



## Daily Compliance Activity Report

Trade Date: 09/09/2008

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	ACW	B	75,000	1.34	n/a	n/a	2,250.00	3.0
COUGAR TRADING	044	AEO	B	5,000	16.04	n/a	5-Sep	250.00	5.0
COUGAR TRADING	044	AEO	S	10,000	16.68	n/a	5-Sep	500.00	5.0
GRISANTI BROWN & PARTNER	048	AEO	S	14,200	16.51	n/a	5-Sep	710.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>AER</b>	<b>S</b>	<b>1,000</b>	<b>15.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRISANTI BROWN & PARTNER	048	AES	C	15,000	13.20	n/a	n/a	750.00	5.0
PROSPECTOR PARTNERS LLC	036	AIZ	B	29,000	56.80	n/a	n/a	1,160.00	4.0
COLUMBIA PARTNERS	028	AMB	B	2,779	49.79	n/a	n/a	111.16	4.0
STRONG/MARK GRONET	030	AMED	B	15,000	49.25	n/a	n/a	600.00	4.0
COBALT	041	AMG	SS	50,000	91.56	3-Sep	8-Sep	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>50.01</b>	<b>7-Aug</b>	<b>5-Sep</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	B	5,000	50.10	7-Aug	5-Sep	250.00	5.0
COUGAR TRADING	044	ANF	S	5,000	50.49	7-Aug	5-Sep	250.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>APVIM</b>	<b>B</b>	<b>10</b>	<b>1.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ARO	S	25,000	35.15	28-Apr	5-Sep	1,250.00	5.0
EPOCH INV MGMT	030	ARRS	S	17,050	9.04	n/a	n/a	682.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	ATN	S	100,000	28.00	n/a	n/a	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BAC</b>	<b>SS</b>	<b>20,000</b>	<b>33.55</b>	<b>n/a</b>	<b>15-Aug</b>	<b>800.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	BC	B	32,900	13.86	n/a	n/a	987.00	3.0
DAVIDSON KEMPNER ADVISOR	040	BGG	C	50,000	16.57	n/a	n/a	2,500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	BG	SS	47,270	75.62	n/a	n/a	2,363.50	5.0
SANDLER CAPITAL	038	BHP	SS	150,000	55.78	n/a	n/a	9,000.00	6.0
GRUSS CAPITAL	045	BNI	S	25,000	98.02	n/a	n/a	750.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>BWA</b>	<b>C</b>	<b>400</b>	<b>37.97</b>	<b>10-Jun</b>	<b>1-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>B</b>	<b>49,400</b>	<b>17.08</b>	<b>n/a</b>	<b>n/a</b>	<b>1,976.00</b>	<b>4.0</b>
ROYCE TRADING	216	CAB	B	15,000	12.99	n/a	n/a	750.00	5.0
KENNEDY CAPITAL	046	CASY	S	15,000	30.31	n/a	n/a	600.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>CAT</b>	<b>C</b>	<b>300</b>	<b>63.88</b>	<b>n/a</b>	<b>18-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>CBI</b>	<b>B</b>	<b>1,000</b>	<b>24.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	CHRS	S	19,900	5.71	n/a	22-Mar	796.00	4.0
KENNEDY CAPITAL	046	CHS	S	100,000	6.97	8-Aug	5-Sep	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	CHTT	S	7,725	72.63	2-Jun	21-Aug	347.63	4.5
NOMURA CAPITAL	045	CKH	S	1,500	82.13	n/a	n/a	75.00	5.0
