



## Daily Compliance Activity Report

Trade Date: 10/20/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	S	10,000	10.33	n/a	10-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	32,400	29.98	7-Aug	10-Oct	1,296.00	4.0
STRAUSS ASSET MGMT	040	AN	SS	50,000	6.90	15-Oct	20-Oct	2,500.00	5.0
COUGAR TRADING	044	ARG	B	5,000	40.07	13-Oct	13-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	24.85	n/a	10-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	BBY	B	50,000	25.20	n/a	27-Jul	2,000.00	4.0
PALMYRA CAPITAL	048	CAB	SS	20,000	9.12	n/a	n/a	1,000.00	5.0
PRINCIPLE CAPITAL	040	CCL	SS	52,000	29.61	n/a	26-Jan	1,560.00	3.0
MERRILL ASSET	032	CFR	B	10,700	52.20	n/a	n/a	535.00	5.0
RAINIER INV MGMT	035	CGX	S	16,150	14.13	n/a	n/a	807.50	5.0
CRAMER ROSENTHAL/SCOTT	012	COH	S	41,000	19.28	8-Oct	8-Oct	1,640.00	4.0
CATAPULT	040	DAL	S	7,000	9.07	n/a	n/a	280.00	4.0
AMATURO	018	DAVWI	B	20	4.69	n/a	n/a	0.00	0.0
MCCARTAN	028	DAVWI	B	10	4.34	n/a	n/a	0.00	0.0
LUCHANSKY1	036	DDM	B	200	35.83	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	DIS	S	83,220	25.99	n/a	n/a	3,744.90	4.5
<b>N STRATTON</b>	<b>014</b>	<b>DSNY</b>	<b>B</b>	<b>2,000</b>	<b>0.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>DXD</b>	<b>B</b>	<b>1,800</b>	<b>78.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>FXP</b>	<b>B</b>	<b>500</b>	<b>90.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	GWW	S	10,000	82.80	3-Oct	15-Oct	500.00	5.0
FRONTPOINT CHRIS C	041	HPY	B	7,700	18.89	n/a	n/a	308.00	4.0
EATON VANCE MGMT	039	IBM	B	525,271	90.81	n/a	n/a	15,758.13	3.0
BARROW HANLEY MEWHINNEY	031	INTC	B	80,000	15.82	n/a	n/a	3,200.00	4.0
NEUBERGER BERMAN	036	IWP	S	145,000	34.11	n/a	n/a	6,525.00	4.5
COUGAR TRADING	044	JCG	S	15,000	18.94	n/a	17-Sep	750.00	5.0
WAGONHOUND/NIC	048	JNS	S	2,603	11.75	25-Jul	17-Oct	104.12	4.0
WHITE PINE CAPITAL	030	KEG	B	57,925	6.69	n/a	14-Oct	2,896.25	5.0
MS PRINCIPAL STRATEGIES	041	KOG	S	10,400	0.90	n/a	n/a	520.00	5.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>KO</b>	<b>B</b>	<b>100</b>	<b>45.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	LCC	S	7,000	7.11	n/a	n/a	280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	044	LH	SS	35,000	60.92	n/a	n/a	1,400.00	4.0
CAXTON PART	040	LINTA	C	15,000	6.70	n/a	n/a	525.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>S</b>	<b>200,000</b>	<b>9.91</b>	<b>n/a</b>	<b>8-Oct</b>	<b>8,000.00</b>	<b>4.0</b>
MERRILL ASSET	032	MKC	S	19,600	34.26	n/a	n/a	882.00	4.5
ROTHSCHILD ASSET	040	MKC	B	13,460	34.28	n/a	n/a	605.70	4.5
STRAUSS ASSET MGMT	040	MS	S	5,000	20.54	15-Sep	15-Oct	250.00	5.0
STADIA CAPITAL	035	MTH	SS	50,000	15.89	n/a	n/a	2,000.00	4.0
<b>Õ Larry Leeds</b>		<b>NXXI</b>	<b>B</b>	<b>100000</b>	<b>0.1700</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>PENX</b>	<b>B</b>	<b>5,000</b>	<b>12.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>PEP</b>	<b>S</b>	<b>100</b>	<b>56.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>PG</b>	<b>B</b>	<b>100</b>	<b>62.24</b>	<b>10-Oct</b>	<b>10-Oct</b>	<b>0.00</b>	<b>0.0</b>
US BANCORP	030	PX	B	26,523	69.07	n/a	14-Oct	1,326.15	5.0
TALA MANAGEMENT	041	QQQQ	B	7,677	32.31	n/a	n/a	383.85	5.0
<b>LEDDY</b>	<b>035</b>	<b>RIO</b>	<b>B</b>	<b>600</b>	<b>12.90</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>RL</b>	<b>SS</b>	<b>40,000</b>	<b>48.27</b>	<b>n/a</b>	<b>8-Oct</b>	<b>1,600.00</b>	<b>4.0</b>
US BANCORP	030	RL	B	21,248	47.85	n/a	8-Oct	1,062.40	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	ROST	S	1,245	29.52	n/a	n/a	49.80	4.0
<b>GRONET</b>	<b>030</b>	<b>SBLK</b>	<b>S</b>	<b>3,000</b>	<b>4.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>SDS</b>	<b>B</b>	<b>500</b>	<b>88.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE BOSTON COMPANY	401	SKX	B	34,340	12.98	n/a	13-Mar	1,373.60	4.0
<b>CATTANI</b>	<b>041</b>	<b>SLB</b>	<b>B</b>	<b>50</b>	<b>53.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>SWGKU</b>	<b>S</b>	<b>10</b>	<b>4.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>SWGWN</b>	<b>B</b>	<b>10</b>	<b>3.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	TEO	B	24,900	11.00	n/a	n/a	1,245.00	5.0
BLACKSTONE KAILIX ASS.	048	TGT	S	300,000	39.50	n/a	9-Oct	15,000.00	5.0
PRINCIPLE CAPITAL	040	TIF	SS	48,000	27.13	n/a	10-Oct	1,440.00	3.0
WHITE PINE CAPITAL	030	UNT	B	6,600	35.98	n/a	14-Oct	330.00	5.0
<b>LED DY</b>	<b>035</b>	<b>UYG</b>	<b>S</b>	<b>1,200</b>	<b>10.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EATON VANCE MGMT	039	VZ	B	250,000	28.38	n/a	4-Jan	7,500.00	3.0
COUGAR TRADING	044	WMT	B	10,000	53.74	10-Oct	10-Oct	500.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>WY</b>	<b>B</b>	<b>75</b>	<b>41.87</b>	<b>n/a</b>	<b>15-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLER	025	X	S	20	44.23	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							94,428.40		

