

Daily Compliance Activity Report Trade Date: 09/05/2008

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|-------------------|------|--------|-----|---------|-------|--------|----------|----------|--------|
| BUCK | 015 | AAFJI | В | 15 | 0.85 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | ALL | S | 28,724 | 44.24 | n/a | n/a | 1,292.58 | 4.5 |
| COUGAR TRADING | 044 | ANF | S | 5,000 | 48.78 | 7-Aug | 5-Sep | 250.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | ANF | SS | 24,200 | 48.63 | 7-Aug | 5-Sep | 968.00 | 4.0 |
| BUCK | 015 | ARM | С | 1,500 | 14.88 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | ARO | В | 5,000 | 35.48 | 28-Apr | 5-Sep | 250.00 | 5.0 |
| CLOVIS CAPITAL | 012 | BBBY | SS | 150,000 | 30.86 | n/a | n/a | 7,500.00 | 5.0 |
| LEDDY | 035 | BIG | С | 500 | 30.09 | 29-May | 5-Sep | 0.00 | 0.0 |
| LEDDY | 035 | BIG | SS | 500 | 30.97 | 29-May | 5-Sep | 0.00 | 0.0 |
| MAGUIRE | 039 | BKLH | В | 15 | 1.75 | n/a | n/a | 0.00 | 0.0 |
| JPMSI/TOM LEDDY | 035 | BUCY | SS | 4,000 | 49.73 | 5-Sep | 5-Sep | 200.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | CCK | В | 50,200 | 25.00 | n/a | n/a | 1,506.00 | 3.0 |
| CATTANI | 041 | СНК | В | 300 | 44.27 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | CMG | В | 2,000 | 68.80 | 24-Jul | 24-Jul | 100.00 | 5.0 |
| CATTANI | 041 | DVN | S | 250 | 95.10 | 7-May | 21-Aug | 0.00 | 0.0 |

