



Daily Compliance Activity Report

Trade Date: 07/16/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	AAP	B	150,000	39.10	n/a	n/a	5,625.00	3.8
COUGAR TRADING	044	AEO	S	20,000	13.95	6-Mar	16-Jul	1,000.00	5.0
LEDDY	035	AER	S	1,500	12.34	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	ANF	SS	11,300	54.14	10-Jul	11-Jul	565.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	40,000	56.82	10-Jul	11-Jul	1,600.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	40,000	22.63	14-Mar	11-Jul	1,600.00	4.0
BUCK CAPITAL MGMT	001	APP	B	40,000	6.52	n/a	n/a	1,600.00	4.0
LEDDY	035	ARGN	B	1,800	5.93	24-Jun	24-Jun	0.00	0.0
CLOVIS CAPITAL	012	ARO	SS	100,000	29.60	28-Apr	11-Jul	5,000.00	5.0
ARIENCE CAPITAL	036	AVP	SS	17,000	34.67	4-Mar	24-Jun	850.00	5.0
HUNTER GLOBAL INVESTOR	067	AVP	B	50,000	34.84	4-Mar	24-Jun	2,500.00	5.0
J L F ASSET MGMT	039	AVP	B	34,300	35.90	4-Mar	24-Jun	1,372.00	4.0
J L F ASSET MGMT	039	BAC	B	210,000	20.22	n/a	14-Jul	8,400.00	4.0
TROUBH PART	067	BA	B	25,000	65.51	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	034	BBBY	B	20,000	28.59	n/a	n/a	800.00	4.0
J L F ASSET MGMT	039	BEAV	B	50,000	25.05	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	BEN	S	266,700	86.08	15-Jul	15-Jul	12,001.50	4.5
BUCK CAPITAL MGMT	001	BIG	B	90,000	27.97	29-May	11-Jul	3,600.00	4.0
BUCK CAPITAL MGMT	001	BJ	B	50,000	41.67	n/a	27-Jul	2,000.00	4.0
SANDLER O'NEILL ASSET	031	BK	B	125,000	35.04	n/a	14-Jul	6,250.00	5.0
SUNOVA CAPITAL	031	BLK	B	20,000	175.83	n/a	15-Jul	1,000.00	5.0
CENTURION GLOBAL MGMT LL	041	BRCM	B	10,000	29.48	n/a	n/a	300.00	3.0
DECADE CAPITAL PARTNERS	040	BRO	S	100,000	17.42	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	BWA	SS	60,000	38.99	10-Jun	10-Jun	2,400.00	4.0
LEDDY	035	CAT	C	300	70.06	n/a	23-May	0.00	0.0
WHEELER	008	CBI	B	4,000	28.48	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	CGNX	C	14,900	23.04	n/a	n/a	745.00	5.0
BUCK CAPITAL MGMT	001	CHS	B	200,000	5.01	11-Jul	16-Jul	8,000.00	4.0
NORTHPOINT	030	CLDN	B	31,460	10.84	n/a	n/a	1,258.40	4.0
J L F ASSET MGMT	039	CMG	SS	4,600	72.02	16-Jul	16-Jul	184.00	4.0
LEDDY	035	CMI	C	200	65.27	n/a	23-May	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARIENCE CAPITAL	036	COF	SS	36,400	34.56	n/a	16-Jul	1,820.00	5.0
CATAPULT	040	COF	B	5,000	35.04	n/a	16-Jul	250.00	5.0
KARSCH CAPITAL	034	COF	C	415,100	36.59	n/a	16-Jul	12,453.00	3.0
MERRILL ASSET	032	COH	B	519,700	27.17	4-Apr	9-Jul	23,386.50	4.5
COUGAR TRADING	044	CPKI	SS	5,000	12.02	10-Jul	10-Jul	250.00	5.0
TRUST CO/COWEN/CALF.	040	CSE	S	611,480	10.35	n/a	n/a	24,459.20	4.0
CUMBERLAND	038	CTRN	B	5,000	19.83	n/a	n/a	200.00	4.0
LEHMAN PROPRIETARY TRAD	041	CTX	SS	100,000	12.10	n/a	n/a	4,000.00	4.0
CATAPULT	040	CVS	S	15,000	38.29	n/a	n/a	600.00	4.0
