



# Daily Compliance Activity Report

Trade Date: 08/01/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	ABB	S	45,700	25.78	n/a	n/a	1,371.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>13.88</b>	<b>6-Mar</b>	<b>1-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	B	10,000	13.88	6-Mar	1-Aug	500.00	5.0
JP MORGAN VENTURES	046	AEO	B	50,000	13.89	6-Mar	1-Aug	2,500.00	5.0
<b>OTC ERROR</b>	<b>099</b>	<b>AFSI</b>	<b>S</b>	<b>50</b>	<b>14.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COOKBIELER	028	ALV	B	49,130	38.47	23-Jul	30-Jul	1,965.20	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>170,000</b>	<b>55.17</b>	<b>10-Jul</b>	<b>28-Jul</b>	<b>6,800.00</b>	<b>4.0</b>
HARVEST MGMT	039	ANF	S	20,000	55.36	10-Jul	28-Jul	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>SS</b>	<b>20,000</b>	<b>22.50</b>	<b>14-Mar</b>	<b>11-Jul</b>	<b>800.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>ARGN</b>	<b>B</b>	<b>2,000</b>	<b>6.75</b>	<b>24-Jun</b>	<b>17-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>ARO</b>	<b>SS</b>	<b>52,700</b>	<b>32.30</b>	<b>28-Apr</b>	<b>1-Aug</b>	<b>2,635.00</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>20,000</b>	<b>32.23</b>	<b>28-Apr</b>	<b>1-Aug</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	B	5,000	32.20	28-Apr	1-Aug	250.00	5.0
<b>LBACMELISA</b>	<b>005</b>	<b>AXE</b>	<b>S</b>	<b>1,000</b>	<b>67.09</b>	<b>28-Mar</b>	<b>23-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>LBACCICIRA</b>	<b>005</b>	<b>AXE</b>	<b>S</b>	<b>1,000</b>	<b>67.15</b>	<b>28-Mar</b>	<b>23-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>LBACCICIND</b>	<b>005</b>	<b>AXE</b>	<b>S</b>	<b>2,000</b>	<b>67.26</b>	<b>28-Mar</b>	<b>23-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>BACUA</b>	<b>S</b>	<b>15</b>	<b>1.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	BAC	SS	15,000	32.94	n/a	29-Jul	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	BBT	B	15,000	29.03	n/a	n/a	750.00	5.0
HEARTLAND FUNDS	031	BGG	S	43,500	13.67	n/a	n/a	2,175.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>CHKHJ</b>	<b>S</b>	<b>10</b>	<b>2.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>CHKJJ</b>	<b>S</b>	<b>6</b>	<b>5.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	CHRW	S	48,600	47.89	n/a	n/a	1,944.00	4.0
CATAPULT	040	COF	SS	15,000	41.00	n/a	29-Jul	750.00	5.0
SAC TRADING HOWARD	038	COST	B	25,000	62.38	n/a	27-Jul	1,250.00	5.0
WESTLANE CAPITAL	044	DE	B	7,000	70.39	n/a	23-May	350.00	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>DKS</b>	<b>S</b>	<b>256,000</b>	<b>17.56</b>	<b>7-Jul</b>	<b>9-Jul</b>	<b>12,800.00</b>	<b>5.0</b>
METROPOLITAN CAPITAL	044	DSW	S	30,100	13.70	8-May	9-Jul	1,505.00	5.0
LEVIN CAPITAL STRATEGIES	012	EMR	B	10,000	48.59	n/a	n/a	400.00	4.0
NOMURA CAPITAL	045	EYE	SS	12,000	17.05	n/a	n/a	600.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>100,000</b>	<b>14.67</b>	<b>1-Aug</b>	<b>1-Aug</b>	<b>4,000.00</b>	<b>4.0</b>
REINHART & MAHONEY	031	FTO	S	2,880	18.34	n/a	n/a	144.00	5.0
FIRST NY SEC/CHRIS	041	GAP	B	10,000	15.59	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>WHEELER</b>	<b>008</b>	<b>GFG</b>	<b>S</b>	<b>15,000</b>	<b>3.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WAGONHOUND/NIC	048	GLW	B	16,950	19.93	n/a	30-Jul	678.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>GMTB</b>	<b>S</b>	<b>100</b>	<b>0.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRENCOURT	028	GM	B	25,000	10.50	24-Jun	31-Jul	1,250.00	5.0
HEALY CIRCLE	044	GM	B	13,000	10.10	24-Jun	31-Jul	650.00	5.0
BALYASNY ASSET MGMT	044	GNTX	SS	10,000	15.25	24-Jun	28-Jul	500.00	5.0
TRELLUS PARTNERS LP	028	GNTX	SS	20,000	15.41	24-Jun	28-Jul	1,000.00	5.0
JP MORGAN VENTURES	046	GPS	SS	10,000	16.39	n/a	11-Jul	500.00	5.0
SANDLER O'NEILL ASSET	031	GS	B	10,000	181.59	19-Mar	14-Jul	500.00	5.0
COUGAR TRADING	044	GYMB	B	10,000	37.13	11-Jul	11-Jul	500.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	37.03	11-Jul	11-Jul	250.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>HEMGF</b>	<b>B</b>	<b>200</b>	<b>3.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	HOC	S	2,220	28.79	n/a	n/a	111.00	5.0
