



Daily Compliance Activity Report

Trade Date: 09/08/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRYLUCKI	092	AAPL	B	35	160.60	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	AA	B	28,000	27.44	n/a	n/a	1,120.00	4.0
NOMURA CAPITAL	045	ACW	B	75,000	1.36	n/a	n/a	2,250.00	3.0
COUGAR TRADING	044	AEO	B	5,000	16.49	n/a	5-Sep	250.00	5.0
METROPOLITAN CAPITAL	044	AEO	S	17,400	16.57	n/a	5-Sep	870.00	5.0
ROSEDALE CAPITAL	046	AEO	S	40,000	16.47	n/a	5-Sep	2,000.00	5.0
&CRO	045	AGO	S	2,500	19.15	n/a	n/a	125.00	5.0
WHITE PINE CAPITAL	030	AIG	S	38,192	22.59	n/a	n/a	1,909.60	5.0
COUGAR TRADING	044	ANF	S	5,000	49.32	7-Aug	5-Sep	250.00	5.0
PRINCIPLE CAPITAL	040	ANF	B	15,000	49.38	7-Aug	5-Sep	450.00	3.0
BUCK CAPITAL MGMT	001	AN	SS	20,000	12.90	25-Jul	28-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	22,000	36.31	28-Apr	5-Sep	880.00	4.0
WASHINGTON ASSET	048	ARO	B	10,000	36.11	28-Apr	5-Sep	500.00	5.0
STRONG/MARK GRONET	030	ASH	B	5,000	38.22	14-Jul	24-Jul	200.00	4.0
STRONG/MARK GRONET	030	AUY	B	15,500	8.81	n/a	n/a	465.00	3.0
BUCK	015	BACAV	S	20	1.03	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	BACKH	B	20	1.09	n/a	n/a	0.00	0.0
SATELITE/BOBBY	044	BBBY	B	15,000	32.27	n/a	n/a	600.00	4.0
CSFB GLOBAL PROPRIETARY	041	BEAV	S	40,000	21.82	n/a	n/a	2,000.00	5.0
PHILADELPHIA FINANCIAL	033	BEN	S	25,527	104.41	12-Aug	8-Sep	1,021.08	4.0
SANDLER O'NEILL ASSET	031	BEN	B	10,000	104.74	12-Aug	8-Sep	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	BIG	B	50,000	32.00	29-May	5-Sep	2,500.00	5.0
THIRD POINT MGMT	044	BIG	SS	100,000	32.02	29-May	5-Sep	4,000.00	4.0
METROPOLITAN CAPITAL	044	BWS	S	41,450	16.32	n/a	n/a	2,072.50	5.0
STRONG/MARK GRONET	030	CBI	B	16,000	25.27	n/a	n/a	640.00	4.0
WHEELER	008	CBI	B	1,000	25.07	n/a	n/a	0.00	0.0
SATELITE/BOBBY	044	CCL	S	15,000	39.33	n/a	26-Jan	600.00	4.0
LEDDY	035	CHK	B	350	45.12	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	CIT	B	105,000	11.60	n/a	27-Aug	4,200.00	4.0
COUGAR TRADING	044	CMG	SS	2,000	70.20	24-Jul	24-Jul	100.00	5.0
OGORMAN	046	CMOBV	S	10	1.15	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	CMO	B	45,300	13.08	n/a	n/a	2,265.00	5.0
DENVER INST. ADV	046	COH	B	54,480	30.05	30-Jul	28-Aug	2,179.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	CVS	B	6,160	36.43	n/a	n/a	287.32	4.8
THE JAY GOLDMAN	034	DDS	S	50,000	14.35	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	DLTR	B	50,000	39.77	n/a	5-Sep	2,500.00	5.0
SATELITE/BOBBY	044	DRI	B	10,000	30.05	26-Aug	26-Aug	400.00	4.0
METROPOLITAN CAPITAL	044	DSW	S	25,700	15.61	8-May	29-Aug	1,285.00	5.0
LISTED ERR	099	DSW	B	18,500	15.44	8-May	29-Aug	0.00	0.0
LISTED ERR	099	DSW	S	18,500	15.44	8-May	29-Aug	0.00	0.0
SATELITE/BOBBY	044	EAT	SS	10,000	19.27	n/a	24-Apr	400.00	4.0
SATELITE/BOBBY	044	ERTS	B	20,000	46.09	n/a	n/a	800.00	4.0
WEINTRAUB CAPITAL MGT.	040	FDO	SS	50,000	27.36	23-Jul	5-Sep	2,000.00	4.0
COUGAR TRADING	044	FOSL	SS	10,000	30.08	n/a	13-Aug	500.00	5.0