RAINIER INV MGMT	035	CVX	B	21,355	86.45	n/a	n/a	1,067.75	5.0
N STRATTON	014	CYBE	B	99	9.10	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	DAL	B	72,500	5.90	n/a	n/a	2,900.00	4.0
PRYLUCKI	092	DDM	S	100	57.55	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	DKS	B	250,000	16.36	7-Jul	9-Jul	12,500.00	5.0
BUCK CAPITAL MGMT	001	DKS	B	70,000	16.44	7-Jul	9-Jul	2,800.00	4.0
BUCK CAPITAL MGMT	001	DPZ	SS	30,000	10.90	n/a	24-Apr	1,200.00	4.0
J.W. SELIGMAN	041	EAT	S	122,300	18.24	n/a	24-Apr	4,892.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ACK ASSET	028	EV	SS	4,700	31.67	15-Jul	16-Jul	228.00	4.5
KARSCH CAPITAL	034	EXC	B	62,000	84.25	n/a	n/a	1,860.00	3.0
BUCK CAPITAL MGMT	001	FDO	SS	50,000	23.22	30-Jun	11-Jul	2,000.00	4.0
J L F ASSET MGMT	039	FDO	B	41,800	22.92	30-Jun	11-Jul	1,672.00	4.0
LEDDY	035	FIG	B	1,400	9.39	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	FIS	S	300,000	19.92	n/a	n/a	9,000.00	3.0
GRANITE CAPITAL	045	FNM	S	24,000	7.77	n/a	n/a	1,200.00	5.0
BUCK CAPITAL MGMT	001	GES	B	190,000	32.99	n/a	n/a	7,600.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	125,000	23.54	30-Apr	9-Jul	5,000.00	4.0
LEDDY	035	GIL	B	700	22.94	30-Apr	9-Jul	0.00	0.0
GAULT	063	GLW	B	1,000	20.02	n/a	9-Jul	0.00	0.0
PHILADELPHIA FINANCIAL	033	GS	B	14,832	166.25	19-Mar	14-Jul	593.28	4.0
J L F ASSET MGMT	039	GYMB	B	45,600	38.32	11-Jul	11-Jul	1,824.00	4.0
JP MORGAN VENTURES	046	HAS	SS	10,000	36.23	n/a	n/a	500.00	5.0
N STRATTON	014	HBI	SS	100	25.00	n/a	n/a	0.00	0.0
CROWLEY	061	HCGI	S	3,760	0.80	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARIENCE CAPITAL	036	HEW	SS	17,400	35.42	n/a	n/a	870.00	5.0
J L F ASSET MGMT	039	HOT	B	40,000	34.05	n/a	n/a	1,600.00	4.0
LEHMAN PROPRIETARY TRAD	041	HPT	B	50,000	20.78	n/a	n/a	2,000.00	4.0
NOMURA CAPITAL	045	IAR	B	5,230	1.65	n/a	n/a	104.60	2.0
FARALLON CAP MGMT	040	IBM	B	85,000	126.27	n/a	n/a	3,400.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	105,000	22.46	16-Jul	16-Jul	5,250.00	5.0
BENCHMARK	028	JAKK	B	10,500	22.24	n/a	n/a	525.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	30.85	n/a	30-May	800.00	4.0
HOOVER INV. MGMT	033	JCG	B	200,000	30.23	n/a	30-May	10,000.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	85,000	28.51	n/a	11-Jul	3,400.00	4.0
RBC CAPITAL MARKETS	034	JCP	B	20,000	29.65	n/a	11-Jul	800.00	4.0
ACK ASSET	028	JNS	SS	7,000	21.49	15-Jul	15-Jul	340.00	4.5
BUCK CAPITAL MGMT	001	JWN	B	100,000	27.96	10-Jul	11-Jul	4,000.00	4.0
RBC CAPITAL MARKETS	034	JWN	S	5,000	28.50	10-Jul	11-Jul	200.00	4.0
WEISS PECK	040	KMX	C	9,500	12.11	n/a	10-Jan	475.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	60,000	40.04	n/a	11-Jul	2,400.00	4.0
