



# Daily Compliance Activity Report

Trade Date: 09/05/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK</b>	<b>015</b>	<b>AAFJI</b>	<b>B</b>	<b>15</b>	<b>0.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	ALL	S	28,724	44.24	n/a	n/a	1,292.58	4.5
COUGAR TRADING	044	ANF	S	5,000	48.78	7-Aug	5-Sep	250.00	5.0
PRINCIPLE CAPITAL	040	ANF	SS	24,200	48.63	7-Aug	5-Sep	968.00	4.0
<b>BUCK</b>	<b>015</b>	<b>ARM</b>	<b>C</b>	<b>1,500</b>	<b>14.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ARO	B	5,000	35.48	28-Apr	5-Sep	250.00	5.0
CLOVIS CAPITAL	012	BBBY	SS	150,000	30.86	n/a	n/a	7,500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>BIG</b>	<b>C</b>	<b>500</b>	<b>30.09</b>	<b>29-May</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>BIG</b>	<b>SS</b>	<b>500</b>	<b>30.97</b>	<b>29-May</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>039</b>	<b>BKLH</b>	<b>B</b>	<b>15</b>	<b>1.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JPMSI/TOM LEDDY	035	BUCY	SS	4,000	49.73	5-Sep	5-Sep	200.00	5.0
PRINCIPLE CAPITAL	040	CCK	B	50,200	25.00	n/a	n/a	1,506.00	3.0
<b>CATTANI</b>	<b>041</b>	<b>CHK</b>	<b>B</b>	<b>300</b>	<b>44.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	CMG	B	2,000	68.80	24-Jul	24-Jul	100.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>DVN</b>	<b>S</b>	<b>250</b>	<b>95.10</b>	<b>7-May</b>	<b>21-Aug</b>	<b>0.00</b>	<b>0.0</b>

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APEX CAPITAL MGMT.	091	EL	C	7,600	51.45	15-Aug	4-Sep	380.00	5.0
HART	056	EPG	B	1,000	2.64	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	FISV	B	10,000	50.04	n/a	n/a	500.00	5.0
BUCK	015	FREJU	S	40	0.45	n/a	n/a	0.00	0.0
MAGUIRE	039	FXEUT	S	5	7.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	35,000	35.76	n/a	10-Jan	1,400.00	4.0
EGS ASSOCIATES LP	091	GIL	B	2,100	22.99	14-Aug	14-Aug	126.00	6.0
LATEFF MGMT	035	GIS	S	1,500	67.44	n/a	n/a	420.00	28.0
Õ Jason Cohen		GLWAW	B	5	1.1900	n/a	n/a	0.00	0.0
Õ Jason Cohen		GLW	B	5	2.0000	n/a	4-Sep	0.00	0.0
MAIRS AND POWER INV	030	GLW	B	20,000	16.17	n/a	4-Sep	1,000.00	5.0
PRINCIPLE CAPITAL	040	GME	S	55,500	43.19	n/a	n/a	2,220.00	4.0
SUN AMERICA ASSET MGMT	030	HGT	S	15,591	28.17	n/a	n/a	623.64	4.0
BACKBAY	041	IP	B	12,500	27.31	1-Aug	1-Aug	625.00	5.0
BACKBAY	041	IP	S	5,000	28.45	1-Aug	1-Aug	250.00	5.0
BALYASNY ASSET MGMT	044	IP	B	50,000	27.35	1-Aug	1-Aug	2,500.00	5.0
BMO NESBITT BURNS	041	IP	SS	100,000	28.15	1-Aug	1-Aug	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HEALY CIRCLE	044	IVZ	SS	35,000	24.12	4-Aug	3-Sep	1,750.00	5.0
COUGAR TRADING	044	JCG	SS	10,000	28.68	n/a	27-Aug	500.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>JNY</b>	<b>SS</b>	<b>2,000</b>	<b>20.41</b>	<b>n/a</b>	<b>30-Jul</b>	<b>0.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	JOSB	B	20,000	28.04	n/a	n/a	800.00	4.0
PERRY PARTNERS	041	KBH	SS	150,000	19.98	n/a	n/a	7,500.00	5.0
COUGAR TRADING	044	KSS	B	5,000	50.50	n/a	5-Sep	250.00	5.0
COUGAR TRADING	044	KSS	SS	10,000	49.93	n/a	5-Sep	500.00	5.0
SLS CAPITAL LLC	224	KSS	B	56,300	50.53	n/a	5-Sep	2,252.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>B</b>	<b>20,000</b>	<b>16.91</b>	<b>n/a</b>	<b>28-Aug</b>	<b>800.00</b>	<b>4.0</b>
GLG PARTNERS	034	MCD	B	37,500	59.98	9-Jun	5-Sep	1,875.00	5.0
WASHINGTON ASSET	048	MDR	S	20,000	30.14	n/a	n/a	1,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MER</b>	<b>SS</b>	<b>1,500</b>	<b>25.65</b>	<b>24-Jun</b>	<b>15-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Bob Efstathiou</b>		<b>MZTH</b>	<b>B</b>	<b>1157.8600</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	M	B	10,000	20.34	12-Aug	29-Aug	500.00	5.0
GRISANTII BROWN & PARTNER	048	M	S	15,700	20.14	12-Aug	29-Aug	785.00	5.0
SCOPUS FUND	041	NDN	B	75,000	9.10	11-Jul	5-Sep	3,750.00	5.0
SCOPUS FUND	041	PCL	B	25,000	47.76	n/a	11-Jul	1,250.00	5.0

