



Daily Compliance Activity Report

Trade Date: 09/15/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRONET	030	ABG	S	100	13.03	10-Jun	31-Jul	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	ABH	B	50,000	5.33	n/a	11-Sep	2,500.00	5.0
PATTEN & PATTEN	067	AB	B	200	43.60	10-Sep	15-Sep	10.00	5.0
AVESTA CAP	229	ADBE	B	25,000	40.04	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	ADM	B	200	23.41	18-Aug	15-Sep	10.00	5.0
PATTEN & PATTEN	067	ADSK	S	200	33.82	n/a	n/a	10.00	5.0
COUGAR TRADING	044	AEO	S	5,000	16.03	n/a	5-Sep	250.00	5.0
JMP ASSET MGMT	210	AEO	B	5,500	16.48	n/a	5-Sep	275.00	5.0
BUCK	015	AIGJD	B	10	0.12	n/a	n/a	0.00	0.0
BUCK	015	AILJN	S	30	0.76	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ANF	S	5,000	48.92	7-Aug	5-Sep	250.00	5.0
BULL PATH CAPITAL	044	ANN	B	38,500	24.84	n/a	22-Aug	1,925.00	5.0
BRENCOURT	028	AN	SS	25,000	12.45	25-Jul	28-Jul	1,250.00	5.0
PATTEN & PATTEN	067	APOL	S	400	66.30	n/a	n/a	20.00	5.0
JPMSI/TOM LEDDY	035	ARO	S	10,000	34.95	28-Apr	5-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GAULT	063	ASTI	S	1,500	6.41	n/a	n/a	0.00	0.0
FORD FDN.	032	BAC	S	55,000	27.65	n/a	15-Sep	2,750.00	5.0
SUTTONBROOK CAPITAL	067	BAC	S	250,000	28.97	n/a	15-Sep	10,000.00	4.0
BUCK CAPITAL MGMT	001	BKE	S	10,000	56.46	n/a	n/a	400.00	4.0
RAINIER INV MGMT	035	BLK	S	38,680	204.55	n/a	15-Sep	1,934.00	5.0
SANDLER O'NEILL ASSET	031	BLK	B	2,100	203.21	n/a	15-Sep	105.00	5.0
LEDDY	035	BONT	S	3,000	3.45	n/a	5-Sep	0.00	0.0
WHEELER	008	BQI	B	9,300	2.85	n/a	n/a	0.00	0.0
PERRY PARTNERS	041	BUD	B	117,300	67.55	n/a	n/a	3,519.00	3.0
BRENCOURT	028	BWA	SS	25,000	39.06	10-Jun	1-Aug	1,250.00	5.0
PATTEN & PATTEN	067	CAG	S	4,900	19.87	n/a	n/a	245.00	5.0
WHEELER	008	CHP	B	10,000	5.76	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	CLMS	B	19,000	16.85	13-Aug	15-Sep	950.00	5.0
NOMURA CAPITAL	045	CLUB	SS	8,100	9.75	n/a	n/a	324.00	4.0
BUCK CAPITAL MGMT	001	CLX	SS	20,000	63.43	4-Aug	4-Aug	800.00	4.0
WYCKOFF	013	CMG	B	300	56.91	12-Sep	12-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	COF	S	25,000	45.94	n/a	15-Sep	1,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	COH	SS	43,600	29.89	30-Jul	28-Aug	1,744.00	4.0
MATRIX ASSET ADV.	036	COV	S	8,000	56.44	n/a	n/a	320.00	4.0
AMBER CAPITAL	046	CPF	B	150,000	14.04	n/a	n/a	6,000.00	4.0
UBS OCONNOR	031	C	C	185,000	16.25	15-Sep	15-Sep	5,550.00	3.0
THE JAY GOLDMAN	034	DDS	B	30,000	11.65	n/a	n/a	1,200.00	4.0
WASHINGTON ASSET	048	DVN	B	15,000	90.95	7-May	21-Aug	750.00	5.0
SOLARIS INV MGMT	029	EBAY	S	30,000	22.47	n/a	n/a	1,500.00	5.0
GRONET	030	EBS	S	1,000	13.78	n/a	n/a	0.00	0.0
SUTERA	160	EFT	B	2,500	13.10	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ERTS	S	500	44.21	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	EWG	S	2,200	24.82	n/a	n/a	110.00	5.0
PATTEN & PATTEN	067	EWZ	B	400	59.71	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	EXH	B	50	38.75	28-Aug	3-Sep	2.50	5.0
GAULT	063	EXLP	S	3,200	18.21	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	FRP	S	25	8.51	n/a	n/a	1.25	5.0
