



Daily Compliance Activity Report

Trade Date: 08/22/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	10,000	13.97	6-Mar	8-Aug	500.00	5.0
BUCK	015	AET	B	500	43.44	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	ALO	S	82,025	33.66	n/a	n/a	4,101.25	5.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	51.33	7-Aug	15-Aug	800.00	4.0
COUGAR TRADING	044	ANF	B	5,000	51.72	7-Aug	15-Aug	250.00	5.0
COUGAR TRADING	044	ANF	S	5,000	51.03	7-Aug	15-Aug	250.00	5.0
PRINCIPLE CAPITAL	040	ANF	B	37,600	51.45	7-Aug	15-Aug	1,504.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	33.99	28-Apr	22-Aug	1,600.00	4.0
MTB INV ADV	034	ARO	B	8,800	33.33	28-Apr	22-Aug	440.00	5.0
BUCK	015	BAC	B	1,000	29.65	n/a	15-Aug	0.00	0.0
PRINCIPLE CAPITAL	040	BC	B	123,900	13.59	n/a	n/a	3,717.00	3.0
COUGAR TRADING	044	BKC	S	10,000	25.56	1-May	22-Aug	500.00	5.0
MTB INV ADV	034	BKC	S	41,500	25.57	1-May	22-Aug	2,075.00	5.0
HIGHFIELDS CAP MGMT	039	CDNS	B	200,000	7.95	n/a	n/a	8,000.00	4.0
BUCK CAPITAL MGMT	001	CHS	B	50,000	4.83	8-Aug	8-Aug	2,000.00	4.0
COUGAR TRADING	044	CMG	SS	2,000	71.78	24-Jul	24-Jul	100.00	5.0
CENTURION PARTNERS	255	CTXS	B	13,300	30.98	n/a	n/a	665.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	CYPB	B	5,000	6.80	n/a	n/a	0.00	0.0
CENTURION PARTNERS	255	DELL	B	75,000	25.46	n/a	n/a	3,750.00	5.0
AVESTA CAP	229	EFX	B	20,000	34.97	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	EL	B	10,000	50.43	15-Aug	15-Aug	400.00	4.0
UBS OCONNOR	031	EV	B	100,000	34.45	21-Aug	21-Aug	3,000.00	3.0
FULLER & THALER ASSET	033	FL	B	100,000	16.00	11-Aug	22-Aug	3,000.00	3.0
ROARING BLUE LION MGMT	012	FNM	SS	35,000	4.88	n/a	n/a	1,050.00	3.0
TRELLUS PARTNERS LP	028	F	C	100,000	4.40	25-Jul	28-Jul	3,000.00	3.0
WYCKOFF	013	GES	B	100	35.38	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	B	40,000	22.76	14-Aug	14-Aug	1,600.00	4.0
BULL PATH CAPITAL	044	GPS	SS	50,000	19.92	n/a	22-Aug	2,500.00	5.0
JP MORGAN VENTURES	046	GPS	SS	15,000	19.98	n/a	22-Aug	750.00	5.0
KENNEDY CAPITAL	046	GT	S	74,845	19.66	n/a	n/a	2,993.80	4.0
WYCKOFF	013	HSNI	B	100	15.96	n/a	n/a	0.00	0.0
LEDDY	035	ICON	S	800	13.38	n/a	n/a	0.00	0.0
BUCK	015	ISPH	S	4,000	4.33	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	B	15,000	26.05	n/a	20-Aug	750.00	5.0
COUGAR TRADING	044	JCG	S	30,000	25.71	n/a	20-Aug	1,500.00	5.0
WHITTIER CAP	048	JCG	B	1,625	25.78	n/a	20-Aug	65.00	4.0
CASTLEROCK	040	JEF	B	182,752	17.62	n/a	n/a	7,310.08	4.0
BUCK CAPITAL MGMT	001	JNY	SS	50,000	19.21	n/a	30-Jul	2,000.00	4.0
WYCKOFF	013	KCP	B	100	14.84	n/a	28-Sep	0.00	0.0
CENTURION PARTNERS	255	LCC	B	50,000	7.70	n/a	n/a	1,500.00	3.0
NATIONAL BK OF CAN	031	LEH	B	75,000	14.52	20-Aug	20-Aug	3,000.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	8,300	20.41	19-Aug	21-Aug	415.00	5.0
TRUST CO/COWEN/CALF.	040	MBI	B	128,605	10.07	n/a	n/a	5,144.20	4.0
WHITTIER CAP	048	MCD	S	655	63.63	9-Jun	8-Aug	26.20	4.0
BUCK	015	MCK	S	1,250	58.24	n/a	n/a	0.00	0.0
BUCK	015	MHS	B	1,500	48.07	n/a	n/a	0.00	0.0
BUCK	015	MRK	B	200	35.36	n/a	n/a	0.00	0.0
BUCK	015	MS	SS	500	38.46	15-Aug	15-Aug	0.00	0.0
AVESTA CAP	229	MTB	B	20,000	70.17	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	MVL	B	15,050	33.60	n/a	n/a	752.50	5.0
BUCK CAPITAL MGMT	001	M	B	40,000	19.88	12-Aug	14-Aug	1,600.00	4.0
SYSTEMATIC FINANCIAL MGT	035	NKE	S	369,311	61.25	n/a	n/a	13,812.23	3.7
BUCK CAPITAL MGMT	001	NWY	SS	10,000	11.48	n/a	15-Aug	400.00	4.0
TRUST CO/COWEN/CALF.	040	NYB	B	46,450	15.57	n/a	n/a	1,858.00	4.0
MTB INV ADV	034	PFCB	B	23,400	25.98	n/a	6-Aug	1,170.00	5.0
REINHART & MAHONEY	031	PL	S	19,550	35.11	n/a	n/a	977.50	5.0
COUGAR TRADING	044	PSUN	SS	20,000	5.41	n/a	22-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	12,000	35.70	5-May	22-Aug	480.00	4.0
