



Daily Compliance Activity Report

Trade Date: 10/16/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ROCK	028	AAPL	S	100,000	95.12	n/a	n/a	4,000.00	4.0
LEDDY	035	AAPL	B	100	97.21	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	ABX	S	20,000	25.21	n/a	n/a	800.00	4.0
COUGAR TRADING	044	AEO	B	15,000	9.56	n/a	10-Oct	750.00	5.0
JMP ASSET MGMT	210	AG	S	2,700	29.55	n/a	30-Jul	135.00	5.0
SINCUTMA	031	AG	S	65	30.32	n/a	30-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	100,000	29.30	7-Aug	10-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	AN	SS	119,300	6.82	15-Oct	15-Oct	4,772.00	4.0
COUGAR TRADING	044	ARG	B	5,000	35.30	13-Oct	13-Oct	250.00	5.0
COUGAR TRADING	044	ARG	S	5,000	33.31	13-Oct	13-Oct	250.00	5.0
PRINCIPLE CAPITAL	040	AVP	SS	36,100	28.70	10-Oct	10-Oct	1,083.00	3.0
ENDEAVOUR CAPITAL	035	BAC	S	123,600	22.79	15-Oct	15-Oct	6,180.00	5.0
NATIONAL BK OF CAN	031	BAC	S	45,000	22.36	15-Oct	15-Oct	1,800.00	4.0
CADIAN CAPITAL	067	BIG	B	25,000	20.99	29-May	9-Oct	1,250.00	5.0
FARALLON CAP MGMT	040	BIG	B	240,000	20.18	29-May	9-Oct	9,600.00	4.0
BUCK CAPITAL MGMT	001	BLK	B	1,000	139.62	n/a	16-Oct	40.00	4.0
LEDDY	035	BONT	S	1,281	2.27	n/a	10-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	BUCY	C	1,000	23.52	5-Sep	5-Sep	0.00	0.0
BUCK	015	BUCY	SS	1,000	24.20	5-Sep	5-Sep	0.00	0.0
MERRILL ASSET	032	BXS	B	8,100	24.74	n/a	n/a	364.50	4.5
BUCK CAPITAL MGMT	001	BYI	B	40,000	22.76	n/a	n/a	1,600.00	4.0
CATAPULT	040	BYI	S	3,000	21.85	n/a	n/a	150.00	5.0
RAINIER INV MGMT	035	CCC	S	66,600	15.93	n/a	n/a	3,330.00	5.0
RAINIER INV MGMT	035	CGX	S	64,175	15.06	n/a	n/a	3,208.75	5.0
HARVEST MGMT	039	COST	S	20,000	52.87	n/a	27-Jul	1,000.00	5.0
N STRATTON	014	CPI	B	74	22.00	n/a	n/a	0.00	0.0
Õ Raghav Nayar		C	B	128	15.7000	15-Sep	15-Oct	0.00	0.0
SANDLER O'NEILL ASSET	031	C	B	25,000	15.45	15-Sep	15-Oct	1,250.00	5.0
BULL PATH CAPITAL	044	DRI	S	33,000	20.25	13-Oct	13-Oct	1,650.00	5.0
BRUNNER	012	DUG	B	500	59.72	n/a	n/a	0.00	0.0
BRUNNER	012	DUG	S	500	63.87	n/a	n/a	0.00	0.0
OGORMAN	046	DXD	B	400	91.42	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	EGP	S	37,600	34.55	n/a	n/a	1,692.00	4.5
STRONG/MARK GRONET	030	FLE	B	700,000	0.47	n/a	n/a	7,000.00	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JMP ASSET MGMT	210	FOSL	S	6,000	18.11	13-Oct	13-Oct	300.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	24.34	n/a	10-Jan	800.00	4.0
CASTLE ARK	031	GENZ	S	2,200	64.13	n/a	n/a	132.00	6.0
BUCK CAPITAL MGMT	001	GES	B	170,000	22.33	n/a	n/a	6,800.00	4.0
KORMAN	003	GE	S	2,000	18.90	n/a	n/a	0.00	0.0
SUTERA	160	GE	B	1,000	19.16	n/a	n/a	0.00	0.0
MCCARTAN	028	GIL	B	100	19.02	8-Sep	16-Oct	0.00	0.0
COUGAR TRADING	044	GPS	B	5,000	12.66	n/a	13-Oct	250.00	5.0
COUGAR TRADING	044	GYMB	S	10,000	26.36	11-Jul	10-Oct	500.00	5.0
HARVEST MGMT	039	GYMB	S	30,000	25.02	11-Jul	10-Oct	1,500.00	5.0
BUCK CAPITAL MGMT	001	HAS	SS	20,000	28.85	n/a	n/a	800.00	4.0
N STRATTON	014	HEMGF	B	1,000	1.45	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	HOLX	B	20,000	14.67	n/a	n/a	600.00	3.0
CATAPULT	040	HON	B	5,000	30.82	3-Oct	3-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	IFF	SS	100,000	34.43	3-Oct	3-Oct	4,000.00	4.0
GRONET	030	ITCD	S	3,501	1.30	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	IVZ	B	100,000	14.29	6-Oct	16-Oct	3,000.00	3.0
COUGAR TRADING	044	JCG	B	10,000	18.16	n/a	17-Sep	500.00	5.0
RAINIER INV MGMT	035	JCG	B	105,500	18.33	n/a	17-Sep	4,220.00	4.0
