



## Daily Compliance Activity Report

Trade Date: 09/29/2008

### POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>35,000</b>	<b>14.77</b>	<b>n/a</b>	<b>5-Sep</b>	<b>1,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	S	5,000	14.23	n/a	5-Sep	250.00	5.0
REINHART & MAHONEY	031	AFG	B	19,200	28.38	n/a	n/a	960.00	5.0
PRINCIPLE CAPITAL	040	AMZN	B	26,200	64.40	n/a	n/a	1,048.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>50,000</b>	<b>31.55</b>	<b>28-Apr</b>	<b>5-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	B	5,000	31.70	28-Apr	5-Sep	250.00	5.0
MTB INV ADV	034	ARO	B	11,700	30.61	28-Apr	5-Sep	585.00	5.0
PALMYRA CAPITAL	048	ARO	B	7,800	31.55	28-Apr	5-Sep	312.00	4.0
ROTHSCHILD ASSET	040	AWI	B	24,160	30.04	n/a	n/a	1,087.20	4.5
PHILADELPHIA FINANCIAL	033	BEN	S	2,210	99.22	10-Sep	19-Sep	88.40	4.0
IRIDIAN ASSET MGMT.	036	BIIB	S	169,470	51.06	n/a	n/a	8,473.50	5.0
FRONTPOINT/COPIA-ANDREW	031	BK	B	8,800	27.30	n/a	19-Sep	352.00	4.0
<b>BUCK</b>	<b>015</b>	<b>CAT</b>	<b>C</b>	<b>1,000</b>	<b>60.74</b>	<b>19-Sep</b>	<b>19-Sep</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	CCE	B	25,000	16.89	n/a	n/a	1,000.00	4.0
<b>WYCKOFF</b>	<b>013</b>	<b>CHCG</b>	<b>S</b>	<b>2,000</b>	<b>1.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION GLOBAL MGMT LL	041	CHK	B	16,000	32.41	n/a	n/a	480.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>S</b>	<b>200,000</b>	<b>5.10</b>	<b>8-Aug</b>	<b>24-Sep</b>	<b>8,000.00</b>	<b>4.0</b>
PALMYRA CAPITAL	048	CHS	S	254,500	5.07	8-Aug	24-Sep	5,090.00	2.0
NWQ INVESTMENT MGMT CO	046	CLR	B	8,800	33.26	n/a	n/a	352.00	4.0
NWQ INVESTMENT MGMT CO	046	CNQ	B	3,200	65.74	n/a	n/a	128.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>20,000</b>	<b>24.69</b>	<b>30-Jul</b>	<b>28-Aug</b>	<b>800.00</b>	<b>4.0</b>
ENTRUST CAPITAL	040	COH	B	92,400	23.96	30-Jul	28-Aug	4,620.00	5.0
FRONTPOINT CHRIS C	041	CTL	SS	12,700	37.67	n/a	n/a	508.00	4.0
J.W. SELIGMAN	041	CVS	B	99,700	32.50	n/a	n/a	3,988.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CWTR</b>	<b>C</b>	<b>2,000</b>	<b>5.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	C	B	100,000	20.26	15-Sep	19-Sep	5,000.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>DDM</b>	<b>S</b>	<b>250</b>	<b>52.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>DECK</b>	<b>B</b>	<b>200</b>	<b>104.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>DIAWA</b>	<b>S</b>	<b>20</b>	<b>6.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>AMATURO</b>	<b>018</b>	<b>DIAWB</b>	<b>S</b>	<b>60</b>	<b>5.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HART</b>	<b>056</b>	<b>DIAWB</b>	<b>S</b>	<b>8</b>	<b>5.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>DIG</b>	<b>S</b>	<b>200</b>	<b>65.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>DISH</b>	<b>B</b>	<b>100</b>	<b>20.00</b>	<b>n/a</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	046	DNR	B	10,500	17.54	n/a	n/a	420.00	4.0
THIRD POINT MGMT	044	DRI	C	250,000	27.42	26-Aug	18-Sep	10,000.00	4.0
OGORMAN	046	DXD	B	200	65.93	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	SS	100,000	50.02	15-Aug	4-Sep	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	EMR	C	15,000	39.55	n/a	n/a	600.00	4.0
BENCHMARK	028	EXPO	S	8,000	32.81	n/a	n/a	400.00	5.0
ZOLIDIS	011	FINL	C	1,000	10.25	n/a	28-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	150,000	16.22	11-Aug	29-Sep	6,000.00	4.0
BUCK	015	FTQKW	S	12	1.15	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	GD	SS	10,000	72.88	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GES	S	55,000	35.02	n/a	n/a	2,200.00	4.0
COUGAR TRADING	044	GIL	S	10,000	22.51	8-Sep	8-Sep	500.00	5.0
WILLIAM BLAIR	031	GIL	B	80,300	22.27	8-Sep	8-Sep	3,212.00	4.0
S CAST	016	GMO	B	200	4.47	n/a	n/a	0.00	0.0