KACELA CAPITAL	034	KSS	S	13,000	40.18	n/a	11-Jul	520.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	KSS	B	50,000	40.41	n/a	11-Jul	2,500.00	5.0
ARTX	304	KSS	B	212,700	40.04	n/a	11-Jul	10,635.00	5.0
FARALLON CAP MGMT	040	LEN	SS	100,000	11.11	n/a	n/a	3,000.00	3.0
APEX CAPITAL MGMT.	091	LIZ	B	100,000	12.34	n/a	14-May	5,000.00	5.0
BUCK CAPITAL MGMT	001	LIZ	B	70,000	12.06	n/a	14-May	2,800.00	4.0
PRYLUCKI	092	LM	S	50	30.56	1-Jul	15-Jul	0.00	0.0
BALYASNY ASSET MGMT	044	LTD	B	50,000	15.44	n/a	11-Jul	2,500.00	5.0
COUGAR TRADING	044	MA	B	5,000	260.97	n/a	16-Jul	250.00	5.0
SANDLER O'NEILL ASSET	031	MER	B	30,000	25.64	24-Jun	14-Jul	1,500.00	5.0
BUCK CAPITAL MGMT	001	MW	B	20,000	17.78	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	M	B	30,000	16.83	14-Jul	14-Jul	1,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	M	B	50,000	16.25	14-Jul	14-Jul	1,500.00	3.0
BUCK CAPITAL MGMT	001	NWY	SS	50,000	9.62	n/a	22-May	2,000.00	4.0
BUCK CAPITAL MGMT	001	OXM	SS	20,000	19.51	n/a	n/a	800.00	4.0
LEDDY	035	PCL	B	300	42.01	29-Apr	11-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	PG	B	50,000	63.96	24-Jun	24-Jun	2,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	14,000	23.35	7-Apr	11-Jul	700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	PKG	S	229,100	23.77	7-Apr	11-Jul	9,164.00	4.0
N STRATTON	014	PNWIF	B	300	3.24	n/a	n/a	0.00	0.0
ZOLIDIS	011	QUKHE	S	3	7.10	n/a	n/a	0.00	0.0
ZOLIDIS	011	QUKHF	S	3	5.50	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	S	10,000	3.49	n/a	n/a	600.00	6.0
KINGDON ASSET MGMT	041	RIMM	B	75,000	106.10	n/a	n/a	3,000.00	4.0
COUGAR TRADING	044	RL	B	10,000	58.88	7-Feb	29-May	500.00	5.0
KARPNANCY	023	RSRAX	B	443	11.29	n/a	n/a	0.00	0.0
PRYLUCKI	092	SKF	B	50	182.50	n/a	n/a	0.00	0.0
PRYLUCKI	092	SKF	S	50	160.75	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	SPY	B	70,000	122.09	n/a	n/a	3,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	120,000	4.39	7-Apr	11-Jul	6,000.00	5.0
MCERLEAN	016	SSO	S	1,000	56.60	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	STT	C	19,800	62.92	n/a	n/a	990.00	5.0
JP MORGAN VENTURES	046	STX	B	50,000	14.57	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	THI	SS	40,000	27.38	n/a	24-Apr	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TIF	B	20,000	38.11	n/a	2-Jun	800.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	60,000	11.68	29-Apr	11-Jul	3,000.00	5.0
IMPALA ASSET MMT	012	TIN	B	200,000	12.07	29-Apr	11-Jul	6,000.00	3.0
BUCK CAPITAL MGMT	001	TJX	B	120,000	34.12	n/a	11-Jul	4,800.00	4.0
J L F ASSET MGMT	039	TJX	B	75,400	33.72	n/a	11-Jul	3,016.00	4.0
ACK ASSET	028	TROW	SS	3,500	47.94	15-Jul	15-Jul	170.00	4.5
ACK ASSET	028	TRYB	B	30,000	5.80	n/a	n/a	900.00	3.0
ENTRUST CAPITAL	040	TSO	SS	180,200	16.81	n/a	n/a	9,010.00	5.0
