



Daily Compliance Activity Report

Trade Date: 08/20/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AAP	SS	10,000	42.22	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	13.83	6-Mar	8-Aug	800.00	4.0
COUGAR TRADING	044	AEO	S	7,818	14.04	6-Mar	8-Aug	390.90	5.0
ROSEDALE CAPITAL	046	AEO	S	10,000	14.44	6-Mar	8-Aug	500.00	5.0
CHARTER OAK	033	ATO	B	50,000	27.49	n/a	n/a	2,500.00	5.0
MARK/JETCAP	030	ATVI	S	36,750	34.02	n/a	n/a	1,837.50	5.0
BARABOO GROWTH	031	BAC	C	5,000	28.44	n/a	15-Aug	250.00	5.0
BUCK	015	BAC	B	1,000	28.47	n/a	15-Aug	0.00	0.0
GALT INVESTMENT	041	BBY	B	25,000	43.73	n/a	27-Jul	1,250.00	5.0
HARVEST MGMT	039	BJ	SS	50,000	37.82	n/a	27-Jul	1,500.00	3.0
MCCARTAN	028	BWA	SS	200	39.81	10-Jun	1-Aug	0.00	0.0
NICHOLAS ADVISORS	034	CMGB	B	3,000	66.47	n/a	n/a	150.00	5.0
CATTANI	041	CRS	S	300	39.30	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	C	SS	11,917	17.14	19-Jun	15-Aug	476.68	4.0
WAGONHOUND/NIC	048	DB	SS	2,106	83.43	n/a	n/a	84.24	4.0
LUCHANSKY	036	DVN	B	100	99.98	7-May	20-Aug	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	DYN	B	200,000	5.78	n/a	n/a	8,000.00	4.0
ADALY INV MGMT	067	EEM	B	25,000	40.10	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	EL	B	10,000	50.94	15-Aug	15-Aug	400.00	4.0
N STRATTON	014	FBTC	B	498	9.15	n/a	n/a	0.00	0.0
BUCK	015	FREIA	S	40	0.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	10,000	35.06	n/a	n/a	400.00	4.0
CASTLE ARK	031	GLW	S	241,100	20.95	n/a	30-Jul	14,466.00	6.0
SAXON WOODS ADVISORS	038	HPQ	B	199,600	46.10	n/a	n/a	5,988.00	3.0
CENTURION GLOBAL MGMT LL	041	HSY	B	14,100	37.80	n/a	n/a	423.00	3.0
LISTED ERR	099	HSY	S	9	37.86	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	IACIV	B	20,000	0.00	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	IP	S	4,300	27.29	1-Aug	1-Aug	215.00	5.0
DIAMONDBACK CAP MGMT	232	ITT	SS	5,000	63.57	25-Jul	25-Jul	250.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	25,000	25.41	4-Aug	18-Aug	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	IVZ	S	200,000	25.25	4-Aug	18-Aug	8,000.00	4.0
KLHZ	031	IWM	B	50,000	72.65	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	B	15,000	25.50	n/a	20-Aug	750.00	5.0
SIGMA CAPITAL ASSOCIATES	237	JWN	SS	25,000	28.94	10-Jul	15-Aug	1,250.00	5.0
COUGAR TRADING	044	KSS	B	5,000	48.06	n/a	15-Aug	250.00	5.0
COBALT	041	LCC	SS	100,000	7.48	n/a	n/a	3,000.00	3.0
CHARTER OAK	033	LG	B	45,900	47.52	n/a	n/a	2,295.00	5.0
EGS ASSOCIATES LP	091	LTD	B	5,200	18.21	19-Aug	19-Aug	312.00	6.0
BUCK CAPITAL MGMT	001	LTM	S	5,600	33.32	n/a	n/a	224.00	4.0
MARK/JETCAP	030	MER	S	48,000	23.78	24-Jun	15-Aug	2,400.00	5.0
MERRILL ASSET	032	MLI	B	63,100	27.71	n/a	22-Jul	2,839.50	4.5
