



Daily Compliance Activity Report

Trade Date: 10/09/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 2

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	AAPL	B	200	90.48	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	ACW	B	75,000	0.71	n/a	n/a	1,500.00	2.0
BUCK CAPITAL MGMT	001	AEO	B	60,000	11.06	n/a	9-Oct	2,400.00	4.0
COUGAR TRADING	044	AEO	B	5,000	11.75	n/a	9-Oct	250.00	5.0
JMP ASSET MGMT	210	AEO	B	1,000	11.15	n/a	9-Oct	50.00	5.0
MERRILL ASSET	032	AEO	B	75,200	11.51	n/a	9-Oct	3,384.00	4.5
THE BOSTON COMPANY	401	AEO	B	4,200	11.70	n/a	9-Oct	168.00	4.0
THE BOSTON COMPANY	401	AEO	S	57,000	11.05	n/a	9-Oct	2,280.00	4.0
CATTANI	041	AEO	S	100	11.01	n/a	9-Oct	0.00	0.0
NEW JERSEY DIV OF INV.	220	AIG	S	600,000	2.69	n/a	n/a	24,000.00	4.0
FIRST NY SEC/CHRIS	041	ANF	B	10,000	30.02	7-Aug	9-Oct	600.00	6.0
SYSTEMATIC FINANCIAL MGT	035	ANF	B	18,600	29.05	7-Aug	9-Oct	697.50	3.8
THE BOSTON COMPANY	401	ANF	S	14,000	29.57	7-Aug	9-Oct	560.00	4.0
BEAR STEARNS ASSET MGMT.	033	ANN	SS	21,800	17.60	n/a	8-Oct	872.00	4.0
CHRISTENSE	022	APC	S	1,000	31.35	n/a	2-Oct	0.00	0.0
HARTIRRL	056	ARGN	S	92	4.42	3-Sep	3-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	26.70	n/a	3-Oct	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	ARO	B	20,000	24.56	n/a	3-Oct	800.00	4.0
COLE	077	BAM	B	100	18.28	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE BOSTON COMPANY	401	BBY	C	18,830	28.72	n/a	27-Jul	753.20	4.0
COLE	077	BEAV	B	100	9.21	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	BEN	B	90,000	66.04	9-Oct	9-Oct	3,600.00	4.0
SANDLER O'NEILL ASSET	031	BEN	S	11,800	66.72	9-Oct	9-Oct	590.00	5.0
BUCK CAPITAL MGMT	001	BIG	SS	20,000	24.10	29-May	9-Oct	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	BIG	B	49,200	24.70	29-May	9-Oct	2,460.00	5.0
SUTERA	060	BIG	C	2,000	22.55	29-May	9-Oct	0.00	0.0
CHARTER OAK	033	BRKB	B	1,0183,974.54		n/a	n/a	203.60	20.0
COLE	077	BZ	B	3,773	0.64	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CAB	B	10,000	8.60	n/a	n/a	500.00	5.0
BUCK	015	CAS	B	60	0.28	n/a	n/a	0.00	0.0
KAICHER	064	CBI	S	1,000	12.51	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CB	S	1,328	42.12	n/a	n/a	66.40	5.0
HART	056	CHCG	S	780	1.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	S	50,000	4.04	8-Aug	9-Oct	2,000.00	4.0
ROYCE TRADING	216	CIR	B	5,000	33.74	n/a	n/a	250.00	5.0
WHEELER	008	CITPRA	B	1,600	5.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATTANI	041	CLDN	S	300	9.45	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	COH	SS	123,800	17.82	8-Oct	8-Oct	3,714.00	3.0
TROUBH PART	067	COP	S	25,000	59.00	n/a	n/a	1,250.00	5.0
CHRISTENSE	022	COP	S	600	56.05	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	20000	9.5300	n/a	n/a	0.00	0.0