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/16	COUGAR TRADING (COUGPB MS)	044	AEO	B	15,000	9.56	n/a	10-Oct	750.00 5.0
AO,CRT	10/16	COUGAR TRADING (COUGPB MS)	044	AEO	B	15,000	9.56	n/a	10-Oct	600.00 4.0
AO,CXL	10/17	COUGAR TRADING (COUGPB MS)	044	AEO	B	5,000	9.81	n/a	10-Oct	250.00 5.0
AO,CRT	10/17	COUGAR TRADING (COUGPB MS)	044	AEO	B	5,000	9.81	n/a	10-Oct	200.00 4.0
AO,CXL	10/17	SUN AMERICA ASSET MGMT (SUNAJUVG)	030	ANF	S	8,500	30.38	7-Aug	10-Oct	425.00 5.0
AO,CRT	10/17	SUN AMERICA ASSET MGMT (SUNAJUVG)	030	ANF	S	8,500	30.38	7-Aug	10-Oct	340.00 4.0
AO,	10/17	SUN AMERICA ASSET MGMT (SUNAJUNH)	030	ANF	S	5,600	30.38	7-Aug	10-Oct	224.00 4.0
AO,	10/17	SUN AMERICA ASSET MGMT (SUNAJUMH)	030	ANF	S	3,400	30.38	7-Aug	10-Oct	136.00 4.0
AO,CXL	10/17	SUN AMERICA ASSET MGMT (SUNAJU21)	030	ANF	S	4,700	30.38	7-Aug	10-Oct	235.00 5.0
AO,CRT	10/17	SUN AMERICA ASSET MGMT (SUNAJU21)	030	ANF	S	4,700	30.38	7-Aug	10-Oct	188.00 4.0
AO,CXL	10/17	SANDLER CAPITAL (SANDOMINBU)	038	COH	SS	120,000	18.21	8-Oct	8-Oct	6000.00 5.0
AO,CRT	10/17	SANDLER CAPITAL (SANDOMINBU)	038	COH	SS	120,000	18.21	8-Oct	8-Oct	7200.00 6.0
AO,CXL	10/06	BULL PATH CAPITAL (BULLJPHQ)	044	CPKI	B	3,302	11.62	8-Oct	13-Oct	165.10 5.0
AO,CXL	10/06	BULL PATH CAPITAL (BULLPB BOA)	044	CPKI	B	21,698	11.62	8-Oct	13-Oct	1084.90 5.0
AO,CRT	10/06	BULL PATH CAPITAL (BULLPB BOA)	044	CPKI	B	25,000	11.62	8-Oct	13-Oct	1250.00 5.0
AO,	10/17	BUCK CAPITAL MGMT (BUCK)	015	EFA	B	300	54.00	n/a	n/a	0.00 0.0
AO,CXL	10/16	PZENA INV ADV (PZEN1602)	044	JNJ	S	1,675	62.42	n/a	22-Apr	0.00 0.0
AO,	10/16	PZENA INV ADV (PZEN1602)	044	JNJ	S	1,675	62.42	n/a	22-Apr	58.63 3.5
AO,CRT	10/17	COUGAR TRADING (COUGCITI)	044	M	B	15,000	10.06	12-Aug	10-Oct	750.00 5.0
AO,CXL	10/17	COUGAR TRADING (COUGPB MS)	044	M	B	15,000	10.06	12-Aug	10-Oct	750.00 5.0
AO,CXL	10/17	CUMBERLAND (CUMBMS04)	038	SPY	SS	100,000	96.38	n/a	n/a	4000.00 4.0
AO,CRT	10/17	CUMBERLAND (CUMBMS04)	038	SPY	SS	100,000	96.38	n/a	n/a	3000.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>286.63</b>
TOTAL (Trade Date) :									94,428.40
TOTAL (AO, CXL, CRT) :									286.63
<b>TOTAL (RUN DATE) / NFS :</b>									<b>94,715.03</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