



Daily Compliance Activity Report

Trade Date: 10/08/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	AAPL	B	47,000	92.79	n/a	n/a	1,880.00	4.0
WHALE ROCK CAP	030	AAPL	B	89,700	94.11	n/a	n/a	3,588.00	4.0
WHALE ROCK CAP	030	AATI	S	173,300	3.43	n/a	n/a	6,932.00	4.0
CENTURION GLOBAL MGMT LL	041	ABT	B	7,500	55.96	n/a	22-Apr	225.00	3.0
BUCK CAPITAL MGMT	001	AEO	B	110,000	11.91	n/a	3-Oct	4,400.00	4.0
COUGAR TRADING	044	AEO	B	10,000	11.63	n/a	3-Oct	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	AEO	S	25,000	12.00	n/a	3-Oct	1,250.00	5.0
THOMAS WEISEL ASSET MGMT	035	AEO	B	81,600	11.83	n/a	3-Oct	3,264.00	4.0
BUCK	015	AET	S	2,000	30.60	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	AKS	B	15,010	14.68	n/a	n/a	750.50	5.0
NOMURA CAPITAL	045	AKS	S	10,010	14.76	n/a	n/a	500.50	5.0
STG INVESTORS	041	AMAT	S	40,000	12.42	n/a	n/a	1,200.00	3.0
WHALE ROCK CAP	030	AMZN	B	60,700	60.54	n/a	n/a	2,428.00	4.0
LEVIN CAPITAL STRATEGIES	012	ANF	S	50,000	33.04	7-Aug	3-Oct	2,000.00	4.0
MERRILL ASSET	032	ANF	B	22,500	33.82	7-Aug	3-Oct	1,012.50	4.5
SYSTEMATIC FINANCIAL MGT	035	ANF	B	8,700	32.87	7-Aug	3-Oct	326.25	3.8
BUCK CAPITAL MGMT	001	ANN	SS	20,000	18.03	n/a	8-Oct	800.00	4.0
WHALE ROCK CAP	030	APH	B	56,100	33.31	n/a	n/a	2,244.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J ROSELTD	034	ASCMA	S	5	23.96	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	AVP	B	33,300	33.29	31-Jul	31-Jul	999.00	3.0
LITESPEED	028	AXL	S	26,818	4.10	n/a	n/a	804.54	3.0
WASHINGTON ASSET	048	BAC	S	20,000	22.36	n/a	7-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	BDK	SS	20,000	53.24	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	BEN	B	80,000	67.15	10-Sep	8-Oct	3,200.00	4.0
GRUBER MACBAINE	033	BJ	B	10,000	33.63	n/a	27-Jul	400.00	4.0
FRONTPOINT CHRIS C	041	BK	S	14,300	24.30	n/a	19-Sep	572.00	4.0
BUCK	015	CAT	C	1,000	46.32	19-Sep	19-Sep	0.00	0.0
KORMAN	003	CBI	S	2,000	12.28	n/a	n/a	0.00	0.0
KORMAN	003	CHCG	S	5,000	1.05	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	CHK	B	40,000	21.44	n/a	n/a	2,000.00	5.0
DSM CAPITAL PARTNERS	048	CL	B	65,030	68.99	29-Jul	29-Jul	3,251.50	5.0
GRISANTI BROWN & PARTNER	048	CMCSA	S	18,150	17.50	n/a	4-Jan	907.50	5.0
COUGAR TRADING	044	CMG	SS	2,000	51.61	12-Sep	12-Sep	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	COF	S	36,000	38.80	n/a	8-Oct	1,800.00	5.0
THE BOSTON COMPANY	401	CTRN	B	45,330	12.98	n/a	n/a	1,813.20	4.0
THOMAS WEISEL ASSET MGMT	035	CVLT	B	3,320	8.93	n/a	n/a	99.60	3.0
ZOLIDIS	011	CWTR	C	2,000	4.73	n/a	n/a	0.00	0.0
ZOLIDIS	011	DECK	S	200	74.93	n/a	n/a	0.00	0.0
GRANITE CAPITAL	045	DTV	SS	20,000	22.89	n/a	4-Jan	1,000.00	5.0
OGORMAN	046	DXD	S	200	79.44	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	EMN	B	5,000	46.30	n/a	n/a	250.00	5.0
MERRILL ASSET	032	ES	B	72,000	9.15	n/a	n/a	3,240.00	4.5
NOLAN	067	FCX	B	60	41.91	n/a	n/a	0.00	0.0
MERRILL ASSET	032	FHN	S	79,400	8.73	n/a	n/a	3,176.00	4.0
