



## Daily Compliance Activity Report

Trade Date: 08/19/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	ACW	B	20,000	1.93	n/a	n/a	400.00	2.0
TYEE/TYGH	035	AMG	B	9,200	88.94	23-Jul	18-Aug	368.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>49.89</b>	<b>7-Aug</b>	<b>15-Aug</b>	<b>400.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	ANF	SS	24,400	50.16	7-Aug	15-Aug	976.00	4.0
JP MORGAN VENTURES	046	ANN	SS	15,000	24.36	n/a	11-Jul	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>65,000</b>	<b>34.43</b>	<b>28-Apr</b>	<b>8-Aug</b>	<b>2,600.00</b>	<b>4.0</b>
WILLOW CREEK	033	AWBC	SS	10,000	1.65	n/a	n/a	300.00	3.0
WHITTIER CAP	048	BBY	S	920	44.99	n/a	27-Jul	36.80	4.0
MS PRINCIPAL STRATEGIES	041	BK	B	25,000	35.03	n/a	15-Aug	1,250.00	5.0
SANDLER O'NEILL ASSET	031	BLK	B	10,000	206.45	n/a	18-Aug	500.00	5.0
WHITTIER CAP	048	BMRN	S	13,180	25.69	n/a	n/a	527.20	4.0
DIAMONDBACK CAP MGMT	232	CALM	S	10,000	46.24	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	COH	B	20,000	29.48	30-Jul	30-Jul	1,000.00	5.0
WHITTIER CAP	048	CRI	S	6,855	17.98	n/a	n/a	274.20	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>S</b>	<b>20,000</b>	<b>18.38</b>	<b>7-Jul</b>	<b>15-Aug</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/DIV OF BALY BOBBY	044	DV	B	5,000	47.62	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>B</b>	<b>10,000</b>	<b>50.95</b>	<b>15-Aug</b>	<b>15-Aug</b>	<b>400.00</b>	<b>4.0</b>
MILLRACE FUND LP	028	EV	B	4,000	36.12	8-Aug	18-Aug	160.00	4.0
SCUDDER HEDGE	034	EV	B	5,000	36.11	8-Aug	18-Aug	250.00	5.0
CLOVIS CAPITAL	012	EXC	B	185,000	73.72	n/a	n/a	9,250.00	5.0
SENA	067	EXC	B	7,500	73.84	n/a	n/a	300.00	4.0
WILLOW CREEK	033	FBP	SS	5,000	9.28	n/a	n/a	200.00	4.0
COUGAR TRADING	044	FOSL	SS	5,000	29.89	n/a	13-Aug	250.00	5.0
WILLOW CREEK	033	FSNM	SS	10,000	5.90	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>10,000</b>	<b>31.21</b>	<b>n/a</b>	<b>10-Jan</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>30,000</b>	<b>34.97</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>23.07</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>400.00</b>	<b>4.0</b>
CASTLE ARK	031	GLW	S	278,900	21.05	n/a	30-Jul	16,734.00	6.0
COUGAR TRADING	044	GPS	B	5,000	18.87	n/a	8-Aug	250.00	5.0
COUGAR TRADING	044	GYMB	S	20,000	36.76	11-Jul	15-Aug	1,000.00	5.0
CLOVIS CAPITAL	012	HSY	SS	80,000	37.70	n/a	n/a	4,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	28.09	1-Aug	1-Aug	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	IP	S	20,000	27.69	1-Aug	1-Aug	1,000.00	5.0
MERRILL ASSET	032	IVZ	S	33,800	24.80	4-Aug	18-Aug	1,521.00	4.5
COUGAR TRADING	044	JCG	B	30,000	25.09	n/a	30-May	1,500.00	5.0
THE JAY GOLDMAN	034	JCP	B	13,000	36.87	n/a	15-Aug	520.00	4.0
WHITTIER CAP	048	JWN	B	2,835	29.49	10-Jul	15-Aug	113.40	4.0
MERRILL ASSET	032	KDN	S	20,000	53.18	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>50,000</b>	<b>48.86</b>	<b>n/a</b>	<b>15-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	SS	2,500	49.74	n/a	15-Aug	125.00	5.0
THE JAY GOLDMAN	034	KSS	SS	10,000	48.95	n/a	15-Aug	400.00	4.0
WILLOW CREEK	033	LCC	S	25,000	7.91	n/a	n/a	1,000.00	4.0
NATIONAL BK OF CAN	031	LEH	S	15,000	13.70	9-Jun	15-Aug	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LOW</b>	<b>SS</b>	<b>20,000</b>	<b>23.81</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	LTD	B	18,940	18.20	19-Aug	19-Aug	947.00	5.0
DISIPLINED GROWTH INV.	030	LTD	S	5,300	18.00	19-Aug	19-Aug	265.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>LTD</b>	<b>B</b>	<b>3,500</b>	<b>18.03</b>	<b>19-Aug</b>	<b>19-Aug</b>	<b>210.00</b>	<b>6.0</b>
DISIPLINED GROWTH INV.	030	LVL	S	45,500	3.16	n/a	4-Jan	1,365.00	3.0
BALYASNY ASSET MGMT	044	MAR	B	30,000	27.70	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITTIER CAP	048	MCD	S	1,335	62.37	9-Jun	8-Aug	53.40	4.0
WHITTIER CAP	048	MDR	B	2,700	33.84	n/a	n/a	108.00	4.0
WILLOW CREEK	033	MEA	SS	5,000	10.47	n/a	n/a	200.00	4.0
MERRILL ASSET	032	MLI	B	49,500	27.48	n/a	22-Jul	2,227.50	4.5
NATIONAL BK OF CAN	031	MS	SS	10,000	37.67	15-Aug	15-Aug	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>30,000</b>	<b>20.33</b>	<b>12-Aug</b>	<b>14-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
PERRY PARTNERS	041	NCR	B	8,200	26.40	n/a	n/a	246.00	3.0
WILLOW CREEK	033	NCTY	SS	5,000	18.56	n/a	n/a	200.00	4.0
BENCHMARK	028	OME	S	1,900	12.87	n/a	n/a	95.00	5.0
WILLOW CREEK	033	OME	SS	5,000	13.12	n/a	n/a	200.00	4.0
AVESTA CAP	229	POT	B	10,000	176.83	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>180,000</b>	<b>36.73</b>	<b>5-May</b>	<b>18-Jul</b>	<b>7,200.00</b>	<b>4.0</b>
