



Daily Compliance Activity Report

Trade Date: 09/18/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LITESPEED	028	AA	S	250,000	24.50	n/a	n/a	7,500.00	3.0
PZENA INV ADV	044	ABC	S	27,775	37.50	n/a	n/a	972.13	3.5
COUGAR TRADING	044	AB	B	15,000	36.39	10-Sep	18-Sep	750.00	5.0
COUGAR TRADING	044	AEO	S	5,000	15.90	n/a	5-Sep	250.00	5.0
KORMAN	003	ANN	C	3,000	22.70	n/a	17-Sep	0.00	0.0
GAULT	063	APC	S	1,000	53.12	n/a	26-Aug	0.00	0.0
LEDDY	035	ARGN	S	1,700	8.86	3-Sep	3-Sep	0.00	0.0
PRYLUCKI	092	ARGN	S	360	9.17	3-Sep	3-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	25,000	32.79	28-Apr	5-Sep	1,000.00	4.0
COUGAR TRADING	044	ARO	B	5,000	32.34	28-Apr	5-Sep	250.00	5.0
HOLDEN CAPITAL MGMT	035	ARO	SS	15,000	32.75	28-Apr	5-Sep	750.00	5.0
PRINCIPLE CAPITAL	040	AVP	SS	29,800	39.88	31-Jul	31-Jul	894.00	3.0
BUCK	015	BACAV	B	20	0.72	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	BBY	SS	75,000	41.07	n/a	27-Jul	3,750.00	5.0
BUCK CAPITAL MGMT	001	BIG	SS	20,000	32.93	29-May	5-Sep	800.00	4.0
MTB INV ADV	034	BIG	S	31,900	30.33	29-May	5-Sep	1,595.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	BIG	SS	500	31.97	29-May	5-Sep	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	BKE	SS	20,000	58.90	n/a	n/a	800.00	4.0
PZENA INV ADV	044	BMV	S	55,075	20.27	n/a	n/a	1,927.63	3.5
WHEELER	008	BTN	B	20,000	1.90	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	BWA	C	7,024	37.04	10-Jun	1-Aug	280.96	4.0
MCCARTAN	028	BWA	C	200	37.05	10-Jun	1-Aug	0.00	0.0
METROPOLITAN CAPITAL	044	BWS	S	46,625	16.41	n/a	n/a	2,331.25	5.0
JMP ASSET MGMT	210	BWTR	B	10,000	2.19	n/a	n/a	200.00	2.0
MCCARTAN	028	BX	B	300	15.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BYI	B	75,000	28.81	n/a	n/a	3,000.00	4.0
M WEINTRAU	024	BZ	B	1,500	1.93	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	CHIC	SS	2,000	11.01	n/a	n/a	100.00	5.0
ROTHSCHILD ASSET	040	CHK	S	42,670	38.96	n/a	n/a	1,920.15	4.5
WHEELER	008	CHP	S	3,800	6.45	n/a	n/a	0.00	0.0
BUCK	015	CJD	B	60	0.35	n/a	n/a	0.00	0.0
BUCK	015	CJR	S	40	0.60	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	CKP	S	26,100	19.30	n/a	n/a	1,174.50	4.5
MATLIN PATTERSON	046	CLNE	SS	13,700	16.25	n/a	n/a	411.00	3.0
PZENA INV ADV	044	CMA	S	6,000	33.88	n/a	n/a	210.00	3.5
BUCK	015	CMA	C	1,961	29.92	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	60,000	27.79	30-Jul	28-Aug	2,400.00	4.0
MERRILL ASSET	032	CRR	S	47,200	54.82	29-Aug	5-Sep	2,124.00	4.5
KAICHER	064	C	B	2,000	14.20	15-Sep	15-Sep	0.00	0.0
KAICHER	064	C	S	2,000	16.80	15-Sep	15-Sep	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	DBRN	B	3,300	14.66	n/a	n/a	132.00	4.0
LUCHANSKY	036	DCTH	S	1,000	1.61	n/a	n/a	0.00	0.0
MERRILL ASSET	032	DEI	B	11,200	20.32	n/a	n/a	504.00	4.5
OGORMAN	046	DIG	B	200	68.50	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	DKS	B	4,500	21.84	22-Aug	22-Aug	225.00	5.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	B	1,700	37.28	n/a	5-Sep	68.00	4.0