| Account | RR # | Symbol | В/ | s | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|------------------------|--|--|--|--|--|--|--|---|--|---|
| APEX CAPITAL MGMT. | 091 | EL | С | | 7,600 | 51.45 | 15-Aug | 4-Sep | 380.00 | 5.0 |
| HART | 056 | EPG | В | | 1,000 | 2.64 | n/a | n/a | 0.00 | 0.0 |
| HIGHBRIDGE CAPITAL | 038 | FISV | В | | 10,000 | 50.04 | n/a | n/a | 500.00 | 5.0 |
| BUCK | 015 | FREJU | | s | 40 | 0.45 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 039 | FXEUT | | s | 5 | 7.30 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GCO | В | | 35,000 | 35.76 | n/a | 10-Jan | 1,400.00 | 4.0 |
| EGS ASSOCIATES LP | 091 | GIL | В | | 2,100 | 22.99 | 14-Aug | 14-Aug | 126.00 | 6.0 |
| LATEFF MGMT | 035 | GIS | | S | 1,500 | 67.44 | n/a | n/a | 420.00 | 28.0 |
| Jason Cohen | | GLWAW | В | | 5 | 1.1900 | n/a | n/a | 0.00 | 0.0 |
| Jason Cohen | | GLW | В | | 5 | 2.0000 | n/a | 4-Sep | 0.00 | 0.0 |
| MAIRS AND POWER INV | 030 | GLW | В | | 20,000 | 16.17 | n/a | 4-Sep | 1,000.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | GME | | S | 55,500 | 43.19 | n/a | n/a | 2,220.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | HGT | | S | 15,591 | 28.17 | n/a | n/a | 623.64 | 4.0 |
| BACKBAY | 041 | IP | В | | 12,500 | 27.31 | 1-Aug | 1-Aug | 625.00 | 5.0 |
| BACKBAY | 041 | IP | | S | | | 1-Aug | _ | | 5.0 |
| BALYASNY ASSET MGMT | 044 | IP | В | | | | 3 | 1-Aug | | 5.0 |
| BMO NESBITT BURNS | 041 | IP | | SS | 100,000 | 28.15 | 1-Aug | 1-Aug | 5,000.00 | 5.0 |
| | APEX CAPITAL MGMT. HART HIGHBRIDGE CAPITAL BUCK MAGUIRE BUCK CAPITAL MGMT EGS ASSOCIATES LP LATEFF MGMT Jason Cohen MAIRS AND POWER INV PRINCIPLE CAPITAL SUN AMERICA ASSET MGMT BACKBAY BACKBAY BALYASNY ASSET MGMT | APEX CAPITAL MGMT. HART 056 HIGHBRIDGE CAPITAL 038 BUCK 015 MAGUIRE 039 BUCK CAPITAL MGMT 001 EGS ASSOCIATES LP 091 LATEFF MGMT 035 Jason Cohen MAIRS AND POWER INV 030 PRINCIPLE CAPITAL 040 SUN AMERICA ASSET MGMT 031 BACKBAY BALYASNY ASSET MGMT 041 | APEX CAPITAL MGMT. HART 056 EPG HIGHBRIDGE CAPITAL 038 FISV BUCK 015 FREJU MAGUIRE 039 FXEUT BUCK CAPITAL MGMT 001 GCO EGS ASSOCIATES LP 091 GIL LATEFF MGMT 035 GIS Jason Cohen MAIRS AND POWER INV 030 GLWAW PRINCIPLE CAPITAL 5040 GME SUN AMERICA ASSET MGMT 041 BACKBAY BALYASNY ASSET MGMT 044 BACKBAY BALYASNY ASSET MGMT 046 EPG EPG EPG EPG EPG EPG EPG EP | APEX CAPITAL MGMT. HART 056 EPG B HIGHBRIDGE CAPITAL 038 FISV B BUCK 015 FREJU MAGUIRE 039 FXEUT BUCK CAPITAL MGMT 001 GCO B LATEFF MGMT 035 GIS Jason Cohen MAIRS AND POWER INV 030 GLW B PRINCIPLE CAPITAL 040 GME SUN AMERICA ASSET MGMT 041 BACKBAY BACKBAY BALYASNY ASSET MGMT 044 BB B | APEX CAPITAL MGMT. HART 056 EPG B HIGHBRIDGE CAPITAL 038 FISV B BUCK 015 FREJU S BUCK CAPITAL MGMT 001 GCO B EGS ASSOCIATES LP 091 GIL B LATEFF MGMT 035 GIS S Jason Cohen MAIRS AND POWER INV 030 GLW B PRINCIPLE CAPITAL 040 GME S BACKBAY BACKBA | APEX CAPITAL MGMT. 091 EL C 7,600 HART 056 EPG B 1,000 HIGHBRIDGE CAPITAL 038 FISV B 10,000 BUCK 015 FREJU S 40 MAGUIRE 039 FXEUT S 5 BUCK CAPITAL MGMT 001 