



## Daily Compliance Activity Report

Trade Date: 09/04/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ENTRUST CAPITAL	040	AEO	S	77,000	15.53	n/a	29-Aug	3,850.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>51.13</b>	<b>7-Aug</b>	<b>29-Aug</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	B	5,000	52.10	7-Aug	29-Aug	250.00	5.0
REINHART & MAHONEY	031	ANF	S	14,250	51.01	7-Aug	29-Aug	712.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AN</b>	<b>SS</b>	<b>68,800</b>	<b>12.15</b>	<b>25-Jul</b>	<b>28-Jul</b>	<b>2,752.00</b>	<b>4.0</b>
MUHLENKAMP FUND	046	APC	S	310,600	58.00	n/a	26-Aug	15,530.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>ARGN</b>	<b>S</b>	<b>1,700</b>	<b>7.58</b>	<b>3-Sep</b>	<b>3-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>25,000</b>	<b>35.72</b>	<b>28-Apr</b>	<b>29-Aug</b>	<b>1,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	S	5,000	36.24	28-Apr	29-Aug	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ARO	SS	40,000	35.57	28-Apr	29-Aug	2,000.00	5.0
HUNTER GLOBAL INVESTOR	067	AZN	S	100,000	46.40	n/a	n/a	5,000.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>BIG</b>	<b>SS</b>	<b>500</b>	<b>30.38</b>	<b>29-May</b>	<b>3-Sep</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	BK	B	25,000	34.98	n/a	15-Aug	1,250.00	5.0
THIRD POINT MGMT	044	BYI	C	75,000	33.99	n/a	n/a	3,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>B</b>	<b>30,000</b>	<b>6.41</b>	<b>8-Aug</b>	<b>29-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
MERRILL ASSET	032	CRR	S	10,600	54.17	29-Aug	3-Sep	530.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	CSCO	B	2,500	22.40	n/a	22-Mar	125.00	5.0
AMBER CAPITAL	046	CTL	B	140,400	39.37	n/a	n/a	5,616.00	4.0
BUCK CAPITAL MGMT	001	DAI	SS	10,000	58.87	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	22.18	22-Aug	22-Aug	400.00	4.0
HOLDEN CAPITAL MGMT	035	DRL	B	39,900	13.53	n/a	n/a	1,995.00	5.0
MAGUIRE	039	DSW	S	500	14.80	8-May	29-Aug	0.00	0.0
CATTANI	041	DVN	B	250	92.33	7-May	21-Aug	0.00	0.0
KORMAN	003	EL	C	1,000	51.50	15-Aug	4-Sep	0.00	0.0
HIGHBRIDGE CAPITAL	038	FISV	B	4,000	50.57	n/a	n/a	200.00	5.0
PILOT ADV	038	FL	S	54,500	17.51	11-Aug	22-Aug	2,180.00	4.0
HIGHBRIDGE CAPITAL	038	FTI	B	20,000	48.68	n/a	n/a	1,000.00	5.0
MAGUIRE	039	FXEUT	S	5	6.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	S	3,000	37.48	n/a	10-Jan	120.00	4.0
COLUMBUS CIRCLE	036	GENZ	S	389,750	76.24	n/a	n/a	15,590.00	4.0
ZOLIDIS	011	GESIH	S	10	1.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAKLER	029	GESIH	S	8	1.60	n/a	n/a	0.00	0.0
HART	056	GESIH	S	10	1.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	10,000	39.34	n/a	n/a	400.00	4.0
REINHART & MAHONEY	031	GES	B	15,370	39.29	n/a	n/a	768.50	5.0
WYCKOFF	013	GES	S	100	39.04	n/a	n/a	0.00	0.0
GRONET	030	GES	S	500	40.34	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	GE	B	3,200	28.09	n/a	n/a	160.00	5.0
WILLIAM BLAIR	031	GILD	S	168,700	50.40	n/a	n/a	6,748.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	40,000	23.10	14-Aug	14-Aug	1,600.00	4.0
COLUMBUS CIRCLE	036	GIS	B	30,409	67.24	n/a	n/a	1,216.36	4.0
EFSTATHIOU	044	GLWIW	B	40	0.25	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	GLW	B	20,000	16.77	n/a	4-Sep	1,000.00	5.0
