



Daily Compliance Activity Report

Trade Date: 08/14/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	20,000	13.77	6-Mar	8-Aug	1,000.00	5.0
COUGAR TRADING	044	AEO	S	2,183	14.25	6-Mar	8-Aug	109.15	5.0
SAB CAPITAL	034	AEO	S	168,543	13.73	6-Mar	8-Aug	8,427.15	5.0
COUGAR TRADING	044	ANF	S	5,000	53.03	7-Aug	8-Aug	250.00	5.0
COUGAR TRADING	044	AN	B	5,000	12.16	25-Jul	28-Jul	250.00	5.0
DIAMONDBACK CAP MGMT	232	BAC	SS	20,000	30.13	n/a	29-Jul	1,000.00	5.0
CAXTON PART	040	BAM	S	72,357	30.23	n/a	n/a	2,532.51	3.5
TALA MANAGEMENT	041	BDK	B	6,584	65.40	n/a	n/a	329.20	5.0
SIGMA CAPITAL ASSOCIATES	237	BIG	SS	50,000	33.12	29-May	8-Aug	2,500.00	5.0
LEDDY	035	BWA	SS	400	43.27	10-Jun	1-Aug	0.00	0.0
MAGUIRE	090	CAL	S	2,000	16.20	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	CLMS	SS	6,461	20.83	13-Aug	13-Aug	323.05	5.0
CATTANI	041	CRS	B	300	39.03	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	C	S	50,000	18.20	19-Jun	31-Jul	2,500.00	5.0
CATTANI	041	C	S	500	18.30	19-Jun	31-Jul	0.00	0.0
MAGUIRE	090	DAL	S	2,500	8.63	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MTB INV ADV	034	DKS	B	10,600	18.74	7-Jul	9-Jul	530.00	5.0
BUCK CAPITAL MGMT	001	DSW	B	27,000	14.78	8-May	8-Aug	1,080.00	4.0
SIGMA CAPITAL ASSOCIATES	237	EAT	S	50,000	20.56	n/a	24-Apr	2,500.00	5.0
AAD CAPITAL	048	EL	SS	125,000	49.80	7-May	24-Jun	5,000.00	4.0
BUCK CAPITAL MGMT	001	EL	SS	20,000	48.19	7-May	24-Jun	800.00	4.0
BUCK CAPITAL MGMT	001	FL	B	20,000	14.42	11-Aug	11-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	50,000	30.33	n/a	10-Jan	2,000.00	4.0
BUCK CAPITAL MGMT	001	GES	B	80,000	36.68	n/a	n/a	3,200.00	4.0
DENVER INST. ADV	046	GME	B	22,500	44.33	n/a	n/a	900.00	4.0
JMP ASSET MGMT	210	GME	B	2,100	44.13	n/a	n/a	105.00	5.0
COUGAR TRADING	044	GPI	B	5,000	23.50	10-Jun	30-Jul	250.00	5.0
TROUBH PART	067	GPS	B	10,000	19.24	n/a	8-Aug	500.00	5.0
COUGAR TRADING	044	GYMB	B	10,000	38.26	11-Jul	8-Aug	500.00	5.0
PALMYRA CAPITAL	048	GYMB	B	16,700	38.15	11-Jul	8-Aug	835.00	5.0
ROXBURY CAPITAL MGMT	035	GYMB	B	81,000	38.16	11-Jul	8-Aug	3,240.00	4.0
GLG PARTNERS	034	HD	SS	50,000	27.17	n/a	27-Jul	2,500.00	5.0
MERRILL ASSET	032	HOS	S	32,800	42.12	n/a	n/a	1,640.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	INTC	S	20,000	24.32	n/a	n/a	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	10,000	28.54	1-Aug	1-Aug	500.00	5.0
MORGAN BANK /JPM	012	IP	C	147,072	28.78	1-Aug	1-Aug	4,412.16	3.0
ROARING BLUE LION MGMT	012	IVZ	S	9,000	24.99	4-Aug	14-Aug	360.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	79,000	25.38	4-Aug	14-Aug	3,950.00	5.0
SAB CAPITAL	034	IWM	B	23,000	74.60	n/a	n/a	1,150.00	5.0
KORMAN	003	JCG	C	3,000	27.75	n/a	30-May	0.00	0.0
CATTANI	041	JPM	B	300	38.36	8-May	29-Jul	0.00	0.0
COUGAR TRADING	044	JWN	B	10,000	30.31	10-Jul	8-Aug	500.00	5.0
