



Daily Compliance Activity Report

Trade Date: 08/11/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATTANI	041	AAI	B	2,000	3.56	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	AA	B	11,500	31.45	n/a	n/a	460.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	120,000	14.98	6-Mar	8-Aug	4,800.00	4.0
MERRILL ASSET	032	AIT	S	40,500	30.29	n/a	n/a	1,822.50	4.5
REINHART & MAHONEY	031	AMSC	B	42,120	26.10	n/a	n/a	2,106.00	5.0
COUGAR TRADING	044	ANF	B	5,000	53.91	7-Aug	8-Aug	250.00	5.0
COUGAR TRADING	044	ANF	S	5,000	54.62	7-Aug	8-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	50,000	26.95	n/a	11-Jul	2,000.00	4.0
COUGAR TRADING	044	AN	B	5,000	12.73	25-Jul	28-Jul	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	ARO	S	20,100	36.86	28-Apr	8-Aug	804.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	25,000	36.93	28-Apr	8-Aug	1,000.00	4.0
COUGAR TRADING	044	ARO	S	5,000	36.65	28-Apr	8-Aug	250.00	5.0
MTB INV ADV	034	ARO	B	6,350	36.53	28-Apr	8-Aug	317.50	5.0
SUTERA	160	ASTI	B	1,000	8.00	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	BBY	S	25,000	44.54	n/a	27-Jul	1,250.00	5.0
MTB INV ADV	034	BIG	B	5,250	34.16	29-May	8-Aug	262.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BJ	B	100,000	43.18	n/a	27-Jul	4,000.00	4.0
COUGAR TRADING	044	BKC	B	5,000	30.09	1-May	30-Jul	250.00	5.0
MTB INV ADV	034	BKC	B	7,400	30.57	1-May	30-Jul	370.00	5.0
WHITE PINE CAPITAL	030	BONT	B	5,500	5.70	n/a	8-Aug	275.00	5.0
CR INTRINIC INVESTMENT	044	BRL	B	25,000	67.25	18-Jul	8-Aug	1,250.00	5.0
ZOLIDIS	011	BWS	SS	500	17.70	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	CAT	B	44,000	71.19	n/a	23-May	2,200.00	5.0
LISTED ERR	099	CAT	B	44,000	71.20	n/a	23-May	0.00	0.0
LISTED ERR	099	CAT	S	44,000	71.19	n/a	23-May	0.00	0.0
CATAPULT	040	CBSH	B	5,000	46.14	n/a	n/a	250.00	5.0
SATELITE/BOBBY	044	CCL	B	25,000	40.62	n/a	26-Jan	1,250.00	5.0
KENNEDY CAPITAL	046	CF	B	5,155	126.22	n/a	n/a	206.20	4.0
PERRY PARTNERS	041	CMG	SS	36,400	76.53	24-Jul	24-Jul	1,092.00	3.0
CATAPULT	040	COF	SS	10,000	45.65	n/a	8-Aug	500.00	5.0
HUNTER GLOBAL INVESTOR	067	COF	SS	10,700	46.61	n/a	8-Aug	535.00	5.0
COUGAR TRADING	044	COH	B	15,000	31.53	30-Jul	30-Jul	750.00	5.0
CUMBERLAND	038	COLM	SS	15,000	41.04	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEOSPHERE CAPITAL MGMT	044	COL	B	50,000	53.15	n/a	n/a	1,500.00	3.0
COUGAR TRADING	044	CPKI	B	5,000	15.35	10-Jul	8-Aug	250.00	5.0
MTB INV ADV	034	CWTR	B	37,100	7.09	n/a	n/a	1,855.00	5.0
CATTANI	041	C	S	500	19.99	19-Jun	31-Jul	0.00	0.0
EPOCH INV MGMT	030	DBD	B	53,150	38.66	1-May	1-Jul	2,126.00	4.0
PERRY PARTNERS	041	DBD	S	21,300	38.98	1-May	1-Jul	639.00	3.0
MTB INV ADV	034	DBRN	B	10,450	17.05	n/a	n/a	522.50	5.0
HUNTER GLOBAL INVESTOR	067	DFS	SS	31,600	15.81	n/a	8-Aug	1,580.00	5.0
MTB INV ADV	034	DKS	B	26,050	19.43	7-Jul	9-Jul	1,302.50	5.0
REICH AND TANG	067	DLX	S	200,000	17.35	n/a	n/a	10,000.00	5.0
IRIDIAN ASSET MGMT.	036	DVN	S	35,060	88.93	7-May	11-Aug	1,753.00	5.0
Õ Jason Cohen		DXDHK	B	4	0.2500	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	EGN	B	15,385	53.24	n/a	n/a	615.40	4.0