LBACCICIND	005	GLW	B	1,000	16.31	n/a	4-Sep	0.00	0.0
GLICK	059	GPS	S	400	19.44	n/a	29-Aug	0.00	0.0
MCCARTAN	028	GR	SS	100	48.92	5-Jun	24-Jul	0.00	0.0
COUGAR TRADING	044	GYMB	B	5,000	40.54	11-Jul	29-Aug	250.00	5.0
WHITE PINE CAPITAL	030	HRS	B	2,000	49.47	2-Jun	6-Aug	100.00	5.0
PILOT ADV	038	HSC	SS	12,500	48.85	23-Apr	29-Jul	500.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Raghav Nayar		HWD	B	110	18.2400	n/a	n/a	0.00	0.0
LISTED ERR	099	IP	B	186	28.18	1-Aug	1-Aug	0.00	0.0
COUGAR TRADING	044	JCG	SS	20,000	29.13	n/a	27-Aug	1,000.00	5.0
COUGAR TRADING	044	JWN	B	5,000	32.59	10-Jul	29-Aug	250.00	5.0
COUGAR TRADING	044	KSS	SS	20,000	51.47	n/a	29-Aug	1,000.00	5.0
EGS ASSOCIATES LP	091	LIZ	B	4,500	17.10	n/a	28-Aug	270.00	6.0
ROTHSCHILD ASSET	040	LVB	B	46,910	28.92	n/a	n/a	2,110.95	4.5
KAICHER	064	MDR	B	2,000	28.29	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	MHS	B	17,980	48.46	n/a	n/a	899.00	5.0
EGS ASSOCIATES LP	091	M	B	3,000	21.03	12-Aug	29-Aug	180.00	6.0
THE JAY GOLDMAN	034	M	B	10,000	20.97	12-Aug	29-Aug	400.00	4.0
NEUBERGER BERMAN	036	NFX	B	26,510	39.52	n/a	n/a	1,192.95	4.5
HUNTER GLOBAL INVESTOR	067	NVS	S	100,000	53.46	n/a	n/a	5,000.00	5.0
LBACCICIND	005	PERF	S	2,000	21.53	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	PKG	B	25,000	25.40	22-Jul	22-Jul	1,250.00	5.0
COUGAR TRADING	044	PSUN	B	10,000	6.46	n/a	29-Aug	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	PVH	B	25,000	40.32	5-May	28-Aug	1,250.00	5.0
CLOVIS CAPITAL	012	RL	SS	100,000	75.18	n/a	28-Aug	5,000.00	5.0
KLEINHEINZ CAP PART	031	RL	S	150,000	73.61	n/a	28-Aug	7,500.00	5.0
<b>ZOLIDIS</b>	<b>MAR</b>	<b>SHOEQ</b>	<b>C</b>	<b>2,000</b>	<b>0.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>SLB</b>	<b>S</b>	<b>250</b>	<b>89.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	SSO	B	5,000	59.92	n/a	n/a	250.00	5.0
COUGAR TRADING	044	SSO	S	5,000	57.55	n/a	n/a	250.00	5.0
REINHART & MAHONEY	031	STJ	S	25,736	45.37	n/a	n/a	1,286.80	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>30,000</b>	<b>54.61</b>	<b>n/a</b>	<b>3-Sep</b>	<b>1,200.00</b>	<b>4.0</b>
<b>LBACCICIND</b>	<b>005</b>	<b>TIN</b>	<b>S</b>	<b>2,000</b>	<b>17.47</b>	<b>29-Apr</b>	<b>30-Jul</b>	<b>0.00</b>	<b>0.0</b>
GLOBAL 56 LLC	060	TJX	B	3,000	34.41	11-Aug	29-Aug	120.00	4.0
VENTANA CAPITAL	060	TJX	B	2,000	34.21	11-Aug	29-Aug	80.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>TM</b>	<b>SS</b>	<b>100</b>	<b>88.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	T	B	4,600	32.24	n/a	4-Jan	230.00	5.0
REINHART & MAHONEY	031	VAR	S	14,394	64.04	n/a	n/a	719.70	5.0
LAGRANGE CAP ADV	048	VIP	B	10,000	22.53	n/a	n/a	500.00	5.0
MS PRINCIPAL STRATEGIES	041	WFC	B	25,000	30.19	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>N STRATTON</b>	<b>014</b>	<b>WHDAE</b>	<b>S</b>	<b>2</b>	<b>7.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	WLT	S	12,087	74.54	n/a	n/a	543.93	4.5
COUGAR TRADING	044	WMT	B	5,000	60.75	8-Aug	4-Sep	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>40,000</b>	<b>49.98</b>	<b>8-Aug</b>	<b>28-Aug</b>	<b>1,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	ZQK	B	20,000	8.41	27-Aug	27-Aug	800.00	4.0
SCOPUS FUND	041	ZQK	B	72,409	7.21	27-Aug	27-Aug	3,620.45	5.0
<b>TOTAL (Trade Date):</b>							<b>118,497.14</b>		

