

## **Daily Compliance Activity Report**

Trade Date: 01/02/2009

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
MERRILL ASSET	032	AG	В	25,700	24.27	15-Dec	19-Dec	1,156.50	4.5
WHITE PINE CAPITAL	030	AG	В	5,150	24.67	15-Dec	19-Dec	257.50	5.0
COUGAR TRADING	044	AN	В	5,000	10.62	7-Nov	23-Dec	250.00	5.0
LAGRANGE CAP ADV	048	ARB	В	19,000	13.75	n/a	n/a	950.00	5.0
BUCK CAPITAL MGMT	001	DKS	В	80,000	14.73	7-0ct	12-Dec	3,200.00	4.0
MERRILL ASSET	032	DW	В	13,500	12.18	n/a	n/a	607.50	4.5
BUCK CAPITAL MGMT	001	GIL	В	10,000	12.28	11-Dec	12-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	JCP	В	50,000	19.75	17-Nov	12-Dec	2,000.00	4.0
LAGRANGE CAP ADV	048	JNS	S	70,000	8.79	25-Jul	22-Dec	3,500.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	20,000	8.20	n/a	23-Dec	600.00	3.0
MAIRS AND POWER INV	030	PFE	S	20,000	18.00	n/a	31-Mar	1,000.00	5.0
BULL PATH CAPITAL	044	PTV	S	19,600	24.62	n/a	n/a	980.00	5.0
WHALE ROCK CAP	030	WYNN	В	43,000	46.48	n/a	n/a	1,720.00	4.0
BULL PATH CAPITAL	044	YUM	В	32,400	31.58	14-Aug	10-Dec	1,620.00	5.0

TOTAL (Trade Date):

18,241.50

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	Shr.
AO, AO,CXL	12/31 12/31	DISIPLINED GROWTH INV. (DISI190BOW) DISIPLINED GROWTH INV. (DISIOMINBU)		LF LF	В	13,600 13,600	3.48 3.48	n/a n/a	n/a n/a	408.00 272.00	3.0
TOTAL (AO, CXL, CRT):									:	136.00	

TOTAL (RUN DATE) / NFS:	18,377.50
TOTAL (AO, CXL, CRT):	136.00
TOTAL (Trade Date):	18,241.50

## 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