WHITTIER CAP	048	PVH	B	7,600	36.86	5-May	18-Jul	304.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	S	4,000	27.15	23-Jul	23-Jul	200.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>72.38</b>	<b>n/a</b>	<b>7-Aug</b>	<b>400.00</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	ROC	B	67,770	38.68	n/a	n/a	3,388.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOLARIS INV MGMT	029	SCHW	B	61,500	22.58	n/a	n/a	3,075.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>SKS</b>	<b>C</b>	<b>4,000</b>	<b>9.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BAYPOINT TRADING/XYLEM</b>	<b>091</b>	<b>SPP</b>	<b>B</b>	<b>20,000</b>	<b>10.50</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
TRELLUS PARTNERS LP	028	SUP	SS	10,000	18.77	25-Jul	8-Aug	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>THI</b>	<b>SS</b>	<b>30,000</b>	<b>31.30</b>	<b>n/a</b>	<b>24-Apr</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>S</b>	<b>100,000</b>	<b>34.60</b>	<b>11-Aug</b>	<b>12-Aug</b>	<b>4,000.00</b>	<b>4.0</b>
DISCIPLINED GROWTH INV.	030	TJX	S	6,700	34.65	11-Aug	12-Aug	335.00	5.0
WHITTIER CAP	048	TJX	S	3,500	34.79	11-Aug	12-Aug	140.00	4.0
BALYASNY ASSET MGMT	044	TPX	B	20,000	10.33	n/a	n/a	1,000.00	5.0
WILLOW CREEK	033	TQNT	S	15,000	6.59	n/a	n/a	600.00	4.0
PRINCIPLE CAPITAL	040	TUP	SS	130,100	37.17	n/a	n/a	3,903.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>B</b>	<b>60,000</b>	<b>9.67</b>	<b>n/a</b>	<b>13-Aug</b>	<b>2,400.00</b>	<b>4.0</b>
WILLOW CREEK	033	TXN	SS	5,000	24.97	n/a	n/a	200.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>UBS</b>	<b>B</b>	<b>2,400</b>	<b>19.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>UBS</b>	<b>SS</b>	<b>2,400</b>	<b>19.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DIAMONDBACK CAP MGMT	232	UNH	S	15,000	30.39	n/a	n/a	750.00	5.0
NATIONAL BK OF CAN	031	USB	SS	20,000	29.27	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	VC	B	4,500	3.27	n/a	31-Jul	0.00	0.0
WHITTIER CAP	048	WAB	S	1,885	58.33	n/a	n/a	75.40	4.0
LEHMAN PROPRIETARY TRAD	041	WAG	S	25,000	36.21	n/a	n/a	1,000.00	4.0
MERRILL ASSET	032	WBS	S	41,700	21.11	n/a	n/a	1,876.50	4.5
VISIUM/DIV OF BALY BOBBY	044	WFC	SS	30,000	28.40	n/a	n/a	1,500.00	5.0
OGORMAN	046	WFC	SS	500	27.75	n/a	n/a	0.00	0.0
OGORMAN	046	WFSL	SS	1,000	17.50	n/a	n/a	0.00	0.0
WILLOW CREEK	033	WOLF	SS	10,000	5.06	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	140,000	49.77	8-Aug	8-Aug	5,600.00	4.0
COUGAR TRADING	044	WRC	SS	10,000	50.28	8-Aug	8-Aug	500.00	5.0
TOTAL (Trade Date):								111,069.90	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	08/14	SAB CAPITAL (SABCMORGAN)	034	IWM	B	23,000	74.60	n/a	n/a	1150.00	5.0
AO,CRT	08/14	SAB CAPITAL (SABCGOLDMA)	034	IWM	B	23,000	74.60	n/a	n/a	1150.00	5.0
<b>CRT</b>	<b>08/19</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>49,900</b>	<b>48.86</b>	<b>n/a</b>	<b>15-Aug</b>	<b>1996.00</b>	<b>4.0</b>
<b>CRT</b>	<b>08/19</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>179,800</b>	<b>36.73</b>	<b>5-May</b>	<b>18-Jul</b>	<b>7192.00</b>	<b>4.0</b>
AO,	08/18	SOLARIS INV MGMT (SOLA3)	029	SCHW	B	1,400	23.13	n/a	n/a	70.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA800)	029	SCHW	B	500	23.13	n/a	n/a	25.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA6)	029	SCHW	B	400	23.13	n/a	n/a	20.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA799)	029	SCHW	B	200	23.13	n/a	n/a	10.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA2)	029	SCHW	B	1,900	23.13	n/a	n/a	95.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA790)	029	SCHW	B	900	23.13	n/a	n/a	45.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA4)	029	SCHW	B	1,000	23.13	n/a	n/a	50.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA782)	029	SCHW	B	200	23.13	n/a	n/a	10.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA512)	029	SCHW	B	12,000	23.13	n/a	n/a	600.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA703)	029	SCHW	B	300	23.13	n/a	n/a	15.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA524)	029	SCHW	B	700	23.13	n/a	n/a	35.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA934)	029	SCHW	B	900	23.13	n/a	n/a	45.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA495)	029	SCHW	B	900	23.13	n/a	n/a	45.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA935)	029	SCHW	B	2,800	23.13	n/a	n/a	140.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA694)	029	SCHW	B	400	23.13	n/a	n/a	20.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA662)	029	SCHW	B	100	23.13	n/a	n/a	5.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA525)	029	SCHW	B	600	23.13	n/a	n/a	30.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA533)	029	SCHW	B	500	23.13	n/a	n/a	25.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA614)	029	SCHW	B	1,100	23.13	n/a	n/a	55.00	5.0
AO,	08/18	SOLARIS INV MGMT (SOLA483)	029	SCHW	B	200	23.13	n/a	n/a	10.00	5.0