DANIELS	N25	QXM	B	500	5.28	n/a	n/a	0.00	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	4,800	26.12	23-Jul	23-Jul	240.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	73.57	n/a	7-Aug	800.00	4.0
IRIDIAN ASSET MGMT.	036	ROC	B	18,590	38.96	n/a	n/a	929.50	5.0
MTB INV ADV	034	ROST	S	21,300	38.98	n/a	n/a	1,065.00	5.0
COUGAR TRADING	044	SSO	B	5,000	62.04	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	61.76	n/a	n/a	250.00	5.0
MERRILL ASSET	032	STC	S	20,000	17.22	n/a	n/a	900.00	4.5
T. ROWE PRICE	033	TEL	B	1,500	33.00	n/a	n/a	60.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	52.04	n/a	20-Aug	800.00	4.0
DISCIPLINED GROWTH INV.	030	TJX	S	9,900	35.68	11-Aug	12-Aug	495.00	5.0
MERRILL ASSET	032	UTI	S	50,000	16.99	n/a	n/a	2,250.00	4.5
MS PRINCIPAL STRATEGIES	041	WLK	SS	30,700	19.52	n/a	n/a	1,535.00	5.0
MTB INV ADV	034	WMS	B	12,850	31.90	n/a	n/a	642.50	5.0
BUCK CAPITAL MGMT	001	WRC	S	30,000	49.63	8-Aug	8-Aug	1,200.00	4.0
BUCK CAPITAL MGMT	001	WWW	SS	30,000	26.01	n/a	13-Mar	1,200.00	4.0
TOTAL (Trade Date):							106,923.76		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/19	SENATOR INVESTMENT GROUP (SENAMS)	067	EXC	B	7,500	73.84	n/a	n/a	300.00	4.0
AO,CRT	08/19	SENATOR INVESTMENT GROUP (SENAMS)	067	EXC	B	7,500	73.84	n/a	n/a	75.00	1.0
AO,	08/20	NICHOLAS ADVISORS (NICHUS1979)	034	IACID	B	20,000	16.74	n/a	n/a	1000.00	5.0
AO,CXL	08/20	NICHOLAS ADVISORS (NICHUS1979)	034	IACIV	B	20,000	0.00	n/a	n/a	1000.00	5.0
AO,CXL	08/21	REINHART & MAHONEY (REINNGLWM)	031	PL	S	2,350	34.72	n/a	n/a	1.74	0.0
AO,CRT	08/21	REINHART & MAHONEY (REINNGLWM)	031	PL	S	2,350	34.72	n/a	n/a	117.50	5.0
AO,CXL	08/21	COUGAR TRADING (COUGPB MS)	044	PSUN	B	10,000	7.83	n/a	22-Aug	500.00	5.0
AO,CRT	08/21	COUGAR TRADING (COUGPB MS)	044	PSUN	B	10,000	7.83	n/a	22-Aug	400.00	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40459)	035	PVH	S	4,200	34.85	5-May	22-Aug	168.00	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40369)	035	PVH	S	3,495	34.85	5-May	22-Aug	139.80	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40450)	035	PVH	S	14,130	34.85	5-May	22-Aug	565.20	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40368)	035	PVH	S	2,355	34.85	5-May	22-Aug	94.20	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40454)	035	PVH	S	3,475	34.85	5-May	22-Aug	139.00	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40367)	035	PVH	S	135	34.85	5-May	22-Aug	5.40	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40451)	035	PVH	S	2,840	34.85	5-May	22-Aug	113.60	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40366)	035	PVH	S	480	34.85	5-May	22-Aug	19.20	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40413)	035	PVH	S	365	34.85	5-May	22-Aug	14.60	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40364)	035	PVH	S	590	34.85	5-May	22-Aug	23.60	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40412)	035	PVH	S	770	34.85	5-May	22-Aug	30.80	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40351)	035	PVH	S	1,515	34.85	5-May	22-Aug	60.60	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40424)	035	PVH	S	495	34.85	5-May	22-Aug	19.80	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40336)	035	PVH	S	2,440	34.85	5-May	22-Aug	97.60	4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40422)	035	PVH	S	1,015	34.85	5-May	22-Aug	40.60	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40335)	035	PVH	S	1,440	34.85	5-May	22-Aug	57.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40429)	035	PVH	S	270	34.85	5-May	22-Aug	10.80 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40328)	035	PVH	S	215	34.85	5-May	22-Aug	8.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40446)	035	PVH	S	4,365	34.85	5-May	22-Aug	174.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40222)	035	PVH	S	13,900	34.85	5-May	22-Aug	556.