



Daily Compliance Activity Report

Trade Date: 09/12/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	045	AEE	B	51,900	40.25	n/a	n/a	2,076.00	4.0
JMP ASSET MGMT	210	AEO	B	6,500	16.49	n/a	5-Sep	325.00	5.0
METROPOLITAN CAPITAL	044	AEO	S	24,900	16.55	n/a	5-Sep	1,245.00	5.0
BUCK	015	AIGJD	S	10	1.73	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ANF	B	5,000	48.99	7-Aug	5-Sep	250.00	5.0
COUGAR TRADING	044	ANF	S	5,000	48.48	7-Aug	5-Sep	250.00	5.0
LEDDY	035	ARGN	S	1,000	7.97	3-Sep	3-Sep	0.00	0.0
COUGAR TRADING	044	ARO	SS	5,000	34.67	28-Apr	5-Sep	250.00	5.0
BUCK	015	BAC	B	1,500	34.16	n/a	15-Aug	0.00	0.0
FARALLON CAP MGMT	040	BIG	B	59,900	32.89	29-May	5-Sep	2,396.00	4.0
WHEELER	008	BQI	B	700	2.90	n/a	n/a	0.00	0.0
ROBX	302	BTU	S	25,000	53.64	n/a	n/a	1,000.00	4.0
WEISS PECK	040	BWS	B	17,900	15.89	n/a	n/a	895.00	5.0
STRONG/MARK GRONET	030	CBI	B	15,165	25.69	n/a	n/a	606.60	4.0
STRONG/WELL HOWARD	038	CBI	B	1,400	25.69	n/a	n/a	56.00	4.0
NEUBERGER BERMAN	036	CBL	B	35,700	21.70	n/a	n/a	1,606.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	CCK	B	25,000	25.63	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	CE	B	10,000	36.85	n/a	n/a	500.00	5.0
WHEELER	008	CHP	B	10,000	5.75	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	CLMS	SS	4,700	18.42	13-Aug	12-Sep	235.00	5.0
JP MORGAN VENTURES	046	CMCSA	B	25,000	21.77	n/a	4-Jan	1,250.00	5.0
COUGAR TRADING	044	CMG	B	4,000	57.83	12-Sep	12-Sep	200.00	5.0
IRIDIAN ASSET MGMT.	036	CNX	S	7,530	57.16	n/a	n/a	376.50	5.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	19.52	n/a	n/a	800.00	4.0
GOLDMAN SACHS ASSET MGMT	044	CVC	S	350,000	29.82	n/a	4-Jan	7,000.00	2.0
JP MORGAN VENTURES	046	DIN	B	25,000	18.03	n/a	n/a	1,250.00	5.0
HOOVER INV. MGMT	033	DLTR	S	64,200	39.75	n/a	5-Sep	3,210.00	5.0
SOLARIS INV MGMT	029	EL	B	12,000	52.93	15-Aug	4-Sep	600.00	5.0
GAULT	063	EXLP	B	1,200	20.19	n/a	n/a	0.00	0.0
LED DY	035	FIG	S	4,500	9.55	n/a	n/a	0.00	0.0
WEISS PECK	040	GIL	S	29,800	24.32	8-Sep	8-Sep	1,490.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HEALY CIRCLE	044	GM	B	25,000	12.06	4-Aug	4-Sep	1,250.00	5.0
PAULSON & CO INC	041	GS	SS	225,000	157.42	12-Aug	12-Sep	6,750.00	3.0
COUGAR TRADING	044	GYMB	B	10,000	40.42	11-Jul	5-Sep	500.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	41.17	11-Jul	5-Sep	250.00	5.0
ROTHSCHILD ASSET	040	HCN	B	18,908	48.68	n/a	n/a	850.89	4.5
BUCK CAPITAL MGMT	001	HOT	SS	20,000	37.84	n/a	n/a	800.00	4.0
FARALLON CAP MGMT	040	HSP	S	500	39.56	n/a	22-Apr	20.00	4.0
MAGNETAR FINANCIAL	031	HUN	S	80,000	13.08	n/a	n/a	2,400.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	10,000	30.39	11-Sep	11-Sep	500.00	5.0
MILLENIUM KOZLOW	028	IP	S	20,000	30.29	11-Sep	11-Sep	1,000.00	5.0
LEDDY	035	IVZ	S	1,700	25.02	4-Aug	10-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	220,000	30.31	n/a	27-Aug	8,800.00	4.0
JMP ASSET MGMT	210	JCG	SS	400	30.37	n/a	27-Aug	20.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	10,000	41.38	n/a	5-Sep	400.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	40,000	19.75	n/a	30-Jul	1,600.00	4.0
GAULT	063	KOYAH	B	20	2.15	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	SS	5,000	51.06	n/a	5-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	KSS	B	20,000	50.85	n/a	5-Sep	1,000.00	5.0
SOLARIS INV MGMT	029	K	B	11,400	56.13	n/a	n/a	570.00	5.0
BUCK	015	LEHPRL	B	1,800	11.45	n/a	n/a	0.00	0.0
WHEELER	008	LEH	B	15,000	3.80	11-Sep	11-Sep	0.00	0.0
FARALLON CAP MGMT	040	LEN	B	215,000	14.56	n/a	n/a	6,450.00	3.0