MCCARTAN	028	DPZ	C	300	12.64	n/a	24-Apr	0.00	0.0
CROWLEY	061	DUK	S	2,000	17.90	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OGORMAN	046	DXD	B	400	69.09	n/a	n/a	0.00	0.0
OGORMAN	046	DXD	S	150	68.11	n/a	n/a	0.00	0.0
MKT MAKER	097	ENDP	B	100	20.00	1-Aug	18-Sep	0.00	0.0
MERRILL ASSET	032	FHN	S	60,900	10.76	n/a	n/a	2,740.50	4.5
PHILADELPHIA FINANCIAL	033	FII	B	78,868	24.15	14-Apr	18-Sep	3,154.72	4.0
RAINIER INV MGMT	035	FMCN	S	143,875	26.04	n/a	n/a	5,755.00	4.0
LBACIND	005	FOR	S	333	13.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	35,000	38.26	n/a	n/a	1,400.00	4.0
LEDDY	035	GFG	S	466	5.05	n/a	n/a	0.00	0.0
COLE	N24	GFG	S	400	5.18	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	GME	S	800	37.30	n/a	n/a	40.00	5.0
STANDARD PACIFIC CAPITAL	040	GM	SS	275,000	10.66	4-Aug	4-Sep	13,750.00	5.0
MCCARTAN	028	GR	C	100	46.56	5-Jun	24-Jul	0.00	0.0
BAIRD INVESTMENT	031	GS	S	4,431	101.83	15-Sep	18-Sep	221.55	5.0
FORD FDN.	032	GS	B	5,000	103.01	15-Sep	18-Sep	250.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	39.30	11-Jul	5-Sep	250.00	5.0
THOMSON HORSTMAN BRYANT	040	GYMB	B	32,700	37.99	11-Jul	5-Sep	1,635.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHEELER	008	HAYN	S	2,000	54.44	n/a	n/a	0.00	0.0
KAICHER	064	HERO	B	4,000	18.18	n/a	n/a	0.00	0.0
AVESTA CAP	229	HNZ	S	50,000	49.96	n/a	n/a	2,500.00	5.0
WHEELER	008	HQRLN	B	20	1.30	n/a	n/a	0.00	0.0
PILOT ADV	038	HSC	B	5,000	40.24	23-Apr	29-Jul	200.00	4.0
PILOT ADV	038	HSC	SS	15,000	39.44	23-Apr	29-Jul	600.00	4.0
LISTED ERR	099	HSC	B	700	40.29	23-Apr	29-Jul	0.00	0.0
LISTED ERR	099	HSC	SS	700	39.81	23-Apr	29-Jul	0.00	0.0
LEDDY	035	ICON	S	1,700	11.90	n/a	n/a	0.00	0.0
THIRD AVE MGMT	030	INTC	S	350,000	18.29	n/a	n/a	14,000.00	4.0
BMO NESBITT BURNS	041	IP	B	50,000	26.89	11-Sep	11-Sep	2,500.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	21,700	21.59	4-Aug	18-Sep	1,085.00	5.0
SCUDDER HEDGE	034	IVZ	S	4,200	23.16	4-Aug	18-Sep	210.00	5.0
WAGONHOUND/NIC	048	IVZ	B	384	23.00	4-Aug	18-Sep	15.36	4.0
GRISANTI BROWN & PARTNER	048	IWM	B	17,700	69.08	n/a	n/a	885.00	5.0
COUGAR TRADING	044	JCG	S	5,000	29.20	n/a	17-Sep	250.00	5.0
JMP ASSET MGMT	210	JCG	SS	500	29.15	n/a	17-Sep	25.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	37.44	n/a	5-Sep	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	JCP	S	12,000	36.55	n/a	5-Sep	600.00	5.0
COBALT	041	JNS	SS	25,000	21.85	25-Jul	18-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	JNY	SS	20,000	19.13	n/a	30-Jul	800.00	4.0
MTB INV ADV	034	JOSB	S	16,500	34.93	n/a	n/a	825.00	5.0
THE BOSTON COMPANY	401	KCP	C	46,580	17.90	n/a	28-Sep	1,863.20	4.0
BASIX	033	KMT	SS	47,000	32.17	18-Sep	18-Sep	1,410.00	3.0
MCCARTAN	028	KMT	C	100	28.86	18-Sep	18-Sep	0.00	0.0
ROYCE TRADING	216	KVA	B	58,000	22.82	n/a	n/a	2,900.00	5.0
WAGONHOUND/NIC	048	LAZ	B	1,141	39.87	n/a	n/a	45.64	4.0
EGS ASSOCIATES LP	091	LIZ	SS	3,500	17.63	n/a	18-Sep	210.00	6.0
COBALT	041	LM	SS	25,000	33.07	1-Jul	18-Sep	1,250.00	5.0