	008	CPN	S	16,577	9.97	n/a	n/a	0.00	0.0
LITESPEED	028	DAI	SS	125,000	33.78	n/a	n/a	3,750.00	3.0
LISTED ERR	099	DAI	B	100,000	33.78	n/a	n/a	0.00	0.0
LISTED ERR	099	DAI	S	100,000	33.78	n/a	n/a	0.00	0.0
ROYCE TRADING	216	DDS	B	5,000	8.58	n/a	n/a	250.00	5.0
TROUBH PART	067	DELL	S	50,000	13.64	n/a	n/a	2,500.00	5.0
LISTED ERR	099	DIA	B	26,100	91.66	n/a	n/a	0.00	0.0
LISTED ERR	099	DIA	S	26,100	91.66	n/a	n/a	0.00	0.0
PAKLER	029	DIG	S	30	34.86	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	DRI	S	23,516	22.15	26-Aug	18-Sep	1,175.80	5.0
IRIDIAN ASSET MGMT.	036	DVN	S	104,220	65.11	n/a	2-Oct	5,211.00	5.0
LUCHANSKY1	036	EEM	B	200	26.96	n/a	n/a	0.00	0.0
MERRILL ASSET	032	FHN	S	133,500	8.71	n/a	n/a	5,340.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	FL	B	150,000	13.64	7-Oct	7-Oct	6,000.00	4.0
BUCK CAPITAL MGMT	001	FL	S	150,000	14.02	7-Oct	7-Oct	6,000.00	4.0
ZOLIDIS	011	FRED	SS	3,000	10.75	n/a	27-Mar	0.00	0.0
HUNTER GLOBAL INVESTOR	067	FTI	SS	50,000	38.76	n/a	n/a	2,500.00	5.0
BUCK	015	FTQKW	B	12	0.55	n/a	n/a	0.00	0.0
LEDY	035	F	C	1,500	2.52	8-Oct	8-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	27.18	n/a	10-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	B	40,000	27.23	n/a	n/a	1,600.00	4.0
WHEELER	008	GFG	S	10,000	3.41	n/a	n/a	0.00	0.0
HART	056	GMWJ	B	10	2.70	n/a	n/a	0.00	0.0
HOLDEN CAPITAL MGMT	035	GM	B	60,000	5.36	4-Aug	2-Oct	3,000.00	5.0
PORTER-ORLIN-FELDMAN	044	GM	B	100,000	5.81	4-Aug	2-Oct	5,000.00	5.0
LEDY	035	GOOG	B	50	343.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	SS	30,000	15.16	n/a	3-Oct	1,200.00	4.0
COUGAR TRADING	044	GPS	B	5,000	15.52	n/a	3-Oct	250.00	5.0
NATIONAL BK OF CAN	031	GS	B	2,500	100.41	15-Sep	24-Sep	100.00	4.0
COUGAR TRADING	044	GYMB	B	10,000	29.14	11-Jul	3-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAVU CAP ADV	028	HAR	SS	24,600	22.75	n/a	15-Aug	1,230.00	5.0
KAICHER	064	HERO	S	2,000	7.45	n/a	n/a	0.00	0.0
HART	056	ICON	S	195	9.38	n/a	n/a	0.00	0.0
HARTIRRL	056	ICON	S	60	9.40	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	IGT	B	49,200	13.76	n/a	19-Jul	2,460.00	5.0
PAULSON & CO INC	041	IMCL	B	100,000	66.95	n/a	n/a	3,000.00	3.0
CASTLE ARK	031	IP	S	136,340	21.27	22-Sep	22-Sep	8,180.40	6.0
CAVU CAP ADV	028	IP	SS	50,000	21.09	22-Sep	22-Sep	2,500.00	5.0
BENNETT LAWRENCE	045	ITW	C	5,800	35.33	12-Aug	12-Aug	261.00	4.5
SANDLER O'NEILL ASSET	031	IVZ	B	14,700	13.28	6-Oct	9-Oct	735.00	5.0
FRIESS MGMT	033	JNPR	S	1,882,400	17.41	n/a	22-Mar	75,296.00	4.0
MKT MAKER	099	JNPR	B	100	17.41	n/a	22-Mar	0.00	0.0
THE BOSTON COMPANY	401	JNY	S	27,290	14.12	n/a	8-Oct	1,091.60	4.0
CAXTON PART	040	JPM	S	51,217	38.18	26-Sep	9-Oct	1,792.60	3.5
