



Daily Compliance Activity Report

Trade Date: 10/17/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ABC	S	15,150	31.10	n/a	n/a	530.25	3.5
ARIENCE CAPITAL	036	ACN	SS	15,800	31.41	n/a	n/a	790.00	5.0
PZENA INV ADV	044	ACS	S	7,325	43.23	n/a	n/a	256.38	3.5
COUGAR TRADING	044	AEO	B	5,000	9.81	n/a	10-Oct	250.00	5.0
PZENA INV ADV	044	ALL	S	15,350	29.70	n/a	n/a	537.25	3.5
PZENA INV ADV	044	AMGN	S	5,625	51.76	n/a	26-Jan	196.88	3.5
SUN AMERICA ASSET MGMT	030	ANF	S	13,200	30.38	7-Aug	10-Oct	660.00	5.0
BEAR STEARNS ASSET MGMT.	033	ANN	C	17,400	14.45	n/a	8-Oct	696.00	4.0
LUCHANSKY1	036	AOC	B	200	38.70	n/a	n/a	0.00	0.0
SINCLAIR	031	APCEG	B	25	7.50	n/a	n/a	0.00	0.0
SINCLAIR	031	APCEG	S	25	9.40	n/a	n/a	0.00	0.0
LUCHANSKY1	036	APC	B	100	36.89	n/a	14-Oct	0.00	0.0
DECADE CAPITAL PARTNERS	040	BAC	B	75,000	23.97	15-Oct	17-Oct	3,750.00	5.0
PZENA INV ADV	044	BAC	S	26,550	24.01	15-Oct	17-Oct	929.25	3.5
BEAR STEARNS ASSET MGMT.	033	BBBY	C	17,400	24.88	n/a	n/a	696.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	BBY	C	8,900	24.48	n/a	27-Jul	356.00	4.0
BUCK CAPITAL MGMT	001	BBY	B	100,000	25.21	n/a	27-Jul	4,000.00	4.0
PZENA INV ADV	044	BMY	S	22,525	17.12	n/a	n/a	788.38	3.5
PZENA INV ADV	044	BP	S	6,500	42.89	n/a	n/a	227.50	3.5
COUGAR TRADING	044	BWA	SS	5,000	22.08	10-Jun	17-Oct	250.00	5.0
SOROS	036	BWA	SS	95,000	21.14	10-Jun	17-Oct	3,800.00	4.0
ROYCE TRADING	216	CAB	B	5,000	9.63	n/a	n/a	250.00	5.0
PZENA INV ADV	044	CA	S	23,700	14.94	n/a	n/a	829.50	3.5
ROYCE TRADING	216	CCC	S	5,000	17.25	n/a	n/a	250.00	5.0
RAINIER INV MGMT	035	CGX	S	29,400	14.68	n/a	n/a	1,470.00	5.0
PZENA INV ADV	044	CMA	S	9,250	30.03	n/a	n/a	323.75	3.5
PRINCIPLE CAPITAL	040	COH	SS	59,300	18.18	8-Oct	8-Oct	1,779.00	3.0
SANDLER CAPITAL	038	COH	SS	120,000	18.21	8-Oct	8-Oct	6,000.00	5.0
ROYCE TRADING	216	CR	B	10,000	19.15	n/a	n/a	500.00	5.0
PZENA INV ADV	044	C	S	49,375	16.00	15-Sep	17-Oct	1,728.13	3.5
SANDLER O'NEILL ASSET	031	C	B	40,000	15.11	15-Sep	17-Oct	2,000.00	5.0
KAICHER	064	C	B	2,000	15.14	15-Sep	17-Oct	0.00	0.0
COUGAR TRADING	044	DAI	B	10,000	34.37	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	DAI	SS	10,000	33.62	n/a	n/a	500.00	5.0
TROUBH PART	067	DAL	S	50,000	8.50	n/a	n/a	2,500.00	5.0
AMATURO	018	DAVWI	B	20	5.25	n/a	n/a	0.00	0.0
AMATURO	018	DAVWI	S	20	5.45	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	DBRN	S	1,400	8.75	n/a	n/a	56.00	4.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	800	35.08	n/a	15-Oct	32.00	4.0
BRUNNER	012	DUG	B	500	47.78	n/a	n/a	0.00	0.0
DECADE CAPITAL PARTNERS	040	FHN	B	30,000	10.98	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	24.09	n/a	10-Jan	400.00	4.0
JP MORGAN VENTURES	046	GIL	S	15,000	20.68	8-Sep	16-Oct	750.00	5.0
EFSTATHIOU	044	GTE	S	500	2.37	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	GT	S	9,900	11.56	n/a	n/a	495.00	5.0
ARIENCE CAPITAL	036	HON	SS	49,900	29.46	3-Oct	17-Oct	2,495.00	5.0
ROYCE TRADING	216	HOV	B	10,000	4.97	n/a	n/a	300.00	3.0