BMO NESBITT BURNS	041	EK	S	50,000	17.27	n/a	n/a	2,500.00	5.0
SATELITE/BOBBY	044	EL	B	5,000	45.64	7-May	24-Jun	250.00	5.0
NOMURA CAPITAL	045	FCN	S	802	72.55	n/a	n/a	40.10	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
N STRATTON	014	FC	B	198	8.80	n/a	n/a	0.00	0.0
AVESTA CAP	229	FFIV	B	25,000	35.74	n/a	n/a	1,250.00	5.0
FIRST NY SEC/CHRIS	041	FL	B	10,000	16.07	11-Aug	11-Aug	600.00	6.0
WAGONHOUND/NIC	048	FL	B	54,350	16.14	11-Aug	11-Aug	2,174.00	4.0
EGS ASSOCIATES LP	091	FOSL	B	3,000	28.46	n/a	6-Aug	180.00	6.0
KORMAN	003	FSYS	C	2,000	50.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	140,000	31.55	n/a	10-Jan	5,600.00	4.0
BUCK CAPITAL MGMT	001	GES	B	270,000	38.16	n/a	n/a	10,800.00	4.0
JPMSEI/TOM LEDDY	035	GIL	B	20,000	27.55	30-Apr	18-Jul	1,000.00	5.0
WEISS PECK	040	GIL	S	14,300	26.63	30-Apr	18-Jul	715.00	5.0
MAIRS AND POWER INV	030	GIS	S	10,000	67.00	n/a	n/a	500.00	5.0
AMBER CAPITAL	046	GM	B	300,000	10.61	4-Aug	4-Aug	12,000.00	4.0
COUGAR TRADING	044	GPI	B	5,000	23.39	10-Jun	30-Jul	250.00	5.0
TRELLUS PARTNERS LP	028	GPI	SS	20,000	23.70	10-Jun	30-Jul	1,000.00	5.0
BUCK CAPITAL MGMT	001	GPS	SS	150,000	20.13	n/a	8-Aug	6,000.00	4.0
COUGAR TRADING	044	GPS	S	20,000	19.96	n/a	8-Aug	1,000.00	5.0
BWANG	093	GPS	S	150	19.57	n/a	8-Aug	0.00	0.0
S CAST	016	GSI	B	160	12.37	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	GYMB	S	200	40.46	11-Jul	8-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	HBI	B	50,000	25.76	n/a	n/a	2,000.00	4.0
MERRILL LYNCH STRATEGICI	034	HD	S	20,000	27.71	n/a	27-Jul	800.00	4.0
KENNEDY CAPITAL	046	HP	B	9,430	52.11	n/a	n/a	377.20	4.0
BAIRD INVESTMENT	031	HRS	B	2,375	50.49	2-Jun	6-Aug	118.75	5.0
REICH AND TANG	067	HUBB	S	115,000	43.49	n/a	n/a	5,750.00	5.0
WAGONHOUND/NIC	048	IVZ	B	687	26.00	4-Aug	11-Aug	27.48	4.0
ETON PARK CAPITAL	041	IWM	B	115,200	74.85	n/a	n/a	3,456.00	3.0
SIGMA CAPITAL ASSOCIATES	237	IWM	SS	100,000	75.35	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	JCG	S	308,800	28.93	n/a	30-May	12,352.00	4.0
COUGAR TRADING	044	JCG	B	5,000	30.37	n/a	30-May	250.00	5.0
WOOSTER CAPITAL	035	JCG	B	50,000	28.88	n/a	30-May	2,500.00	5.0
HEALY CIRCLE	044	JCP	S	16,700	35.44	n/a	8-Aug	835.00	5.0
REINHART & MAHONEY	031	JJSF	S	2,120	34.21	n/a	n/a	106.00	5.0
JP MORGAN VENTURES	046	JNY	S	20,000	18.92	n/a	30-Jul	1,000.00	5.0
ETON PARK CAPITAL	041	JRCC	B	300,000	31.74	n/a	n/a	12,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	130,000	32.63	10-Jul	8-Aug	5,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BULL PATH CAPITAL	044	KSS	S	35,500	48.47	n/a	8-Aug	1,775.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	51.12	n/a	8-Aug	250.00	5.0
PALMYRA CAPITAL	048	KSS	B	25,000	48.25	n/a	8-Aug	1,250.00	5.0
SATELITE/BOBBY	044	KSS	S	27,400	49.01	n/a	8-Aug	1,370.00	5.0
VIKING GLOBAL	030	KSS	SS	388,000	51.01	n/a	8-Aug	19,400.00	5.0
KENNEDY CAPITAL	046	LDG	S	14,440	54.53	n/a	n/a	577.60	4.0
BUCK CAPITAL MGMT	001	LEG	SS	50,000	21.80	n/a	n/a	2,000.00	4.0
MERRILL LYNCH STRATEGICI	034	LOW	S	25,000	23.66	n/a	27-Jul	1,000.00	4.0