JP MORGAN VENTURES	046	JWN	C	15,000	18.87	8-Oct	8-Oct	750.00	5.0
COLE	077	LBY	S	300	6.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	S	70,000	13.34	n/a	8-Oct	2,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CENTURION GLOBAL MGMT LL	041	LLTC	B	10,000	25.39	n/a	n/a	300.00	3.0
HUNTER GLOBAL INVESTOR	067	LNN	SS	10,000	60.32	n/a	n/a	500.00	5.0
KNOTT PARTNERS	044	LULU	B	15,000	17.79	n/a	n/a	600.00	4.0
WHEELER	008	LZ	B	2,000	31.34	n/a	n/a	0.00	0.0
WHEELER	008	METPRA	B	10,000	9.35	n/a	n/a	0.00	0.0
WHEELER	008	METPRB	B	10,000	13.55	n/a	n/a	0.00	0.0
BUCK	015	MET	SS	1,000	27.52	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	MIC	S	91,100	11.08	n/a	n/a	4,099.50	4.5
BUCK	015	MO	B	1,000	18.41	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	MS	B	5,000	12.55	15-Sep	22-Sep	200.00	4.0
ZOLIDIS	011	MWO	B	2,500	8.00	n/a	n/a	0.00	0.0
OGORMAN	046	MWO	B	1,000	7.50	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	401	MW	C	41,230	17.26	n/a	n/a	1,649.20	4.0
CR INTRINIC INVESTMENT	044	MYL	S	75,000	8.12	30-May	9-Oct	3,750.00	5.0
NEW JERSEY DIV OF INV.	220	NEM	S	33,300	36.32	n/a	n/a	1,332.00	4.0
WHEELER	008	NPO	S	5,000	30.27	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATTANI	041	NTRI	S	200	15.50	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	NT	S	14,989	1.70	n/a	22-Mar	749.45	5.0
BUCK CAPITAL MGMT	001	O	S	10,000	22.04	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PFCB	B	7,000	19.96	n/a	6-Aug	350.00	5.0
TRUST CO/COWEN/CALF.	040	PIR	S	444,161	2.20	n/a	n/a	13,324.83	3.0
MS PRINCIPAL STRATEGIES	041	PTNR	B	43,100	18.87	n/a	n/a	2,155.00	5.0
COUGAR TRADING	044	PVH	B	5,000	32.52	8-Oct	8-Oct	250.00	5.0
NEUBERGER BERMAN	036	RGAA	S	74,600	38.18	n/a	n/a	3,357.00	4.5
BUCK CAPITAL MGMT	001	RL	SS	100,000	51.38	n/a	8-Oct	4,000.00	4.0
MS PRINCIPAL STRATEGIES	041	SHLD	B	20,000	74.56	n/a	n/a	1,000.00	5.0
THE BOSTON COMPANY	401	SKX	S	22,168	12.84	n/a	13-Mar	886.72	4.0
PAKLER	029	SMN	B	13	88.89	n/a	n/a	0.00	0.0
GAULT	063	SOJJI	B	50	1.80	n/a	n/a	0.00	0.0
KAICHER	064	SPNG	S	436,663	0.02	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	031	SPY	B	200,000	93.99	n/a	n/a	6,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KNOTT PARTNERS	044	SSI	B	75,000	9.95	n/a	3-Oct	2,250.00	3.0
TRUSTCO/SUNTRUST	040	SSI	B	20,000	10.44	n/a	3-Oct	640.01	3.2
LUCHANSKY1	036	SSO	B	1,000	36.03	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SSO	S	500	34.67	n/a	n/a	0.00	0.0
BUCK	015	STI	SS	500	36.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SUP	SS	21,600	15.83	25-Jul	8-Aug	864.00	4.0
LEDDY	035	SZK	S	75	95.38	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	TEO	B	38,800	11.64	n/a	n/a	1,940.00	5.0