BUCK	015	FREJU	B	40	0.05	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GIL	B	25,000	24.12	8-Sep	8-Sep	1,250.00	5.0
COUGAR TRADING	044	GIL	B	10,000	24.90	8-Sep	8-Sep	500.00	5.0
JPMSI/TOM LEDDY	035	GIL	B	5,000	24.81	8-Sep	8-Sep	250.00	5.0
RBC CAPITAL MARKETS	034	GIL	B	15,000	24.35	8-Sep	8-Sep	600.00	4.0
WAGONHOUND/NIC	048	GIL	B	27,753	24.15	8-Sep	8-Sep	1,110.12	4.0
WEISS PECK	040	GIL	S	10,100	24.83	8-Sep	8-Sep	505.00	5.0
MAIRS AND POWER INV	030	GLW	B	20,000	17.03	n/a	4-Sep	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	GLW	B	28,000	16.91	n/a	4-Sep	1,400.00	5.0
M WEINTRAU	024	GLW	B	350	16.58	n/a	4-Sep	0.00	0.0
TRELLUS PARTNERS LP	028	GPI	SS	20,000	23.70	10-Jun	30-Jul	1,000.00	5.0
LEDDY	035	GPI	SS	1,100	24.08	10-Jun	30-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	B	10,000	19.76	n/a	5-Sep	400.00	4.0
BUCK	015	GPYVK	S	5	6.30	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GYMB	B	1,300	40.06	11-Jul	5-Sep	65.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	40.91	11-Jul	5-Sep	250.00	5.0
WAGONHOUND/NIC	048	HRB	B	936	24.78	n/a	n/a	37.44	4.0
BMO NESBITT BURNS	041	IP	SS	25,000	29.05	1-Aug	1-Aug	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	20,000	29.40	1-Aug	1-Aug	1,000.00	5.0
COUGAR TRADING	044	JCG	SS	10,000	30.24	n/a	27-Aug	500.00	5.0
SLS CAPITAL LLC	224	JCP	B	100,000	42.09	n/a	5-Sep	4,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	10,000	21.33	n/a	30-Jul	400.00	4.0
COUGAR TRADING	044	JWN	B	5,000	33.39	10-Jul	5-Sep	250.00	5.0
COUGAR TRADING	044	JWN	S	10,000	34.36	10-Jul	5-Sep	500.00	5.0
DENVER INST. ADV	046	JWN	B	45,820	33.89	10-Jul	5-Sep	1,832.80	4.0
JPMSI/TOM LEDDY	035	JWN	SS	15,000	34.72	10-Jul	5-Sep	750.00	5.0
SATELITE/BOBBY	044	JWN	SS	10,000	34.23	10-Jul	5-Sep	400.00	4.0
SATELITE/BOBBY	044	KSS	SS	10,000	52.34	n/a	5-Sep	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	LEH	B	1,700	14.71	20-Aug	20-Aug	0.00	0.0
KAICHER	064	LEH	B	2,000	13.77	20-Aug	20-Aug	0.00	0.0
KAICHER	064	LEH	S	2,000	14.00	20-Aug	20-Aug	0.00	0.0
SANDLER O'NEILL ASSET	031	LM	S	20,000	46.39	1-Jul	8-Sep	1,000.00	5.0
STANDARD PACIFIC CAPITAL	040	LO	S	105,650	75.58	n/a	n/a	5,282.50	5.0
BMO NESBITT BURNS	041	LPX	SS	18,200	10.77	n/a	8-Sep	910.00	5.0
BMO NESBITT BURNS	041	LPX	S	6,800	10.81	n/a	8-Sep	340.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	30,000	10.85	n/a	8-Sep	1,500.00	5.0
COUGAR TRADING	044	LTD	B	10,000	21.20	19-Aug	5-Sep	500.00	5.0
OGORMAN	046	LYHIB	S	5	6.26	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	MAR	SS	126,000	29.48	n/a	n/a	5,040.00	4.0
KAICHER	064	MBI	B	2,000	17.15	n/a	n/a	0.00	0.0
KAICHER	064	MBI	S	2,000	17.00	n/a	n/a	0.00	0.0
SAXON WOODS ADVISORS	038	MDT	B	230,500	53.91	n/a	22-Apr	6,915.00	3.0
SANDLER O'NEILL ASSET	031	MER	SS	25,000	27.13	24-Jun	15-Aug	1,250.00	5.0
REINHART & MAHONEY	031	MTG	S	41,510	8.91	n/a	n/a	1,725.95	4.8
COUGAR TRADING	044	M	SS	10,000	22.01	12-Aug	29-Aug	500.00	5.0
NEUBERGER BERMAN	036	NBR	S	45,500	30.96	n/a	n/a	1,956.50	4.3