GCO B 35,000 EGS ASSOCIATES LP 091 GIL B 2,100 LATEFF MGMT 035 GIS S 1,500 Jason Cohen GLWAW B 5 Jason Cohen GLWAW B 5 MAIRS AND POWER INV 030 GLW B 20,000 PRINCIPLE CAPITAL 040 GME S 55,500 SUN AMERICA ASSET MGMT 030 HGT S 15,591 BACKBAY 041 IP B 12,500 BALYASNY ASSET MGMT 044 IP B 50,000 | APEX CAPITAL MGMT. 091 EL C 7,600 51.45 HART 056 EPG B 1,000 2.64 HIGHBRIDGE CAPITAL 038 FISV B 10,000 50.04 BUCK 015 FREJU S 10,000 35.76 BUCK CAPITAL MGMT 001 GCO B 35,000 35.76 EGS ASSOCIATES LP 091 GIL B 2,100 22.99 LATEFF MGMT 035 GIS S 1,500 67.44 Jason Cohen GLWW B 5 1.1900 MAIRS AND POWER INV 030 GLW B 5 2,0000 16.17 PRINCIPLE CAPITAL 040 GME S 55,500 43.19 SUN AMERICA ASSET MGMT 030 HGT S 15,591 28.17 BACKBAY 041 IP B 12,500 27.31 BACKBAY 041 IP S 5,000 28.45 BALYASNY ASSET MGMT 044 IP B 50,000 27.35 | HART 056 EPG B 1,000 2.64 n/a HIGHBRIDGE CAPITAL 038 FISV B 10,000 50.04 n/a BUCK 015 FREJU S 40 0.45 n/a BUCK CAPITAL MGMT 001 GCO B 35,000 35.76 n/a BUCK CAPITAL MGMT 001 GCO B 35,000 35.76 n/a EGS ASSOCIATES LP 091 GIL B 2,100 22.99 14-Aug LATEFF MGMT 035 GIS S 1,500 67.44 n/a Jason Cohen GLWAW B 5 1.1900 n/a MAIRS AND POWER INV 030 GLW B 20,000 16.17 n/a PRINCIPLE CAPITAL 040 GME S 55,500 43.19 n/a SUN AMERICA ASSET MGMT 030 HGT S 15,591 28.17 n/a BACKBAY 041 IP B 12,500 27.31 1-Aug BACKBAY 041 IP B 12,500 27.31 1-Aug BACKBAY 041 IP S 5,000 28.45 1-Aug BALYASNY ASSET MGMT 044 IP B 50,000 27.35 1-Aug | APEX CAPITAL MGMT. 091 EL C 7,600 51.45 15-Aug 4-Sep HART 056 EPG B 1,000 2.64 n/a n/a HIGHBRIDGE CAPITAL 038 FISV B 10,000 50.04 n/a n/a BUCK 015 FREJU S 40 0.45 n/a n/a BUCK CAPITAL MGMT 039 FXEUT S 5,7.30 n/a n/a BUCK CAPITAL MGMT 001 GCO B 35,000 35.76 n/a 10-Jan EGS ASSOCIATES LF 091 GIL B 2,100 22.99 14-Aug 14-Aug LATEFF MGMT 035 GIS S 1,500 67.44 n/a n/a Jason Cohen GLWW B 5 1.1900 n/a n/a Jason Cohen GLWW B 5 1.1900 n/a 4-Sep MAIRS AND POWER INV 030 GLW B 20,000 16.17 n/a 4-Sep PRINCIPLE CAPITAL 040 GME S 55,500 43.19 n/a n/a SUN AMERICA ASSET MGMT 030 HGT S 15,591 28.17 n/a n/a BACKBAY 041 IP B 12,500 27.31 1-Aug 1-Aug BACKBAY 041 IP S 5,000 28.45 1-Aug 1-Aug BACKBAY 041 IP S 5,000 28.45 1-Aug 1-Aug BALYASNY ASSET MGMT 044 IP B 50,000 27.35 1-Aug 1-Aug | APEX CAPITAL MGMT. 091 EL C 7,600 51.45 15-Aug 4-Sep 380.00 HART 056 EPG B 1,000 2.64 n/a n/a 0.00 HIGHBRIDGE CAPITAL 038 FISV B 10,000 50.04 n/a n/a 500.00 BUCK 015 FREJU S 40 0.45 n/a n/a 0.00 MAGUIRE 039 FXEUT S 5 7.30 n/a n/a 0.00 BUCK CAPITAL MGMT 001 GCO B 35,000 35.76 n/a 10-Jan 1,400.00 EGS ASSOCIATES LP 091 GIL B 2,100 22.99 14-Aug 14-Aug 126.00 LATEFF MGMT 035 GIS S 1,500 67.44 n/a n/a n/a 0.00 Jason Cohen GLWW B 5 1.1900 n/a n/a 4-Sep 0.00 MAIRS AND POWER INV 030 GLW B 20,000 16.17 n/a 4-Sep 1,000.00 PRINCIPLE CAPITAL 040 GME S 55,500 43.19 n/a n/a 2,220.00 SUN AMERICA ASSET MGMT 030 HGT S 15,591 28.17 n/a n/a 623.64 BACKBAY 041 IP S 5,000 28.45 1-Aug 1-Aug 250.00 BACKBAY 041 IP S 5,000 28.45 1-Aug 1-Aug 250.00 BACKBAY 041 IP S 5,000 28.45 1-Aug 1-Aug 250.00 BACKBAY 041 IP S 5,000 28.45 1-Aug 1-Aug 250.00 |