LAGRANGE CAP ADV	048	LF	SS	10,000	9.24	n/a	n/a	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	10,000	11.20	n/a	11-Sep	500.00	5.0
BALYASNY ASSET MGMT	044	MCD	SS	25,000	64.78	9-Sep	9-Sep	1,250.00	5.0
SOLARIS INV MGMT	029	MCK	B	11,100	57.40	n/a	n/a	555.00	5.0
KAICHER	064	MDR	S	1,000	31.62	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	MER	SS	50,000	18.51	24-Jun	15-Aug	2,500.00	5.0
BUCK CAPITAL MGMT	001	MFB	B	20,000	14.96	n/a	n/a	800.00	4.0
MAGNETAR FINANCIAL	031	MGG	B	23,000	19.50	n/a	n/a	690.00	3.0
SOLARIS INV MGMT	029	MHP	B	14,400	43.61	n/a	n/a	720.00	5.0
HIGHBRIDGE CAPITAL	038	MOH	B	16,000	32.18	n/a	n/a	800.00	5.0
BRIGHTPOINT CAP	067	MOS	C	50,000	91.03	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE/MS OLDS	041	MOS	B	20,000	91.21	n/a	n/a	800.00	4.0
TRUST CO/COWEN/CALF.	040	MOT	B	656,360	8.25	n/a	n/a	26,254.40	4.0
BUCK CAPITAL MGMT	001	MSM	S	36,000	49.91	n/a	n/a	1,440.00	4.0
GALLEON MGMT LP	033	MTB	SS	10,000	75.94	n/a	n/a	500.00	5.0
COUGAR TRADING	044	M	B	20,000	20.82	12-Aug	29-Aug	1,000.00	5.0
COUGAR TRADING	044	M	S	20,000	20.62	12-Aug	29-Aug	1,000.00	5.0
EATON VANCE MGMT	039	NOV	B	252,232	57.86	n/a	n/a	7,566.96	3.0
IRIDIAN ASSET MGMT.	036	NOV	S	7,490	57.53	n/a	n/a	374.50	5.0
JP MORGAN VENTURES	046	NWL	S	20,000	20.10	n/a	n/a	1,000.00	5.0
NOMURA CAPITAL	045	NYT	SS	4,000	15.75	n/a	n/a	200.00	5.0
MAGNETAR FINANCIAL	031	PAA	B	30,000	44.56	n/a	n/a	900.00	3.0
JMP ASSET MGMT	210	PBG	B	1,400	32.40	n/a	n/a	70.00	5.0
S.A.C. CAPITAL MGMT.	044	PFE	B	100,000	18.44	n/a	31-Mar	5,000.00	5.0
MILLENIUM KOZLOW	028	PKG	B	10,000	25.80	11-Sep	11-Sep	500.00	5.0
JP MORGAN VENTURES	046	PNRA	C	25,000	48.39	4-Sep	4-Sep	1,250.00	5.0
BASIX	033	PSS	B	40,000	16.92	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	20,000	17.13	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	PSUN	B	5,000	6.70	n/a	5-Sep	200.00	4.0
BUCK CAPITAL MGMT	001	RL	B	20,000	73.03	n/a	28-Aug	800.00	4.0
IRIDIAN ASSET MGMT.	036	ROC	B	31,670	32.97	n/a	n/a	1,583.50	5.0
ZOLIDIS	011	SHOEQ	C	200	0.07	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	031	SPY	B	160,000	124.66	n/a	n/a	4,800.00	3.0
BUCK	015	SPY	B	300	124.62	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	045	SRE	S	35,700	58.55	n/a	n/a	1,428.00	4.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	10,000	6.80	30-Jul	11-Sep	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	SSCC	S	50,000	6.59	30-Jul	11-Sep	2,500.00	5.0
THE JAY GOLDMAN	034	SSI	B	50,000	14.92	n/a	5-Sep	2,000.00	4.0
COUGAR TRADING	044	SSO	B	5,000	57.59	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	STE	C	20,000	37.14	n/a	22-Apr	1,000.00	5.0
MAGNETAR FINANCIAL	031	TEVA	B	50,000	46.68	n/a	9-Sep	1,500.00	3.0
BALYASNY ASSET MGMT	044	TGT	S	25,000	57.20	n/a	5-Sep	1,250.00	5.0
COUGAR TRADING	044	TGT	B	5,000	56.80	n/a	5-Sep	250.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	10,000	18.81	11-Sep	11-Sep	500.00	5.0
LEDDY	035	TIN	S	1,700	18.55	11-Sep	11-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	UFS	B	50,000	5.40	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	UNH	B	6,000	29.37	n/a	n/a	300.00	5.0
TRELLUS PARTNERS LP	028	VC	S	22,000	3.37	n/a	31-Jul	660.00	3.0
FINANCIAL STOCK LP	028	WB	B	100,000	14.27	n/a	n/a	4,000.00	4.0
GALLEON MGMT LP	033	WB	SS	60,000	14.02	n/a	n/a	3,000.00	5.0
AVESTA CAP	229	WMT	S	25,000	62.04	8-Aug	5-Sep	1,250.00	5.0
COUGAR TRADING	044	WRC	SS	5,000	51.02	8-Aug	28-Aug	250.00	5.0
HAYM	031	XRT	SS	100,000	33.01	n/a	n/a	3,000.00	3.0
KORMAN	003	YTEC	S	10,000	10.56	n/a	n/a	0.00	0.0
COUGAR TRADING	044	YUM	B	5,000	38.20	14-Aug	14-Aug	250.00	5.0