AMATURO	018	GMO	B	4,000	4.37	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	GPS	B	18,900	18.20	n/a	23-Sep	567.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GPS	SS	10,000	18.08	n/a	23-Sep	500.00	5.0
COUGAR TRADING	044	GPS	S	15,000	18.09	n/a	23-Sep	750.00	5.0
<b>BUCK</b>	<b>015</b>	<b>HD</b>	<b>C</b>	<b>1,000</b>	<b>25.81</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOT</b>	<b>SS</b>	<b>10,000</b>	<b>27.17</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
MOORE CAPITAL	036	HPQ	B	100,000	45.36	n/a	n/a	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	HRS	B	10,000	45.38	2-Jun	22-Sep	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	HRS	S	15,000	45.41	2-Jun	22-Sep	600.00	4.0
FRONTPOINT CHRIS C	041	HSP	S	8,100	38.49	n/a	22-Apr	324.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>IP</b>	<b>SS</b>	<b>200</b>	<b>27.90</b>	<b>22-Sep</b>	<b>22-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>IZUCF</b>	<b>S</b>	<b>4</b>	<b>1.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WYCKOFF</b>	<b>013</b>	<b>JADE</b>	<b>S</b>	<b>800</b>	<b>1.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JCG	S	10,000	27.02	n/a	17-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>200,000</b>	<b>33.44</b>	<b>n/a</b>	<b>5-Sep</b>	<b>8,000.00</b>	<b>4.0</b>
HUNTER GLOBAL INVESTOR	067	JNJ	B	50,000	67.54	n/a	22-Apr	2,500.00	5.0
MAIRS AND POWER INV	030	JNJ	S	10,000	69.46	n/a	22-Apr	500.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>JPMLJ</b>	<b>S</b>	<b>10</b>	<b>3.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SECOND CURVE	031	JPM	S	75,000	46.39	26-Sep	26-Sep	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	SS	50,000	27.71	10-Jul	17-Sep	2,000.00	4.0
SINCLAIR	031	KGCBW	S	10	2.60	n/a	n/a	0.00	0.0
MCCARTAN	028	KMT	C	100	26.89	18-Sep	18-Sep	0.00	0.0
STRONG/MARK GRONET	030	KRE	B	100,000	34.66	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	47.07	n/a	5-Sep	800.00	4.0
CASEY CAPITAL	067	KSS	B	5,000	47.33	n/a	5-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	LIZ	S	10,000	16.56	n/a	18-Sep	400.00	4.0
EGS ASSOCIATES LP	091	LTD	B	4,000	17.91	19-Aug	17-Sep	240.00	6.0
HUNTER GLOBAL INVESTOR	067	MCD	B	50,000	60.25	9-Sep	25-Sep	2,500.00	5.0
N STRATTON	014	MCF	S	150	52.82	n/a	n/a	0.00	0.0
FRONTPOINT CHRIS C	041	MIDD	SS	4,200	53.90	11-Aug	11-Aug	168.00	4.0
FRONTPOINT/COPIA-ANDREW	031	MSM	SS	5,200	46.71	n/a	n/a	208.00	4.0
KORMAN	003	MWO	B	2,000	9.00	n/a	n/a	0.00	0.0
ZOLIDIS	011	MWO	B	1,200	10.50	n/a	n/a	0.00	0.0
LEDDY	035	MWO	B	1,000	8.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	20.83	n/a	n/a	1,200.00	4.0
COUGAR TRADING	044	M	B	15,000	17.75	12-Aug	29-Aug	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	M	S	41,990	18.15	12-Aug	29-Aug	1,889.55	4.5
<b>KAICHER</b>	<b>064</b>	<b>NCC</b>	<b>B</b>	<b>5,000</b>	<b>1.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MILLER</b>	<b>025</b>	<b>PBR</b>	<b>B</b>	<b>50</b>	<b>41.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	PKG	B	23,300	23.00	11-Sep	22-Sep	745.60	3.2
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>30,000</b>	<b>18.18</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
J L F ASSET MGMT	039	PSUN	SS	10,985	6.43	n/a	5-Sep	439.40	4.0
THOMSON HORSTMAN BRYANT	040	PVH	S	85,600	36.68	n/a	28-Aug	4,280.00	5.0
MOORE CAPITAL	036	QCOM	B	100,000	42.17	n/a	n/a	4,000.00	4.0
SOUTH POINT CAP	067	RIO	S	100,000	18.26	n/a	n/a	5,000.00	5.0
STRAUSS ASSET MGMT	040	RNIN	S	4,600	2.42	n/a	n/a	184.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>S</b>	<b>1,000</b>	<b>74.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>SDS</b>	<b>B</b>	<b>300</b>	<b>75.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Mark Megalli</b>		<b>SHOO</b>	<b>S</b>	<b>2000</b>	<b>25.0000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	SHPGY	B	13,540	48.61	21-May	23-Sep	677.00	5.0