DECADE CAPITAL PARTNERS	040	HTH	B	30,000	9.06	n/a	n/a	1,500.00	5.0
PRINCIPLE CAPITAL	040	INTC	B	100,000	15.90	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	IN	B	5,000	13.84	n/a	n/a	250.00	5.0
TALA MANAGEMENT	041	IWM	B	9,268	53.95	n/a	n/a	463.40	5.0
CASTLE ARK	031	JBHT	B	153,280	30.03	n/a	n/a	9,196.80	6.0
COUGAR TRADING	044	JCG	B	5,000	19.35	n/a	17-Sep	250.00	5.0
LUCHANSKY1	036	KO	B	100	45.86	n/a	n/a	0.00	0.0
N STRATTON	014	LBY	B	200	3.15	n/a	n/a	0.00	0.0
N STRATTON	014	LEG	C	850	16.00	n/a	n/a	0.00	0.0
MTB INV ADV	034	LNCE	B	15,975	21.30	n/a	n/a	798.75	5.0
SOROS	036	LOW	SS	437,000	18.02	n/a	27-Jul	17,480.00	4.0
BUCK	015	MER	B	1,000	18.09	n/a	17-Oct	0.00	0.0
BUCK	015	MET	SS	500	32.96	n/a	n/a	0.00	0.0
SOROS	036	MGA	SS	58,000	34.44	n/a	n/a	2,320.00	4.0
BUCK	015	MO	B	1,000	19.66	n/a	n/a	0.00	0.0
BUCK	015	MWO	S	1,400	13.05	n/a	n/a	0.00	0.0
FORD FDN.	032	MYL	S	118,100	8.20	30-May	16-Oct	5,905.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	M	B	15,000	10.06	12-Aug	10-Oct	750.00	5.0
NOLAN	067	NCC	B	600	3.00	n/a	n/a	0.00	0.0
J ROSEALEX	034	NKE	S	100	57.28	n/a	n/a	0.00	0.0
J ROSEIND	034	NKE	S	100	57.40	n/a	n/a	0.00	0.0
J ROSEVIC	034	NKE	S	100	57.40	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	B	5,000	3.26	n/a	13-Oct	150.00	3.0
SCOPUS FUND	041	PCL	B	7,900	39.30	n/a	15-Oct	395.00	5.0
CATTANI	041	PEP	B	100	54.50	n/a	n/a	0.00	0.0
CATTANI	041	PG	S	100	62.50	10-Oct	10-Oct	0.00	0.0
S.A.C. CAPITAL MGMT.	044	PHM	B	50,000	10.40	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	PPG	B	16,000	49.09	n/a	16-Oct	800.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	51,000	28.80	8-Oct	8-Oct	2,040.00	4.0
MTB INV ADV	034	RAH	B	5,300	65.35	n/a	n/a	265.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	46.37	n/a	8-Oct	2,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	RL	B	26,900	46.11	n/a	8-Oct	1,076.00	4.0
CATAPULT	040	ROH	SS	4,000	71.35	n/a	11-Sep	200.00	5.0
BRUNNER	012	SDS	B	500	95.83	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EFSTATHIOU	044	SDS	B	100	91.93	n/a	n/a	0.00	0.0
PORTER-ORLIN-FELDMAN	044	SGP	B	42,000	14.74	n/a	n/a	2,100.00	5.0
THE BOSTON COMPANY	401	SKX	B	30,980	12.85	n/a	13-Mar	1,239.20	4.0
LEDDY	035	SLB	B	200	49.07	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SLB	B	200	51.06	n/a	n/a	0.00	0.0
CATAPULT	040	SLX	S	8,100	35.00	n/a	n/a	405.00	5.0
EFSTATHIOU	044	SMG	SS	500	24.00	22-Sep	22-Sep	0.00	0.0
CUMBERLAND	038	SPY	SS	100,000	96.38	n/a	n/a	4,000.00	4.0
BRUNNER	012	SSO	S	500	31.12	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SUP	SS	10,000	13.47	17-Oct	17-Oct	500.00	5.0
SOROS	036	SUP	SS	150,000	13.49	17-Oct	17-Oct	6,000.00	4.0
SINCLAIR	031	SWGKU	B	10	5.65	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGWN	B	30	5.64	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGXL	S	30	5.15	n/a	n/a	0.00	0.0
PZENA INV ADV	044	TEL	B	1,250	20.48	n/a	n/a	43.75	3.5
ADAGE CAPITAL MGMT	030	TJX	B	150,000	26.98	11-Aug	10-Oct	6,000.00	4.0