KAICHER	064	KFT	B	1,000	32.64	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	100,000	48.19	n/a	8-Aug	4,000.00	4.0
COUGAR TRADING	044	KSS	B	5,000	48.47	n/a	8-Aug	250.00	5.0
COUGAR TRADING	044	KSS	SS	2,500	48.61	n/a	8-Aug	125.00	5.0
TRIVIUM CAP MGMT	251	LCC	S	20,000	9.00	n/a	n/a	800.00	4.0
LEDDY	035	LEH	B	1,800	16.20	9-Jun	14-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	B	200,000	14.41	n/a	14-Aug	8,000.00	4.0
DURANGO INVESTMENTS	031	LNCR	S	8,800	33.80	n/a	22-Jul	352.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	LOW	B	50,000	23.26	n/a	27-Jul	2,500.00	5.0
SANDLER O'NEILL ASSET	031	MER	S	75,000	25.71	24-Jun	29-Jul	3,750.00	5.0
SANDLER O'NEILL ASSET	031	MS	SS	75,000	40.32	n/a	14-Jul	3,750.00	5.0
LEDDY	035	MS	B	300	40.27	n/a	14-Jul	0.00	0.0
COUGAR TRADING	044	M	SS	30,000	21.71	12-Aug	14-Aug	1,500.00	5.0
COUGAR TRADING	044	M	S	10,000	21.50	12-Aug	14-Aug	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	M	SS	20,000	21.40	12-Aug	14-Aug	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	NTY	S	25,000	36.07	n/a	n/a	1,250.00	5.0
BRIGHTPOINT CAP	067	OIH	SS	56,500	183.31	n/a	n/a	2,260.00	4.0
JP MORGAN VENTURES	046	OMX	B	20,000	13.44	n/a	15-Apr	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	PEP	S	20,000	70.01	n/a	n/a	1,000.00	5.0
EGS ASSOCIATES LP	091	PLCE	SS	3,000	37.75	23-Jun	8-Aug	180.00	6.0
PALMYRA CAPITAL	048	PLCE	B	27,000	37.16	23-Jun	8-Aug	1,350.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	25,000	38.60	5-May	18-Jul	1,000.00	4.0
DURANGO INVESTMENTS	031	QLGC	S	22,000	19.61	n/a	n/a	880.00	4.0
DANIELS	N25	QXM	S	500	6.00	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	B	50,000	3.85	n/a	n/a	3,000.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	10,000	71.77	n/a	7-Aug	400.00	4.0
EGS ASSOCIATES LP	091	RL	SS	3,000	72.95	n/a	7-Aug	180.00	6.0
JMP ASSET MGMT	210	RRGB	SS	1,300	29.25	n/a	n/a	65.00	5.0
MERRILL ASSET	032	RWR	B	13,900	69.65	n/a	n/a	695.00	5.0
CAXTON PART	040	SCHW	S	80,023	22.55	n/a	n/a	2,800.82	3.5
BUCK CAPITAL MGMT	001	SKX	B	10,000	19.73	n/a	13-Mar	400.00	4.0
COUGAR TRADING	044	SSO	B	5,000	61.09	n/a	n/a	250.00	5.0
CATTANI	041	SU	S	300	52.46	n/a	n/a	0.00	0.0
OTC ERROR	099	SYNA	S	2	52.63	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	10,000	49.60	n/a	8-Aug	400.00	4.0
TALA MANAGEMENT	041	TGT	B	6,000	49.63	n/a	8-Aug	300.00	5.0
HEALY CIRCLE	044	TIF	SS	10,000	41.02	n/a	2-Jun	500.00	5.0
IRONBOUND CAPITAL	012	TIN	S	136,000	17.41	29-Apr	30-Jul	6,800.00	5.0
NOMURA CAPITAL	045	TLB	B	6,900	11.97	7-Aug	8-Aug	345.00	5.0
PRINCIPLE CAPITAL	040	TPX	S	223,200	10.54	n/a	n/a	6,696.00	3.0
LITESPEED	028	TSN	B	105,000	16.73	n/a	n/a	5,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	TWB	B	5,000	8.27	17-Mar	13-Aug	200.00	4.0
BALYASNY ASSET MGMT	044	URBN	S	37,500	35.59	14-Aug	14-Aug	1,875.00	5.0