BMO NESBITT BURNS	041	IP	SS	60,000	29.09	1-Aug	1-Aug	3,000.00	5.0
RAINIER INV MGMT	035	ITC	B	23,075	50.35	n/a	n/a	1,153.75	5.0
WENTWORTH HAUSER VIOLICH	033	ITW	S	347,692	46.95	20-May	23-May	13,907.68	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>10,000</b>	<b>29.96</b>	<b>n/a</b>	<b>1-Aug</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCP	SS	10,000	30.50	n/a	1-Aug	500.00	5.0
JP MORGAN VENTURES	046	JCP	B	20,000	30.22	n/a	1-Aug	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	JEF	SS	26,300	18.85	n/a	n/a	1,052.00	4.0
JP MORGAN VENTURES	046	JNY	S	40,000	16.49	n/a	30-Jul	2,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	KAMN	S	20,000	25.70	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	012	KFT	SS	20,000	31.96	n/a	n/a	800.00	4.0
STRONG/MARK GRONET	030	KRE	S	50,595	31.01	n/a	n/a	2,023.80	4.0
STRONG/WELL HOWARD	038	KRE	S	90	31.01	n/a	n/a	3.60	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>SS</b>	<b>40,000</b>	<b>12.85</b>	<b>n/a</b>	<b>25-Jul</b>	<b>1,600.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>LYHVV</b>	<b>B</b>	<b>40</b>	<b>1.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRONTPOINT CHRIS C	041	MCRS	SS	3,900	30.73	n/a	n/a	156.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MHK</b>	<b>SS</b>	<b>50,000</b>	<b>59.03</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
AVESTA CAP	229	MHS	S	25,000	48.89	n/a	n/a	1,250.00	5.0
SANDLER O'NEILL ASSET	031	MS	S	25,000	41.09	n/a	14-Jul	1,250.00	5.0
CATAPULT	040	MTB	SS	15,000	71.22	n/a	n/a	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	MV	S	36,310	22.70	n/a	n/a	1,452.40	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>NBRLH</b>	<b>B</b>	<b>40</b>	<b>2.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	NBRLJ	S	145	0.70	n/a	n/a	0.00	0.0
LBACCICIND	005	NFC	B	2,000	15.20	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	NFLX	B	30,000	29.17	n/a	n/a	1,500.00	5.0
LBACCICIND	005	NGK	B	2,000	15.64	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	NKE	B	25,000	59.73	n/a	n/a	1,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	NNN	B	174,900	21.62	n/a	n/a	6,558.75	3.8
JP MORGAN VENTURES	046	NWL	B	10,000	16.40	n/a	n/a	500.00	5.0
MERRILL ASSET	032	PM	B	15,500	52.40	n/a	n/a	697.50	4.5
COUGAR TRADING	044	PSUN	B	20,000	8.85	n/a	1-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	12,500	34.27	5-May	18-Jul	500.00	4.0
ZOLIDIS	011	QUKHF	B	10	1.30	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	RAH	B	25,000	53.19	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	RYN	B	15,000	46.13	n/a	24-Jul	675.00	4.5
NOMURA CAPITAL	045	SGLP	B	3,200	9.39	n/a	n/a	128.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	40,000	18.82	n/a	13-Mar	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	SMG	SS	15,000	25.34	6-May	24-Jun	750.00	5.0
HIGHBRIDGE CAPITAL	038	TIN	SS	79,605	16.06	29-Apr	30-Jul	3,980.25	5.0
HIGHBRIDGE CAPITAL	038	TIN	S	125,000	16.10	29-Apr	30-Jul	6,250.00	5.0
SLS CAPITAL LLC	224	TIN	B	56,500	16.24	29-Apr	30-Jul	2,260.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>30,000</b>	<b>13.95</b>	<b>17-Apr</b>	<b>23-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
REINHART & MAHONEY	031	TNL	B	5,000	14.12	n/a	n/a	250.00	5.0
PRINCIPLE CAPITAL	040	TPX	S	126,100	9.51	n/a	n/a	2,522.00	2.0
VISIUM/BALY HOWARD	038	USTR	S	10,000	42.08	n/a	27-Jul	500.00	5.0
MS PRINCIPAL STRATEGIES	041	VCLK	S	45,000	10.96	n/a	n/a	2,250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>VC</b>	<b>B</b>	<b>4,000</b>	<b>2.90</b>	<b>n/a</b>	<b>31-Jul</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	VNO	B	9,000	94.21	n/a	n/a	405.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WFMI</b>	<b>SS</b>	<b>20,000</b>	<b>21.50</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>23,000</b>	<b>41.77</b>	<b>13-May</b>	<b>18-Jul</b>	<b>920.00</b>	<b>4.0</b>
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>WRC</b>	<b>B</b>	<b>4,500</b>	<b>42.18</b>	<b>13-May</b>	<b>18-Jul</b>	<b>270.00</b>	<b>6.0</b>
<b>TOTAL (Trade Date) :</b>							<b>126,993.93</b>		

