



Daily Compliance Activity Report

Trade Date: 07/15/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	AAPL	S	75	168.52	n/a	n/a	0.00	0.0
BARR	096	AAPL	B	200	168.59	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	ABFS	SS	11,700	36.77	n/a	n/a	585.00	5.0
WEISS PECK	040	ABG	B	81,100	10.46	10-Jun	10-Jun	4,055.00	5.0
BARR	096	ABX	B	1,000	51.52	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	ACC	S	24,000	28.27	n/a	n/a	1,200.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	12.90	6-Mar	11-Jul	800.00	4.0
COUGAR TRADING	044	AEO	B	20,000	12.60	6-Mar	11-Jul	1,000.00	5.0
SAB CAPITAL	034	AEO	B	150,000	12.60	6-Mar	11-Jul	7,500.00	5.0
ZOLIDIS	011	AEO	S	600	12.08	6-Mar	11-Jul	0.00	0.0
WILLOW CREEK	033	ALU	SS	20,000	5.32	n/a	n/a	800.00	4.0
TRUSTCO/SUNTRUST	040	ALV	B	77,190	41.22	17-Apr	9-Jun	2,470.06	3.2
IRIDIAN ASSET MGMT.	036	AMGN	B	17,190	52.73	n/a	26-Jan	859.50	5.0
ROYAL CAPITAL	039	AMSC	SS	50,000	31.94	n/a	n/a	2,500.00	5.0
BEAR STEARNS ASSET MGMT.	033	ANF	S	60,200	53.53	10-Jul	11-Jul	2,408.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	55.28	10-Jul	11-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	160,000	20.86	14-Mar	11-Jul	6,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AN	B	200,000	7.62	2-Jul	2-Jul	8,000.00	4.0
CLOVIS CAPITAL	012	AN	B	200,000	7.56	2-Jul	2-Jul	10,000.00	5.0
CLOVIS CAPITAL	012	ARO	SS	300,000	29.00	28-Apr	11-Jul	15,000.00	5.0
COUGAR TRADING	044	ARO	B	5,000	29.04	28-Apr	11-Jul	250.00	5.0
COUGAR TRADING	044	ARO	SS	10,000	28.62	28-Apr	11-Jul	500.00	5.0
DIAMONDBACK CAP MGMT	232	BAC	C	25,000	20.06	n/a	14-Jul	1,250.00	5.0
MANNING & NAPIER	034	BAC	S	2,000,000	19.16	n/a	14-Jul	60,000.00	3.0
CASTLE ARK	031	BEC	B	33,670	68.01	n/a	n/a	2,020.20	6.0
SANDLER O'NEILL ASSET	031	BLK	B	10,000	160.38	n/a	15-Jul	500.00	5.0
SANDLER O'NEILL ASSET	031	BLK	S	10,000	164.17	n/a	15-Jul	500.00	5.0
LEDDY	035	BONT	S	2,600	4.75	n/a	11-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	BWA	SS	100,000	36.86	10-Jun	10-Jun	4,000.00	4.0
J COHEN	N27	BYI	B	58	25.64	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	CBE	B	30,000	39.96	n/a	10-Jul	1,125.00	3.8
PROSPECTOR PARTNERS LLC	036	CCE	B	20,000	16.19	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	CEC	SS	20,000	26.63	n/a	n/a	800.00	4.0
LEDDY	035	CHCG	S	2,510	1.61	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	CHKP	B	17,900	23.38	n/a	3-Apr	537.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	CLMS	B	10,000	14.04	15-Jul	15-Jul	500.00	5.0
COUGAR TRADING	044	CLMS	SS	10,000	14.78	15-Jul	15-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	CLX	SS	70,000	50.93	n/a	24-Jun	2,800.00	4.0
BARR	096	COF	SS	200	34.54	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CPKI	B	10,000	11.84	10-Jul	10-Jul	500.00	5.0