CADIAN CAPITAL	067	MAT	B	50,000	18.74	n/a	n/a	2,500.00	5.0
KAICHER	064	MER	S	2,000	22.25	24-Jun	16-Sep	0.00	0.0
WHEELER	008	MMMAO	B	60	2.40	n/a	n/a	0.00	0.0
WHEELER	008	MMM	S	3,000	71.05	n/a	16-Sep	0.00	0.0
TRUST CO/COWEN/CALF.	040	MOT	B	77,500	6.73	n/a	n/a	3,100.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	MS	S	1,000,000	20.25	15-Sep	18-Sep	45,000.00	4.5
NATIONAL BK OF CAN	031	MS	B	75,000	21.79	15-Sep	18-Sep	2,000.00	2.0
NATIONAL BK OF CAN	031	MS	SS	75,000	19.96	15-Sep	18-Sep	3,000.00	4.0
WHEELER	008	MWG	B	10,050	8.03	n/a	n/a	0.00	0.0
KORMAN	003	MWO	B	4,000	9.00	n/a	n/a	0.00	0.0
ZOLIDIS	011	MWO	S	1,000	10.50	n/a	n/a	0.00	0.0
LEDDY	035	MWO	B	1,000	7.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	S	77,500	18.31	12-Aug	29-Aug	3,100.00	4.0
ZOLIDIS	011	NKE	S	200	65.88	n/a	n/a	0.00	0.0
J ROSEALEX	034	NKE	S	200	65.17	n/a	n/a	0.00	0.0
J ROSEVIC	034	NKE	S	200	65.29	n/a	n/a	0.00	0.0
WHEELER	008	NLCAE	B	50	0.75	n/a	n/a	0.00	0.0
WHEELER	008	NLC	S	20,000	20.05	n/a	n/a	0.00	0.0
PZENA INV ADV	044	NOC	S	24,550	62.20	n/a	n/a	859.25	3.5
JP MORGAN VENTURES	046	NTY	S	64,000	27.71	n/a	n/a	3,200.00	5.0
LBACIND	005	OXM	S	500	25.63	n/a	n/a	0.00	0.0
PRYLUCKI	092	PAAS	S	100	21.70	n/a	n/a	0.00	0.0
GRONET	030	PCH	S	40	50.15	28-Apr	11-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	PCL	S	1,300	52.19	n/a	11-Sep	0.00	0.0
LBACIND	005	PCX	S	200	28.52	n/a	n/a	0.00	0.0
WHEELER	008	PENX	S	8,000	18.14	n/a	n/a	0.00	0.0
STG INVESTORS	041	PKG	B	50,000	21.78	11-Sep	11-Sep	2,000.00	4.0
CROWLEY	061	PNM	S	1,000	10.83	n/a	n/a	0.00	0.0
SCUDDER HEDGE	034	PZN	S	15,000	7.00	30-Jul	18-Sep	750.00	5.0
GRISANTI BROWN & PARTNER	048	QQQQ	C	10,000	40.11	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	RGC	S	55,650	15.46	n/a	n/a	2,504.25	4.5
VALHALLA CAPITAL LP	041	RIMM	S	10,000	93.22	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	B	61,700	68.97	n/a	28-Aug	2,468.00	4.0
BRIGHTPOINT CAP	067	ROST	SS	150,000	36.47	n/a	n/a	6,000.00	4.0
WHEELER	008	RUSHA	S	13,000	14.26	n/a	n/a	0.00	0.0
ZOLIDIS	011	SDS	B	500	72.95	n/a	n/a	0.00	0.0
BUCK	015	SDS	S	500	78.59	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	300	76.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	SS	100,000	10.78	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAICHER	064	SNCR	S	6,000	11.10	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	SNIC	S	7,800	4.81	n/a	n/a	390.00	5.0
JMP ASSET MGMT	210	SNS	S	7,000	8.49	n/a	n/a	280.00	4.0
GAULT	063	SSO	S	1,000	49.02	n/a	n/a	0.00	0.0
GAULT	063	SWN	S	3,500	33.18	n/a	3-Sep	0.00	0.0
AVESTA CAP	229	TGT	B	25,000	54.78	n/a	5-Sep	1,250.00	5.0
BRANDWINE	028	TGT	S	76,000	54.05	n/a	5-Sep	3,040.00	4.0
COUGAR TRADING	044	TJX	B	5,000	32.79	11-Aug	5-Sep	250.00	5.0
MCCARTAN	028	TM	C	100	86.64	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	031	TOL	S	56,000	25.01	n/a	n/a	1,680.00	3.0
PRINCIPLE CAPITAL	040	TPX	B	4,900	11.15	n/a	n/a	147.00	3.0
