



## Daily Compliance Activity Report

Trade Date: 09/11/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	AB	B	10,000	47.00	10-Sep	10-Sep	500.00	5.0
COUGAR TRADING	044	AB	S	15,000	45.99	10-Sep	10-Sep	750.00	5.0
COUGAR TRADING	044	AEO	B	10,000	15.83	n/a	5-Sep	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	AEO	B	50,000	16.41	n/a	5-Sep	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ALV</b>	<b>S</b>	<b>30,000</b>	<b>37.10</b>	<b>23-Jul</b>	<b>30-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>50.12</b>	<b>7-Aug</b>	<b>5-Sep</b>	<b>400.00</b>	<b>4.0</b>
MISSOURI VALLEY PART	046	ANF	B	13,505	49.13	7-Aug	5-Sep	675.25	5.0
JP MORGAN VENTURES	046	BCR	C	50,000	94.56	n/a	22-Apr	2,500.00	5.0
PHILADELPHIA FINANCIAL	033	BEN	B	28,094	93.75	10-Sep	10-Sep	1,123.76	4.0
<b>LEDDY</b>	<b>035</b>	<b>BWA</b>	<b>C</b>	<b>600</b>	<b>37.85</b>	<b>10-Jun</b>	<b>1-Aug</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	CBL	B	50,000	21.32	n/a	n/a	2,250.00	4.5
<b>N STRATTON</b>	<b>014</b>	<b>CENTA</b>	<b>S</b>	<b>700</b>	<b>6.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>CHK</b>	<b>S</b>	<b>250</b>	<b>39.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PALMYRA CAPITAL	048	CHS	B	40,000	7.37	8-Aug	5-Sep	2,000.00	5.0
NEUBERGER BERMAN	036	CMCSK	S	103,000	21.21	n/a	n/a	4,635.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>100,000</b>	<b>19.49</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	CRL	C	40,000	64.67	n/a	n/a	2,000.00	5.0
<b>MENCKE</b>	<b>055</b>	<b>CTCM</b>	<b>B</b>	<b>200</b>	<b>16.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	CVH	B	17,730	35.61	n/a	n/a	886.50	5.0
THE JAY GOLDMAN	034	DDS	B	10,000	12.46	n/a	n/a	400.00	4.0
JP MORGAN VENTURES	046	DIN	B	25,000	17.23	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	EAT	SS	30,000	18.78	n/a	24-Apr	1,500.00	5.0
KLEINHEINZ CAP PART	031	EEM	SS	150,000	34.77	n/a	n/a	7,500.00	5.0
FARALLON CAP MGMT	040	EMC	S	727,500	13.84	n/a	n/a	21,825.00	3.0
<b>COLE</b>	<b>N24</b>	<b>ETFC</b>	<b>S</b>	<b>300</b>	<b>3.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	FOSL	B	5,000	29.14	n/a	13-Aug	250.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>F</b>	<b>B</b>	<b>1,000</b>	<b>4.71</b>	<b>25-Jul</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>110,000</b>	<b>40.54</b>	<b>n/a</b>	<b>n/a</b>	<b>4,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	GIL	B	5,000	24.57	8-Sep	8-Sep	250.00	5.0
JP MORGAN VENTURES	046	GIL	B	25,000	23.82	8-Sep	8-Sep	1,250.00	5.0
CAVU CAP ADV	028	GM	B	26,280	12.19	4-Aug	4-Sep	1,314.00	5.0
COUGAR TRADING	044	GPS	S	5,000	19.49	n/a	5-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	GYMB	B	5,000	39.12	11-Jul	5-Sep	250.00	5.0
COUGAR TRADING	044	GYMB	S	10,000	40.56	11-Jul	5-Sep	500.00	5.0
LEHMAN PROPRIETARY TRAD	041	GYMB	B	25,000	40.54	11-Jul	5-Sep	1,000.00	4.0
<b>N STRATTON</b>	<b>014</b>	<b>HEMGF</b>	<b>B</b>	<b>100</b>	<b>2.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOT</b>	<b>SS</b>	<b>70,000</b>	<b>37.75</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>ICON</b>	<b>S</b>	<b>1,200</b>	<b>12.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	IP	B	25,000	29.13	11-Sep	11-Sep	1,250.00	5.0
BMO NESBITT BURNS	041	IP	SS	25,000	29.99	11-Sep	11-Sep	1,250.00	5.0
CASTLE ARK	031	IP	B	97,815	29.15	11-Sep	11-Sep	5,868.90	6.0
BALYASNY ASSET MGMT	044	IVZ	B	35,000	23.55	4-Aug	10-Sep	1,750.00	5.0
JP MORGAN VENTURES	046	IWM	SS	80,000	71.15	n/a	n/a	2,400.00	3.0
COUGAR TRADING	044	JCG	B	20,000	29.93	n/a	27-Aug	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>50,000</b>	<b>42.90</b>	<b>n/a</b>	<b>5-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>SS</b>	<b>70,000</b>	<b>20.17</b>	<b>n/a</b>	<b>30-Jul</b>	<b>2,800.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	SS	10,000	51.47	n/a	5-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LEG</b>	<b>SS</b>	<b>50,000</b>	<b>22.70</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