COUGAR TRADING	044	CPKI	SS	5,000	11.90	10-Jul	10-Jul	250.00	5.0
GRUSS CAPITAL	045	CPN	B	75,000	18.55	n/a	n/a	3,000.00	4.0
MERRILL ASSET	032	CRR	S	12,500	53.26	5-Jun	9-Jul	625.00	5.0
IRIDIAN ASSET MGMT.	036	CVX	B	180	92.38	n/a	n/a	2.70	1.5
ZOLIDIS	011	CWTR	SS	3,000	5.90	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	C	B	35,000	14.94	19-Jun	14-Jul	1,400.00	4.0
BUCK	015	C	SS	2,000	15.26	19-Jun	14-Jul	0.00	0.0
BARR	096	DFS	SS	2,000	12.67	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	DHR	S	15,000	74.58	n/a	n/a	750.00	5.0
COLUMBIA PARTNERS	028	DHR	B	20,322	74.57	n/a	n/a	812.88	4.0
IRIDIAN ASSET MGMT.	036	DRC	B	15,760	35.13	n/a	n/a	788.00	5.0
J COHEN	N27	DXD	S	13	69.58	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	EL	SS	60,000	41.98	7-May	24-Jun	2,400.00	4.0
IRIDIAN ASSET MGMT.	036	EOG	B	650	117.48	n/a	n/a	9.75	1.5
ENTRUST CAPITAL	040	ETN	B	38,500	71.03	15-Jul	15-Jul	1,925.00	5.0
BALYASNY ASSET MGMT	044	FDO	SS	25,000	21.57	30-Jun	11-Jul	1,250.00	5.0
OGORMAN	046	FNM	S	1,000	7.60	n/a	n/a	0.00	0.0
BARR	096	FNM	SS	14,000	8.29	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FOSL	S	5,000	22.95	n/a	9-Jul	250.00	5.0
US BANCORP	030	FOSL	B	34,643	24.21	n/a	9-Jul	1,732.15	5.0
BUCK	015	FREHT	S	30	0.10	n/a	n/a	0.00	0.0
BARR	096	FRE	SS	11,000	5.57	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	FSP	S	9,635	13.53	n/a	n/a	394.93	4.8
BUCK CAPITAL MGMT	001	GES	B	100,000	31.25	n/a	n/a	4,000.00	4.0
BARR	096	GG	B	1,000	51.80	n/a	n/a	0.00	0.0
SAB CAPITAL	034	GIL	B	67,600	22.92	30-Apr	9-Jul	3,380.00	5.0
TRELLUS PARTNERS LP	028	GNTX	C	30,000	13.37	24-Jun	24-Jun	1,500.00	5.0
TRELLUS PARTNERS LP	028	GPI	C	73,400	15.13	10-Jun	10-Jun	3,670.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SLS CAPITAL LLC	224	GPS	B	370,500	15.28	n/a	11-Jul	14,820.00	4.0
COUGAR TRADING	044	GYMB	B	10,000	36.12	11-Jul	11-Jul	500.00	5.0
IRIDIAN ASSET MGMT.	036	HAL	S	11,620	47.26	n/a	n/a	581.00	5.0
NOLAN	067	HEES	S	200	10.92	n/a	n/a	0.00	0.0
KAICHER	064	HK	B	2,000	47.08	n/a	n/a	0.00	0.0
HARVEST MGMT	039	HOTT	B	40,000	5.46	n/a	11-Jul	1,200.00	3.0
CATAPULT	040	IP	B	35,224	22.30	n/a	11-Jul	1,761.20	5.0
PILOT ROCK	028	IR	B	160,605	34.47	n/a	n/a	6,424.20	4.0
CENTURION PARTNERS	255	IYT	B	75,000	83.89	n/a	n/a	3,750.00	5.0
LED DY	035	JADE	S	3,200	1.94	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JAH	S	423,780	17.24	n/a	n/a	16,951.20	4.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	28.46	n/a	30-May	1,200.00	4.0
COUGAR TRADING	044	JNS	B	10,000	22.01	15-Jul	15-Jul	500.00	5.0
COUGAR TRADING	044	JNS	SS	10,000	22.21	15-Jul	15-Jul	500.00	5.0
KORMAN	003	JWUGG	S	100	1.05	n/a	n/a	0.00	0.0
KORMAN	003	JWUTH	B	100	7.60	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	KFT	S	56,065	29.50	n/a	n/a	2,803.25	5.0