NEUBERGER BERMAN	036	CPLA	S	500	47.10	n/a	n/a	5.00	1.0
MATLIN PATTERSON	046	DAI	SS	20,000	57.58	n/a	n/a	1,000.00	5.0
THE JAY GOLDMAN	034	DDS	B	40,000	13.97	n/a	n/a	1,600.00	4.0
TROUBH PART	067	DELL	S	80,000	19.33	n/a	n/a	4,000.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>DUG</b>	<b>S</b>	<b>200</b>	<b>46.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>B</b>	<b>48,700</b>	<b>53.14</b>	<b>15-Aug</b>	<b>4-Sep</b>	<b>1,948.00</b>	<b>4.0</b>
<b>HART</b>	<b>056</b>	<b>EPG</b>	<b>B</b>	<b>500</b>	<b>1.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MILLER</b>	<b>025</b>	<b>EWZ</b>	<b>S</b>	<b>150</b>	<b>61.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	237	FL	SS	20,000	17.81	11-Aug	22-Aug	1,000.00	5.0
PNCM	028	FPL	S	100,869	54.97	n/a	n/a	5,043.45	5.0
<b>NOLAN</b>	<b>067</b>	<b>F</b>	<b>B</b>	<b>500</b>	<b>4.53</b>	<b>25-Jul</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>25,000</b>	<b>42.29</b>	<b>n/a</b>	<b>n/a</b>	<b>1,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>B</b>	<b>70,000</b>	<b>24.99</b>	<b>8-Sep</b>	<b>8-Sep</b>	<b>2,800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GIL	S	10,000	24.83	8-Sep	8-Sep	500.00	5.0
RBC CAPITAL MARKETS	034	GIL	B	42,700	24.84	8-Sep	8-Sep	1,708.00	4.0
MAIRS AND POWER INV	030	GLW	B	20,000	16.32	n/a	4-Sep	1,000.00	5.0
TRELLUS PARTNERS LP	028	GNTX	SS	1,500	16.82	24-Jun	28-Jul	75.00	5.0
TRELLUS PARTNERS LP	028	GPI	SS	8,200	24.82	10-Jun	30-Jul	410.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>GPI</b>	<b>C</b>	<b>1,100</b>	<b>24.05</b>	<b>10-Jun</b>	<b>30-Jul</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	GPS	B	5,000	19.54	n/a	5-Sep	250.00	5.0
COUGAR TRADING	044	GPS	S	5,000	19.59	n/a	5-Sep	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	GPS	S	50,000	19.69	n/a	5-Sep	2,500.00	5.0
COUGAR TRADING	044	GYMB	B	10,000	40.51	11-Jul	5-Sep	500.00	5.0
STERLING JOHNSTON	035	GYMB	B	50,000	40.77	11-Jul	5-Sep	2,000.00	4.0
BENCHMARK	028	HD	S	5,000	29.70	n/a	27-Jul	250.00	5.0
ROTHSCHILD ASSET	040	HRL	S	5,630	36.84	n/a	n/a	253.35	4.5
SCOPUS FUND	041	IP	S	200,000	29.09	1-Aug	1-Aug	10,000.00	5.0
SSI INVESTORS	048	IP	B	36,020	28.88	1-Aug	1-Aug	1,440.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>SS</b>	<b>40,000</b>	<b>21.79</b>	<b>n/a</b>	<b>30-Jul</b>	<b>1,600.00</b>	<b>4.0</b>
REINHART & MAHONEY	031	JPM	S	16,100	39.77	8-May	15-Aug	805.00	5.0
COUGAR TRADING	044	JWN	B	5,000	34.76	10-Jul	5-Sep	250.00	5.0
COUGAR TRADING	044	JWN	S	20,000	34.44	10-Jul	5-Sep	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	KMT	SS	4,800	32.21	n/a	2-Sep	240.00	5.0
BUCK CAPITAL MGMT	001	LIZ	B	380,000	18.88	n/a	28-Aug	15,200.00	4.0