BMO NESBITT BURNS	041	LPX	SS	100,000	9.85	n/a	4-Aug	5,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	9.83	n/a	4-Aug	2,500.00	5.0
SCOPUS FUND	041	LPX	B	100,000	9.84	n/a	4-Aug	5,000.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	100,000	19.42	n/a	8-Aug	4,000.00	4.0
CASTLEROCK	040	LVS	B	43,900	55.79	n/a	n/a	1,756.00	4.0
ELM RIDGE ADVISORS	044	MAT	S	114,700	21.91	n/a	n/a	4,588.00	4.0
SIGMA CAPITAL ASSOCIATES	237	MAT	B	60,000	21.87	n/a	n/a	3,000.00	5.0
NATIONAL BK OF CAN	031	MER	B	20,000	27.78	24-Jun	29-Jul	800.00	4.0
CATTANI	041	MER	B	500	26.74	24-Jun	29-Jul	0.00	0.0
HUNTER GLOBAL INVESTOR	067	MGM	B	147,400	36.56	n/a	6-Aug	7,370.00	5.0
MFP INVESTORS	032	MHGC	S	15,000	17.09	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	MI	B	3,400	16.96	n/a	n/a	170.00	5.0
NATIONAL BK OF CAN	031	MS	S	35,000	46.43	n/a	14-Jul	1,400.00	4.0
S.A.C. CAPITAL MGMT.	044	MT	B	50,000	77.48	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	M	S	15,000	22.01	8-Aug	8-Aug	750.00	5.0
MERRILL LYNCH STRATEGICI	034	M	S	5,000	21.47	8-Aug	8-Aug	200.00	4.0
SOROS	036	NILE	B	20,000	45.21	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	NLY	S	25,600	14.20	n/a	n/a	1,152.00	4.5
BUCK CAPITAL MGMT	001	NP	S	5,400	20.14	n/a	11-Jul	216.00	4.0
MAGUIRE	039	NRG	B	200	34.08	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	NVDA	S	88,152	11.27	n/a	n/a	3,526.08	4.0
REINHART & MAHONEY	031	NWE	B	8,400	24.25	n/a	n/a	420.00	5.0
KENNEDY CAPITAL	046	PCLN	B	11,855	100.22	n/a	n/a	474.20	4.0
ETON PARK CAPITAL	041	PCX	SS	100,000	100.58	n/a	n/a	4,000.00	4.0
REINHART & MAHONEY	031	PFWD	B	41,620	20.91	n/a	n/a	2,081.00	5.0
MTB INV ADV	034	PLCE	B	5,250	38.41	23-Jun	8-Aug	262.50	5.0
MTB INV ADV	034	PNRA	B	5,300	53.07	n/a	6-Aug	265.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	POM	S	16,250	25.83	n/a	n/a	650.00	4.0
S CAST	016	PVH	S	50	41.36	5-May	18-Jul	0.00	0.0
LUCHANSKY1	036	QQQQ	C	1,000	48.14	n/a	n/a	0.00	0.0
FIRST NEW YORK NICK	029	Q	S	20,000	4.01	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	72.58	n/a	7-Aug	800.00	4.0
GALLEON MGMT LP	033	RL	S	10,000	74.44	n/a	7-Aug	500.00	5.0
MTB INV ADV	034	ROST	B	5,300	40.94	n/a	n/a	265.00	5.0
WAGONHOUND/NIC	048	ROST	B	10,958	40.43	n/a	n/a	438.32	4.0
BUCK CAPITAL MGMT	001	RVI	B	50,000	4.80	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	SAH	B	5,000	12.53	n/a	30-Jul	250.00	5.0
NORTHPOINT	030	SANM	B	300,000	2.17	n/a	n/a	9,000.00	3.0
MCCARTAN	028	SHOO	SS	100	25.13	n/a	n/a	0.00	0.0
DARUMA ASSET MGMT INC	034	SKIL	S	43,700	10.16	n/a	n/a	2,185.00	5.0
BALYASNY ASSET MGMT	044	SKS	SS	25,000	11.47	n/a	n/a	1,250.00	5.0
MERRILL ASSET	032	SKS	B	107,200	11.04	n/a	n/a	4,824.00	4.5
BUCK CAPITAL MGMT	001	SKX	B	10,000	20.98	n/a	13-Mar	400.00	4.0
COUGAR TRADING	044	SSO	B	5,000	63.37	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	SSO	S	5,000	63.25	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	SWN	S	3,650	31.63	20-Mar	11-Aug	182.50	5.0
BUCK CAPITAL MGMT	001	SYX	SS	20,000	30.83	n/a	24-Apr	800.00	4.0
SATELITE/BOBBY	044	SYX	SS	17,500	31.13	n/a	24-Apr	875.00	5.0