COUGAR TRADING	044	URBN	SS	10,000	35.61	14-Aug	14-Aug	500.00	5.0
JMP ASSET MGMT	210	URBN	S	7,300	35.52	14-Aug	14-Aug	365.00	5.0
MERRILL ASSET	032	UTI	S	26,800	16.74	n/a	n/a	1,206.00	4.5
PHILADELPHIA FINANCIAL	033	WDR	S	20,000	32.54	15-Jul	5-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	22,000	49.79	8-Aug	8-Aug	880.00	4.0
KORMAN	003	WSMTX	S	100	3.50	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	10,000	50.67	n/a	6-Aug	500.00	5.0
COUGAR TRADING	044	YUM	SS	10,000	36.76	14-Aug	14-Aug	500.00	5.0
TOTAL (Trade Date) :								127,828.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/13	ROYCE TRADING (ROYC59)	216	CAB	B	7,700	11.32	n/a	n/a	385.00	5.0
AO,	08/13	ROYCE TRADING (ROYC59)	216	CAB	B	600	11.05	n/a	n/a	30.00	5.0
AO,	08/13	ROYCE TRADING (ROYC33)	216	CAB	B	2,300	11.32	n/a	n/a	115.00	5.0
AO,CXL	08/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GCO	B	40,000	30.26	n/a	10-Jan	0.00	0.0
AO,CRT	08/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GCO	B	40,000	30.26	n/a	10-Jan	1600.00	4.0
AO,CXL	08/11	SOROS (SOROGS004)	036	NILE	B	20,000	45.21	n/a	n/a	1000.00	5.0
AO,CRT	08/11	SOROS (SOROGS004)	036	NILE	B	20,000	45.21	n/a	n/a	800.00	4.0
AO,CXL	08/13	STELLIAM INV ADV (STLLGSBULK)	040	SSCC	B	15,000	5.07	30-Jul	30-Jul	450.00	3.0
AO,CRT	08/13	STELLIAM INV ADV (STLLMSEXEC)	040	SSCC	B	15,000	5.07	30-Jul	30-Jul	450.00	3.0
AO,CRT	08/12	OTC ERROR (OTC ERROR)	099	SYNA	B	1	53.16	n/a	n/a	0.00	0.0
AO,CXL	08/12	LISTED ERR (LISTED ERR)	099	SYNA	B	1	53.16	n/a	n/a	0.00	0.0
AO,	08/13	REINHART & MAHONEY (REINWIGLTR)	031	TTEK	S	100	28.60	n/a	n/a	5.00	5.0
AO,	08/13	REINHART & MAHONEY (REINSETMID)	031	TTEK	S	50	28.60	n/a	n/a	2.50	5.0
AO,	08/13	REINHART & MAHONEY (REINNGLMID)	031	TTEK	S	250	28.60	n/a	n/a	12.50	5.0
AO,	08/13	REINHART & MAHONEY (REINFOODDI)	031	TTEK	S	2,150	28.60	n/a	n/a	107.50	5.0
AO,	08/13	REINHART & MAHONEY (REINSMTR2)	031	TTEK	S	50	28.60	n/a	n/a	2.50	5.0
AO,	08/13	REINHART & MAHONEY (REINSOFMA4)	031	TTEK	S	50	28.60	n/a	n/a	2.50	5.0
AO,	08/13	REINHART & MAHONEY (REINSOFRE5)	031	TTEK	S	50	28.60	n/a	n/a	2.50	5.0
AO,	08/13	REINHART & MAHONEY (REINWIGANN)	031	TTEK	S	100	28.60	n/a	n/a	5.00	5.0
AO,	08/13	REINHART & MAHONEY (REINSORT90)	031	TTEK	S	50	28.60	n/a	n/a	2.50	5.0
AO,	08/13	REINHART & MAHONEY (REINCARPDT)	031	TTEK	S	4,550	28.60	n/a	n/a	227.50	5.0
AO,	08/13	REINHART & MAHONEY (REINAMHMF)	031	TTEK	S	1,350	28.60	n/a	n/a	67.50	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/13	REINHART & MAHONEY (REINMILWCO)	031	TTEK	S	2,900	28.60	n/a	n/a	145.00 5.0
AO,	08/13	REINHART & MAHONEY (REINKANTJM)	031	TTEK	S	350	28.60	n/a	n/a	17.50 5.0
AO,	08/13	REINHART & MAHONEY (REINAMERHO)	031	TTEK	S	1,250	28.60	n/a	n/a	62.50 5.0
AO,	08/13	REINHART & MAHONEY (REINWILLMD)	031	TTEK	S	200	28.60	n/a	n/a	10.00 5.0