BUCK CAPITAL MGMT	001	LOW	B	50,000	26.74	n/a	27-Jul	2,000.00	4.0
WAGONHOUND/NIC	048	LPX	B	57,133	10.97	n/a	8-Sep	2,285.32	4.0
COUGAR TRADING	044	LTD	B	5,000	21.22	19-Aug	5-Sep	250.00	5.0
LUCID PARTNERS	067	LTD	S	7,500	22.04	19-Aug	5-Sep	375.00	5.0
GAULT	063	LYHAV	B	50	2.86	n/a	n/a	0.00	0.0
GAULT	063	LYHAV	S	50	1.89	n/a	n/a	0.00	0.0
SINCLAIR	031	LYHIG	B	3	0.94	n/a	n/a	0.00	0.0
OGORMAN	046	LYHIU	B	10	3.20	n/a	n/a	0.00	0.0
BUCK	015	LYHJJ	S	30	0.91	n/a	n/a	0.00	0.0
BUCK	015	LYHVB	B	30	2.70	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	MAN	S	11,255	47.88	n/a	n/a	562.75	5.0
BUCK CAPITAL MGMT	001	MAR	SS	20,000	29.03	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	MFB	B	31,700	14.97	n/a	n/a	1,268.00	4.0
GRUSS CAPITAL	045	MON	S	2,500	99.18	n/a	14-Aug	75.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>WHEELER</b>	<b>008</b>	<b>MTRX</b>	<b>S</b>	<b>1,400</b>	<b>21.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	M	SS	10,000	22.36	12-Aug	29-Aug	500.00	5.0
WOOSTER CAPITAL	035	M	SS	50,000	22.34	12-Aug	29-Aug	2,500.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>NBRLJ</b>	<b>S</b>	<b>30</b>	<b>0.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CADIAN CAPITAL	067	NDN	B	42,816	9.51	11-Jul	9-Sep	2,140.80	5.0
DENVER INST. ADV	046	NFX	S	225,300	36.95	n/a	n/a	9,012.00	4.0
JP MORGAN VENTURES	046	NTY	S	25,000	30.69	n/a	n/a	1,250.00	5.0
<b>KERN</b>	<b>050</b>	<b>PBR</b>	<b>S</b>	<b>200</b>	<b>39.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>PCL</b>	<b>B</b>	<b>300</b>	<b>49.74</b>	<b>n/a</b>	<b>11-Jul</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM KOZLOW	028	PKG	B	20,000	25.13	22-Jul	22-Jul	1,000.00	5.0
NEWLAND CAPITAL MGT	067	PKG	B	15,000	25.56	22-Jul	22-Jul	600.00	4.0
SCOPUS FUND	041	PKG	S	94,200	25.33	22-Jul	22-Jul	4,710.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>B</b>	<b>80,000</b>	<b>17.77</b>	<b>n/a</b>	<b>n/a</b>	<b>3,200.00</b>	<b>4.0</b>
GRUSS CAPITAL	045	PSS	S	2,500	18.45	n/a	n/a	75.00	3.0
HEALY CIRCLE	044	PSS	B	25,000	17.80	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	PSUN	S	20,000	6.85	n/a	5-Sep	800.00	4.0
COUGAR TRADING	044	QLD	B	5,000	66.27	n/a	n/a	250.00	5.0
<b>MENCKE</b>	<b>055</b>	<b>RJA</b>	<b>S</b>	<b>95</b>	<b>9.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RSH	B	90,000	19.37	n/a	n/a	3,600.00	4.0
WHEELER	008	SPNC	B	5,000	4.74	n/a	n/a	0.00	0.0
BACKBAY	041	SSCC	S	7,500	7.05	30-Jul	30-Jul	375.00	5.0
SCOPUS FUND	041	SSCC	S	300,000	6.75	30-Jul	30-Jul	15,000.00	5.0
THE JAY GOLDMAN	034	SSI	SS	40,000	15.76	n/a	5-Sep	1,600.00	4.0
COUGAR TRADING	044	SSO	B	5,000	59.52	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	SUP	SS	10,000	19.06	25-Jul	8-Aug	500.00	5.0
