



# Daily Compliance Activity Report

Trade Date: 09/25/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL MGMT.	044	AA	B	100,000	25.42	n/a	n/a	5,000.00	5.0
<b>Michael Marrano</b>		<b>ABB</b>	<b>B</b>	<b>300</b>	<b>20.6900</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	AB	S	55,000	41.12	10-Sep	19-Sep	2,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>85,000</b>	<b>15.55</b>	<b>n/a</b>	<b>5-Sep</b>	<b>3,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	B	10,000	15.24	n/a	5-Sep	500.00	5.0
REINHART & MAHONEY	031	AFG	B	7,700	28.89	n/a	n/a	385.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>AIG</b>	<b>S</b>	<b>7,000</b>	<b>3.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>S CAST</b>	<b>016</b>	<b>AKNS</b>	<b>B</b>	<b>200</b>	<b>4.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	ALV	B	43,200	37.13	23-Jul	30-Jul	1,382.40	3.2
BRANDWINE	028	AMRI	S	59,383	18.24	n/a	n/a	2,375.32	4.0
J L F ASSET MGMT	039	ANN	SS	20,800	22.01	n/a	17-Sep	832.00	4.0
BRENCOURT	028	AN	SS	25,000	12.96	25-Jul	28-Jul	750.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>APD</b>	<b>S</b>	<b>8</b>	<b>73.54</b>	<b>n/a</b>	<b>23-Sep</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ARO	SS	5,000	31.36	28-Apr	5-Sep	250.00	5.0
TRUST CO/COWEN/CALF.	040	BCE	S	98,003	35.92	n/a	n/a	4,900.15	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	BEN	B	20,000	96.23	10-Sep	19-Sep	1,000.00	5.0
ASCEND PARTNERS	033	BIG	C	35,000	30.45	29-May	5-Sep	1,750.00	5.0
BULL PATH CAPITAL	044	BMS	B	33,500	27.58	n/a	n/a	1,675.00	5.0
<b>BRANDWINE</b>	<b>098</b>	<b>BTH</b>	<b>B</b>	<b>58,100</b>	<b>12.54</b>	<b>n/a</b>	<b>n/a</b>	<b>2,324.00</b>	<b>4.0</b>
BRENCOURT	028	BWA	B	25,000	32.96	10-Jun	1-Aug	750.00	3.0
METROPOLITAN CAPITAL	044	BWS	S	25,000	17.19	n/a	n/a	1,250.00	5.0
<b>GRONET</b>	<b>030</b>	<b>BZ</b>	<b>B</b>	<b>3,000</b>	<b>1.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>CAS</b>	<b>S</b>	<b>60</b>	<b>0.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	CBT	B	5,000	32.18	n/a	24-Sep	250.00	5.0
BALYASNY ASSET MGMT	044	CLMS	B	32,600	20.17	19-Sep	19-Sep	1,630.00	5.0
BALYASNY ASSET MGMT	044	CNS	B	40,000	28.95	n/a	n/a	2,000.00	5.0
JP MORGAN VENTURES	046	COST	SS	10,000	66.01	n/a	27-Jul	500.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>CPN</b>	<b>B</b>	<b>3,000</b>	<b>14.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYAL CAPITAL	039	CREE	B	179,099	26.99	n/a	n/a	8,954.95	5.0
TRUST CO/COWEN/CALF.	040	CVX	S	22,550	87.68	n/a	n/a	1,127.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	C	B	21,400	19.51	15-Sep	19-Sep	1,070.00	5.0
HOOVER INV. MGMT	033	DBRN	B	65,900	15.01	n/a	n/a	3,295.00	5.0
