



# Daily Compliance Activity Report

Trade Date: 08/06/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	ACW	B	70,000	2.37	n/a	n/a	2,100.00	3.0
DSM CAPITAL PARTNERS	032	ADP	B	48,400	44.00	n/a	n/a	2,420.00	5.0
DSM CAPITAL PARTNERS	032	ADSK	B	50,575	33.84	n/a	n/a	2,528.75	5.0
COUGAR TRADING	044	AEO	B	5,000	13.90	6-Mar	4-Aug	250.00	5.0
TYEE/TYGH	035	AMG	B	22,200	90.65	23-Jul	5-Aug	888.00	4.0
BEAR STEARNS ASSET MGMT.	033	ANF	S	40,000	55.84	10-Jul	4-Aug	1,600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>200,000</b>	<b>55.48</b>	<b>10-Jul</b>	<b>4-Aug</b>	<b>8,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	B	2,500	55.67	10-Jul	4-Aug	125.00	5.0
COUGAR TRADING	044	ANF	SS	2,500	55.74	10-Jul	4-Aug	125.00	5.0
BALYASNY ASSET MGMT	044	AN	B	10,000	11.03	25-Jul	28-Jul	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AN</b>	<b>SS</b>	<b>100,000</b>	<b>11.07</b>	<b>25-Jul</b>	<b>28-Jul</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	AN	SS	5,000	11.23	25-Jul	28-Jul	250.00	5.0
RK CAPITAL MGMT LLC	045	ARGN	B	70,000	7.27	24-Jun	17-Jul	2,800.00	4.0
COUGAR TRADING	044	ARO	B	5,000	33.23	28-Apr	4-Aug	250.00	5.0
<b>Õ Raghav Nayar</b>		<b>BIDZ</b>	<b>S</b>	<b>200</b>	<b>11.0600</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COBALT	041	BIG	B	50,000	31.96	29-May	4-Aug	2,500.00	5.0
GLG PARTNERS	034	BIG	B	25,000	32.03	29-May	4-Aug	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD POINT MGMT	044	BIG	C	125,000	31.93	29-May	4-Aug	5,000.00	4.0
THE JAY GOLDMAN	034	BJ	B	10,000	39.99	n/a	27-Jul	400.00	4.0
COUGAR TRADING	044	BKC	B	5,000	28.40	1-May	30-Jul	250.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	300	41.85	10-Jun	1-Aug	15.00	5.0
WEISS PECK	040	BWS	S	36,980	16.25	n/a	n/a	1,849.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>BWS</b>	<b>SS</b>	<b>1,000</b>	<b>16.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KARPNANCY</b>	<b>023</b>	<b>BYD</b>	<b>B</b>	<b>300</b>	<b>14.05</b>	<b>29-Jul</b>	<b>4-Aug</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	CAB	B	10,000	10.91	n/a	n/a	500.00	5.0
FORWARD MGMT	033	CAKE	B	3,600	15.38	n/a	24-Apr	180.00	5.0
<b>Õ Jason Cohen</b>		<b>CCI</b>	<b>B</b>	<b>54</b>	<b>36.6300</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	CCL	SS	18,200	39.41	n/a	26-Jan	910.00	5.0
ROBX	033	CMI	B	14,350	68.70	n/a	23-May	574.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>CMI</b>	<b>SS</b>	<b>300</b>	<b>70.34</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	COH	SS	10,000	27.64	30-Jul	30-Jul	500.00	5.0
DSM CAPITAL PARTNERS	032	CSCO	B	83,200	23.87	n/a	22-Mar	4,160.00	5.0
