044	LTD	S	30,000	8.83	8-Jan	30-Jan	1200.00	4.0
AO,CXL	02/06	JP MORGAN VENTURES (JPMVJPM)	046	M	S	150,000	9.59	n/a	6-Feb	7500.00	5.0
AO, CRT	02/06	JP MORGAN VENTURES (JPMVJPM)	046	М	S	150,000	9.59	n/a	6-Feb	4500.00	3.0
7. 0	02/06	MILTER DINE CARLEAL (MIDINAACO)	020	МТ	D	<i>(</i> 100	4 06	/	/ -	244.00	4.0
AO,	02/06	WHITE PINE CAPITAL (WPIN4428)	030	MI	В	6,100	4.86	n/a	n/a	244.00	4.0
AO,CXL	02/06	WHITE PINE CAPITAL (WPINW04434)	030	MI	В	5 , 700	4.86	n/a	n/a	228.00	4.0
AO,	02/06	WHITE PINE CAPITAL (WPINW04434)	030	MI	В	5 , 700	4.86	n/a	n/a	228.00	4.0
AO,CXL	02/06	WHITE PINE CAPITAL (WPIN04427)	030	MI	В	6,100	4.86	n/a	n/a	244.00	4.0
AO, CRT	02/06	AMBER CAPITAL (AMBRGS)	041	SNV	SS	250,000	4.07	n/a	n/a	10000.00	4.0
AO,CXL	02/06	ARAGON GLOBAL (ARAGGS)	041	SNV	SS	250,000	4.07	n/a	n/a	10000.00	4.0

Туре	Date Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):						-5,8	00.00
TOTAL	(Trade Date):						95,3	73.84
	(Trade Date): (AO, CXL, CRT):							73.84

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