| Account | RR # | Symbol | в/ | s | Shares | Price | MRI | Research | Comm. | \$/Shr. |
|--------------------------|------|--------|----|----|-----------------|--------|--------|----------|----------|---------|
| HEALY CIRCLE | 044 | IVZ | | SS | 35,000 | 24.12 | 4-Aug | 3-Sep | 1,750.00 | 5.0 |
| COUGAR TRADING | 044 | JCG | | SS | 10,000 | 28.68 | n/a | 27-Aug | 500.00 | 5.0 |
| KORMAN | 003 | JNY | | SS | 2,000 | 20.41 | n/a | 30-Jul | 0.00 | 0.0 |
| KENNEDY CAPITAL | 046 | JOSB | В | | 20,000 | 28.04 | n/a | n/a | 800.00 | 4.0 |
| PERRY PARTNERS | 041 | КВН | | SS | 150,000 | 19.98 | n/a | n/a | 7,500.00 | 5.0 |
| COUGAR TRADING | 044 | KSS | В | | 5,000 | 50.50 | n/a | 5-Sep | 250.00 | 5.0 |
| COUGAR TRADING | 044 | KSS | | SS | 10,000 | 49.93 | n/a | 5-Sep | 500.00 | 5.0 |
| SLS CAPITAL LLC | 224 | KSS | В | | 56,300 | 50.53 | n/a | 5-Sep | 2,252.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | LIZ | В | | 20,000 | 16.91 | n/a | 28-Aug | 800.00 | 4.0 |
| GLG PARTNERS | 034 | MCD | В | | 37 , 500 | 59.98 | 9-Jun | 5-Sep | 1,875.00 | 5.0 |
| WASHINGTON ASSET | 048 | MDR | | S | 20,000 | 30.14 | n/a | n/a | 1,000.00 | 5.0 |
| BUCK | 015 | MER | | SS | 1,500 | 25.65 | 24-Jun | 15-Aug | 0.00 | 0.0 |
| Bob Efstathiou | | MZTH | В | | 115 | 7.8600 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | М | В | | 10,000 | 20.34 | 12-Aug | 29-Aug | 500.00 | 5.0 |
| GRISANTI BROWN & PARTNER | 048 | М | | S | 15,700 | 20.14 | 12-Aug | 29-Aug | 785.00 | 5.0 |
| SCOPUS FUND | 041 | NDN | В | | 75 , 000 | 9.10 | 11-Jul | 5-Sep | 3,750.00 | 5.0 |
| SCOPUS FUND | 041 | PCL | В | | 25 , 000 | 47.76 | n/a | 11-Jul | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Sha | ares | Price | MRI | Research | Comm. | ¢/Shr. |
|------------------------|------|--------|-----|----------|------|-------|--------|----------|-----------|--------|
| LEDDY | 035 | PCL | В | | 500 | 47.72 | n/a | 11-Jul | 0.00 | 0.0 |
| | | | | | | | | | | |
| BACKBAY | 041 | PKG | В | 34,6 | 500 | 25.22 | 22-Jul | 22-Jul | 1,730.00 | 5.0 |
| MILLENIUM PARTNERS | 028 | PKG | В | 10,0 | 000 | 25.80 | 22-Jul | 22-Jul | 500.00 | 5.0 |
| | | | | | | | | | | |
| SUN AMERICA ASSET MGMT | 030 | PLLL | | s 36,6 | 385 | 10.79 | n/a | n/a | 1,467.40 | 4.0 |
| | | | | | | | | | | |
| BUCK CAPITAL MGMT | 001 | PSS | В | 30,0 |)00 | 17.79 | n/a | n/a | 1,200.00 | 4.0 |
| | 001 | | | | | | , | , | | |
| APEX CAPITAL MGMT. | 091 | QLGC | | SS 100,0 | 100 | 18.01 | n/a | n/a | 5,000.00 | 5.0 |
| DANIELS | N25 | OXM | В | 1 | L50 | 4.57 | n/a | n/a | 0.00 | 0.0 |
| DINTELLO | 1123 | Quit | _ | • | .50 | 4.57 | 11, 4 | , a | 0.00 | 0.0 |
| BULL PATH CAPITAL | 044 | ROST | В | 76,5 | 500 | 39.59 | n/a | n/a | 3,825.00 | 5.0 |
| WAGONHOUND/NIC | 048 | ROST | В | 4 | 196 | 39.23 | n/a | n/a | 19.84 | 4.0 |
| | | | | | | | | | | |
| BUCK | 015 | RYN | В | 8 | 300 | 43.56 | n/a | 24-Jul | 0.00 | 0.0 |
| | | | | | | | | | | |
| ZOLIDIS | 011 | SDS | В | 1 | L00 | 72.00 | n/a | n/a | 0.00 | 0.0 |
| | | | | | | | | | | |
| BACKBAY | 041 | SSCC | В | 25,0 | | 5.96 | 30-Jul | 30-Jul | 1,250.00 | 5.0 |
| BACKBAY | 041 | SSCC | | S 12,5 | | 6.60 | 30-Jul | 30-Jul | 625.00 | 5.0 |
| BMO NESBITT BURNS | 041 | SSCC | В | 50,0 | | 6.02 | 30-Jul | 30-Jul | 2,500.00 | 5.0 |
| BMO NESBITT BURNS | 041 | SSCC | | SS 50,0 | | 6.50 | 30-Jul | 30-Jul | 2,500.00 | 5.0 |
| SCOPUS FUND | 041 | SSCC | В | 155,0 |)00 | 6.11 | 30-Jul | 30-Jul | 7,750.00 | 5.0 |
| SLS CAPITAL LLC | 224 | SSCC | В | 226,3 | 300 | 6.56 | 30-Jul | 30-Jul | 6,789.00 | 3.0 |
| SUN AMERICA ASSET MGMT | 030 | SSCC | В | 300,0 | 000 | 6.42 | 30-Jul | 30-Jul | 12,000.00 | 4.0 |
| | | | | | | | | | | |
| COUGAR TRADING | 044 | SSO | В | 5,0 | | 56.61 | n/a | n/a | 250.00 | 5.0 |
| COUGAR TRADING | 044 | SSO | | S 5,0 | 000 | 55.90 | n/a | n/a | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|----------------------|------|--------|-----|--------|-------|--------|----------|--------------|
| SCOPUS FUND | 041 | TIN | В | 50,000 | 17.51 | 29-Apr | 30-Jul | 2,500.00 5.0 |
| TRUST CO/COWEN/CALF. | 040 | TSO | В | 44,560 | 17.48 | n/a | n/a | 1,782.40 4.0 |
| COUGAR TRADING | 044 | WMT | В | 10,000 | 59.99 | 8-Aug | 5-Sep | 500.00 5.0 |
| COUGAR TRADING | 044 | WRC | В | 5,000 | 49.07 | 8-Aug | 28-Aug | 250.00 5.0 |
| SCOPUS FUND | 041 | WY | В | 25,000 | 53.55 | n/a | 6-Aug | 1,250.00 5.0 |