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/03	HIGHFIELDS CAP MGMT (HIGFBSPB)	039	AA	B	150,000	29.58	n/a	n/a	6000.00 4.0
AO,	09/03	NOMURA CAPITAL (NOMUSTRATE)	045	AKS	SS	1,500	45.30	n/a	n/a	75.00 5.0
AO,	09/03	NOMURA CAPITAL (NOMUBATT2)	045	AKS	SS	1,625	45.30	n/a	n/a	81.25 5.0
AO,	09/03	NOMURA CAPITAL (NOMUBSMAN)	045	AKS	SS	1,875	45.30	n/a	n/a	93.75 5.0
AO,	09/03	REINHART & MAHONEY (REINDOEJON)	031	CAG	S	75	19.81	n/a	n/a	3.75 5.0
AO,	09/03	REINHART & MAHONEY (REINDOEJES)	031	CAG	S	150	19.81	n/a	n/a	7.50 5.0
AO,	09/03	REINHART & MAHONEY (REINDOEJEN)	031	CAG	S	75	19.81	n/a	n/a	3.75 5.0
AO,	09/03	REINHART & MAHONEY (REINDOER76)	031	CAG	S	275	19.81	n/a	n/a	13.75 5.0
AO,	09/03	REINHART & MAHONEY (REINDOER73)	031	CAG	S	75	19.81	n/a	n/a	3.75 5.0
AO,	09/03	TRELLUS PARTNERS LP (TRELMEER)	028	GPI	SS	1,720	22.64	10-Jun	30-Jul	86.00 5.0
AO,	09/03	TRELLUS PARTNERS LP (TRELGS)	028	GPI	SS	1,720	22.64	10-Jun	30-Jul	86.00 5.0
AO,	09/03	TRELLUS PARTNERS LP (TRELMAIN)	028	GPI	SS	26,560	22.64	10-Jun	30-Jul	1328.00 5.0
AO,	09/02	MILLENIUM PARTNERS (MILPOMNIST)	028	IP	B	5,000	27.52	1-Aug	1-Aug	250.00 5.0
AO,	09/03	TRELLUS PARTNERS LP (TRELMEER)	028	JCI	SS	670	30.90	3-Sep	3-Sep	33.50 5.0
AO,	09/03	TRELLUS PARTNERS LP (TRELGS)	028	JCI	SS	670	30.90	3-Sep	3-Sep	33.50 5.0
AO,	09/03	TRELLUS PARTNERS LP (TRELMAIN)	028	JCI	SS	8,660	30.90	3-Sep	3-Sep	433.00 5.0
AO,CXL	09/03	SCOPUS FUND (SCOPBANC O)	041	PKG	B	12,456	26.79	22-Jul	22-Jul	622.80 5.0
AO,CRT	09/03	SCOPUS FUND (SCOPBANC O)	041	PKG	B	11,764	26.79	22-Jul	22-Jul	588.20 5.0
AO,CXL	09/03	SCOPUS FUND (SCOPUBS)	041	PKG	B	56,744	26.79	22-Jul	22-Jul	2837.20 5.0
AO,CRT	09/03	SCOPUS FUND (SCOPUBS)	041	PKG	B	57,436	26.79	22-Jul	22-Jul	2871.80 5.0
AO,CXL	09/03	COUGAR TRADING (COUGPB MS)	044	PSUN	S	10,000	6.92	n/a	29-Aug	500.00 5.0
AO,CRT	09/03	COUGAR TRADING (COUGPB MS)	044	PSUN	S	10,000	6.92	n/a	29-Aug	400.00 4.0
AO,CXL	09/03	SCOPUS FUND (SCOPBANC O)	041	SSCC	B	4,968	5.58	30-Jul	30-Jul	248.40 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/03	SCOPUS FUND (SCOPBANC O)	041	SSCC	B	4,692	5.58	30-Jul	30-Jul	234.60 5.0
AO,CXL	09/03	SCOPUS FUND (SCOPUBS)	041	SSCC	B	22,632	5.58	30-Jul	30-Jul	1131.60 5.0
AO,CRT	09/03	SCOPUS FUND (SCOPUBS)	041	SSCC	B	22,908	5.58	30-Jul	30-Jul	1145.40 5.0
AO,	08/26	GOLDMAN SACHS ASSET MGMT (GSAM2691)	044	UTX	S	1,270	64.81	n/a	n/a	50.80 4.0
AO,CXL	08/26	GOLDMAN SACHS ASSET MGMT (GSAM2691)	044	UTX	S	1,270	64.81	n/a	n/a	50.80 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>8,432.50</b>

TOTAL (Trade Date):										118,497.14
TOTAL (AO, CXL, CRT):										8,432.50
<b>TOTAL (RUN DATE) / NFS:</b>										<b>126,929.64</b>



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