BENNETT LAWRENCE	045	JCP	C	13,400	21.28	n/a	10-Oct	603.00	4.5
WHITE PINE CAPITAL	030	JCP	S	22,800	20.14	n/a	10-Oct	1,140.00	5.0
PZENA INV ADV	044	JNJ	S	565,625	62.42	n/a	22-Apr	19,797.33	3.5
CENTURION GLOBAL MGMT LL	041	JPM	B	31,500	38.99	26-Sep	16-Oct	945.00	3.0
GRUBER MACBAINE	033	JPM	B	10,000	37.89	26-Sep	16-Oct	400.00	4.0
CASTLEROCK	040	KSS	B	44,982	28.02	n/a	10-Oct	1,799.28	4.0
BUCK	015	KSS	SS	2,000	29.39	n/a	10-Oct	0.00	0.0
CATAPULT	040	LEG	B	5,000	18.57	n/a	n/a	250.00	5.0
CENTURION GLOBAL MGMT LL	041	LMT	B	5,800	92.34	n/a	n/a	174.00	3.0
SCOPUS FUND	041	LPX	B	35,000	4.07	n/a	15-Oct	1,750.00	5.0
COUGAR TRADING	044	LTD	SS	10,000	12.45	9-Oct	10-Oct	500.00	5.0
DEMARTINI	065	MO	B	1,000	18.12	n/a	n/a	0.00	0.0
LATEFF MGMT	035	MSFT	B	3,000	22.70	n/a	3-Apr	420.00	14.0
WHITE PINE CAPITAL	030	MTW	S	49,750	11.47	n/a	18-Aug	2,487.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VALHALLA CAPITAL LP	041	MVSN	S	20,000	11.54	n/a	n/a	600.00	3.0
LEDDY	035	MWO	S	900	12.14	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	15.12	n/a	n/a	400.00	4.0
SLS CAPITAL LLC	224	M	S	263,700	8.22	12-Aug	10-Oct	10,548.00	4.0
VALHALLA CAPITAL LP	041	NIHD	S	20,000	20.03	n/a	n/a	600.00	3.0
COUGAR TRADING	044	NWY	B	25,000	3.23	n/a	13-Oct	750.00	3.0
NEUBERGER BERMAN	036	OHI	B	61,000	14.31	n/a	n/a	2,745.00	4.5
MILLER	025	PBR	S	50	25.30	n/a	n/a	0.00	0.0
LEDDY	035	PCL	B	600	36.15	n/a	15-Oct	0.00	0.0
CATTANI	041	PG	B	100	60.86	10-Oct	10-Oct	0.00	0.0
HIGHBRIDGE CAPITAL	038	PPG	B	9,000	49.44	n/a	16-Oct	450.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	50,000	12.62	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	PSUN	SS	5,000	3.60	n/a	10-Oct	150.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	70,000	44.04	n/a	8-Oct	2,800.00	4.0
NOMURA CAPITAL	045	RT	B	20,000	2.43	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BENCHMARK	028	SATS	B	15,000	20.82	n/a	n/a	750.00	5.0
Õ Jason Cohen		SBAC	B	50	18.0000	n/a	n/a	0.00	0.0
BRUNNER	012	SDS	B	200	109.92	n/a	n/a	0.00	0.0
BRUNNER	012	SDS	S	200	107.48	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	400	105.19	n/a	n/a	0.00	0.0
MERRILL ASSET	032	SF	S	32,100	42.65	n/a	n/a	1,605.00	5.0
THE BOSTON COMPANY	401	SKX	B	1,200	12.00	n/a	13-Mar	48.00	4.0
N STRATTON	014	SPRO	B	400	2.40	n/a	n/a	0.00	0.0
VALHALLA CAPITAL LP	041	SPSS	S	10,000	24.30	n/a	n/a	300.00	3.0
BMO NESBITT BURNS	041	SSCC	S	100,000	1.64	30-Jul	16-Oct	5,000.00	5.0
BRUNNER	012	SSO	B	500	27.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	50,000	34.09	n/a	9-Oct	2,000.00	4.0
CADIAN CAPITAL	067	TJX	B	300,000	26.61	11-Aug	10-Oct	15,000.00	5.0
GREEN ARROW CAPITAL	034	TROW	B	10,000	37.30	19-Sep	16-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	40,000	7.91	n/a	1-Oct	1,600.00	4.0
COUGAR TRADING	044	TWB	S	8,800	8.13	n/a	1-Oct	352.00	4.0
PROSPECTOR PARTNERS LLC	036	UNS	S	44,500	21.96	n/a	n/a	1,780.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	URBN	B	5,000	21.88	14-Aug	1-Oct	250.00	5.0
WHEELER	008	UXI	B	2,000	26.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WMT	B	150,000	51.71	10-Oct	10-Oct	6,000.00	4.0
COUGAR TRADING	044	WMT	B	5,000	51.25	10-Oct	10-Oct	250.00	5.0
COUGAR TRADING	044	WMT	S	5,000	52.70	10-Oct	10-Oct	250.00	5.0
THIRD COAST CAPITAL	035	WMT	S	4,000	52.12	10-Oct	10-Oct	200.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	28.88	8-Oct	8-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	WWW	SS	20,000	22.61	n/a	13-Mar	800.00	4.0
PERFORMANCE PART LP #2	041	WY	B	15,000	38.62	n/a	15-Oct	750.00	5.0