MTB INV ADV	034	DBRN	S	30,850	14.80	n/a	n/a	1,542.50	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>DIAWA</b>	<b>B</b>	<b>5</b>	<b>2.95</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>B</b>	<b>30</b>	<b>3.29</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>B</b>	<b>8</b>	<b>3.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BRANDWINE</b>	<b>098</b>	<b>DLLR</b>	<b>B</b>	<b>29,960</b>	<b>16.20</b>	<b>n/a</b>	<b>n/a</b>	<b>1,198.40</b>	<b>4.0</b>
<b>N STRATTON</b>	<b>014</b>	<b>DSNY</b>	<b>B</b>	<b>2,500</b>	<b>0.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>DXD</b>	<b>S</b>	<b>250</b>	<b>61.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	EMN	SS	17,000	58.32	n/a	n/a	850.00	5.0
BALYASNY ASSET MGMT	044	EV	B	40,000	33.18	21-Aug	19-Sep	2,000.00	5.0
PHILADELPHIA FINANCIAL	033	FII	B	35,941	31.15	19-Sep	25-Sep	1,437.64	4.0
MTB INV ADV	034	FLO	B	26,550	27.79	n/a	n/a	1,327.50	5.0
<b>MENCKE</b>	<b>055</b>	<b>FNM</b>	<b>B</b>	<b>100</b>	<b>2.68</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>GES</b>	<b>S</b>	<b>40,000</b>	<b>37.96</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	GIL	S	30,000	23.99	8-Sep	8-Sep	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLIAM BLAIR	031	GIL	B	115,000	23.97	8-Sep	8-Sep	4,600.00	4.0
<b>MENCKE</b>	<b>055</b>	<b>GME</b>	<b>B</b>	<b>100</b>	<b>36.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OSS CAPITAL/KEVIN DANN	067	GR	B	100,000	44.26	5-Jun	24-Jul	3,000.00	3.0
<b>BUCK</b>	<b>015</b>	<b>GSMN</b>	<b>B</b>	<b>10</b>	<b>3.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>GSWS</b>	<b>S</b>	<b>10</b>	<b>3.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORD FDN.	032	GS	S	10,000	132.22	15-Sep	24-Sep	500.00	5.0
MERRILL ASSET	032	GS	S	116,800	135.31	15-Sep	24-Sep	5,840.00	5.0
NATIONAL BK OF CAN	031	GS	B	10,000	135.77	15-Sep	24-Sep	400.00	4.0
NATIONAL BK OF CAN	031	GS	S	10,000	136.66	15-Sep	24-Sep	400.00	4.0
ROYAL CAPITAL	039	HAS	SS	195,900	36.11	n/a	n/a	9,795.00	5.0
PORTER-ORLIN-FELDMAN	044	HBC	B	100,000	82.17	n/a	n/a	5,000.00	5.0
TRUST CO/COWEN/CALF.	040	IBM	S	15,750	120.11	n/a	n/a	787.50	5.0
WELLS/STRONG LEDDY	035	ITWO	S	3,200	13.20	n/a	n/a	128.00	4.0
<b>Õ Michael Marrano</b>		<b>JAVA</b>	<b>S</b>	<b>75</b>	<b>7.9000</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>JCG</b>	<b>S</b>	<b>155,000</b>	<b>28.58</b>	<b>n/a</b>	<b>17-Sep</b>	<b>6,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>100,000</b>	<b>35.45</b>	<b>n/a</b>	<b>5-Sep</b>	<b>4,000.00</b>	<b>4.0</b>
KACELA CAPITAL	034	JCP	S	15,000	35.70	n/a	5-Sep	600.00	4.0
J L F ASSET MGMT	039	JWN	SS	11,400	30.08	10-Jul	17-Sep	456.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	KMB	S	15,100	64.59	28-Aug	28-Aug	755.00	5.0