BARR	096	KGC	B	1,000	25.20	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	KIM	S	20,000	30.77	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	KMB	SS	80,000	54.43	n/a	15-Jul	3,200.00	4.0
CATAPULT	040	KMT	B	11,694	30.14	n/a	3-Jun	584.70	5.0
BARR	096	KRE	SS	3,000	22.60	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	B	10,000	37.97	n/a	11-Jul	500.00	5.0
COUGAR TRADING	044	KSS	S	10,000	37.78	n/a	11-Jul	500.00	5.0
DSG CAPITAL	225	LEH	SS	10,000	14.07	9-Jun	14-Jul	500.00	5.0
NATIONAL BK OF CAN	031	LEH	B	45,000	13.61	9-Jun	14-Jul	1,800.00	4.0
BARR	096	LEH	C	1,000	12.15	9-Jun	14-Jul	0.00	0.0
MERRILL ASSET	032	LIZ	B	26,500	11.70	n/a	14-May	1,192.50	4.5
BUCK	015	LYHSV	S	20	0.95	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	MDR	B	2,200	56.05	n/a	n/a	110.00	5.0
TRELLUS PARTNERS LP	028	MER	C	59,400	25.54	24-Jun	14-Jul	2,970.00	5.0
ROARING BLUE LION MGMT	012	MF	S	97,750	3.80	n/a	n/a	3,910.00	4.0
JP MORGAN VENTURES	046	MW	S	25,000	16.71	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SWISS RE FINANCIAL SER	035	MYL	S	25,000	12.00	30-May	15-Jul	1,250.00	5.0
COUGAR TRADING	044	M	S	5,000	15.62	14-Jul	14-Jul	250.00	5.0
JP MORGAN VENTURES	046	M	B	20,000	15.77	14-Jul	14-Jul	1,000.00	5.0
MERRILL LYNCH STRATEGICI	034	M	B	25,000	15.69	14-Jul	14-Jul	1,250.00	5.0
TROUBH PART	067	M	B	50,000	15.97	14-Jul	14-Jul	2,500.00	5.0
BARR	096	NEM	B	1,000	52.79	n/a	n/a	0.00	0.0
WILLOW CREEK	033	NETL	SS	5,000	30.55	n/a	n/a	200.00	4.0
CATAPULT	040	NITE	B	5,000	16.21	n/a	n/a	250.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	B	20,000	15.14	n/a	11-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	NWY	SS	120,000	8.80	n/a	22-May	4,800.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	20,000	8.28	n/a	22-May	800.00	4.0
ROTHSCHILD ASSET	040	OMC	S	39,500	40.15	n/a	n/a	1,777.50	4.5
BUCK CAPITAL MGMT	001	OXM	SS	40,000	18.13	n/a	n/a	1,600.00	4.0
BARR	096	PAAS	B	450	36.59	n/a	n/a	0.00	0.0
MILLER	025	PBR	B	50	60.91	n/a	n/a	0.00	0.0
CATAPULT	040	PCAR	SS	16,078	39.70	n/a	3-Jun	803.90	5.0
LEDDY	035	PCL	S	300	42.80	29-Apr	11-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	PH	B	111,111	66.74	n/a	23-May	4,444.44	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	10,000	22.49	7-Apr	11-Jul	500.00	5.0
ELM RIDGE ADVISORS	044	PKG	S	25,000	23.51	7-Apr	11-Jul	1,000.00	4.0
FRONTPOINT CHRIS C	041	PNC	SS	4,900	50.51	n/a	n/a	196.00	4.0
KEEFE BRUYETTE WOODS A	031	PZN	B	41,200	6.20	15-Jul	15-Jul	2,060.00	5.0
FIRST NEW YORK LEDDY	035	Q	B	25,000	3.52	n/a	n/a	1,250.00	5.0
FIRST NEW YORK NICK	029	Q	S	100,000	3.54	n/a	n/a	5,000.00	5.0
ROYAL CAPITAL	039	RGS	B	99,294	24.77	n/a	n/a	4,964.70	5.0
BARR	096	RIMM	C	250	106.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	12,500	54.47	7-Feb	29-May	500.00	4.0