KENNEDY CAPITAL	046	TDW	S	10,460	54.78	n/a	n/a	418.40	4.0
MERRILL LYNCH STRATEGICI	034	TGT	SS	15,000	51.26	n/a	8-Aug	750.00	5.0
IRONBOUND CAPITAL	012	TIN	S	31,000	17.15	29-Apr	30-Jul	1,550.00	5.0
WEISS PECK	040	TJX	SS	5,200	37.38	11-Aug	11-Aug	260.00	5.0
HART	056	TUYHH	S	15	0.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	SS	10,000	14.34	17-Mar	22-May	400.00	4.0
WHITE PINE CAPITAL	030	T	B	2,700	31.68	n/a	4-Jan	135.00	5.0
WHITE PINE CAPITAL	030	UNH	B	3,000	31.14	n/a	n/a	150.00	5.0
MTB INV ADV	034	URBN	B	4,250	36.79	15-May	8-Aug	212.50	5.0
OTC ERROR	099	URBN	B	4,250	36.99	15-May	8-Aug	0.00	0.0
OTC ERROR	099	URBN	S	4,250	36.79	15-May	8-Aug	0.00	0.0
FINANCIAL STOCK LP	028	WB	SS	60,000	18.23	n/a	n/a	2,400.00	4.0
NATIONAL BK OF CAN	031	WB	B	50,000	18.79	n/a	n/a	2,000.00	4.0
BEAR STEARNS ASSET MGMT.	033	WFMI	SS	40,000	18.69	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WMT	B	100,000	59.14	8-Aug	8-Aug	4,000.00	4.0
JP MORGAN VENTURES	046	WMT	B	20,000	58.90	8-Aug	8-Aug	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WRC	S	101,000	51.58	8-Aug	8-Aug	3,787.50	3.8
JP MORGAN VENTURES	046	WSM	C	30,000	19.30	n/a	n/a	1,500.00	5.0
BMO NESBITT BURNS	041	WY	B	20,000	51.31	n/a	6-Aug	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	100,000	50.86	n/a	6-Aug	5,000.00	5.0
SCOPUS FUND	041	WY	B	23,000	51.35	n/a	6-Aug	1,150.00	5.0
KORMAN	003	ZOLT	S	5,000	20.30	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								281,162.23	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/08	TRELLUS PARTNERS LP (TRELMAIN)	028	GPI	SS	10,000	22.29	10-Jun	30-Jul	500.00 5.0
AO,CXL	08/08	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	KSS	B	95,000	45.73	n/a	8-Aug	3800.00 4.0
AO,CRT	08/08	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	KSS	B	94,500	45.73	n/a	8-Aug	3780.00 4.0
AO,	08/08	BUCK CAPITAL MGMT (BUCKGIL)	001	KSS	B	500	45.73	n/a	8-Aug	20.00 4.0
AO,	08/07	TRELLUS PARTNERS LP (TRELMMERR)	028	PAG	SS	1,710	13.92	10-Jun	1-Aug	85.50 5.0
AO,	08/07	TRELLUS PARTNERS LP (TRELGS)	028	PAG	SS	1,710	13.92	10-Jun	1-Aug	85.50 5.0
AO,CXL	08/07	TRELLUS PARTNERS LP (TRELMAIN)	028	PAG	SS	30,000	13.92	10-Jun	1-Aug	1500.00 5.0
AO,	08/07	TRELLUS PARTNERS LP (TRELMAIN)	028	PAG	SS	26,580	13.92	10-Jun	1-Aug	1329.00 5.0
AO,CRT	08/08	MKT MAKER (MKT MAKER)	099	PVH	B	1,695	39.39	5-May	18-Jul	0.00 0.0
AO,	08/08	MKT MAKER (MKT MAKER)	099	PVH	S	1,695	39.39	5-May	18-Jul	0.00 0.0
AO,	08/08	PENN CAPITAL MGMT (PENNHAWVEB)	243	PVH	B	390	39.39	5-May	18-Jul	15.60 4.0
AO,	08/08	PENN CAPITAL MGMT (PENNHAWMPT)	243	PVH	B	2,990	39.39	5-May	18-Jul	119.60 4.0
AO,	08/08	PENN CAPITAL MGMT (PENNPILAD)	243	PVH	B	2,710	39.39	5-May	18-Jul	108.40 4.0
AO,	08/08	PENN CAPITAL MGMT (PENNPETEKA)	243	PVH	B	525	39.39	5-May	18-Jul	21.00 4.0
AO,CXL	08/08	PENN CAPITAL MGMT (PENNDISTRI)	243	PVH	B	6,615	39.39	5-May	18-Jul	264.60 4.0
TOTAL (AO, CXL, CRT) :										500.00
TOTAL (Trade Date) :										281,162.23
TOTAL (AO, CXL, CRT) :										500.00
TOTAL (RUN DATE) / NFS :										281,662.23

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