TRUST CO/COWEN/CALF.	040	TYC	S	34,775	38.23	29-Apr	10-Jul	1,738.75	5.0
BEAR STEARNS ASSET MGMT.	033	URBN	S	32,900	31.00	15-May	9-Jul	1,316.00	4.0
PORTER-ORLIN-FELDMAN	044	VC	B	100,000	2.31	n/a	8-Jul	4,400.00	4.0
TRELLUS PARTNERS LP	028	VC	B	14,500	2.10	n/a	8-Jul	435.00	3.0
LED DY	035	VC	B	3,700	2.37	n/a	8-Jul	0.00	0.0
COUGAR TRADING	044	V	B	10,000	69.42	n/a	16-Jul	500.00	5.0
COUGAR TRADING	044	V	S	5,000	70.86	n/a	16-Jul	250.00	5.0
RBC CAPITAL MARKETS	034	WAG	S	5,000	33.20	n/a	n/a	200.00	4.0
CATAPULT	040	WFC	B	5,000	25.00	n/a	n/a	250.00	5.0
CAXTON PART	040	WFC	S	58,430	26.87	n/a	n/a	2,045.06	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VENTANA CAPITAL	060	WFC	B	5,000	25.05	n/a	n/a	250.00	5.0
VENTANA CAPITAL	060	WFC	S	5,000	25.69	n/a	n/a	250.00	5.0
OGORMAN	046	WFSL	SS	1,000	14.64	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	WRC	S	2,500	42.04	13-May	9-Jul	100.00	4.0
SCOPUS FUND	041	WY	B	50,000	48.80	7-Apr	11-Jul	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	XLB	SS	50,000	38.76	n/a	n/a	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	XLI	SS	50,000	32.53	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date) :								350,111.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	07/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BJ	B	50,000	41.67	n/a	27-Jul	2000.00	4.0
CRT	07/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DKS	B	70,000	16.44	7-Jul	9-Jul	2800.00	4.0
AO,CXL	07/15	REINHART & MAHONEY (REINNGLWM)	031	FSP	S	1,750	13.53	n/a	n/a	0.68	0.0
AO,CRT	07/15	REINHART & MAHONEY (REINNGLWM)	031	FSP	S	1,750	13.53	n/a	n/a	87.50	5.0
CRT	07/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	B	190,000	32.99	n/a	n/a	7600.00	4.0
AO,CXL	07/11	BLUE HARBOR (BLUHOLDMA)	036	KEG	S	11,000	18.31	n/a	16-Jul	440.00	4.0
AO,CRT	07/11	ROARING BLUE LION MGMT (ROAR4CENTS)	012	KEG	S	11,000	18.31	n/a	16-Jul	440.00	4.0
CRT	07/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LIZ	B	70,000	12.06	n/a	14-May	2800.00	4.0
AO,CXL	07/15	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	M	B	25,000	15.69	14-Jul	14-Jul	1250.00	5.0
AO,CRT	07/15	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	M	B	25,000	15.69	14-Jul	14-Jul	1000.00	4.0
AO,CXL	07/15	ROARING BLUE LION MGMT (ROAR4CENTS)	012	MF	S	97,750	3.80	n/a	n/a	3910.00	4.0
AO,CRT	07/15	ROARING BLUE LION MGMT (ROAR4CENTS)	012	MF	S	97,750	3.80	n/a	n/a	2932.50	3.0
CRT	07/16	IMPALA ASSET MMT (IMPABS)	012	TIN	B	200,000	12.07	29-Apr	11-Jul	6000.00	3.0
TOTAL (AO, CXL, CRT) :										20,059.32	
TOTAL (Trade Date) :										350,111.04	
TOTAL (AO, CXL, CRT) :										20,059.32	
TOTAL (RUN DATE) / NFS :										370,170.36	

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