PRINCIPLE CAPITAL	040	KMX	S	75,100	14.86	n/a	10-Jan	2,253.00	3.0
BALYASNY ASSET MGMT	044	KNX	B	34,800	17.21	n/a	n/a	1,740.00	5.0
SIGMA CAPITAL ASSOCIATES	237	KO	S	20,000	51.39	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	KSS	B	5,000	48.50	n/a	5-Sep	250.00	5.0
WEISS PECK	040	KSS	C	7,200	48.31	n/a	5-Sep	360.00	5.0
GRANITE CAPITAL	045	LULU	B	10,000	23.61	n/a	n/a	500.00	5.0
COLUMBUS CIRCLE	036	MER	B	189,000	26.56	24-Jun	19-Sep	7,560.00	4.0
FORD FDN.	032	MS	S	64,000	24.69	15-Sep	22-Sep	3,200.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MWO</b>	<b>B</b>	<b>1,400</b>	<b>12.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRONG/MARK GRONET	030	MYRG	B	14,525	13.00	n/a	n/a	581.00	4.0
COUGAR TRADING	044	M	SS	20,000	18.66	12-Aug	29-Aug	1,000.00	5.0
TROUBH PART	067	NOK	S	25,000	20.60	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	NTY	S	75,000	29.49	n/a	n/a	3,750.00	5.0
<b>Õ Michael Marrano</b>		<b>NYX</b>	<b>B</b>	<b>150</b>	<b>38.5400</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BENCHMARK	028	PCAR	SS	7,500	39.94	n/a	23-Jul	375.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	PFS	S	20,000	16.19	n/a	n/a	900.00	4.5
J.W. SELIGMAN	041	PG	B	395,500	69.42	18-Aug	25-Sep	15,820.00	4.0
HIGHBRIDGE CAPITAL	038	PPG	SS	16,000	61.37	n/a	25-Sep	800.00	5.0
BALYASNY ASSET MGMT	044	PTV	B	18,900	25.55	n/a	n/a	945.00	5.0
CADIAN CAPITAL	067	PVH	B	100,000	37.53	n/a	28-Aug	5,000.00	5.0
COUGAR TRADING	044	PVH	B	10,000	37.54	n/a	28-Aug	500.00	5.0
COUGAR TRADING	044	PVH	S	5,000	37.52	n/a	28-Aug	250.00	5.0
THOMSON HORSTMAN BRYANT	040	PVH	S	88,300	37.45	n/a	28-Aug	4,415.00	5.0
MTB INV ADV	034	RAH	B	4,775	66.62	n/a	n/a	238.75	5.0
MTB INV ADV	034	RDEN	B	16,000	19.81	15-Aug	15-Aug	800.00	5.0
RHO CAPITAL MGMT	041	RIMM	B	250	97.48	n/a	n/a	10.00	4.0
COUGAR TRADING	044	RL	B	10,000	70.22	n/a	28-Aug	500.00	5.0
COUGAR TRADING	044	RL	S	5,000	70.52	n/a	28-Aug	250.00	5.0
HARVEST MGMT	039	ROST	S	20,000	36.17	n/a	n/a	1,000.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>SDS</b>	<b>S</b>	<b>300</b>	<b>66.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>SFBKZ</b>	<b>S</b>	<b>14</b>	<b>1.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRIVIUM CAP MGMT	251	SINA	S	5,000	37.00	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GAULT	063	SKF	B	1,000	98.00	n/a	n/a	0.00	0.0
GAULT	063	SKF	S	1,000	99.43	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	40,000	16.61	n/a	13-Mar	1,600.00	4.0
WAGONHOUND/NIC	048	SMG	C	21,878	22.94	22-Sep	22-Sep	875.12	4.0
JP MORGAN VENTURES	046	SPLS	SS	15,000	23.61	n/a	27-Jul	750.00	5.0
N STRATTON	014	SPRO	B	350	3.55	n/a	n/a	0.00	0.0