COUGAR TRADING	044	RL	B	700	54.50	7-Feb	29-May	35.00	5.0
IRIDIAN ASSET MGMT.	036	SHPGY	S	11,410	45.78	21-May	15-Jul	570.50	5.0
OGORMAN	046	SIJ	B	200	75.68	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	SJT	S	25,000	41.70	n/a	n/a	1,250.00	5.0
BARR	096	SKF	S	300	205.00	n/a	n/a	0.00	0.0
SAB CAPITAL	034	SPY	SS	12,500	121.74	n/a	n/a	625.00	5.0
BMO NESBITT BURNS	041	SSCC	B	100,000	4.17	7-Apr	11-Jul	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
N STRATTON	014	TECUA	C	300	32.50	n/a	n/a	0.00	0.0
MERRILL ASSET	032	TGI	B	24,200	40.03	n/a	n/a	1,089.00	4.5
CAMBIAR CAP	046	TGT	B	41,745	43.04	n/a	11-Jul	1,669.80	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	20,000	11.06	29-Apr	11-Jul	1,000.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	50,000	9.75	17-Apr	9-Jul	2,000.00	4.0
COUGAR TRADING	044	TROW	B	10,000	48.93	15-Jul	15-Jul	500.00	5.0
COUGAR TRADING	044	TROW	SS	10,000	48.48	15-Jul	15-Jul	500.00	5.0
PRINCIPLE CAPITAL	040	TUP	B	207,800	35.62	n/a	n/a	6,234.00	3.0
CRAMER ROSENTHAL/SCOTT	012	TWB	S	234,200	13.02	17-Mar	22-May	9,368.00	4.0
TRUST CO/COWEN/CALF.	040	TYC	S	34,775	38.64	29-Apr	10-Jul	1,738.75	5.0
COUGAR TRADING	044	URBN	B	5,000	28.57	15-May	9-Jul	250.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	28.71	15-May	9-Jul	250.00	5.0
KNOTT PARTNERS	044	URBN	SS	100,000	28.63	15-May	9-Jul	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	URBN	B	60,000	28.23	15-May	9-Jul	3,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	VFC	SS	50,000	68.87	n/a	n/a	2,500.00	5.0
MERRILL ASSET	032	WBS	B	25,800	13.72	n/a	n/a	1,161.00	4.5
BUCK	015	WBS	C	1,500	14.01	n/a	n/a	0.00	0.0
UBS OCONNOR	031	WDR	SS	50,000	29.40	15-Jul	15-Jul	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	WFC	SS	50,000	22.47	n/a	n/a	2,500.00	5.0
N STRATTON	014	WFSL	C	200	14.00	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	WMT	B	20,000	56.57	30-Jun	11-Jul	1,000.00	5.0
MATLIN PATTERSON	046	WNR	S	75,000	7.83	n/a	n/a	2,250.00	3.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	39.09	13-May	9-Jul	2,000.00	4.0
BARR	096	X	C	200	156.43	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								326,195.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/11	ROTHSCHILD ASSET (ROTH3842)	040	BAX	B	1,620	65.54	n/a	22-Apr	72.90 4.5
AO,	07/11	ROTHSCHILD ASSET (ROTH384)	040	BAX	B	1,620	65.54	n/a	22-Apr	72.90 4.5
AO,CRT	07/08	BUCK CAPITAL MGMT (BUCK)	015	JPM	C	2,500	33.90	8-May	14-Jul	0.00 0.0
AO,CXL	07/08	BUCK CAPITAL MGMT (BUCK)	015	JPM	C	2,500	33.90	8-May	14-Jul	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	326,195.81
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	326,195.81
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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