



Daily Compliance Activity Report

Trade Date: 08/13/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	200	167.97	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	ADBE	B	200	33.09	n/a	n/a	8.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	75,000	15.14	25-Jun	7-Aug	3,000.00	4.0
MELLON/BANK OF NEW YORK	046	AKAM	S	376,925	18.16	n/a	n/a	18,846.25	5.0
WINSLOW CAPITAL	030	AMZN	B	100	84.62	n/a	n/a	4.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	32.18	3-Jun	7-Aug	800.00	4.0
BABSON/OFI/TRINITY	039	ASGN	S	8,800	3.94	n/a	n/a	352.00	4.0
BABSON/OFI/TRINITY	039	AVAV	S	1,400	29.35	n/a	n/a	56.00	4.0
LAGRANGE CAP ADV	048	AXL	B	20,000	3.14	n/a	12-Aug	1,000.00	5.0
EVERCORE WEALTH MGMT	012	BCO	S	800	26.48	n/a	n/a	40.00	5.0
WINSLOW CAPITAL	030	BIDU	B	200	346.47	n/a	n/a	8.00	4.0
BRIGADE CAPITAL MGMT	029	BONT	B	21,500	4.00	n/a	6-Feb	430.00	2.0
WINSLOW CAPITAL	030	CHRW	B	200	55.55	n/a	n/a	8.00	4.0
BUCK CAPITAL MGMT	001	CMG	B	5,000	90.06	23-Jul	23-Jul	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CSCO	B	700	21.51	n/a	22-Mar	28.00	4.0
WINSLOW CAPITAL	030	CTSH	B	500	34.54	n/a	n/a	20.00	4.0
WEISS PECK	040	DHT	S	100,000	5.08	n/a	n/a	4,000.00	4.0
DIAMONDBACK CAP MGMT	232	DOW	B	50,000	22.47	n/a	30-Jul	2,500.00	5.0
BABSON/OFI/TRINITY	039	DXPE	S	10,600	10.28	n/a	n/a	424.00	4.0
WINSLOW CAPITAL	030	EQIX	B	200	81.60	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	EXPD	B	200	33.14	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	FAST	B	200	37.00	n/a	n/a	8.00	4.0
BUCK CAPITAL MGMT	001	GES	S	7,000	29.30	n/a	n/a	280.00	4.0
TROUBH PART	067	GE	B	27,700	14.23	n/a	n/a	1,385.00	5.0
WINSLOW CAPITAL	030	GILD	B	300	45.22	n/a	n/a	12.00	4.0
COOPER CREEK PART	028	GIL	B	10,000	18.21	25-Jun	25-Jun	400.00	4.0
WINSLOW CAPITAL	030	GOOG	B	100	462.94	n/a	n/a	4.00	4.0
BRIGADE CAPITAL MGMT	029	GPK	B	145,093	2.30	n/a	n/a	2,901.86	2.0
BUCK CAPITAL MGMT	001	HOG	B	30,000	23.21	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	S	120,000	20.80	30-Jul	30-Jul	6,000.00	5.0
SCOPUS FUND	041	IP	S	10,000	20.41	30-Jul	30-Jul	500.00	5.0
WINSLOW CAPITAL	030	JNPR	B	100	25.25	n/a	22-Mar	4.00	4.0
THE BOSTON COMPANY	039	KCP	B	3,800	9.92	n/a	28-Sep	152.00	4.0
TRELLUS PARTNERS LP	028	LVS	S	50,000	12.67	6-Aug	6-Aug	2,500.00	5.0
ROTHSCHILD ASSET	040	MET	S	31,050	36.03	n/a	n/a	1,397.25	4.5
BUCK CAPITAL MGMT	001	MHK	B	10,000	49.64	n/a	n/a	400.00	4.0
BABSON/OFI/TRINITY	039	MOV	S	6,400	12.87	n/a	n/a	256.00	4.0
WINSLOW CAPITAL	030	MRVL	B	500	14.17	n/a	n/a	20.00	4.0
WINSLOW CAPITAL	030	MSFT	B	600	23.67	n/a	3-Apr	24.00	4.0
US BANCORP	030	MXIM	B	14,395	18.86	n/a	n/a	719.75	5.0
REINHART & MAHONEY	031	MYL	B	36,830	14.09	n/a	13-Aug	1,841.50	5.0
BUCK CAPITAL MGMT	001	M	B	95,000	16.36	n/a	13-Aug	3,800.00	4.0
BABSON/OFI/TRINITY	039	NCIT	S	2,100	29.85	n/a	n/a	84.00	4.0
FORWARD MGMT	033	NHP	S	21,256	31.36	n/a	n/a	1,062.80	5.0