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/31	NICOLAS APPEGATE (APPL1634)	048	ACE	B	1,800	50.65	n/a	n/a	72.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL1305)	048	ACE	B	1,700	50.65	n/a	n/a	68.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL1662)	048	ACE	B	12,500	50.65	n/a	n/a	500.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL1429)	048	ACE	B	10,400	50.65	n/a	n/a	416.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL420)	048	ACE	B	8,600	50.65	n/a	n/a	344.00 4.0
AO,	07/31	NICOLAS APPEGATE (APPL1639)	048	ACE	B	45,000	50.65	n/a	n/a	1800.00 4.0
<b>AO,CXL</b>	<b>07/31</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>AFSI</b>	<b>B</b>	<b>50</b>	<b>14.46</b>	<b>n/a</b>	<b>n/a</b>	<b>2.50 5.0</b>
<b>AO,</b>	<b>07/31</b>	<b>OTC ERROR (OTC ERROR)</b>	<b>099</b>	<b>AFSI</b>	<b>B</b>	<b>50</b>	<b>14.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,	07/31	REINHART & MAHONEY (REINHENLJT)	031	AFSI	B	1,400	14.46	n/a	n/a	70.00 5.0
AO,	07/31	REINHART & MAHONEY (REINDBSC)	031	AFSI	B	7,000	14.46	n/a	n/a	350.00 5.0
AO,	07/31	REINHART & MAHONEY (REINCT64SC)	031	AFSI	B	3,200	14.46	n/a	n/a	160.00 5.0
AO,CXL	07/31	REINHART & MAHONEY (REINALLNFD)	031	AFSI	B	1,400	14.46	n/a	n/a	70.00 5.0
AO,CXL	07/31	REINHART & MAHONEY (REINALLNFD)	031	AFSI	B	7,000	14.46	n/a	n/a	350.00 5.0
AO,CXL	07/31	REINHART & MAHONEY (REINALLNFD)	031	AFSI	B	3,200	14.46	n/a	n/a	160.00 5.0
AO,	07/31	COLUMBUS CIRCLE (COLC4440)	036	HAL	B	71,000	45.13	n/a	n/a	2840.00 4.0
<b>AO,CXL</b>	<b>07/31</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>80,000</b>	<b>41.63</b>	<b>n/a</b>	<b>1-Aug</b>	<b>3200.00 4.0</b>
<b>AO,CRT</b>	<b>07/31</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>79,900</b>	<b>41.63</b>	<b>n/a</b>	<b>1-Aug</b>	<b>3196.00 4.0</b>
<b>AO,</b>	<b>07/31</b>	<b>BUCK CAPITAL MGMT (BUCKGIL)</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>100</b>	<b>41.63</b>	<b>n/a</b>	<b>1-Aug</b>	<b>4.00 4.0</b>
AO,CXL	07/31	COUGAR TRADING (COUGPB MS)	044	PZN	S	25,000	9.07	30-Jul	30-Jul	1250.00 5.0
AO,CRT	07/31	COUGAR TRADING (COUGPB MS)	044	PZN	S	25,000	9.07	30-Jul	30-Jul	1000.00 4.0
AO,CXL	07/29	COLUMBUS CIRCLE (COLCCALL01)	036	STJ	B	50	46.93	n/a	n/a	2.00 4.0
AO,CRT	07/29	COLUMBUS CIRCLE (COLCCALL01)	036	STJ	B	50	46.93	n/a	n/a	2.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/30	SYSTEMATIC FINANCIAL MGT (SYST221)	035	TIN	B	700	15.30	29-Apr	30-Jul	26.25 3.8
AO,CRT	07/30	SYSTEMATIC FINANCIAL MGT (SYST221)	035	TIN	B	700	15.30	29-Apr	30-Jul	26.25 3.8
AO,CXL	07/30	SYSTEMATIC FINANCIAL MGT (SYST220)	035	TIN	B	1,100	15.30	29-Apr	30-Jul	41.25 3.8
AO,CRT	07/30	SYSTEMATIC FINANCIAL MGT (SYST220)	035	TIN	B	1,100	15.30	29-Apr	30-Jul	41.25 3.8

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>5,787.50</b>
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TOTAL (Trade Date):	126,993.93
TOTAL (AO, CXL, CRT):	5,787.50

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>132,781.43</b>
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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