SINCLAIR	031	SWNLF	B	4	4.30	n/a	n/a	0.00	0.0
SCOPUS FUND	041	TIN	S	125,000	18.74	29-Apr	30-Jul	6,250.00	5.0
MKT MAKER	097	TWTC	B	100	11.64	n/a	4-Jan	0.00	0.0
MKT MAKER	099	TWTC	S	100	12.76	n/a	4-Jan	0.00	0.0
COUGAR TRADING	044	UA	S	2,400	36.31	n/a	n/a	120.00	5.0
MILLENIUM KOZLOW	028	VC	B	25,000	3.40	n/a	31-Jul	750.00	3.0
TRELLUS PARTNERS LP	028	VC	S	22,600	3.38	n/a	31-Jul	678.00	3.0
MENCKE	055	WBD	S	90	63.84	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	WB	SS	16,073	17.12	n/a	n/a	642.92	4.0
PHILADELPHIA FINANCIAL	033	WDR	B	72,500	27.92	15-Jul	8-Sep	2,900.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MS PRINCIPAL STRATEGIES	041	WLK	SS	25,800	19.14	n/a	n/a	1,290.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>50,000</b>	<b>51.08</b>	<b>8-Aug</b>	<b>28-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	WRC	B	15,000	50.10	8-Aug	28-Aug	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WWW</b>	<b>B</b>	<b>30,000</b>	<b>26.63</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
GRUSS CAPITAL	045	WY	S	2,500	57.48	n/a	6-Aug	75.00	3.0
TROUBH PART	067	YHOO	S	25,000	17.70	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ZQK</b>	<b>B</b>	<b>200,000</b>	<b>7.96</b>	<b>27-Aug</b>	<b>5-Sep</b>	<b>8,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	ZQK	S	20,000	7.90	27-Aug	5-Sep	800.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>182,171.68</b>	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/08	&CRO (&CRONUBS)	045	AGO	S	2,500	19.15	n/a	n/a	125.00 5.0
AO,CRT	09/08	CROWN ADVISORS (CRONMERLBS)	045	AGO	S	2,500	19.15	n/a	n/a	125.00 5.0
AO,CRT	09/08	OGORMAN (OGORMAN)	046	CMOBV	S	10	1.15	n/a	n/a	0.00 0.0
AO,CXL	09/08	OGORMAN (OGORMAN)	046	CMOBV	S	10	1.15	n/a	n/a	0.00 0.0
AO,CXL	09/08	REINHART & MAHONEY (REINNGLWM)	031	CVS	B	450	36.43	n/a	n/a	1.82 0.0
AO,CRT	09/08	REINHART & MAHONEY (REINNGLWM)	031	CVS	B	450	36.43	n/a	n/a	22.50 5.0
AO,CXL	09/08	REINHART & MAHONEY (REINNGLWM)	031	MTG	S	7,000	8.91	n/a	n/a	0.45 0.0
AO,CRT	09/08	REINHART & MAHONEY (REINNGLWM)	031	MTG	S	7,000	8.91	n/a	n/a	350.00 5.0
AO,CXL	09/08	NEUBERGER BERMAN (NBER517411)	036	NBR	S	6,300	30.96	n/a	n/a	270.90 4.3
AO,	09/08	NEUBERGER BERMAN (NBER517411)	036	NBR	S	6,300	30.96	n/a	n/a	267.75 4.3
AO,CXL	09/08	NEUBERGER BERMAN (NBER532688)	036	NBR	S	39,200	30.96	n/a	n/a	1685.60 4.3
AO,	09/08	NEUBERGER BERMAN (NBER532688)	036	NBR	S	39,200	30.96	n/a	n/a	1666.00 4.3
CRT	09/09	MKT MAKER (MKT MAKER)	097	TWTC	B	100	11.64	n/a	4-Jan	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>347.48</b>

TOTAL (Trade Date):	182,171.68
TOTAL (AO, CXL, CRT):	347.48

**TOTAL (RUN DATE) / NFS:**

**182,519.16**

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