BUCK CAPITAL MGMT	001	TIF	B	31,000	26.69	n/a	17-Sep	1,240.00	4.0
COUGAR TRADING	044	TIF	SS	5,000	26.79	n/a	17-Sep	250.00	5.0
PRINCIPLE CAPITAL	040	TIF	SS	82,000	26.16	n/a	17-Sep	2,460.00	3.0
LEDDY	035	TIN	B	1,400	13.97	11-Sep	22-Sep	0.00	0.0
JMP ASSET MGMT	210	TITN	B	500	12.95	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	90,000	25.92	11-Aug	3-Oct	3,600.00	4.0
RAIL-SPLITTER	031	TROW	SS	1,747	43.53	19-Sep	9-Oct	87.35	5.0
SANDLER O'NEILL ASSET	031	TROW	SS	6,300	45.26	19-Sep	9-Oct	315.00	5.0
LITESPEED	028	TSN	S	273,500	11.55	n/a	n/a	8,205.00	3.0
BUCK CAPITAL MGMT	001	TWB	B	40,000	7.88	n/a	1-Oct	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	URBN	SS	5,000	24.02	14-Aug	1-Oct	250.00	5.0
MCCARTAN	028	UYG	S	300	9.87	n/a	n/a	0.00	0.0
MCCARTAN	028	VC	S	3,500	1.21	n/a	31-Jul	0.00	0.0
HART	056	VC	S	1,540	1.22	n/a	31-Jul	0.00	0.0
JMP ASSET MGMT	210	WAG	B	4,200	25.86	n/a	n/a	210.00	5.0
HUNTER GLOBAL INVESTOR	067	WFC	B	129,400	29.49	n/a	n/a	6,470.00	5.0
BUCK CAPITAL MGMT	001	WMT	B	10,000	52.04	8-Aug	9-Oct	400.00	4.0
CAXTON PART	040	WMT	S	51,215	53.42	8-Aug	9-Oct	1,792.54	3.5
BUCK CAPITAL MGMT	001	WRC	B	10,000	30.89	8-Oct	8-Oct	400.00	4.0
TOTAL (Trade Date) :							278,124.70		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	10/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	AEO	B	60,000	11.06	n/a	9-Oct	2400.00	4.0
AO,CXL	10/08	THOMAS WEISEL ASSET MGMT (TWAMBSSG02)	035	AEO	B	81,600	11.83	n/a	9-Oct	3264.00	4.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBRO4)	040	AEO	B	100	11.83	n/a	9-Oct	5.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBTHBLO)	040	AEO	B	2,600	11.83	n/a	9-Oct	130.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNB)	040	AEO	B	2,000	11.83	n/a	9-Oct	100.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBNWOMEN)	040	AEO	B	300	11.83	n/a	9-Oct	15.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBSCHNUP)	040	AEO	B	300	11.83	n/a	9-Oct	15.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBMISSNT)	040	AEO	B	1,800	11.83	n/a	9-Oct	90.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBEPALO)	040	AEO	B	14,000	11.83	n/a	9-Oct	700.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBLOCAL5)	040	AEO	B	400	11.83	n/a	9-Oct	20.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBANIX)	040	AEO	B	1,400	11.83	n/a	9-Oct	70.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBNEWSPA)	040	AEO	B	900	11.83	n/a	9-Oct	45.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBCOMMON)	040	AEO	B	4,500	11.83	n/a	9-Oct	225.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBCBANK)	040	AEO	B	200	11.83	n/a	9-Oct	10.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBBMW)	040	AEO	B	1,400	11.83	n/a	9-Oct	70.