CASTLE ARK	031	NKE	S	151,230	57.60	n/a	n/a	9,073.80	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCID PARTNERS	067	NP	S	12,000	10.56	11-Aug	11-Aug	480.00	4.0
BUCK CAPITAL MGMT	001	NTY	B	20,000	36.82	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	OC	B	10,000	20.99	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	ORCL	B	500	22.01	n/a	n/a	20.00	4.0
HIGHBRIDGE/MS OLDS	041	PALM	S	46,600	13.51	n/a	n/a	2,330.00	5.0
WINSLOW CAPITAL	030	PCLN	B	200	149.92	n/a	n/a	8.00	4.0
US BANCORP	030	PETM	B	18,068	21.72	n/a	n/a	903.40	5.0
BUCK CAPITAL MGMT	001	PII	B	5,000	39.35	n/a	n/a	200.00	4.0
BABSON/OFI/TRINITY	039	PNK	S	10,900	10.11	n/a	n/a	436.00	4.0
JP MORGAN VENTURES	046	PNRA	B	10,000	53.90	30-Jul	30-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	33.56	28-Jul	28-Jul	400.00	4.0
SCHOTTENFELD ASSOC	041	PVH	B	30,000	33.65	28-Jul	28-Jul	900.00	3.0
SCOPUS FUND	041	PVH	B	5,000	33.66	28-Jul	28-Jul	250.00	5.0
WINSLOW CAPITAL	030	QCOM	B	400	46.57	n/a	n/a	16.00	4.0
NEW JERSEY DIV OF INV.	030	RF	S	75,000	5.01	n/a	n/a	3,000.00	4.0
WEISS PECK	040	RGS	S	87,440	14.89	n/a	n/a	4,372.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	RIMM	B	200	72.00	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	SCHW	B	600	18.71	n/a	n/a	24.00	4.0
ARCHON CAPITAL	035	SOLF	SS	50,000	7.11	n/a	n/a	1,500.00	3.0
APEX CAPITAL MGMT.	091	SWY	S	100,000	18.94	n/a	n/a	4,000.00	4.0
HOTCHKIS & WILEY	035	TEL	B	289,200	23.17	n/a	n/a	14,460.00	5.0
WINSLOW CAPITAL	030	TEVA	B	300	51.87	29-Jul	13-Aug	12.00	4.0
CASTLE ARK	031	UA	S	51,480	24.10	29-Jul	29-Jul	3,088.80	6.0
FORD FDN.	032	UHS	S	40,000	58.30	3-Jun	4-Aug	2,000.00	5.0
PATTEN & PATTEN	067	VXX	B	7,610	59.28	n/a	n/a	380.50	5.0
TYEE/TYGH	035	WDR	B	25,000	27.50	29-Jul	13-Aug	1,000.00	4.0
TOTAL (Trade Date) :								107,262.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/12	CIRCLE T/SES PART (CIRCMAIN)	035	AXL	S	50,000	3.30	n/a	12-Aug	2000.00 4.0
AO,CRT	08/12	CIRCLE T/SES PART (CIRCMAIN)	035	AXL	S	50,000	3.30	n/a	12-Aug	1500.00 3.0
AO,CXL	08/12	BRIGADE CAPITAL MGMT (BRICGS)	029	BONT	B	7,099	4.15	n/a	6-Feb	212.97 3.0
AO,CRT	08/12	BRIGADE CAPITAL MGMT (BRICGS)	029	BONT	B	7,099	4.15	n/a	6-Feb	141.98 2.0
AO,CXL	08/12	HARVEST MGMT (HARVGSCO)	039	LULU	S	5,000	20.00	n/a	n/a	250.00 5.0
AO,CRT	08/12	JMP ASSET MGMT (JMPAGS)	210	LULU	S	5,000	20.00	n/a	n/a	250.00 5.0
AO,CXL	08/12	MARINER/TRICADIA (MARITRICAD)	041	LVS	S	100,000	12.45	6-Aug	6-Aug	5000.00 5.0
AO,CRT	08/12	MARINER/TRICADIA (MARITRICAD)	041	LVS	S	100,000	12.45	6-Aug	6-Aug	3000.00 3.0
AO,	08/12	HIGHFIELDS CAP MGMT (HIGFCSFB)	039	MOT	B	59,644	7.00	n/a	n/a	2385.76 4.0

TOTAL (AO, CXL, CRT) :**-185.23**

TOTAL (Trade Date) :

107,262.91

TOTAL (AO, CXL, CRT) :

-185.23

TOTAL (RUN DATE) / NFS :**107,077.68**

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