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AO,	08/18	SOLARIS INV MGMT (SOLA78)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA429)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA391)	029	SCHW	B	700	23.13	n/a	n/a	35.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA1352)	029	SCHW	B	500	23.13	n/a	n/a	25.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA67)	029	SCHW	B	600	23.13	n/a	n/a	30.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA1355)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA49)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA509)	029	SCHW	B	500	23.13	n/a	n/a	25.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA453)	029	SCHW	B	800	23.13	n/a	n/a	40.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA1248)	029	SCHW	B	1,000	23.13	n/a	n/a	50.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA1)	029	SCHW	B	3,300	23.13	n/a	n/a	165.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA1277)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA25)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA1141)	029	SCHW	B	300	23.13	n/a	n/a	15.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA41)	029	SCHW	B	1,600	23.13	n/a	n/a	80.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA1099)	029	SCHW	B	400	23.13	n/a	n/a	20.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA48)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA1138)	029	SCHW	B	1,800	23.13	n/a	n/a	90.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA37)	029	SCHW	B	700	23.13	n/a	n/a	35.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA15)	029	SCHW	B	300	23.13	n/a	n/a	15.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA26)	029	SCHW	B	400	23.13	n/a	n/a	20.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA443)	029	SCHW	B	1,500	23.13	n/a	n/a	75.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA23)	029	SCHW	B	100	23.13	n/a	n/a	5.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA933)	029	SCHW	B	1,300	23.13	n/a	n/a	65.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA19)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA970)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA16)	029	SCHW	B	2,000	23.13	n/a	n/a	100.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA872)	029	SCHW	B	400	23.13	n/a	n/a	20.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA14)	029	SCHW	B	1,000	23.13	n/a	n/a	50.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA848)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0



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AO,	08/18	SOLARIS INV MGMT (SOLA92)	029	SCHW	B	100	23.13	n/a	n/a	5.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA847)	029	SCHW	B	200	23.13	n/a	n/a	10.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA10)	029	SCHW	B	600	23.13	n/a	n/a	30.00 5.0
AO,	08/18	SOLARIS INV MGMT (SOLA829)	029	SCHW	B	900	23.13	n/a	n/a	45.00 5.0

**TOTAL (AO, CXL, CRT) :** **11,688.00**

TOTAL (Trade Date): 111,069.90  
TOTAL (AO, CXL, CRT): 11,688.00

**TOTAL (RUN DATE) / NFS:** **122,757.90**

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