



Daily Compliance Activity Report

Trade Date: 09/03/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	AAFJI	S	15	1.43	n/a	n/a	0.00	0.0
BENCHMARK	028	ABX	S	10,000	31.31	n/a	n/a	500.00	5.0
HIGHBRIDGE/MS OLDS	041	ACS	S	40,016	53.66	n/a	n/a	1,600.64	4.0
COUGAR TRADING	044	AEO	B	5,000	15.43	n/a	29-Aug	250.00	5.0
ENTRUST CAPITAL	040	AEO	S	100,200	15.39	n/a	29-Aug	5,010.00	5.0
GRISANTI BROWN & PARTNER	048	AEO	B	14,200	15.30	n/a	29-Aug	710.00	5.0
MOORE CAPITAL	036	ALTR	B	50,000	21.11	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	ANF	B	7,500	55.03	7-Aug	29-Aug	375.00	5.0
BRENCOURT	028	AN	SS	50,000	12.36	25-Jul	28-Jul	2,500.00	5.0
WAGONHOUND/NIC	048	AN	SS	6,515	12.64	25-Jul	28-Jul	260.60	4.0
COUGAR TRADING	044	ARO	B	5,000	35.72	28-Apr	29-Aug	250.00	5.0
PILOT ADV	038	ARW	SS	27,300	31.84	n/a	n/a	1,092.00	4.0
PRINCIPLE CAPITAL	040	BC	SS	85,400	14.04	n/a	n/a	2,562.00	3.0
BRENCOURT	028	BWA	SS	50,000	40.23	10-Jun	1-Aug	2,500.00	5.0
CASTLEROCK	040	BWA	SS	74,400	40.23	10-Jun	1-Aug	2,976.00	4.0
TRELLUS PARTNERS LP	028	BWA	SS	20,000	40.41	10-Jun	1-Aug	1,000.00	5.0
HOLDEN CAPITAL MGMT	035	CAG	SS	20,000	19.50	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	CAG	S	25,100	19.81	n/a	n/a	1,255.00	5.0
LEDDY	035	CAT	C	300	67.55	n/a	18-Aug	0.00	0.0
MFP INVESTORS	032	CBT	S	100,000	30.10	n/a	24-Jul	5,000.00	5.0
J L F ASSET MGMT	039	CEC	B	32,700	37.14	n/a	n/a	1,308.00	4.0
COLUMBIA PARTNERS	028	CHK	SS	19,400	45.01	n/a	n/a	776.00	4.0
CATTANI	041	CHK	S	400	45.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	B	100,000	6.15	8-Aug	29-Aug	4,000.00	4.0
MS PRINCIPAL STRATEGIES	041	CLMS	SS	13,000	22.68	13-Aug	3-Sep	650.00	5.0
SIGMA CAPITAL ASSOCIATES	237	COST	S	25,000	67.39	n/a	27-Jul	1,250.00	5.0
J L F ASSET MGMT	039	DBRN	B	75,400	17.18	n/a	n/a	3,016.00	4.0
ZOLIDIS	011	DECK	S	100	115.00	n/a	n/a	0.00	0.0
CLOVIS CAPITAL	012	FLR	SS	50,000	71.33	n/a	n/a	2,500.00	5.0
WAGONHOUND/NIC	048	FL	S	1,608	16.95	11-Aug	22-Aug	64.32	4.0
BUCK	015	FREIA	B	40	1.10	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	FTI	B	12,000	48.34	n/a	n/a	600.00	5.0
KAICHER	064	FTO	B	2,000	18.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAICHER	064	FTO	S	2,000	18.98	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	F	SS	100,000	4.60	25-Jul	28-Aug	3,000.00	3.0
KORMAN	003	F	SS	5,000	4.60	25-Jul	28-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	38.44	n/a	10-Jan	400.00	4.0
ZOLIDIS	011	GESIH	B	10	1.15	n/a	n/a	0.00	0.0
PAKLER	029	GESIH	B	8	1.20	n/a	n/a	0.00	0.0
HART	056	GESIH	B	10	1.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	15,000	38.35	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	60,000	24.06	14-Aug	14-Aug	2,400.00	4.0
BUCK	015	GISUM	S	10	0.75	n/a	n/a	0.00	0.0
