



Daily Compliance Activity Report

Trade Date: 08/06/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	ACW	B	70,000	2.37	n/a	n/a	2,100.00	3.0
DSM CAPITAL PARTNERS	032	ADP	B	48,400	44.00	n/a	n/a	2,420.00	5.0
DSM CAPITAL PARTNERS	032	ADSK	B	50,575	33.84	n/a	n/a	2,528.75	5.0
COUGAR TRADING	044	AEO	B	5,000	13.90	6-Mar	4-Aug	250.00	5.0
TYEE/TYGH	035	AMG	B	22,200	90.65	23-Jul	5-Aug	888.00	4.0
BEAR STEARNS ASSET MGMT.	033	ANF	S	40,000	55.84	10-Jul	4-Aug	1,600.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	200,000	55.48	10-Jul	4-Aug	8,000.00	4.0
COUGAR TRADING	044	ANF	B	2,500	55.67	10-Jul	4-Aug	125.00	5.0
COUGAR TRADING	044	ANF	SS	2,500	55.74	10-Jul	4-Aug	125.00	5.0
BALYASNY ASSET MGMT	044	AN	B	10,000	11.03	25-Jul	28-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	AN	SS	100,000	11.07	25-Jul	28-Jul	4,000.00	4.0
COUGAR TRADING	044	AN	SS	5,000	11.23	25-Jul	28-Jul	250.00	5.0
RK CAPITAL MGMT LLC	045	ARGN	B	70,000	7.27	24-Jun	17-Jul	2,800.00	4.0
COUGAR TRADING	044	ARO	B	5,000	33.23	28-Apr	4-Aug	250.00	5.0
Õ Raghav Nayar		BIDZ	S	200	11.06	n/a	n/a	0.00	0.0
COBALT	041	BIG	B	50,000	31.96	29-May	4-Aug	2,500.00	5.0
GLG PARTNERS	034	BIG	B	25,000	32.03	29-May	4-Aug	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD POINT MGMT	044	BIG	C	125,000	31.93	29-May	4-Aug	5,000.00	4.0
THE JAY GOLDMAN	034	BJ	B	10,000	39.99	n/a	27-Jul	400.00	4.0
COUGAR TRADING	044	BKC	B	5,000	28.40	1-May	30-Jul	250.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	300	41.85	10-Jun	1-Aug	15.00	5.0
WEISS PECK	040	BWS	S	36,980	16.25	n/a	n/a	1,849.00	5.0
ZOLIDIS	011	BWS	SS	1,000	16.60	n/a	n/a	0.00	0.0
KARPNANCY	023	BYD	B	300	14.05	29-Jul	4-Aug	0.00	0.0
ROYCE TRADING	216	CAB	B	10,000	10.91	n/a	n/a	500.00	5.0
FORWARD MGMT	033	CAKE	B	3,600	15.38	n/a	24-Apr	180.00	5.0
Õ Jason Cohen		CCI	B	54	36.63	n/a	n/a	0.00	0.0
WEISS PECK	040	CCL	SS	18,200	39.41	n/a	26-Jan	910.00	5.0
ß BUCK CAPITAL MGMT		CMG	SS	30,000	72.26	24-Jul	24-Jul	non-brg	4.0
ROBX	033	CMI	B	14,350	68.70	n/a	23-May	574.00	4.0
LEDDY	035	CMI	SS	300	70.34	n/a	23-May	0.00	0.0
JP MORGAN VENTURES	046	COH	SS	10,000	27.64	30-Jul	30-Jul	500.00	5.0
ß BUCK CAPITAL MGMT		CSCO	S	10,000	23.73	n/a	22-Mar	non-brg	4.0
DSM CAPITAL PARTNERS	032	CSCO	B	83,200	23.87	n/a	22-Mar	4,160.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Steven Maguire		CSCO	B	15000	22.33	n/a	22-Mar	0.00	0.0
Õ	Steven Maguire		CSCO	S	10000	23.92	n/a	22-Mar	0.00	0.0
Õ	Steven Maguire		CSCO	S	5000	23.92	n/a	22-Mar	0.00	0.0
	NOMURA CAPITAL	045	CVC	S	2,700	27.47	n/a	4-Jan	135.00	5.0