<b>Õ Steven Maguire</b>		<b>CSCO</b>	<b>B</b>	<b>15000</b>	<b>22.3300</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Steven Maguire</b>		<b>CSCO</b>	<b>S</b>	<b>10000</b>	<b>23.9200</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Steven Maguire</b>		<b>CSCO</b>	<b>S</b>	<b>5000</b>	<b>23.9200</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	045	CVC	S	2,700	27.47	n/a	4-Jan	135.00	5.0
DSM CAPITAL PARTNERS	032	CVD	B	20,200	95.68	n/a	n/a	1,010.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>C</b>	<b>B</b>	<b>500</b>	<b>19.83</b>	<b>19-Jun</b>	<b>31-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Jason Cohen</b>		<b>DAL</b>	<b>S</b>	<b>80</b>	<b>8.4100</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	DIS	B	60,000	31.57	n/a	n/a	2,400.00	4.0
IRIDIAN ASSET MGMT.	036	DVN	B	25,930	92.72	7-May	1-Aug	1,296.50	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>FCN</b>	<b>B</b>	<b>200</b>	<b>68.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>FCN</b>	<b>B</b>	<b>200</b>	<b>68.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>FOR</b>	<b>B</b>	<b>5,000</b>	<b>18.44</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>GCO</b>	<b>B</b>	<b>30,000</b>	<b>29.92</b>	<b>n/a</b>	<b>10-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	GPI	SS	5,000	21.50	10-Jun	30-Jul	250.00	5.0
DSM CAPITAL PARTNERS	032	GPRO	B	35,875	60.83	n/a	n/a	1,793.75	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>B</b>	<b>54,500</b>	<b>16.85</b>	<b>n/a</b>	<b>4-Aug</b>	<b>2,180.00</b>	<b>4.0</b>
NOMURA CAPITAL	045	GT	S	2,300	20.32	n/a	n/a	115.00	5.0
NOMURA CAPITAL	045	HOS	B	1,300	41.90	n/a	n/a	65.00	5.0
WEISS PECK	040	HOTT	S	83,540	6.63	n/a	4-Aug	3,341.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RHO CAPITAL MGMT	041	IBN	B	500	33.93	n/a	n/a	20.00	4.0
RHO CAPITAL MGMT	041	INP	B	200	63.57	n/a	n/a	8.00	4.0
RHO CAPITAL MGMT	041	ISRG	B	60	312.10	n/a	n/a	2.40	4.0
JP MORGAN VENTURES	046	JCG	SS	10,000	30.25	n/a	30-May	500.00	5.0
ADAGE CAPITAL MGMT	030	JCP	B	202,000	31.25	n/a	4-Aug	8,080.00	4.0
COUGAR TRADING	044	JCP	B	10,000	30.91	n/a	4-Aug	500.00	5.0
THE JAY GOLDMAN	034	JCP	S	26,000	31.48	n/a	4-Aug	1,040.00	4.0
<b>CATTANI</b>	<b>041</b>	<b>JNS</b>	<b>B</b>	<b>500</b>	<b>27.28</b>	<b>25-Jul</b>	<b>5-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>JNS</b>	<b>S</b>	<b>500</b>	<b>27.65</b>	<b>25-Jul</b>	<b>5-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>JPM</b>	<b>B</b>	<b>500</b>	<b>40.95</b>	<b>8-May</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>JPM</b>	<b>S</b>	<b>500</b>	<b>41.10</b>	<b>8-May</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JWN	S	20,000	28.53	10-Jul	4-Aug	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>25,000</b>	<b>44.66</b>	<b>n/a</b>	<b>4-Aug</b>	<b>1,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	20,000	44.00	n/a	4-Aug	1,000.00	5.0