PHILADELPHIA FINANCIAL	033	TROW	SS	68,000	39.27	19-Sep	17-Oct	2,720.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	24.80	n/a	n/a	400.00	4.0
COUGAR TRADING	044	TWB	S	10,000	8.17	n/a	1-Oct	400.00	4.0
EFSTATHIOU	044	VC	S	3,000	1.22	17-Oct	17-Oct	0.00	0.0
COUGAR TRADING	044	VFC	SS	5,000	55.84	n/a	n/a	250.00	5.0
DECADE CAPITAL PARTNERS	040	VLY	B	9,836	18.21	n/a	n/a	491.80	5.0
DECADE CAPITAL PARTNERS	040	WCBO	B	25,000	12.76	n/a	n/a	1,250.00	5.0
DECADE CAPITAL PARTNERS	040	WFC	SS	52,000	34.13	n/a	n/a	2,600.00	5.0
BUCK CAPITAL MGMT	001	WMT	B	50,000	54.72	10-Oct	10-Oct	2,000.00	4.0
THIRD POINT MGMT	044	WMT	C	246,300	54.06	10-Oct	10-Oct	9,852.00	4.0
TOTAL (Trade Date):								134,963.97	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/16	COUGAR TRADING (COUGCITI)	044	AEO	B	15,000	9.56	n/a	10-Oct	750.00 5.0
AO,CRT	10/16	COUGAR TRADING (COUGPB MS)	044	AEO	B	15,000	9.56	n/a	10-Oct	750.00 5.0
CRT	10/17	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	BAC	B	75,000	23.97	15-Oct	17-Oct	3750.00 5.0
AO,	10/06	BULL PATH CAPITAL (BULLJPHQ)	044	CPKI	B	3,302	11.62	8-Oct	13-Oct	165.10 5.0
AO,CXL	10/06	BULL PATH CAPITAL (BULLPB BOA)	044	CPKI	B	25,000	11.62	8-Oct	13-Oct	1250.00 5.0
AO,CRT	10/06	BULL PATH CAPITAL (BULLPB BOA)	044	CPKI	B	21,698	11.62	8-Oct	13-Oct	1084.90 5.0
AO,CXL	10/16	BULL PATH CAPITAL (BULLJPHQ)	044	DRI	S	10,553	20.25	13-Oct	13-Oct	527.65 5.0
AO,	10/16	BULL PATH CAPITAL (BULLJPHQ)	044	DRI	S	9,316	20.25	13-Oct	13-Oct	465.80 5.0
AO,CXL	10/16	BULL PATH CAPITAL (BULLPB BOA)	044	DRI	S	22,447	20.25	13-Oct	13-Oct	1122.35 5.0
AO,	10/16	BULL PATH CAPITAL (BULLPB BOA)	044	DRI	S	23,684	20.25	13-Oct	13-Oct	1184.20 5.0
AO,	10/16	PZENA INV ADV (PZEN1602)	044	JNJ	S	1,675	62.42	n/a	22-Apr	0.00 0.0
AO,CXL	10/16	PZENA INV ADV (PZEN1600)	044	JNJ	S	1,675	62.42	n/a	22-Apr	58.63 3.5
AO,	10/16	ENDEAVOUR CAPITAL (ENDEBANC O)	035	JPM	B	83,200	37.45	26-Sep	17-Oct	4160.00 5.0
AO,CXL	10/16	SLS CAPITAL LLC (SLSCMSMAIN)	224	M	S	263,700	8.22	12-Aug	10-Oct	10548.00 4.0
AO,CRT	10/16	SLS CAPITAL LLC (SLSCMSMAIN)	224	M	S	263,700	8.22	12-Aug	10-Oct	7911.00 3.0
AO,CXL	10/16	COUGAR TRADING (COUGCITI)	044	NWY	B	25,000	3.23	n/a	13-Oct	750.00 3.0
AO,CRT	10/16	COUGAR TRADING (COUGPB MS)	044	NWY	B	25,000	3.23	n/a	13-Oct	750.00 3.0
AO,	10/16	NOMURA CAPITAL (NOMUSTRATE)	045	PTRY	S	4,151	19.00	n/a	n/a	207.55 5.0
AO,	10/16	NOMURA CAPITAL (NOMUBATT2)	045	PTRY	S	4,200	19.00	n/a	n/a	210.00 5.0
AO,	10/16	NOMURA CAPITAL (NOMUBSMAIN)	045	PTRY	S	5,049	19.00	n/a	n/a	252.45 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	10/16	PERFORMANCE PART LP #2 (PERPP2MGMT)	041	WY	B	3,000	38.62	n/a 15-Oct	150.00 5.0
AO,CXL	10/16	PERFORMANCE PART LP #2 (PERPP2PART)	041	WY	B	15,000	38.62	n/a 15-Oct	750.00 5.0
AO,CRT	10/16	PERFORMANCE PART LP #2 (PERPP2PART)	041	WY	B	12,000	38.62	n/a 15-Oct	600.00 5.0

TOTAL (AO, CXL, CRT) : **5,884.37**

TOTAL (Trade Date): 134,963.97
TOTAL (AO, CXL, CRT): 5,884.37

TOTAL (RUN DATE) / NFS: **140,848.34**

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