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBNYIRON)	040	AEO	B	400	11.83	n/a	9-Oct	20.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBALPWFD)	040	AEO	B	300	11.83	n/a	9-Oct	15.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBCITY)	040	AEO	B	14,900	11.83	n/a	9-Oct	745.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBSHELBY)	040	AEO	B	3,600	11.83	n/a	9-Oct	180.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBTEXAS)	040	AEO	B	1,100	11.83	n/a	9-Oct	55.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBSMALL)	040	AEO	B	4,200	11.83	n/a	9-Oct	210.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBSCHMKT)	040	AEO	B	300	11.83	n/a	9-Oct	15.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBLODGE)	040	AEO	B	100	11.83	n/a	9-Oct	5.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBFLSTU)	040	AEO	B	400	11.83	n/a	9-Oct	20.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBFIRE &)	040	AEO	B	3,500	11.83	n/a	9-Oct	175.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBEIB EN)	040	AEO	B	1,200	11.83	n/a	9-Oct	60.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBDESERE)	040	AEO	B	4,900	11.83	n/a	9-Oct	245.00	5.0
AO,	10/08	THOMSON HORSTMAN BRYANT (THNBMISSOU)	040	AEO	B	16,800	11.83	n/a	9-Oct	840.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/08	EPOCH INV MGMT (EPOCELMIRA)	030	BEN	B	460	67.15	9-Oct	9-Oct	18.40 4.0
AO,	10/08	EPOCH INV MGMT (EPOCELMIRA)	030	BEN	B	460	67.15	9-Oct	9-Oct	18.40 4.0
AO,CXL	10/08	THOMAS WEISEL ASSET MGMT (TWAMBSSG02)	035	CVLT	B	3,320	8.93	n/a	n/a	99.60 3.0
AO,	10/08	THOMAS WEISEL ASSET MGMT (TWAMBSSG02)	035	CVLT	B	3,320	8.93	n/a	n/a	99.60 3.0
AO,CXL	10/08	EPOCH INV MGMT (EPOCELMIRA)	030	MSFT	B	210	22.85	n/a	3-Apr	8.40 4.0
AO,	10/08	EPOCH INV MGMT (EPOCELMIRA)	030	MSFT	B	210	22.85	n/a	3-Apr	8.40 4.0
AO,CXL	10/08	PERRY PARTNERS (PERRGOLDMA)	041	NYB	B	100,000	15.00	n/a	n/a	5000.00 5.0
AO,CRT	10/08	PERRY PARTNERS (PERRGOLDMA)	041	NYB	B	100,000	15.00	n/a	n/a	4000.00 4.0
CRT	10/09	LUCHANSKY1 (LUCHANSKY1)	036	SSO	B	100	35.97	n/a	n/a	0.00 0.0
CRT	10/09	LUCHANSKY1 (LUCHANSKY1)	036	SSO	B	100	35.97	n/a	n/a	0.00 0.0
CRT	10/09	LUCHANSKY1 (LUCHANSKY1)	036	SSO	B	100	36.03	n/a	n/a	0.00 0.0
CRT	10/09	LUCHANSKY1 (LUCHANSKY1)	036	SSO	B	100	36.03	n/a	n/a	0.00 0.0
CRT	10/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TJX	B	90,000	25.92	11-Aug	3-Oct	3600.00 4.0
CRT	10/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TWB	B	40,000	7.88	n/a	1-Oct	1600.00 4.0
TOTAL (AO, CXL, CRT) :									7,416.00	

TOTAL (Trade Date):	278,124.70
TOTAL (AO, CXL, CRT):	7,416.00

TOTAL (RUN DATE) / NFS:

285,540.70

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