LUCHANSKY	036	SPY	B	100	120.71	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SPY	B	100	120.82	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNLF	S	10	7.90	n/a	n/a	0.00	0.0
Õ Michael Marrano		SYMC	S	700	19.7900	n/a	3-Apr	0.00	0.0
MS PRINCIPAL STRATEGIES	041	TEO	B	5,000	12.94	n/a	n/a	250.00	5.0
MTB INV ADV	034	THS	B	11,175	29.88	n/a	n/a	558.75	5.0
BUCK CAPITAL MGMT	001	TJX	B	140,000	32.02	11-Aug	5-Sep	5,600.00	4.0
BALYASNY ASSET MGMT	044	TROW	B	30,000	58.84	19-Sep	19-Sep	1,500.00	5.0
COUGAR TRADING	044	UA	B	5,000	34.24	n/a	22-Sep	250.00	5.0
GRONET	030	UQM	S	1,000	2.63	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EFSTATHIOU	044	UQM	S	5,000	2.65	n/a	n/a	0.00	0.0
COUGAR TRADING	044	URBN	SS	5,000	34.71	14-Aug	17-Sep	250.00	5.0
TRUST CO/COWEN/CALF.	040	VLO	B	98,200	34.79	n/a	n/a	4,910.00	5.0
TRCO	040	VLO	B	1,800	34.79	n/a	n/a	90.00	5.0
ROTHSCHILD ASSET	040	WAT	S	29,310	59.01	n/a	n/a	1,318.95	4.5
HEALY CIRCLE	044	WMT	B	15,000	60.22	8-Aug	5-Sep	750.00	5.0
COUGAR TRADING	044	WRC	SS	5,000	48.46	8-Aug	28-Aug	250.00	5.0
J L F ASSET MGMT	039	WWW	SS	13,300	26.05	n/a	13-Mar	532.00	4.0
COUGAR TRADING	044	ZQK	S	20,000	6.17	27-Aug	5-Sep	800.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>179,751.43</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/23	BAIRD INVESTMENT (BAIRWMCLFD)	031	CHRW	B	2,775	53.01	n/a	n/a	138.75 5.0
AO,CRT	09/23	BAIRD INVESTMENT (BAIRWMCLFD)	031	CHRW	B	2,775	53.01	n/a	n/a	138.75 5.0
AO,CXL	09/23	BAIRD INVESTMENT (BAIRJB473L)	031	CHRW	B	2,225	53.01	n/a	n/a	111.25 5.0
AO,CRT	09/23	BAIRD INVESTMENT (BAIRJB473L)	031	CHRW	B	2,225	53.01	n/a	n/a	111.25 5.0
AO,CXL	09/23	BAIRD INVESTMENT (BAIRBLCFB)	031	CHRW	B	4,475	53.01	n/a	n/a	223.75 5.0
AO,CRT	09/23	BAIRD INVESTMENT (BAIRBLCFB)	031	CHRW	B	4,475	53.01	n/a	n/a	223.75 5.0
AO,CXL	09/23	BAIRD INVESTMENT (BAIRVB515)	031	CHRW	B	2,525	53.01	n/a	n/a	126.25 5.0
AO,CRT	09/23	BAIRD INVESTMENT (BAIRVB515)	031	CHRW	B	2,525	53.01	n/a	n/a	126.25 5.0
AO,CXL	09/24	SATELITE/BOBBY (SATBCITI)	044	DAL	S	50,000	8.13	n/a	n/a	2000.00 4.0
AO,CRT	09/24	SATELITE/BOBBY (SATBCITI)	044	DAL	S	50,000	8.13	n/a	n/a	1500.00 3.0
AO,CXL	09/19	JMP ASSET MGMT (JMPAGS)	210	RRGB	SS	800	30.79	n/a	n/a	40.00 5.0
AO,CRT	09/19	JMP ASSET MGMT (JMPAGS)	210	RRGB	SS	800	30.79	n/a	n/a	32.00 4.0
AO,CXL	09/24	SATELITE/BOBBY (SATBCITI)	044	WTSLA	B	15,000	3.60	n/a	n/a	600.00 4.0
AO,CRT	09/24	SATELITE/BOBBY (SATBCITI)	044	WTSLA	B	15,000	3.60	n/a	n/a	450.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-658.00</b>

TOTAL (Trade Date) :	179,751.43
TOTAL (AO, CXL, CRT) :	-658.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>179,093.43</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