BUCK	015	MRK	B	500	35.17	n/a	n/a	0.00	0.0
BUCK	015	MS	SS	1,000	36.77	15-Aug	15-Aug	0.00	0.0
COUGAR TRADING	044	M	B	6,600	19.79	12-Aug	14-Aug	330.00	5.0
PERRY PARTNERS	041	NCR	B	3,100	26.39	n/a	n/a	93.00	3.0
EGS ASSOCIATES LP	091	NWY	SS	3,000	11.06	n/a	15-Aug	180.00	6.0
CLOVIS CAPITAL	012	OMC	SS	50,000	42.09	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	OMC	S	5,200	41.86	n/a	n/a	208.00	4.0
S.A.C. CAPITAL MGMT.	044	ROCK	SS	25,000	21.28	n/a	n/a	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	ROC	B	85,170	38.73	n/a	n/a	4,258.50	5.0
MERRILL ASSET	032	RRR	B	25,000	9.68	n/a	26-Jun	1,000.00	4.0
KORMAN	003	SKS	C	4,000	9.91	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	50,000	18.83	n/a	13-Mar	2,000.00	4.0
ASCEND PARTNERS	033	SPLS	B	31,300	23.78	n/a	27-Jul	1,565.00	5.0
COUGAR TRADING	044	SSO	B	10,000	59.92	n/a	n/a	500.00	5.0
COUGAR TRADING	044	SSO	S	10,000	59.42	n/a	n/a	500.00	5.0
LEDDY	035	TEN	SS	700	15.30	n/a	n/a	0.00	0.0
IRONBOUND CAPITAL	012	TIN	S	200,000	16.17	29-Apr	30-Jul	10,000.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	120,000	34.79	11-Aug	12-Aug	4,800.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	200,000	10.29	n/a	20-Aug	8,000.00	4.0
COUGAR TRADING	044	TWB	S	25,000	10.33	n/a	20-Aug	1,250.00	5.0
MATRIX ASSET ADV.	036	TYC	B	3,500	41.68	29-Apr	31-Jul	140.00	4.0
MERRILL ASSET	032	UTI	S	58,100	16.88	n/a	n/a	2,614.50	4.5
LEHMAN PROPRIETARY TRAD	041	VLCM	SS	25,000	20.29	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	VQ	S	54,900	16.51	n/a	n/a	2,470.50	4.5
LEHMAN PROPRIETARY TRAD	041	WAG	S	25,000	35.69	n/a	n/a	1,000.00	4.0
BARABOO GROWTH	031	WB	C	5,000	14.51	n/a	n/a	200.00	4.0
CASTLEROCK	040	WDR	B	88,874	30.81	15-Jul	18-Aug	3,554.96	4.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	50.00	8-Aug	8-Aug	2,000.00	4.0
COUGAR TRADING	044	WRC	B	5,000	49.99	8-Aug	8-Aug	250.00	5.0
VISIUM/BALY HOWARD	038	WRC	SS	20,000	50.22	8-Aug	8-Aug	1,000.00	5.0
DANIELS	N25	WYN	B	100	17.83	n/a	n/a	0.00	0.0
S.A.C. CAPITAL MGMT.	044	X	S	10,000	139.00	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	YUM	S	50,000	35.53	14-Aug	14-Aug	2,500.00	5.0
TOTAL (Trade Date) :								123,366.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/19	WILLOW CREEK (WILLMAIN)	033	AWBC	SS	10,000	1.65	n/a	n/a	300.00 3.0
AO,CRT	08/19	WILLOW CREEK (WILLMAIN)	033	AWBC	SS	10,000	1.65	n/a	n/a	200.00 2.0

TOTAL (AO, CXL, CRT) :	-100.00
-------------------------------	----------------

TOTAL (Trade Date) :	123,366.28
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS:	123,266.28
--------------------------------	-------------------

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