NATIONAL BK OF CAN	031	LEH	S	125,000	4.24	11-Sep	11-Sep	5,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
N STRATTON	014	LEH	B	150	3.99	11-Sep	11-Sep	0.00	0.0
SUTERA	160	LEH	B	2,500	4.41	11-Sep	11-Sep	0.00	0.0
COLE	N24	LEH	B	200	4.60	11-Sep	11-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	LL	B	10,000	15.04	n/a	n/a	400.00	4.0
BUCK	015	LYHJJ	B	30	0.22	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	MANT	S	6,810	56.30	n/a	n/a	340.50	5.0
BUCK CAPITAL MGMT	001	MAR	SS	20,000	28.67	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	MCD	SS	20,000	63.95	9-Sep	9-Sep	1,000.00	5.0
SANDLER O'NEILL ASSET	031	MER	B	50,000	19.55	24-Jun	15-Aug	2,500.00	5.0
KAICHER	064	MER	B	2,000	20.28	24-Jun	15-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	B	22,200	14.83	n/a	n/a	888.00	4.0
JP MORGAN VENTURES	046	MNT	S	75,000	24.99	n/a	n/a	3,750.00	5.0
HIGHBRIDGE CAPITAL	038	MOH	B	18,000	31.95	n/a	n/a	900.00	5.0
BUCK	015	MO	B	1,000	20.48	n/a	n/a	0.00	0.0
BUCK	015	MSVG	S	15	2.75	n/a	n/a	0.00	0.0
BUCK	015	MS	SS	1,500	37.38	15-Aug	15-Aug	0.00	0.0
COUGAR TRADING	044	M	B	33,400	21.43	12-Aug	29-Aug	1,670.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	NHP	S	87,000	34.51	n/a	n/a	3,915.00	4.5
NOMURA CAPITAL	045	NYT	S	20,000	14.82	n/a	n/a	1,000.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>PBR</b>	<b>S</b>	<b>250</b>	<b>40.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRAUSS ASSET MGMT	040	PDE	B	10,000	33.93	n/a	n/a	500.00	5.0
MILLENIUM KOZLOW	028	PKG	B	10,000	25.37	11-Sep	11-Sep	500.00	5.0
BENNETT LAWRENCE	045	ROST	B	4,200	40.23	n/a	n/a	189.00	4.5
<b>ZOLIDIS</b>	<b>011</b>	<b>SEUIE</b>	<b>B</b>	<b>15</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SKX</b>	<b>S</b>	<b>900</b>	<b>18.49</b>	<b>n/a</b>	<b>13-Mar</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	034	SSI	SS	10,000	15.06	n/a	5-Sep	400.00	4.0
COUGAR TRADING	044	SSO	B	10,000	58.10	n/a	n/a	500.00	5.0
BENNETT LAWRENCE	045	SVNT	S	38,750	18.83	n/a	n/a	1,743.75	4.5
<b>GAULT</b>	<b>063</b>	<b>SWN</b>	<b>B</b>	<b>1,800</b>	<b>30.86</b>	<b>20-Mar</b>	<b>3-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SYX</b>	<b>B</b>	<b>194,800</b>	<b>34.33</b>	<b>n/a</b>	<b>24-Apr</b>	<b>7,792.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>40,000</b>	<b>56.67</b>	<b>n/a</b>	<b>5-Sep</b>	<b>1,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	TIF	SS	5,000	42.60	n/a	28-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	TIN	B	20,000	18.11	11-Sep	11-Sep	1,000.00	5.0
CADIAN CAPITAL	067	TJX	SS	50,000	33.98	11-Aug	5-Sep	2,500.00	5.0
PRINCIPLE CAPITAL	040	TPX	S	106,200	11.85	n/a	n/a	3,186.00	3.0
OSS CAPITAL/KEVIN DANN	067	TWX	B	200,000	14.47	n/a	n/a	6,000.00	3.0
COUGAR TRADING	044	UA	S	7,600	34.31	n/a	n/a	380.00	5.0
HIGHBRIDGE CAPITAL	038	UNH	B	11,000	29.68	n/a	n/a	550.00	5.0
N STRATTON	014	UNH	S	75	29.13	n/a	n/a	0.00	0.0
LEDDY	035	VC	S	4,223	3.27	n/a	31-Jul	0.00	0.0
JP MORGAN VENTURES	046	VIAB	C	25,000	26.80	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	WMT	B	84,490	62.45	8-Aug	5-Sep	3,802.08	4.5
COUGAR TRADING	044	WRC	B	5,000	49.93	8-Aug	28-Aug	250.00	5.0
KORMAN	003	YTEC	S	10,000	11.08	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								146,034.74	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ALV	S	29,900	37.10	23-Jul	30-Jul	1196.00 4.0
AO,CRT	09/10	ADAGE CAPITAL MGMT (ADAGMS)	030	FL	S	142,927	17.49	11-Aug	22-Aug	5717.08 4.0
AO,CXL	09/10	ADAGE CAPITAL MGMT (ADAGLONG)	030	FL	S	142,927	17.49	11-Aug	22-Aug	5717.08 4.0
CRT	09/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	109,900	40.54	n/a	n/a	4396.00 4.0
AO,CXL	09/10	AMBER CAPITAL (AMBRLEH)	046	TGT	B	100,000	56.83	n/a	5-Sep	5000.00 5.0
AO,CRT	09/10	AMBER CAPITAL (AMBRLEH)	046	TGT	B	100,000	56.83	n/a	5-Sep	4000.00 4.0
TOTAL (AO, CXL, CRT) :										4,592.00
TOTAL (Trade Date) :									146,034.74	
TOTAL (AO, CXL, CRT) :									4,592.00	
TOTAL (RUN DATE) / NFS :									150,626.74	

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