AAD CAPITAL	048	GLW	B	1,100,000	17.79	n/a	3-Sep	33,000.00	3.0
CASTLE ARK	031	GLW	S	187,441	17.58	n/a	3-Sep	11,246.46	6.0
MAIRS AND POWER INV	030	GLW	B	20,000	18.00	n/a	3-Sep	1,000.00	5.0
J COHEN	N27	GLW	B	60	17.08	n/a	3-Sep	0.00	0.0
HEALY CIRCLE	044	GM	B	25,000	11.40	4-Aug	28-Aug	1,250.00	5.0
WAGONHOUND/NIC	048	GM	SS	12,743	10.83	4-Aug	28-Aug	509.72	4.0
DSG CAPITAL	225	GNTX	SS	15,000	16.14	24-Jun	28-Jul	750.00	5.0
RAMIUS CAP	040	GNTX	SS	50,000	16.11	24-Jun	28-Jul	2,500.00	5.0
COUGAR TRADING	044	GPS	B	5,000	19.96	n/a	29-Aug	250.00	5.0
GLICK	059	GPS	B	400	19.76	n/a	29-Aug	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	IP	SS	25,000	28.22	1-Aug	1-Aug	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	IP	B	10,000	28.22	1-Aug	1-Aug	500.00	5.0
PILOT ROCK	028	IP	B	75,186	28.27	1-Aug	1-Aug	3,007.44	4.0
LISTED ERR	099	IP	SS	186	28.27	1-Aug	1-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	JCG	S	50,000	29.88	n/a	27-Aug	2,500.00	5.0
COUGAR TRADING	044	JCG	S	10,000	29.82	n/a	27-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	100,000	41.58	n/a	29-Aug	4,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	20,000	20.82	n/a	30-Jul	800.00	4.0
COUGAR TRADING	044	JWN	B	5,000	32.33	10-Jul	29-Aug	250.00	5.0
COUGAR TRADING	044	JWN	S	5,000	33.31	10-Jul	29-Aug	250.00	5.0
THE JAY GOLDMAN	034	JWN	SS	50,000	33.01	10-Jul	29-Aug	2,000.00	4.0
LISTED ERR	099	JWN	B	2,400	33.30	10-Jul	29-Aug	0.00	0.0
LISTED ERR	099	JWN	S	2,400	33.31	10-Jul	29-Aug	0.00	0.0
WYCKOFF	013	KCP	S	100	17.04	n/a	28-Sep	0.00	0.0
ZOLIDIS	011	KMX	S	500	16.09	n/a	10-Jan	0.00	0.0
COUGAR TRADING	044	KSS	B	5,000	51.17	n/a	29-Aug	250.00	5.0
COUGAR TRADING	044	KSS	S	5,000	52.09	n/a	29-Aug	250.00	5.0
WEISS PECK	040	KSS	SS	7,800	51.20	n/a	29-Aug	390.00	5.0
LEDDY	035	LEH	S	800	16.40	20-Aug	20-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	LL	B	30,000	14.69	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	LMT	B	100,000	116.47	n/a	n/a	4,000.00	4.0
RAINIER INV MGMT	035	MDR	B	119,050	29.93	n/a	n/a	4,762.00	4.0
TRIVIUM CAP MGMT	251	MFE	C	25,000	38.54	n/a	3-Apr	1,000.00	4.0
CHIARMONTE	N10	MSFT	S	20	26.93	n/a	3-Apr	0.00	0.0
KAICHER	064	MS	S	2,000	41.78	15-Aug	15-Aug	0.00	0.0
MOORE CAPITAL	036	MYL	S	129,400	12.68	30-May	3-Sep	5,176.00	4.0
BUCK CAPITAL MGMT	001	M	B	120,000	21.88	12-Aug	29-Aug	4,800.00	4.0
REICH AND TANG	067	NCS	S	30,700	37.56	n/a	n/a	1,535.00	5.0
BUCK CAPITAL MGMT	001	OXM	B	35,000	24.62	n/a	n/a	1,400.00	4.0
J L F ASSET MGMT	039	PETM	B	114,679	28.40	n/a	n/a	4,587.16	4.0
BASIX	033	PKG	B	50,000	26.28	22-Jul	22-Jul	2,000.00	4.0
BMO NESBITT BURNS	041	PKG	B	50,000	26.33	22-Jul	22-Jul	2,500.00	5.0
SCOPUS FUND	041	PKG	B	69,200	26.79	22-Jul	22-Jul	3,460.00	5.0