KORMAN	003	FLR	S	1,000	39.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	20,000	13.97	7-Oct	7-Oct	800.00	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	10,000	11.55	n/a	3-Oct	500.00	5.0
THE BOSTON COMPANY	401	FRED	SS	61,170	10.89	n/a	27-Mar	2,446.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	20,000	26.66	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	29.36	n/a	n/a	800.00	4.0
LITESPEED	028	GE	S	75,000	20.29	n/a	n/a	2,250.00	3.0
SINCLAIR	031	GLDAB	S	10	14.00	n/a	n/a	0.00	0.0
M WEINTRAU	024	GLW	B	300	11.97	n/a	23-Sep	0.00	0.0
J ROSEALEX	034	GLW	B	100	12.30	n/a	23-Sep	0.00	0.0
J ROSEIND	034	GLW	B	100	12.30	n/a	23-Sep	0.00	0.0
J ROSEVIC	034	GLW	B	100	12.30	n/a	23-Sep	0.00	0.0
STRAUSS ASSET MGMT	040	GMCR	S	7,500	32.96	n/a	n/a	300.00	4.0
COUGAR TRADING	044	GPS	B	5,000	15.57	n/a	3-Oct	250.00	5.0
CAXTON PART	040	HAS	C	10,000	31.13	n/a	n/a	350.00	3.5
JP MORGAN VENTURES	046	HAS	C	15,000	33.30	n/a	n/a	750.00	5.0
MISSOURI VALLEY PART	046	HIG	B	6,910	26.96	n/a	n/a	345.50	5.0
GRISANTI BROWN & PARTNER	048	HPQ	S	10,900	41.59	n/a	n/a	545.00	5.0
TROUBH PART	067	HPQ	S	10,000	41.21	n/a	n/a	500.00	5.0
KORMAN	003	HXL	S	10,000	9.00	n/a	n/a	0.00	0.0
KORMAN	003	ICON	S	10,000	10.50	n/a	n/a	0.00	0.0
PAULSON & CO INC	041	IMCL	B	100,000	66.78	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	IP	B	25,000	21.42	22-Sep	22-Sep	1,250.00	5.0
MCCARTAN	028	IP	C	200	21.78	22-Sep	22-Sep	0.00	0.0
OGORMAN	046	IP	C	400	21.85	22-Sep	22-Sep	0.00	0.0
OGORMAN	046	IVZ	B	500	17.55	6-Oct	8-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	50,000	23.60	n/a	17-Sep	2,000.00	4.0
THE JAY GOLDMAN	034	JCP	S	57,300	27.67	n/a	3-Oct	2,292.00	4.0
NOMURA CAPITAL	045	JPM	B	10,000	41.77	26-Sep	26-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	JWN	SS	60,000	21.44	8-Oct	8-Oct	2,400.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	38.70	n/a	3-Oct	800.00	4.0
THE JAY GOLDMAN	034	KSS	B	10,000	39.34	n/a	3-Oct	400.00	4.0
BUCK	015	KSS	C	800	38.16	n/a	3-Oct	0.00	0.0
NOKO	031	LACO	B	5,000	5.05	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT	001	LEG	SS	30,000	18.59	n/a	n/a	1,200.00	4.0
GRANITE CAPITAL	045	LM DIA	B	10,000	19.59	n/a	n/a	500.00	5.0
BMO NESBITT BURNS	041	LPX	B	50,000	6.48	n/a	11-Sep	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	235,000	6.44	n/a	11-Sep	11,750.00	5.0
BUCK	015	MCD	B	700	54.60	9-Sep	25-Sep	0.00	0.0
MISSOURI VALLEY PART	046	MET	B	11,680	32.53	n/a	n/a	584.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Michael Marrano		MET	S	200	30.9800	n/a	n/a	0.00	0.0
Õ	Ted Wheeler		MET	B	1000	5.5000	n/a	n/a	0.00	0.0
	FRONTPOINT CHRIS C	041	MIDD	SS	5,100	44.95	11-Aug	11-Aug	204.00	4.0
	CAXTON PART	040	MO	S	129,992	18.45	n/a	n/a	4,549.73	3.5
	EPOCH INV MGMT	030	MSFT	B	30,000	22.85	n/a	3-Apr	1,200.00	4.0
	WHALE ROCK CAP	030	MSFT	B	165,000	24.08	n/a	3-Apr	6,600.00	4.0
	KORMAN	003	MTRX	S	6,000	11.14	n/a	n/a	0.00	0.0
	LEDDY	035	MWO	B	1,000	8.55	n/a	n/a	0.00	0.0