TOTAL (Trade Date): 104,561.86

Cancel/Corrects and As-Of Trades

| Туре | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI R | esearch | Comm. | \$/Shr. |
|---------|-------|---------------------------------|------|--------|-----|---------|-------|-------|---------|---------|---------|
| AO, | 09/04 | COLUMBUS CIRCLE (COLC4400) | 036 | GIS | В | 159,494 | 67.27 | n/a | n/a | 6379.76 | 4.0 |
| AO, | 09/02 | HIGHBRIDGE/MS OLDS (HIBCMAIN) | 041 | MCHP | S | 80,743 | 32.37 | n/a | n/a | 3229.72 | 4.0 |
| AO,CXL | 09/02 | HIGHBRIDGE/MS OLDS (HIBCLEHMAN) | 041 | MCHP | SS | 100,102 | 32.37 | n/a | n/a | 5005.10 | 5.0 |
| AO, CRT | 09/02 | HIGHBRIDGE/MS OLDS (HIBCMAIN) | 041 | MCHP | SS | 19,359 | 32.37 | n/a | n/a | 774.36 | 4.0 |
| TOTAL | (AO (| CXL, CRT): | | | | | | | 5 | 378.74 | |

| TOTAL (RUN DATE) / NFS: | 109,940.60 |
|-------------------------|------------|
| TOTAL (AO, CXL, CRT): | 5,378.74 |
| TOTAL (Trade Date): | 104,561.86 |

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