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	NDN	S	50,000	9.45	11-Jul	5-Sep	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	NTY	SS	100,000	31.98	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	OXM	B	6,000	24.92	n/a	n/a	240.00	4.0
LEDDY	035	PBR	B	250	43.03	n/a	n/a	0.00	0.0
LEDDY	035	PCL	S	300	49.91	n/a	11-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	PEI	S	10,000	21.01	n/a	n/a	400.00	4.0
SATELITE/BOBBY	044	PFCB	B	10,000	26.53	n/a	6-Aug	400.00	4.0
TRELLUS PARTNERS LP	028	PH	SS	12,500	61.48	1-Aug	1-Aug	625.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	40,000	25.54	22-Jul	22-Jul	2,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	15,000	26.07	22-Jul	22-Jul	750.00	5.0
GOLDMAN SACHS ASSET MGMT	044	PKG	S	110,236	25.29	22-Jul	22-Jul	2,028.22	1.8
DALTON GREINER	012	PSS	B	83,300	18.46	n/a	n/a	4,165.00	5.0
COUGAR TRADING	044	PSUN	S	15,000	6.95	n/a	5-Sep	600.00	4.0
SCUDDER HEDGE	034	PZN	S	15,000	9.26	30-Jul	8-Sep	750.00	5.0
CATAPULT	040	RF	S	6,500	12.05	n/a	n/a	325.00	5.0
HEALY CIRCLE	044	RHI	SS	10,000	25.61	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MENCKE	055	RJI	S	100	10.78	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	75.34	n/a	28-Aug	400.00	4.0
BUCK	015	RYN	S	2,000	45.75	n/a	24-Jul	0.00	0.0
MENCKE	055	SLX	S	15	66.44	n/a	n/a	0.00	0.0
CIRCLE T PART	035	SONC	SS	10,000	15.31	n/a	n/a	500.00	5.0
WHEELER	008	SPNC	B	5,000	5.28	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	034	SSI	B	50,000	15.44	n/a	5-Sep	2,000.00	4.0
COUGAR TRADING	044	SSO	S	15,000	59.99	n/a	n/a	750.00	5.0
TRELLUS PARTNERS LP	028	SUP	SS	10,000	18.12	25-Jul	8-Aug	500.00	5.0
STANDARD PACIFIC CAPITAL	040	TDG	SS	40,000	34.47	n/a	n/a	2,000.00	5.0
SCOPUS FUND	041	TIN	S	25,000	18.24	29-Apr	30-Jul	1,250.00	5.0
SANDLER O'NEILL ASSET	031	TROW	SS	20,000	62.11	25-Jul	8-Sep	1,000.00	5.0
AMBER CAPITAL	046	TSFG	B	250,000	8.61	n/a	n/a	10,000.00	4.0
PRINCIPLE CAPITAL	040	TUP	B	168,400	33.67	n/a	n/a	5,052.00	3.0
J L F ASSET MGMT	039	TWB	B	42,021	11.62	n/a	20-Aug	1,680.84	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	TWX	B	20,000	15.62	n/a	n/a	1,200.00	6.0
CSFB GLOBAL PROPRIETARY	041	TYC	S	8,000	41.68	n/a	31-Jul	400.00	5.0
COUGAR TRADING	044	UA	B	5,000	36.05	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	VC	S	50,000	3.26	n/a	31-Jul	1,500.00	3.0
COUGAR TRADING	044	VLCM	B	10,000	18.97	n/a	n/a	500.00	5.0
LEHMAN PROPRIETARY TRAD	041	WB	B	50,000	18.92	n/a	n/a	2,000.00	4.0
WAGONHOUND/NIC	048	WDR	B	827	29.31	15-Jul	8-Sep	33.08	4.0
SATELITE/BOBBY	044	WFMI	SS	15,000	18.20	n/a	n/a	600.00	4.0
KLEINHEINZ CAP PART	031	WMT	B	75,000	61.31	8-Aug	5-Sep	3,750.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	12,000	50.23	8-Aug	28-Aug	480.00	4.0
COUGAR TRADING	044	WRC	SS	10,000	50.23	8-Aug	28-Aug	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	WSM	B	53,600	18.82	n/a	n/a	2,144.00	4.0
BMO NESBITT BURNS	041	WY	SS	25,000	56.18	n/a	6-Aug	1,250.00	5.0
SCOPUS FUND	041	WY	S	45,400	56.52	n/a	6-Aug	2,270.00	5.0
KLEINHEINZ CAP PART	031	XOM	B	75,000	77.40	n/a	n/a	3,750.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	150,000	8.12	27-Aug	5-Sep	6,000.00	4.0