	DSM CAPITAL PARTNERS	032	CVD	B	20,200	95.68	n/a	n/a	1,010.00	5.0
	CATTANI	041	C	B	500	19.83	19-Jun	31-Jul	0.00	0.0
Õ	Jason Cohen		DAL	S	80	8.41	n/a	n/a	0.00	0.0
	BEAR STEARNS ASSET MGMT.	033	DIS	B	60,000	31.57	n/a	n/a	2,400.00	4.0
	IRIDIAN ASSET MGMT.	036	DVN	B	25,930	92.72	7-May	1-Aug	1,296.50	5.0
	MCCARTAN	028	FCN	B	200	68.37	n/a	n/a	0.00	0.0
	LUCHANSKY1	036	FCN	B	200	68.51	n/a	n/a	0.00	0.0
	WHEELER	008	FOR	B	5,000	18.44	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	GCO	B	30,000	29.92	n/a	10-Jan	1,200.00	4.0
ß	BUCK CAPITAL MGMT		GM+IB	C	1,000	1.49	n/a	n/a	non-brg	200.0
ß	BUCK CAPITAL MGMT		GM+IM	C	1,000	1.06	n/a	n/a	non-brg	200.0
ß	BUCK CAPITAL MGMT		GM+IS	C	2,000	0.66	n/a	n/a	non-brg	100.0
ß	BUCK CAPITAL MGMT		GM+UB	S	1,000	1.64	n/a	n/a	non-brg	200.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GM+UM	S	1,000	2.22	n/a	n/a	non-brg 200.0	
⌘ BUCK CAPITAL MGMT		GM+US	S	2,000	3.22	n/a	n/a	non-brg 200.0	
⌘ BUCK CAPITAL MGMT		GM+XB	C	1,000	3.12	n/a	n/a	non-brg 200.0	
⌘ BUCK CAPITAL MGMT		GM+XC	C	4,500	6.77	n/a	n/a	non-brg 200.0	
⌘ BUCK CAPITAL MGMT		GM+XS	C	8,800	4.67	n/a	n/a	non-brg 200.0	
⌘ BUCK CAPITAL MGMT		GM+XT	C	1,000	8.87	n/a	n/a	non-brg 200.0	
⌘ BUCK CAPITAL MGMT		GM	C	1,530,300	10.29	4-Aug	4-Aug	non-brg 2.0	
COUGAR TRADING	044	GPI	SS	5,000	21.50	10-Jun	30-Jul	250.00	5.0
DSM CAPITAL PARTNERS	032	GPRO	B	35,875	60.83	n/a	n/a	1,793.75	5.0
BUCK CAPITAL MGMT	001	GPS	B	54,500	16.85	n/a	4-Aug	2,180.00	4.0
⌘ BUCK CAPITAL MGMT		GRMN	SS	25,000	34.66	n/a	n/a	non-brg 4.0	
NOMURA CAPITAL	045	GT	S	2,300	20.32	n/a	n/a	115.00	5.0
NOMURA CAPITAL	045	HOS	B	1,300	41.90	n/a	n/a	65.00	5.0
WEISS PECK	040	HOTT	S	83,540	6.63	n/a	4-Aug	3,341.60	4.0
RHO CAPITAL MGMT	041	IBN	B	500	33.93	n/a	n/a	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RHO CAPITAL MGMT	041	INP	B	200	63.57	n/a	n/a	8.00	4.0
RHO CAPITAL MGMT	041	ISRG	B	60	312.10	n/a	n/a	2.40	4.0
JP MORGAN VENTURES	046	JCG	SS	10,000	30.25	n/a	30-May	500.00	5.0
ADAGE CAPITAL MGMT	030	JCP	B	202,000	31.25	n/a	4-Aug	8,080.00	4.0
COUGAR TRADING	044	JCP	B	10,000	30.91	n/a	4-Aug	500.00	5.0
THE JAY GOLDMAN	034	JCP	S	26,000	31.48	n/a	4-Aug	1,040.00	4.0
CATTANI	041	JNS	B	500	27.28	25-Jul	5-Aug	0.00	0.0
CATTANI	041	JNS	S	500	27.65	25-Jul	5-Aug	0.00	0.0
CATTANI	041	JPM	B	500	40.95	8-May	29-Jul	0.00	0.0
CATTANI	041	JPM	S	500	41.10	8-May	29-Jul	0.00	0.0
COUGAR TRADING	044	JWN	S	20,000	28.53	10-Jul	4-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	25,000	44.66	n/a	4-Aug	1,000.00	4.0
COUGAR TRADING	044	KSS	B	20,000	44.00	n/a	4-Aug	1,000.00	5.0