AO,	08/13	REINHART & MAHONEY (REINSTRATT)	031	TTEK	S	650	28.60	n/a	n/a	32.50 5.0
AO,	08/13	REINHART & MAHONEY (REINMKETRA)	031	TTEK	S	3,250	28.60	n/a	n/a	162.50 5.0
AO,	08/13	REINHART & MAHONEY (REINCST64M)	031	TTEK	S	550	28.60	n/a	n/a	27.50 5.0
AO,	08/13	REINHART & MAHONEY (REINGILBER)	031	TTEK	S	50	28.60	n/a	n/a	2.50 5.0
AO,CXL	08/13	COUGAR TRADING (COUGPB MS)	044	TWB	B	30,000	7.99	17-Mar	13-Aug	1500.00 5.0
AO,CRT	08/13	COUGAR TRADING (COUGPB MS)	044	TWB	B	30,000	7.99	17-Mar	13-Aug	1200.00 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC4480)	036	WW	S	175	53.05	n/a	n/a	7.00 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC7055)	036	WW	S	533	53.05	n/a	n/a	21.32 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC4025)	036	WW	S	726	53.05	n/a	n/a	29.04 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC6631)	036	WW	S	557	53.05	n/a	n/a	22.28 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC7910)	036	WW	S	1,112	53.05	n/a	n/a	44.48 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0904)	036	WW	S	44	53.05	n/a	n/a	1.76 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0902)	036	WW	S	241	53.05	n/a	n/a	9.64 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0270)	036	WW	S	774	53.05	n/a	n/a	30.96 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC5900)	036	WW	S	630	53.05	n/a	n/a	25.20 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0916)	036	WW	S	388	53.05	n/a	n/a	15.52 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0918)	036	WW	S	63	53.05	n/a	n/a	2.52 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0780)	036	WW	S	339	53.05	n/a	n/a	13.56 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0300)	036	WW	S	1,306	53.05	n/a	n/a	52.24 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC7900)	036	WW	S	1,258	53.05	n/a	n/a	50.32 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0910)	036	WW	S	2,757	53.05	n/a	n/a	110.28 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0912)	036	WW	S	2,177	53.05	n/a	n/a	87.08 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC2920)	036	WW	S	2,322	53.05	n/a	n/a	92.88 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0914)	036	WW	S	436	53.05	n/a	n/a	17.44 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/13	COLUMBUS CIRCLE (COLC3050)	036	WW	S	1,693	53.05	n/a	n/a	67.72 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC1560)	036	WW	S	1,790	53.05	n/a	n/a	71.60 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC4490)	036	WW	S	3,435	53.05	n/a	n/a	137.40 4.0
AO,	08/13	COLUMBUS CIRCLE (COLC0810)	036	WW	S	774	53.05	n/a	n/a	30.96 4.0

TOTAL (AO, CXL, CRT) : **3,468.70**

TOTAL (Trade Date): 127,828.04
TOTAL (AO, CXL, CRT): 3,468.70

TOTAL (RUN DATE) / NFS: **131,296.74**

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