JMP ASSET MGMT	210	ZQK	B	500	7.05	27-Aug	5-Sep	20.00	4.0
TOTAL (Trade Date) :								156,890.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/12	COUGAR TRADING (COUGPB MS)	044	CMG	B	4,000	57.83	12-Sep	12-Sep	200.00 5.0
AO,	09/11	ROTHSCHILD ASSET (ROTH355)	040	HRL	S	410	36.37	n/a	n/a	18.45 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH476)	040	HRL	S	280	36.37	n/a	n/a	12.60 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH359)	040	HRL	S	6,970	36.37	n/a	n/a	313.65 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH362)	040	HRL	S	850	36.37	n/a	n/a	38.25 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH356)	040	HRL	S	360	36.37	n/a	n/a	16.20 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH3631)	040	HRL	S	430	36.37	n/a	n/a	19.35 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH332)	040	HRL	S	160	36.37	n/a	n/a	7.20 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH315)	040	HRL	S	370	36.37	n/a	n/a	16.65 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH310)	040	HRL	S	280	36.37	n/a	n/a	12.60 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH467)	040	HRL	S	140	36.37	n/a	n/a	6.30 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH464)	040	HRL	S	550	36.37	n/a	n/a	24.75 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH469)	040	HRL	S	9,880	36.37	n/a	n/a	444.60 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH466)	040	HRL	S	2,120	36.37	n/a	n/a	95.40 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH452)	040	HRL	S	320	36.37	n/a	n/a	14.40 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH000300)	040	HRL	S	860	36.37	n/a	n/a	38.70 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH345)	040	HRL	S	230	36.37	n/a	n/a	10.35 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH3721)	040	HRL	S	300	36.37	n/a	n/a	13.50 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH3021)	040	HRL	S	1,550	36.37	n/a	n/a	69.75 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH369)	040	HRL	S	480	36.37	n/a	n/a	21.60 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH322)	040	HRL	S	800	36.37	n/a	n/a	36.00 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH302)	040	HRL	S	1,260	36.37	n/a	n/a	56.70 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH329)	040	HRL	S	370	36.37	n/a	n/a	16.65 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH368)	040	HRL	S	120	36.37	n/a	n/a	5.40 4.5
AO,	09/11	ROTHSCHILD ASSET (ROTH367)	040	HRL	S	410	36.37	n/a	n/a	18.45 4.5
AO,CXL	09/11	NATIONAL BK OF CAN (NBCAMAIN)	031	LEH	S	125,000	4.24	11-Sep	11-Sep	5000.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/11	NATIONAL BK OF CAN (NBCAMAIN)	031	LEH	S	125,000	4.24	11-Sep	11-Sep	3750.00 3.0
AO,CRT	09/11	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	MOH	B	18,000	31.95	n/a	n/a	900.00 5.0
AO,CXL	09/11	HIGHBRIDGE CAPITAL (HIGBLEHM)	038	MOH	B	18,000	31.95	n/a	n/a	900.00 5.0
AO,CXL	09/11	STRAUSS ASSET MGMT (STRAJEFUSE)	040	PDE	B	10,000	33.93	n/a	n/a	500.00 5.0
AO,CRT	09/11	STRAUSS ASSET MGMT (STRAJEFUSE)	040	PDE	B	10,000	33.93	n/a	n/a	400.00 4.0
CRT	09/12	ZOLIDIS (ZOLIDIS)	011	SHOEQ	C	200	0.07	n/a	n/a	0.00 0.0
AO,CRT	09/11	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	UNH	B	11,000	29.68	n/a	n/a	550.00 5.0
AO,CXL	09/11	HIGHBRIDGE CAPITAL (HIGBLEHM)	038	UNH	B	11,000	29.68	n/a	n/a	550.00 5.0
TOTAL (AO, CXL, CRT) :										177.50

TOTAL (Trade Date) :	156,890.85
TOTAL (AO, CXL, CRT) :	177.50

TOTAL (RUN DATE) / NFS :	157,068.35
---------------------------------	-------------------

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