THE JAY GOLDMAN	034	KSS	B	20,000	44.75	n/a	4-Aug	800.00	4.0
HEALY CIRCLE	044	LEH	B	25,000	20.27	9-Jun	14-Jul	1,250.00	5.0
B BUCK CAPITAL MGMT		LIZ+VC	C	16,377	2.60	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		LIZ+VV	C	3,000	1.15	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		LIZ	B	50,000	13.71	n/a	25-Jul	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		LIZ	C	1,877,217	13.50	n/a	25-Jul	non-brg 2.0
REINHART & MAHONEY	031	MANT	S	10,510	57.33	n/a	n/a	525.50 5.0
SECOND CURVE	031	MBI	B	50,000	8.19	n/a	n/a	2,500.00 5.0
CENTURION GLOBAL MGMT LL	041	MOT	B	32,900	9.47	n/a	n/a	987.00 3.0
NWQ INVESTMENT MGMT CO	048	MRK	S	15,400	35.50	n/a	n/a	616.00 4.0
ADALY INV MGMT	067	MSFT	B	10,000	26.50	n/a	3-Apr	500.00 5.0
SOUN	048	MWA	SS	4,600	10.24	n/a	9-Jun	230.00 5.0
CATAPULT	040	MW	SS	25,000	21.18	n/a	n/a	1,000.00 4.0
COUGAR TRADING	044	M	B	5,000	19.35	14-Jul	4-Aug	250.00 5.0
NWQ INVESTMENT MGMT CO	048	M	S	26,700	19.49	14-Jul	4-Aug	1,068.00 4.0
NWQ INVESTMENT MGMT CO	048	NUE	S	9,400	53.86	n/a	n/a	376.00 4.0
WHALE ROCK CAP	030	ORCL	B	183,000	22.63	n/a	n/a	7,320.00 4.0
COUGAR TRADING	044	PAG	SS	5,000	13.93	10-Jun	1-Aug	250.00 5.0
BMO NESBITT BURNS	041	PCL	S	20,000	49.74	n/a	11-Jul	1,000.00 5.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	34.99	23-Jun	4-Aug	non-brg 4.0
COUGAR TRADING	044	PSUN	B	20,000	8.33	n/a	4-Aug	800.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	PTRY	S	5,000	18.06	n/a	n/a	250.00	5.0
RHO CAPITAL MGMT	041	RFMD	B	15,000	3.48	n/a	n/a	450.00	3.0
COUGAR TRADING	044	RL	SS	2,500	66.00	n/a	25-Jul	125.00	5.0
SIGMA CAPITAL ASSOCIATES	237	RL	B	25,000	65.71	n/a	25-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	RSH	SS	300,000	17.46	n/a	n/a	12,000.00	4.0
ZOLIDIS	011	SHOO	SS	500	23.25	n/a	n/a	0.00	0.0
MCCARTAN	028	SHOO	SS	200	23.32	n/a	n/a	0.00	0.0
LIEBAU ASSET MGMT	048	SIAL	S	10,000	61.42	7-Apr	23-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	19.63	n/a	13-Mar	400.00	4.0
Ö Jason Cohen		SNCR	B	100	10.63	n/a	n/a	0.00	0.0
SENECA CAPITAL LP NY	028	SPY	S	42,000	127.90	n/a	n/a	2,100.00	5.0
COUGAR TRADING	044	SSO	B	10,000	61.26	n/a	n/a	500.00	5.0
REINHART & MAHONEY	031	SSW	B	6,710	22.99	n/a	n/a	291.65	4.8
TRELLUS PARTNERS LP	028	SUP	SS	25,000	17.39	25-Jul	28-Jul	1,250.00	5.0
FORWARD MGMT	033	TEN	B	4,000	14.03	n/a	n/a	200.00	5.0
LUCHANSKY1	036	TEX	B	100	46.90	24-Jul	24-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	TGT	SS	15,000	47.23	n/a	4-Aug	750.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	20,000	14.28	17-Apr	4-Aug	800.00	4.0
