



Daily Compliance Activity Report

Trade Date: 08/29/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	AB	S	1,500	54.80	15-Jul	18-Aug	0.00	0.0
SINCLAIR	031	ADWJJ	S	11	0.35	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARO	B	10,000	34.46	28-Apr	29-Aug	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ARO	B	100,000	34.98	28-Apr	29-Aug	5,000.00	5.0
BUCK	015	BACUA	B	15	0.66	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	BNI	B	6,200	107.49	n/a	n/a	310.00	5.0
PAW PARTNERS	041	CAJ	B	14,400	44.91	n/a	n/a	576.00	4.0
COLUMBIA PARTNERS	028	CHK	SS	14,648	48.85	n/a	n/a	585.92	4.0
HIGHBRIDGE CAPITAL	038	CNI	B	22,800	52.84	n/a	n/a	1,140.00	5.0
AVESTA CAP	229	CTV	SS	10,000	49.07	n/a	n/a	500.00	5.0
PAW PARTNERS	041	ELY	B	34,600	13.54	n/a	n/a	1,730.00	5.0
HUNTER GLOBAL INVESTOR	067	ETH	SS	36,569	26.98	n/a	n/a	1,828.45	5.0
FRONTPOINT	044	FCL	S	23,600	59.25	n/a	n/a	826.00	3.5
FPAS	031	FCL	S	92,775	59.25	n/a	n/a	3,247.13	3.5
COUGAR TRADING	044	FOSL	B	5,000	29.44	n/a	13-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	FOSL	B	22,371	30.00	n/a	13-Aug	894.84	4.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	36.83	n/a	10-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	B	50,000	37.46	n/a	n/a	2,000.00	4.0
WAGONHOUND/NIC	048	GES	B	236	37.80	n/a	n/a	9.44	4.0
SINCLAIR	031	GMUB	B	20	0.71	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	B	5,000	19.50	n/a	29-Aug	250.00	5.0
PAW PARTNERS	041	GSK	B	12,000	47.33	n/a	n/a	600.00	5.0
NEUBERGER BERMAN	036	HCN	S	19,300	51.78	n/a	n/a	868.50	4.5
FIRST NY SEC/CHRIS	041	IP	B	10,000	27.14	1-Aug	1-Aug	500.00	5.0
FIRST NY SEC/CHRIS	041	IP	S	15,000	27.16	1-Aug	1-Aug	750.00	5.0
SCOPUS FUND	041	IP	B	25,000	27.00	1-Aug	1-Aug	1,250.00	5.0
LISTED ERR	099	IP	B	30,000	27.27	1-Aug	1-Aug	0.00	0.0
COUGAR TRADING	044	KMB	S	15,000	61.81	28-Aug	28-Aug	750.00	5.0
CUMBERLAND	038	KNX	S	25,000	18.31	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	20,000	16.11	n/a	28-Aug	800.00	4.0
PAW PARTNERS	041	LXK	B	11,000	36.17	n/a	n/a	550.00	5.0
N STRATTON	014	MCF	B	150	72.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MER	S	24,000	28.31	24-Jun	15-Aug	960.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRIVIUM CAP MGMT	251	MFE	SS	25,000	39.71	n/a	3-Apr	1,000.00	4.0
NEUBERGER BERMAN	036	MIC	S	27,600	20.88	n/a	n/a	1,242.00	4.5
COUGAR TRADING	044	M	B	10,000	20.39	12-Aug	29-Aug	500.00	5.0
HIGHBRIDGE CAPITAL	038	NSC	B	5,400	74.18	n/a	n/a	270.00	5.0
BUCK CAPITAL MGMT	001	OXM	B	10,000	23.07	n/a	n/a	400.00	4.0
LEDDY	035	PCL	S	700	50.47	n/a	11-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	S	12,000	37.96	5-May	28-Aug	480.00	4.0
DAVIDSON KEMPNER ADVISOR	040	QCOM	B	57,500	52.75	n/a	n/a	2,875.00	5.0
PAKLER	029	RHD	B	375	3.80	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	ROC	B	32,210	37.85	n/a	n/a	1,610.50	5.0
BUCK	015	RYN	B	1,200	45.30	n/a	24-Jul	0.00	0.0
COUGAR TRADING	044	SSO	B	10,000	62.36	n/a	n/a	500.00	5.0
MAIRS AND POWER INV	030	STJ	S	20,000	45.95	n/a	n/a	1,000.00	5.0
GOLD SACHS SPECIAL SIT	030	TEN	SS	30,300	14.73	n/a	n/a	1,515.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	53.49	n/a	20-Aug	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	THI	SS	117,900	31.43	n/a	24-Apr	3,537.00	3.0
GOLD SACHS SPECIAL SIT	030	TRW	SS	36,600	19.23	n/a	n/a	1,830.00	5.0
DALTON GREINER	012	WRC	S	39,967	51.24	8-Aug	28-Aug	1,998.35	5.0
SIGMA CAPITAL ASSOCIATES	237	YUM	S	50,000	35.80	14-Aug	14-Aug	2,500.00	5.0
COUGAR TRADING	044	ZQK	B	25,000	7.72	27-Aug	27-Aug	1,000.00	4.0
TOTAL (Trade Date) :								51,934.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/28	MORGAN BANK /JPM (JPMB98531)	012	SPY	B	94,250	129.51	n/a	n/a	2827.50 3.0
TOTAL (AO, CXL, CRT) :										2,827.50

TOTAL (Trade Date):	51,934.13
TOTAL (AO, CXL, CRT):	2,827.50

TOTAL (RUN DATE) / NFS:	54,761.63
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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