N STRATTON	014	FTAR	S	200	3.53	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	F	SS	100,000	4.89	25-Jul	4-Sep	3,000.00	3.0
SUTERA	160	GBVS	S	10,000	0.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	62,500	41.27	n/a	n/a	2,500.00	4.0
PATTEN & PATTEN	067	GE	S	400	24.96	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	24.21	8-Sep	8-Sep	400.00	4.0
GAULT	063	GLW	S	1,000	15.65	n/a	15-Sep	0.00	0.0
GAULT	063	GMO	S	8,000	5.35	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	S	10,000	19.39	n/a	5-Sep	500.00	5.0
COUGAR TRADING	044	GYMB	B	5,000	40.81	11-Jul	5-Sep	250.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	40.02	11-Jul	5-Sep	250.00	5.0
FARALLON CAP MGMT	040	HSP	S	62,110	39.56	n/a	22-Apr	2,484.40	4.0
WANGER FUNDS/GREENWICH	031	ICE	S	9,750	82.67	n/a	n/a	390.00	4.0
PATTEN & PATTEN	067	IDXX	S	500	56.37	n/a	22-Apr	25.00	5.0
PATTEN & PATTEN	067	INTC	S	300	19.77	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	ITT	B	800	59.31	25-Jul	25-Jul	40.00	5.0
BUCK CAPITAL MGMT	001	IVZ	S	75,000	24.54	4-Aug	15-Sep	3,000.00	4.0
WANGER FUNDS/GREENWICH	031	IVZ	S	11,000	24.28	4-Aug	15-Sep	440.00	4.0
JP MORGAN VENTURES	046	IYT	C	50,000	90.62	n/a	n/a	1,500.00	3.0
PATTEN & PATTEN	067	IYT	S	200	90.64	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	JAVA	S	250	9.10	n/a	n/a	12.50	5.0
BUCK CAPITAL MGMT	001	JCG	B	60,000	29.59	n/a	27-Aug	2,400.00	4.0
COUGAR TRADING	044	JCG	B	35,000	30.05	n/a	27-Aug	1,750.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	29.22	n/a	27-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	20,000	40.96	n/a	5-Sep	800.00	4.0
JP MORGAN VENTURES	046	JNJ	C	50,000	69.99	n/a	22-Apr	2,500.00	5.0
BUCK CAPITAL MGMT	001	JNY	SS	40,000	19.72	n/a	30-Jul	1,600.00	4.0
KLEINHEINZ CAP PART	031	JPM	S	75,000	37.99	15-Sep	15-Sep	3,750.00	5.0
PATTEN & PATTEN	067	JPM	S	600	38.88	15-Sep	15-Sep	30.00	5.0
SANDLER O'NEILL ASSET	031	JPM	B	50,000	37.65	15-Sep	15-Sep	2,500.00	5.0
COUGAR TRADING	044	JWN	S	5,000	33.82	10-Jul	5-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	KMX	SS	50,000	15.14	n/a	10-Jan	2,000.00	4.0
WEISS PECK	040	KMX	SS	12,200	14.96	n/a	10-Jan	610.00	5.0
COUGAR TRADING	044	KSS	B	10,000	50.90	n/a	5-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	KSS	SS	10,000	50.46	n/a	5-Sep	500.00	5.0
BUCK	015	LEHPRL	S	1,700	0.22	n/a	n/a	0.00	0.0
WHEELER	008	LEH	S	15,000	0.19	11-Sep	15-Sep	0.00	0.0
LEDDY	035	LEH	S	6,000	0.30	11-Sep	15-Sep	0.00	0.0
SUTERA	160	LEH	S	2,500	0.19	11-Sep	15-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	LL	B	10,000	14.02	n/a	n/a	400.00	4.0
N STRATTON	014	LNET	S	700	3.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LOW	B	20,000	25.00	n/a	27-Jul	800.00	4.0
PATTEN & PATTEN	067	LOW	S	400	25.18	n/a	27-Jul	20.00	5.0
BMO NESBITT BURNS	041	LPX	B	50,000	10.58	n/a	11-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	MAR	SS	20,000	27.60	n/a	n/a	800.00	4.0
MAGNETAR FINANCIAL	031	MCHP	SS	75,000	29.22	n/a	n/a	2,250.00	3.0
KAICHER	064	MDR	B	1,000	29.00	n/a	n/a	0.00	0.0
BUCK	015	MER	C	1,500	21.55	24-Jun	15-Sep	0.00	0.0