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40434)	035	PVH	S	10,270	34.85	5-May	22-Aug	410.80 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40032)	035	PVH	S	430	34.85	5-May	22-Aug	17.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB39951)	035	PVH	S	170	34.85	5-May	22-Aug	6.80 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40030)	035	PVH	S	55	34.85	5-May	22-Aug	2.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB39993)	035	PVH	S	8,825	34.85	5-May	22-Aug	353.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40542)	035	PVH	S	475	34.85	5-May	22-Aug	19.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40543)	035	PVH	S	980	34.85	5-May	22-Aug	39.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40548)	035	PVH	S	3,780	34.85	5-May	22-Aug	151.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40549)	035	PVH	S	160	34.85	5-May	22-Aug	6.40 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40375)	035	PVH	S	5,480	34.85	5-May	22-Aug	219.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40381)	035	PVH	S	480	34.85	5-May	22-Aug	19.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40504)	035	PVH	S	175	34.85	5-May	22-Aug	7.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40520)	035	PVH	S	400	34.85	5-May	22-Aug	16.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40521)	035	PVH	S	555	34.85	5-May	22-Aug	22.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40400)	035	PVH	S	1,720	34.85	5-May	22-Aug	68.80 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40517)	035	PVH	S	65	34.85	5-May	22-Aug	2.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40951)	035	PVH	S	1,100	34.85	5-May	22-Aug	44.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40425)	035	PVH	S	7,165	34.85	5-May	22-Aug	286.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40952)	035	PVH	S	715	34.85	5-May	22-Aug	28.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40432)	035	PVH	S	710	34.85	5-May	22-Aug	28.40 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40953)	035	PVH	S	3,415	34.85	5-May	22-Aug	136.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40430)	035	PVH	S	515	34.85	5-May	22-Aug	20.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40882)	035	PVH	S	975	34.85	5-May	22-Aug	39.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40431)	035	PVH	S	370	34.85	5-May	22-Aug	14.80 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40794)	035	PVH	S	355	34.85	5-May	22-Aug	14.20 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40390)	035	PVH	S	90	34.85	5-May	22-Aug	3.60 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40795)	035	PVH	S	880	34.85	5-May	22-Aug	35.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40385)	035	PVH	S	1,525	34.85	5-May	22-Aug	61.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40474)	035	PVH	S	775	34.85	5-May	22-Aug	31.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40374)	035	PVH	S	12,335	34.85	5-May	22-Aug	493.40 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40467)	035	PVH	S	5,730	34.85	5-May	22-Aug	229.20 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40372)	035	PVH	S	225	34.85	5-May	22-Aug	9.00 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40466)	035	PVH	S	395	34.85	5-May	22-Aug	15.80 4.0
AO,	08/21	ROXBURY CAPITAL MGMT (ROXB40373)	035	PVH	S	265	34.85	5-May	22-Aug	10.60 4.0
AO,CXL	08/21	IRONBOUND CAPITAL (IROBGS)	012	TIN	S	27,202	16.35	29-Apr	30-Jul	1088.08 4.0
AO,CRT	08/21	IRONBOUND CAPITAL (IROBGS)	012	TIN	S	27,202	16.35	29-Apr	30-Jul	544.04 2.0

TOTAL (AO, CXL, CRT) : **4,448.72**

TOTAL (Trade Date) : 106,923.76
TOTAL (AO, CXL, CRT) : 4,448.72

TOTAL (RUN DATE) / NFS : **111,372.48**

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