BRIGADE CAPITAL MGMT	029	PLCE	S	75,000	41.79	21-Aug	21-Aug	2,250.00	3.0
BUCK CAPITAL MGMT	001	PSS	B	100,000	15.61	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	PSUN	S	10,000	6.92	n/a	29-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	PVH	S	500	39.75	5-May	28-Aug	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	B	25,000	4.01	n/a	n/a	1,500.00	6.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	75.35	n/a	28-Aug	400.00	4.0
HARVEST MGMT	039	ROST	B	20,000	40.37	n/a	n/a	1,000.00	5.0
J ROSEIND	034	SLB	B	100	88.43	n/a	n/a	0.00	0.0
CATTANI	041	SLB	B	250	87.87	n/a	n/a	0.00	0.0
SCOPUS FUND	041	SSCC	B	27,600	5.58	30-Jul	30-Jul	1,380.00	5.0
J COHEN	N27	SSO	S	14	60.72	n/a	n/a	0.00	0.0
MERRILL ASSET	032	STC	S	18,500	18.75	n/a	n/a	832.50	4.5
CLOVIS CAPITAL	012	SWY	S	150,000	27.07	n/a	n/a	7,500.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	54.74	n/a	3-Sep	800.00	4.0
MILLENIUM PARTNERS	028	TJX	B	20,000	36.62	11-Aug	29-Aug	1,000.00	5.0
EFSTATHIOU	044	TWTC	S	1,000	16.03	n/a	4-Jan	0.00	0.0
COLE	N24	URRE	B	300	3.18	n/a	n/a	0.00	0.0
LEDDY	035	VC	S	4,500	3.52	n/a	31-Jul	0.00	0.0
WALKER SMITH	031	WINN	SS	28,200	14.50	n/a	n/a	1,410.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	WY	B	25,000	55.67	n/a	6-Aug	1,250.00	5.0
WASHINGTON ASSET	048	WY	B	10,000	55.87	n/a	6-Aug	500.00	5.0
TOTAL (Trade Date) :								178,601.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/02	HIGHBRIDGE CAPITAL (HIGBNEW)	038	BNI	B	10,324	107.46	n/a	n/a	516.20 5.0
AO,CXL	09/02	HIGHBRIDGE/MS OLDS (HIBCMAIN)	041	BNI	B	10,324	107.46	n/a	n/a	516.20 5.0
CRT	09/03	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GIL	B	59,900	24.06	14-Aug	14-Aug	2396.00 4.0
CRT	09/03	AAD CAPITAL (AADCMSPB)	048	GLW	B	1,100,000	17.79	n/a	3-Sep	33000.00 3.0
AO,CXL	09/02	MILLENIUM PARTNERS (MILPMELANI)	028	IP	B	5,000	27.52	1-Aug	1-Aug	250.00 5.0
AO,CXL	09/02	HIGHBRIDGE CAPITAL (HIGBNEW)	038	MCHP	SS	100,102	32.37	n/a	n/a	5005.10 5.0
AO,CRT	09/02	HIGHBRIDGE/MS OLDS (HIBCLEHMAN)	041	MCHP	SS	100,102	32.37	n/a	n/a	5005.10 5.0
AO,	09/02	GENERAL MOTORS INV CO (GMICNFRU)	040	MDY	S	4,000	146.45	n/a	n/a	160.00 4.0
AO,CXL	08/28	MORGAN BANK /JPM (JPMBA98531)	012	SPY	B	94,250	129.51	n/a	n/a	2827.50 3.0
AO,	08/28	MORGAN BANK /JPM (JPMBA98531)	012	SPY	B	94,250	129.51	n/a	n/a	2827.50 3.0
AO,CRT	08/27	HOTCHKIS & WILEY (HOTS1239)	035	SWY	B	100	25.86	n/a	n/a	5.00 5.0
AO,CXL	08/27	HOTCHKIS & WILEY (&HOTS1239)	035	SWY	B	100	25.86	n/a	n/a	5.00 5.0
AO,	09/02	GENERAL MOTORS INV CO (GMICNFRU)	040	WFC	B	20,000	30.81	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										36,106.00

TOTAL (Trade Date):	178,601.84
TOTAL (AO, CXL, CRT):	36,106.00

TOTAL (RUN DATE) / NFS:

214,707.84

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