B BUCK CAPITAL MGMT		TRLG	B	50,000	25.29	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TWB	SS	50,000	13.82	17-Mar	22-May	2,000.00	4.0
CATAPULT	040	TWB	B	65,000	14.11	17-Mar	22-May	2,600.00	4.0
COUGAR TRADING	044	TWB	B	20,000	13.96	17-Mar	22-May	1,000.00	5.0
REINHART & MAHONEY	031	VAR	S	15,320	63.22	n/a	n/a	766.00	5.0
KARPNANCY	023	VC	B	600	2.80	n/a	31-Jul	0.00	0.0
LEDDY	035	VC	B	4,500	2.77	n/a	31-Jul	0.00	0.0
CASTLEROCK	040	WDR	SS	89,000	32.81	15-Jul	5-Aug	3,560.00	4.0
BEAR STEARNS ASSET MGMT.	033	WFMI	SS	50,000	18.50	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		WFMI	C	125,000	18.57	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WFMI	C	50,000	18.95	n/a	n/a	non-brg	4.0
CASTLE ARK	031	WMT	B	149,050	60.47	30-Jun	4-Aug	8,943.00	6.0
SIGMA CAPITAL ASSOCIATES	237	WMT	SS	20,000	59.94	30-Jun	4-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	43,900	43.13	13-May	18-Jul	1,756.00	4.0
COUGAR TRADING	044	WRC	B	10,000	44.37	13-May	18-Jul	500.00	5.0
COUGAR TRADING	044	WRC	S	10,000	42.80	13-May	18-Jul	500.00	5.0
BMO NESBITT BURNS	041	WY	B	20,000	53.77	7-Apr	6-Aug	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	ZLC	B	14,200	23.98	n/a	n/a	568.00	4.0
TOTAL (Trade Date):							137,294.15		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/05	NOMURA CAPITAL	045	ACW	B	60,100	2.44	n/a	n/a	1803.00 3.0
AO,CRT	08/04	SATELITE/BOBBY	044	BBY	SS	10,000	39.65	n/a	27-Jul	400.00 4.0
AO,CXL	08/04	SATELITE/BOBBY	044	BBY	SS	10,000	39.65	n/a	27-Jul	500.00 5.0
AO,CRT	08/05	ARIENCE CAPITAL	036	ESRX	B	79,580	70.87	n/a	n/a	3979.00 5.0
AO,CXL	08/05	MORRISON/TLB/BAYPOINT	040	GW	S	10,000	8.28	n/a	n/a	500.00 5.0
AO,	08/05	MORRISON/TLB/BAYPOINT	040	GW	S	10,000	8.28	n/a	n/a	500.00 5.0
AO,CRT	07/31	ADALY INV MGMT	067	IP	S	9,700	27.11	1-Aug	1-Aug	485.00 5.0
AO,CXL	07/31	ADALY INV MGMT	067	IP	S	9,700	27.11	1-Aug	1-Aug	485.00 5.0
AO,	08/04	SATELITE/BOBBY	044	PENN	S	32,500	29.01	n/a	n/a	1300.00 4.0
AO,CXL	08/04	SATELLITE ASSET MGMT	012	PENN	S	32,500	29.01	n/a	n/a	1300.00 4.0
AO,CRT	08/05	ZOLIDIS	011	SEUIE	S	15	1.00	n/a	n/a	0.00 0.0
AO,CXL	08/05	ZOLIDIS	011	SEUIE	S	15	1.00	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										5,682.00

TOTAL (Trade Date):	137,294.15
TOTAL (AO, CXL, CRT):	5,682.00

TOTAL (RUN DATE) / NFS:

142,976.15

MRI Securities with Trade Activity on 6-Aug.
NONE

MRI Securities without Trade Activity on 6-Aug.
GBL

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 16%
YTD = 18%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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