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<b>LEDDY</b>	<b>035</b>	<b>PCL</b>	<b>B</b>	<b>500</b>	<b>47.72</b>	<b>n/a</b>	<b>11-Jul</b>	<b>0.00</b>	<b>0.0</b>
BACKBAY	041	PKG	B	34,600	25.22	22-Jul	22-Jul	1,730.00	5.0
MILLENIUM PARTNERS	028	PKG	B	10,000	25.80	22-Jul	22-Jul	500.00	5.0
SUN AMERICA ASSET MGMT	030	PLLL	S	36,685	10.79	n/a	n/a	1,467.40	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>B</b>	<b>30,000</b>	<b>17.79</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>QLGC</b>	<b>SS</b>	<b>100,000</b>	<b>18.01</b>	<b>n/a</b>	<b>n/a</b>	<b>5,000.00</b>	<b>5.0</b>
<b>DANIELS</b>	<b>N25</b>	<b>QXM</b>	<b>B</b>	<b>150</b>	<b>4.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BULL PATH CAPITAL	044	ROST	B	76,500	39.59	n/a	n/a	3,825.00	5.0
WAGONHOUND/NIC	048	ROST	B	496	39.23	n/a	n/a	19.84	4.0
<b>BUCK</b>	<b>015</b>	<b>RYN</b>	<b>B</b>	<b>800</b>	<b>43.56</b>	<b>n/a</b>	<b>24-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>B</b>	<b>100</b>	<b>72.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BACKBAY	041	SSCC	B	25,000	5.96	30-Jul	30-Jul	1,250.00	5.0
BACKBAY	041	SSCC	S	12,500	6.60	30-Jul	30-Jul	625.00	5.0
BMO NESBITT BURNS	041	SSCC	B	50,000	6.02	30-Jul	30-Jul	2,500.00	5.0
BMO NESBITT BURNS	041	SSCC	SS	50,000	6.50	30-Jul	30-Jul	2,500.00	5.0
SCOPUS FUND	041	SSCC	B	155,000	6.11	30-Jul	30-Jul	7,750.00	5.0
SLS CAPITAL LLC	224	SSCC	B	226,300	6.56	30-Jul	30-Jul	6,789.00	3.0
SUN AMERICA ASSET MGMT	030	SSCC	B	300,000	6.42	30-Jul	30-Jul	12,000.00	4.0
COUGAR TRADING	044	SSO	B	5,000	56.61	n/a	n/a	250.00	5.0
COUGAR TRADING	044	SSO	S	5,000	55.90	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	TIN	B	50,000	17.51	29-Apr	30-Jul	2,500.00	5.0
TRUST CO/COWEN/CALF.	040	TSO	B	44,560	17.48	n/a	n/a	1,782.40	4.0
COUGAR TRADING	044	WMT	B	10,000	59.99	8-Aug	5-Sep	500.00	5.0
COUGAR TRADING	044	WRC	B	5,000	49.07	8-Aug	28-Aug	250.00	5.0
SCOPUS FUND	041	WY	B	25,000	53.55	n/a	6-Aug	1,250.00	5.0
<b>TOTAL (Trade Date):</b>							<b>104,561.86</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/04	COLUMBUS CIRCLE (COLC4400)	036	GIS	B	159,494	67.27	n/a	n/a	6379.76 4.0
AO,	09/02	HIGHBRIDGE/MS OLDS (HIBCMAIN)	041	MCHP	S	80,743	32.37	n/a	n/a	3229.72 4.0
AO,CXL	09/02	HIGHBRIDGE/MS OLDS (HIBCLEHMAN)	041	MCHP	SS	100,102	32.37	n/a	n/a	5005.10 5.0
AO,CRT	09/02	HIGHBRIDGE/MS OLDS (HIBCMAIN)	041	MCHP	SS	19,359	32.37	n/a	n/a	774.36 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>5,378.74</b>

TOTAL (Trade Date) :	104,561.86
TOTAL (AO, CXL, CRT) :	5,378.74

<b>TOTAL (RUN DATE) / NFS :</b>	<b>109,940.60</b>
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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