<b>BUCK</b>	<b>015</b>	<b>SLB</b>	<b>S</b>	<b>600</b>	<b>80.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>SLB</b>	<b>B</b>	<b>250</b>	<b>78.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY</b>	<b>036</b>	<b>SPY</b>	<b>S</b>	<b>100</b>	<b>113.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LUCHANSKY1</b>	<b>036</b>	<b>SPY</b>	<b>S</b>	<b>100</b>	<b>116.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	SSO	S	15,000	48.35	n/a	n/a	750.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>SSO</b>	<b>S</b>	<b>300</b>	<b>49.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	SUP	SS	400	19.55	25-Jul	8-Aug	20.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>SWNLF</b>	<b>B</b>	<b>2</b>	<b>4.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	TEO	B	31,500	12.64	n/a	n/a	1,575.00	5.0
COUGAR TRADING	044	TJX	B	5,000	30.88	11-Aug	5-Sep	250.00	5.0
PNC/MERCANTILE	028	TPX	S	7,240	11.91	n/a	n/a	362.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>TWM</b>	<b>S</b>	<b>150</b>	<b>73.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>TWTC</b>	<b>B</b>	<b>100</b>	<b>10.00</b>	<b>n/a</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	UA	S	5,000	31.54	n/a	22-Sep	250.00	5.0
COUGAR TRADING	044	URBN	B	5,000	32.23	14-Aug	17-Sep	250.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	33.19	14-Aug	17-Sep	250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>URBN</b>	<b>C</b>	<b>2,000</b>	<b>32.25</b>	<b>14-Aug</b>	<b>17-Sep</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	USO	SS	10,000	80.83	n/a	n/a	500.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>UYG</b>	<b>B</b>	<b>2,600</b>	<b>18.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MCCARTAN</b>	<b>028</b>	<b>UYG</b>	<b>B</b>	<b>200</b>	<b>16.69</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>WRC</b>	<b>S</b>	<b>50,000</b>	<b>46.03</b>	<b>8-Aug</b>	<b>28-Aug</b>	<b>2,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	WRC	B	5,000	46.38	8-Aug	28-Aug	250.00	5.0
COUGAR TRADING	044	WRC	SS	5,000	45.39	8-Aug	28-Aug	250.00	5.0
<b>Õ Mark Megalli</b>		<b>WTSLA</b>	<b>S</b>	<b>6000</b>	<b>3.6400</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAGNETAR FINANCIAL	031	XLE	SS	100,000	64.86	n/a	n/a	3,000.00	3.0
<b>AMATURO</b>	<b>018</b>	<b>X</b>	<b>B</b>	<b>1,000</b>	<b>72.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>YUM</b>	<b>B</b>	<b>500</b>	<b>33.40</b>	<b>14-Aug</b>	<b>25-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>							<b>137,933.65</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	09/29	MKT MAKER (MKT MAKER)	099	DISH	B	100	20.00	n/a	4-Jan	0.00	0.0
CRT	09/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	54,900	35.02	n/a	n/a	2196.00	4.0
AO,	09/26	SOROS (SOROMS)	036	INTC	B	3,000,000	19.01	n/a	n/a	90000.00	3.0
AO,CXL	09/26	COLUMBUS CIRCLE (COLC4400)	036	MRVL	S	158,157	9.63	n/a	n/a	3163.14	2.0
AO,	09/26	COLUMBUS CIRCLE (COLC4400)	036	MRVL	S	158,157	9.63	n/a	n/a	6326.28	4.0
AO,CXL	09/26	COUGAR TRADING (COUGPB MS)	044	TWB	B	25,000	9.11	n/a	20-Aug	1250.00	5.0
AO,CRT	09/26	COUGAR TRADING (COUGPB MS)	044	TWB	B	25,000	9.11	n/a	20-Aug	1000.00	4.0
CRT	09/29	MKT MAKER (MKT MAKER)	099	TWTC	B	100	10.00	n/a	4-Jan	0.00	0.0
AO,CXL	09/26	COUGAR TRADING (COUGPB MS)	044	ZQK	B	30,000	6.04	27-Aug	5-Sep	1500.00	5.0
AO,CRT	09/26	COUGAR TRADING (COUGPB MS)	044	ZQK	B	30,000	6.04	27-Aug	5-Sep	1200.00	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>94,809.14</b>	
TOTAL (Trade Date):										137,933.65	
TOTAL (AO, CXL, CRT):										94,809.14	
<b>TOTAL (RUN DATE) / NFS:</b>										<b>232,742.79</b>	



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