MERRILL ASSET	032	MFC	B	23,100	34.39	n/a	n/a	1,039.50	4.5
BUCK	015	MHS	S	1,200	50.17	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MIC	S	1,750	18.21	n/a	n/a	87.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	MOO	B	5,350	42.78	n/a	n/a	267.50	5.0
EPOCH INV MGMT	030	MO	S	58,200	20.93	n/a	n/a	2,328.00	4.0
PATTEN & PATTEN	067	MSFT	S	400	27.22	n/a	3-Apr	20.00	5.0
OGORMAN	046	MSIE	B	5	9.50	n/a	n/a	0.00	0.0
GRUBER MACBAINE	033	MS	B	25,000	33.43	15-Sep	15-Sep	1,000.00	4.0
PATTEN & PATTEN	067	MS	S	1,400	32.95	15-Sep	15-Sep	70.00	5.0
EMP ERROR	099	MS	B	1,500	31.32	15-Sep	15-Sep	0.00	0.0
EMP ERROR	099	MS	C	1,500	34.39	15-Sep	15-Sep	0.00	0.0
OGORMAN	046	MWO	B	1,000	10.89	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	22.60	n/a	n/a	1,200.00	4.0
THIRD AVE MGMT	030	NAL	S	84,100	14.46	n/a	n/a	3,364.00	4.0
KAICHER	064	NOG	S	3,000	6.38	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	NTRS	B	50,000	84.38	3-Sep	15-Sep	2,500.00	5.0
PATTEN & PATTEN	067	NT	S	62	5.23	n/a	22-Mar	3.10	5.0
GOLDMAN SACHS ASSET MGMT	044	OI	S	150,000	36.11	n/a	n/a	3,000.00	2.0
PATTEN & PATTEN	067	OSK	S	650	12.35	n/a	n/a	32.50	5.0
PATTEN & PATTEN	067	PCL	S	900	49.34	n/a	11-Sep	45.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	PFE	S	50,000	18.26	n/a	31-Mar	2,500.00	5.0
TRELLUS PARTNERS LP	028	PH	C	12,500	58.73	1-Aug	1-Aug	625.00	5.0
THOMSON HORSTMAN BRYANT	040	PNRA	S	35,000	49.72	4-Sep	4-Sep	1,750.00	5.0
PATTEN & PATTEN	067	PRU	S	150	77.40	n/a	n/a	7.50	5.0
BASIX	033	PSS	B	45,000	17.06	n/a	n/a	1,350.00	3.0
BUCK CAPITAL MGMT	001	PSS	B	35,000	17.51	n/a	n/a	1,400.00	4.0
PATTEN & PATTEN	067	RF	S	158	11.66	n/a	n/a	7.90	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	72.14	n/a	28-Aug	400.00	4.0
COUGAR TRADING	044	RL	SS	2,500	71.23	n/a	28-Aug	125.00	5.0
MERRILL ASSET	032	RNR	S	19,400	52.69	n/a	n/a	953.00	4.6
BUCK CAPITAL MGMT	001	RSH	B	20,000	18.90	n/a	n/a	800.00	4.0
CASTLE ARK	031	SCHW	B	381,930	23.19	n/a	n/a	22,915.80	6.0
STRAUSS ASSET MGMT	040	SNEN	B	2,000	5.72	n/a	n/a	80.00	4.0
BUCK	015	SPY	B	200	123.66	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SRZ	S	200	16.65	n/a	n/a	10.00	5.0
THE JAY GOLDMAN	034	SSI	B	30,000	15.02	n/a	5-Sep	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	SSO	S	30,000	55.53	n/a	n/a	1,500.00	5.0
SUTERA	160	SSO	S	1,000	56.31	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TGT	S	5,000	55.57	n/a	5-Sep	250.00	5.0
GRONET	030	THOR	S	500	26.85	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TIF	B	10,000	40.10	n/a	28-Aug	500.00	5.0
COUGAR TRADING	044	TIF	SS	5,200	40.20	n/a	28-Aug	260.00	5.0
THIRD AVE MGMT	030	TLAB	B	23,050	4.41	n/a	22-Mar	922.00	4.0
PRINCIPLE CAPITAL	040	TPX	S	574,800	10.46	n/a	n/a	17,244.00	3.0
PATTEN & PATTEN	067	TWTC	S	1,000	11.16	n/a	4-Jan	50.00	5.0
T. ROWE PRICE	033	TWX	B	798,700	14.30	n/a	n/a	23,961.00	3.0
PATTEN & PATTEN	067	TXN	B	500	22.11	n/a	n/a	25.00	5.0
JP MORGAN VENTURES	046	VRX	C	19,000	18.79	n/a	n/a	950.00	5.0
FARALLON CAP MGMT	040	WAG	S	97,600	34.91	n/a	n/a	3,904.00	4.0