	BRIGHTPOINT CAP	067	MYL	S	383,000	8.15	30-May	7-Oct	11,490.00	3.0
	BUCK CAPITAL MGMT	001	M	S	60,000	13.31	12-Aug	3-Oct	2,400.00	4.0
	COUGAR TRADING	044	M	B	5,000	13.92	12-Aug	3-Oct	250.00	5.0
	JP MORGAN VENTURES	046	M	C	10,000	13.67	12-Aug	3-Oct	500.00	5.0
	NOMURA CAPITAL	045	NCS	B	5,000	23.67	n/a	n/a	250.00	5.0
	J ROSEALEX	034	NKE	B	100	56.27	n/a	n/a	0.00	0.0
	J ROSEVIC	034	NKE	B	100	56.31	n/a	n/a	0.00	0.0
	J ROSEIND	034	NKE	B	100	56.33	n/a	n/a	0.00	0.0
	GRISANTTI BROWN & PARTNER	048	NLY	S	12,200	13.93	n/a	n/a	610.00	5.0
	NOMURA CAPITAL	045	NRG	B	10,000	17.57	n/a	n/a	500.00	5.0
	BUCK CAPITAL MGMT	001	NWY	B	20,000	7.88	n/a	17-Sep	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERRY PARTNERS	041	NYB	B	100,000	15.00	n/a	n/a	5,000.00	5.0
BUCK	015	NYF	S	1,000	98.92	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	ORCL	B	175,000	17.13	n/a	n/a	7,000.00	4.0
PRINCIPLE CAPITAL	040	PCLN	B	28,800	62.27	n/a	n/a	1,152.00	4.0
DSM CAPITAL PARTNERS	048	PEP	B	28,100	64.69	n/a	n/a	1,405.00	5.0
CENTURION GLOBAL MGMT LL	041	PG	S	11,300	65.30	18-Aug	25-Sep	339.00	3.0
DSM CAPITAL PARTNERS	048	PG	B	82,220	67.62	18-Aug	25-Sep	4,111.00	5.0
FRONTPOINT CHRIS C	041	PLD	B	8,600	27.22	n/a	n/a	344.00	4.0
HIGHBRIDGE CAPITAL	038	PPG	B	24,000	51.63	n/a	25-Sep	1,200.00	5.0
COUGAR TRADING	044	PVH	S	5,000	31.77	8-Oct	8-Oct	250.00	5.0
CAXTON PART	040	QCOM	B	48,478	42.14	n/a	n/a	1,696.73	3.5
CUMBERLAND	038	QLGC	B	32,851	13.64	n/a	n/a	1,314.04	4.0
PRINCIPLE CAPITAL	040	RCL	SS	10,800	16.17	23-Jul	23-Jul	324.00	3.0
NEUBERGER BERMAN	036	RGAA	S	37,750	44.14	n/a	n/a	1,698.75	4.5
BUCK CAPITAL MGMT	001	RL	SS	10,000	50.37	n/a	8-Oct	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	RL	S	25,000	52.96	n/a	8-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	SDS	B	100	93.16	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SDS	B	100	97.34	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SDS	S	100	93.12	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	S	300	93.13	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	100,000	13.18	n/a	13-Mar	4,000.00	4.0
FRONTPOINT CHRIS C	041	SNI	B	5,000	32.72	n/a	n/a	200.00	4.0
LUCHANSKY1	036	SPY	B	100	101.21	n/a	n/a	0.00	0.0
KNOTT PARTNERS	044	SSI	B	35,000	10.62	n/a	3-Oct	1,050.00	3.0
SINCLAIR	031	SWGKA	B	20	3.98	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNLF	B	18	2.80	n/a	n/a	0.00	0.0
RAIL	031	SYNT	SS	30,000	20.67	n/a	n/a	1,500.00	5.0
LEDDY	035	SZK	S	125	93.75	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	TEO	B	64,200	11.45	n/a	n/a	3,210.00	5.0
GRISANTI BROWN & PARTNER	048	TGT	S	10,400	42.07	n/a	8-Oct	520.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	50,000	28.67	11-Aug	3-Oct	2,000.00	4.0
WHALE ROCK CAP	030	TLEO	S	38,427	13.07	n/a	n/a	1,537.08	4.0
BEAR STEARNS ASSET MGMT.	033	URBN	B	30,000	24.55	14-Aug	1-Oct	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	UYG	S	2,000	11.12	n/a	n/a	0.00	0.0
MCCARTAN	028	UYG	B	100	12.03	n/a	n/a	0.00	0.0