PROSPECTOR PARTNERS LLC	036	XEC	S	10,000	32.39	n/a	n/a	400.00	4.0
KORMAN	003	XLF	S	3,000	15.00	n/a	n/a	0.00	0.0
Õ Michael Marrano		XOM	B	100	62.5500	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	ZQK	S	17,000	2.99	8-Oct	8-Oct	340.00	2.0
TOTAL (Trade Date) :							170,291.36		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	10/16	PILOT ROCK (PILRPARTEX)	028	AAPL	S	21,200	95.12	n/a	n/a	848.00	4.0
AO,CXL	10/15	COUGAR TRADING (COUGCITI)	044	AN	SS	8,000	7.27	15-Oct	15-Oct	400.00	5.0
AO,CRT	10/15	COUGAR TRADING (COUGCITI)	044	AN	SS	8,000	7.27	15-Oct	15-Oct	320.00	4.0
AO,CXL	10/15	STELLIAM INV ADV (STLLGSBULK)	040	BBBY	B	10,000	24.51	n/a	n/a	500.00	5.0
AO,CRT	10/15	STELLIAM INV ADV (STLLMSEXEC)	040	BBBY	B	10,000	24.51	n/a	n/a	500.00	5.0
AO,	10/15	BUCK CAPITAL MGMT (BUCK)	015	EFA	B	200	54.00	n/a	n/a	0.00	0.0
AO,CXL	10/14	JMP ASSET MGMT (JMPAGS)	210	LULU	S	7,600	16.28	n/a	n/a	304.00	4.0
AO,CRT	10/14	JMP ASSET MGMT (JMPAGS)	210	LULU	S	7,600	16.28	n/a	n/a	380.00	5.0
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTPIPPF6)	044	PM	S	5,000	41.72	n/a	n/a	175.00	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTPIPPF7)	044	PM	S	2,500	41.72	n/a	n/a	87.50	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTLUXNA)	044	PM	S	11,900	41.72	n/a	n/a	416.50	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTDFW)	044	PM	S	290	41.72	n/a	n/a	10.15	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTGIGAE)	044	PM	S	12,500	41.72	n/a	n/a	437.50	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTBALPE)	044	PM	S	30,600	41.72	n/a	n/a	1071.00	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTPTCAD)	044	PM	S	2,800	41.72	n/a	n/a	98.00	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTBALFE)	044	PM	S	7,000	41.72	n/a	n/a	245.00	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTBRICK7)	044	PM	S	800	41.72	n/a	n/a	28.00	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTINGPIP)	044	PM	S	4,700	41.72	n/a	n/a	164.50	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTINGPIP)	044	PM	S	4,500	41.72	n/a	n/a	157.50	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELT)	044	PM	S	2,200	41.72	n/a	n/a	77.00	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTINGPIP)	044	PM	S	2,500	41.72	n/a	n/a	87.50	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTINGPIP)	044	PM	S	1,700	41.72	n/a	n/a	59.50	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTPLCF)	044	PM	S	17,800	41.72	n/a	n/a	623.00	3.5
AO,	10/15	AELTUS/ING IVESTMENT MGT (AELTPLCP)	044	PM	S	87,600	41.72	n/a	n/a	3066.00	3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/06	DISIPLINED GROWTH INV. (DISIOMINBU)	030	RCL	B	15,125	16.55	23-Jul	23-Jul	756.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISIOMINBU)	030	RCL	B	15,125	16.55	23-Jul	23-Jul	756.25 5.0
AO,CXL	10/15	STELLIAM INV ADV (STLLGSBULK)	040	ROST	B	10,000	27.70	n/a	n/a	500.00 5.0
AO,CRT	10/15	STELLIAM INV ADV (STLLMSEXEC)	040	ROST	B	10,000	27.70	n/a	n/a	500.00 5.0
AO,	10/15	BECKER CAPITAL (BECK33)	035	WRC	B	100	29.00	8-Oct	8-Oct	4.00 4.0
AO,CXL	10/15	BECKER CAPITAL (BECK11)	035	WRC	B	100	29.00	8-Oct	8-Oct	4.00 4.0

TOTAL (AO, CXL, CRT) :	7,647.65
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TOTAL (Trade Date) :	170,291.36
TOTAL (AO, CXL, CRT) :	7,647.65

TOTAL (RUN DATE) / NFS:	177,939.01
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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