TOTAL (Trade Date):

163,033.15

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/05	SANDELL ADV (SANLDEUTSC)	040	AMZN	SS	50,000	78.44	n/a	n/a	2500.00 5.0
AO,	09/05	BAYPOINT/PRIMEMOVERS (BAYPSLK)	041	AN	SS	2,000	11.97	25-Jul	28-Jul	100.00 5.0
AO,CXL	09/05	SCOPUS FUND (SCOPBANC O)	041	PCL	B	4,250	47.76	n/a	11-Jul	212.50 5.0
AO,CRT	09/05	SCOPUS FUND (SCOPBANC O)	041	PCL	B	4,500	47.76	n/a	11-Jul	225.00 5.0
AO,CXL	09/05	SCOPUS FUND (SCOPUBS)	041	PCL	B	20,750	47.76	n/a	11-Jul	1037.50 5.0
AO,CRT	09/05	SCOPUS FUND (SCOPUBS)	041	PCL	B	20,500	47.76	n/a	11-Jul	1025.00 5.0
AO,CXL	09/05	SCOPUS FUND (SCOPBANC O)	041	SSCC	B	25,500	6.11	30-Jul	30-Jul	1275.00 5.0
AO,CRT	09/05	SCOPUS FUND (SCOPBANC O)	041	SSCC	B	26,350	6.11	30-Jul	30-Jul	1317.50 5.0
AO,CXL	09/05	SCOPUS FUND (SCOPUBS)	041	SSCC	B	129,500	6.11	30-Jul	30-Jul	6475.00 5.0
AO,CRT	09/05	SCOPUS FUND (SCOPUBS)	041	SSCC	B	128,650	6.11	30-Jul	30-Jul	6432.50 5.0

TOTAL (AO, CXL, CRT) :	2,600.00
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TOTAL (Trade Date):	163,033.15
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TOTAL (AO, CXL, CRT):	2,600.00
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TOTAL (RUN DATE) / NFS:	165,633.15
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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