EATON VANCE MGMT	039	VLO	S	128,039	22.01	n/a	n/a	3,841.17	3.0
MAIRS AND POWER INV	030	WFC	S	20,000	32.90	n/a	n/a	1,000.00	5.0
WASHINGTON ASSET	048	WFC	B	20,000	30.96	n/a	n/a	1,000.00	5.0
WASHINGTON ASSET	048	WFC	S	20,000	32.90	n/a	n/a	1,000.00	5.0
SLS CAPITAL LLC	224	WMT	B	127,100	56.14	8-Aug	8-Oct	5,084.00	4.0
TROUBH PART	067	WMT	S	25,000	56.50	8-Aug	8-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	33.68	8-Oct	8-Oct	400.00	4.0
SIGMA CAPITAL ASSOCIATES	237	WSM	B	20,000	14.51	n/a	n/a	1,000.00	5.0
ROXBURY CAPITAL MGMT	033	WU	B	2,600	18.97	n/a	n/a	104.00	4.0
ROBX	033	WU	B	102,900	18.97	n/a	n/a	4,116.00	4.0
BMO NESBITT BURNS	041	WY	B	25,000	50.68	n/a	11-Sep	1,250.00	5.0
MCCARTAN	028	WY	C	100	51.52	n/a	11-Sep	0.00	0.0
KAICHER	064	XCO	S	500	8.46	n/a	n/a	0.00	0.0
MISSOURI VALLEY PART	046	XL	S	27,555	9.32	n/a	n/a	1,377.75	5.0
S CAST	016	X	S	13	54.99	n/a	n/a	0.00	0.0
BUCK	015	YUM	S	1,300	28.92	14-Aug	8-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ZLC	B	50,000	23.81	n/a	n/a	2,000.00	4.0
KORMAN	003	ZOLT	S	10,190	11.27	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZUMZ	B	5,000	13.81	n/a	n/a	250.00	5.0
TOTAL (Trade Date) :							194,155.64		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/07	SANDLER O'NEILL ASSET (SANOJPMBS)	031	C	S	34,500	17.55	15-Sep	3-Oct	1725.00 5.0
AO,CXL	10/07	SANDLER O'NEILL ASSET (SANO)	031	C	S	34,500	17.55	15-Sep	3-Oct	1725.00 5.0
AO,CXL	10/07	SANDELL ADV (SANLMORGAN)	040	ITW	B	67,100	38.18	12-Aug	12-Aug	4026.00 6.0
AO,CRT	10/07	SANDLER CAPITAL (SANDOMINBU)	038	ITW	B	67,100	38.18	12-Aug	12-Aug	4026.00 6.0
AO,CRT	10/07	COUGAR TRADING (COUGCITI)	044	JCG	B	5,000	25.56	n/a	17-Sep	250.00 5.0
AO,CXL	10/07	COUGAR TRADING (COUGPB MS)	044	JCG	B	5,000	25.56	n/a	17-Sep	250.00 5.0
AO,	10/07	HIGHFIELDS CAP MGMT (HIGFBSPB)	039	KFT	S	200,000	31.57	n/a	n/a	8000.00 4.0
AO,CXL	10/06	DISIPLINED GROWTH INV. (DISI19OMEY)	030	RCL	B	850	16.55	23-Jul	23-Jul	42.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI19OMEY)	030	RCL	B	550	16.55	23-Jul	23-Jul	27.50 5.0
AO,CXL	10/06	DISIPLINED GROWTH INV. (DISIOMINBU)	030	RCL	B	14,825	16.55	23-Jul	23-Jul	741.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISIOMINBU)	030	RCL	B	15,125	16.55	23-Jul	23-Jul	756.25 5.0
AO,CXL	10/07	KNOTT PARTNERS (KNOTGS)	044	SSI	B	45,000	10.65	n/a	3-Oct	1800.00 4.0
AO,CRT	10/07	KNOTT PARTNERS (KNOTGS)	044	SSI	B	45,000	10.65	n/a	3-Oct	1350.00 3.0
AO,	10/07	COLUMBUS CIRCLE (COLC3060)	036	STT	B	2,900	45.39	n/a	n/a	116.00 4.0
AO,CXL	10/07	MORTAR ROCK (MORTGSEOSP)	033	SUP	SS	15,000	16.67	25-Jul	8-Aug	750.00 5.0
AO,CRT	10/07	MORTAR ROCK (MORTGSEOSP)	033	SUP	SS	15,000	16.67	25-Jul	8-Aug	600.00 4.0
TOTAL (AO, CXL, CRT) :										7,516.00

TOTAL (Trade Date):	194,155.64
TOTAL (AO, CXL, CRT):	7,516.00

TOTAL (RUN DATE) / NFS:	201,671.64
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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