NATIONAL BK OF CAN	031	WB	B	40,000	10.76	n/a	n/a	1,600.00	4.0
PATTEN & PATTEN	067	WB	S	200	11.14	n/a	n/a	10.00	5.0
LUCHANSKY	036	WB	S	100	12.96	n/a	n/a	0.00	0.0
LEDDY	035	WM	S	2,100	2.09	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	WRC	B	15,000	50.60	8-Aug	28-Aug	750.00	5.0
N STRATTON	014	WUHAH	S	2	2.15	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WY	B	5,800	55.43	n/a	11-Sep	290.00	5.0
MAGNETAR FINANCIAL	031	XLE	SS	100,000	65.66	n/a	n/a	3,000.00	3.0
MORGAN BANK /JPM	012	XLI	S	633,800	33.22	n/a	n/a	19,014.00	3.0
PATTEN & PATTEN	067	XLU	S	300	35.97	n/a	n/a	15.00	5.0
TOTAL (Trade Date) :							213,372.95		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/11	PALMYRA CAPITAL (PALMGSCO)	048	CHS	B	40,000	7.37	8-Aug	5-Sep	2000.00 5.0
AO,CRT	09/11	PALMYRA CAPITAL (PALMGSCO)	048	CHS	B	40,000	7.37	8-Aug	5-Sep	1200.00 3.0
CRT	09/15	SOLARIS INV MGMT (SOLA15)	029	EBAY	S	200	22.47	n/a	n/a	10.00 5.0
CRT	09/15	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	62,500	41.27	n/a	n/a	2500.00 4.0
AO,	09/12	STRONG/MARK GRONET (SCMGST2231)	030	JBLU	S	505	5.97	n/a	n/a	15.15 3.0
AO,	09/12	STRONG/MARK GRONET (SCMG200722)	030	JBLU	S	1,400	5.97	n/a	n/a	42.00 3.0
AO,	09/12	STRONG/MARK GRONET (SCMG187746)	030	JBLU	S	480	5.97	n/a	n/a	14.40 3.0
AO,	09/12	STRONG/MARK GRONET (SCMGST589)	030	JBLU	S	375	5.97	n/a	n/a	11.25 3.0
AO,	09/12	STRONG/MARK GRONET (SCMGST588)	030	JBLU	S	90	5.97	n/a	n/a	2.70 3.0
AO,	09/12	STRONG/MARK GRONET (SCMGST569)	030	JBLU	S	15	5.97	n/a	n/a	0.45 3.0
AO,	09/12	STRONG/MARK GRONET (SCMGST574)	030	JBLU	S	720	5.97	n/a	n/a	21.60 3.0
AO,	09/12	STRONG/MARK GRONET (SCMGST821)	030	JBLU	S	565	5.97	n/a	n/a	16.95 3.0
AO,	09/12	STRONG/MARK GRONET (SCMGST268)	030	JBLU	S	2,025	5.97	n/a	n/a	60.75 3.0
AO,	09/12	STRONG/MARK GRONET (SCMGST606)	030	JBLU	S	425	5.97	n/a	n/a	12.75 3.0
AO,	09/12	STRONG/MARK GRONET (SCMGST13)	030	JBLU	S	400	5.97	n/a	n/a	12.00 3.0
AO,	09/12	DIAMONDBACK CAP MGMT (DIAMMSMAIN)	232	LPX	B	3,500	11.43	n/a	11-Sep	175.00 5.0
AO,	09/12	DIAMONDBACK CAP MGMT (DIAMMSMAIN)	232	LPX	B	16,500	11.39	n/a	11-Sep	825.00 5.0
CRT	09/15	EMP ERROR (EMP ERROR)	099	MS	C	1,500	34.39	15-Sep	15-Sep	0.00 0.0
AO,CXL	09/12	BASIX (BASIUBS)	033	PSS	B	40,000	16.92	n/a	n/a	1600.00 4.0
AO,CRT	09/12	BASIX (BASIUBS)	033	PSS	B	40,000	16.92	n/a	n/a	1200.00 3.0
AO,	09/12	DIAMONDBACK CAP MGMT (DIAMMSMAIN)	232	SSCC	S	15,900	6.74	30-Jul	11-Sep	795.00 5.0
AO,	09/12	DIAMONDBACK CAP MGMT (DIAMMSMAIN)	232	SSCC	S	4,100	6.62	30-Jul	11-Sep	205.00 5.0
AO,CRT	09/12	HAYMAN CAPITAL (HAYMBEARPB)	031	XRT	SS	100,000	33.01	n/a	n/a	3000.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/12	HAYMAN CAPITAL (HAYMGSPB)	031	XRT	SS	100,000	33.01	n/a	n/a	3000.00 3.0

TOTAL (AO, CXL, CRT) :									3,520.00	
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TOTAL (Trade Date) :									213,372.95	
TOTAL (AO, CXL, CRT) :									3,520.00	

TOTAL (RUN DATE) / NFS :									216,892.95	
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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