OGORMAN	046	TROW	SS	300	58.96	25-Jul	18-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	S	50,000	9.61	n/a	20-Aug	2,000.00	4.0
CATAPULT	040	TWB	S	53,000	9.18	n/a	20-Aug	2,120.00	4.0
ZOLIDIS	011	TWM	B	150	67.43	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	TXRH	C	147,896	8.96	n/a	n/a	4,436.88	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEISS PECK	040	URBN	C	6,800	35.72	14-Aug	17-Sep	340.00	5.0
ZOLIDIS	011	UYG	S	2,000	18.98	n/a	n/a	0.00	0.0
PRYLUCKI	092	UYG	S	250	18.79	n/a	n/a	0.00	0.0
MERRILL ASSET	032	VQ	B	29,600	14.20	n/a	n/a	1,332.00	4.5
FARALLON CAP MGMT	040	WAG	S	277,500	32.45	n/a	n/a	11,100.00	4.0
MCCARTAN	028	WBC	B	200	37.21	30-Apr	30-Jul	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	WB	B	150,000	11.09	n/a	n/a	5,625.00	3.8
KEEFE BRUYETTE WOODS A	031	WDR	B	28,900	23.31	15-Jul	18-Sep	1,445.00	5.0
WAGONHOUND/NIC	048	WDR	B	6,151	23.68	15-Jul	18-Sep	246.04	4.0
GLG PARTNERS	034	WMT	B	50,000	60.14	8-Aug	5-Sep	2,500.00	5.0
JP MORGAN VENTURES	046	WMT	C	20,000	59.41	8-Aug	5-Sep	1,000.00	5.0
COUGAR TRADING	044	WRC	B	5,000	45.40	8-Aug	28-Aug	250.00	5.0
THOMSON HORSTMAN BRYANT	040	WTSLA	B	40,000	4.18	n/a	n/a	1,200.00	3.0
GALLEON MGMT LP	033	WWW	C	10,000	26.40	n/a	13-Mar	500.00	5.0
SCOPUS FUND	041	WY	S	10,000	56.03	n/a	11-Sep	500.00	5.0
HARVEST MGMT	039	ZLC	S	10,300	27.07	n/a	n/a	515.00	5.0
KORMAN	003	ZOLT	S	3,000	17.36	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	ZQK	S	30,000	6.47	27-Aug	5-Sep	1,200.00	4.0
JMP ASSET MGMT	210	ZQK	B	17,000	6.49	27-Aug	5-Sep	680.00	4.0
TOTAL (Trade Date) :								228,449.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/17	BAYPOINT TRADING/XYLEM (BAYXXYLEM)	091	ABH	B	10,000	4.80	n/a	11-Sep	500.00 5.0
AO,	09/17	BAYPOINT TRADING/XYLEM (BAYXXYLEM)	091	ABH	B	10,000	4.80	n/a	11-Sep	400.00 4.0
CRT	09/18	JMP ASSET MGMT (JMPAGS)	210	BWTR	B	10,000	2.19	n/a	n/a	200.00 2.0
AO,CXL	09/17	SATELITE/BOBBY (SATBCITI)	044	DAL	B	35,000	9.20	n/a	n/a	1400.00 4.0
AO,CRT	09/17	SATELITE/BOBBY (SATBCITI)	044	DAL	B	35,000	9.20	n/a	n/a	1050.00 3.0
CRT	09/18	MKT MAKER (MKT MAKER)	097	ENDP	B	100	20.00	1-Aug	18-Sep	0.00 0.0
AO,CXL	09/16	LITESPEED (LITEUBS)	028	HCBK	B	185,000	19.65	n/a	n/a	9250.00 5.0
AO,CRT	09/16	LITESPEED (LITEUBS)	028	HCBK	B	185,000	19.65	n/a	n/a	5550.00 3.0
AO,	09/17	ELM RIDGE ADVISORS (ELMRGS04)	044	JNJ	S	468,586	70.55	n/a	22-Apr	18743.44 4.0
CRT	09/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	77,400	18.31	12-Aug	29-Aug	3096.00 4.0
AO,	09/17	BAYPOINT TRADING/XYLEM (BAYXXYLEM)	091	MWV	B	7,000	26.18	n/a	11-Sep	350.00 5.0
CRT	09/18	JMP ASSET MGMT (JMPAGS)	210	SNS	S	7,000	8.49	n/a	n/a	280.00 4.0
CRT	09/18	JMP ASSET MGMT (JMPAGS)	210	ZQK	B	17,000	6.49	27-Aug	5-Sep	680.00 4.0
TOTAL (AO, CXL, CRT) :										19,199.44

TOTAL (Trade Date) :

228,449.01

TOTAL (AO, CXL, CRT):

19,199.44

TOTAL (RUN DATE) / NFS:

247,648.45

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