THE JAY GOLDMAN	034	KSS	B	20,000	44.75	n/a	4-Aug	800.00	4.0
HEALY CIRCLE	044	LEH	B	25,000	20.27	9-Jun	14-Jul	1,250.00	5.0
REINHART & MAHONEY	031	MANT	S	10,510	57.33	n/a	n/a	525.50	5.0
SECOND CURVE	031	MBI	B	50,000	8.19	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CENTURION GLOBAL MGMT LL	041	MOT	B	32,900	9.47	n/a	n/a	987.00	3.0
NWQ INVESTMENT MGMT CO	048	MRK	S	15,400	35.50	n/a	n/a	616.00	4.0
ADALY INV MGMT	067	MSFT	B	10,000	26.50	n/a	3-Apr	500.00	5.0
SOUN	048	MWA	SS	4,600	10.24	n/a	9-Jun	230.00	5.0
CATAPULT	040	MW	SS	25,000	21.18	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	M	B	5,000	19.35	14-Jul	4-Aug	250.00	5.0
NWQ INVESTMENT MGMT CO	048	M	S	26,700	19.49	14-Jul	4-Aug	1,068.00	4.0
NWQ INVESTMENT MGMT CO	048	NUE	S	9,400	53.86	n/a	n/a	376.00	4.0
WHALE ROCK CAP	030	ORCL	B	183,000	22.63	n/a	n/a	7,320.00	4.0
COUGAR TRADING	044	PAG	SS	5,000	13.93	10-Jun	1-Aug	250.00	5.0
BMO NESBITT BURNS	041	PCL	S	20,000	49.74	n/a	11-Jul	1,000.00	5.0
COUGAR TRADING	044	PSUN	B	20,000	8.33	n/a	4-Aug	800.00	4.0
NOMURA CAPITAL	045	PTRY	S	5,000	18.06	n/a	n/a	250.00	5.0
RHO CAPITAL MGMT	041	RFMD	B	15,000	3.48	n/a	n/a	450.00	3.0
COUGAR TRADING	044	RL	SS	2,500	66.00	n/a	25-Jul	125.00	5.0
SIGMA CAPITAL ASSOCIATES	237	RL	B	25,000	65.71	n/a	25-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RSH	SS	300,000	17.46	n/a	n/a	12,000.00	4.0
ZOLIDIS	011	SHOO	SS	500	23.25	n/a	n/a	0.00	0.0
MCCARTAN	028	SHOO	SS	200	23.32	n/a	n/a	0.00	0.0
LIEBAU ASSET MGMT	048	SIAL	S	10,000	61.42	7-Apr	23-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	19.63	n/a	13-Mar	400.00	4.0
Õ Jason Cohen		SNCR	B	100	10.6300	n/a	n/a	0.00	0.0
SENECA CAPITAL LP NY	028	SPY	S	42,000	127.90	n/a	n/a	2,100.00	5.0
COUGAR TRADING	044	SSO	B	10,000	61.26	n/a	n/a	500.00	5.0
REINHART & MAHONEY	031	SSW	B	6,710	22.99	n/a	n/a	291.65	4.8
TRELLUS PARTNERS LP	028	SUP	SS	25,000	17.39	25-Jul	28-Jul	1,250.00	5.0
FORWARD MGMT	033	TEN	B	4,000	14.03	n/a	n/a	200.00	5.0
LUCHANSKY1	036	TEX	B	100	46.90	24-Jul	24-Jul	0.00	0.0
JP MORGAN VENTURES	046	TGT	SS	15,000	47.23	n/a	4-Aug	750.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	20,000	14.28	17-Apr	4-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	TWB	SS	50,000	13.82	17-Mar	22-May	2,000.00	4.0
CATAPULT	040	TWB	B	65,000	14.11	17-Mar	22-May	2,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	TWB	B	20,000	13.96	17-Mar	22-May	1,000.00	5.0
REINHART & MAHONEY	031	VAR	S	15,320	63.22	n/a	n/a	766.00	5.0
<b>KARPNANCY</b>	<b>023</b>	<b>VC</b>	<b>B</b>	<b>600</b>	<b>2.80</b>	<b>n/a</b>	<b>31-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>VC</b>	<b>B</b>	<b>4,500</b>	<b>2.77</b>	<b>n/a</b>	<b>31-Jul</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	WDR	SS	89,000	32.81	15-Jul	5-Aug	3,560.00	4.0
BEAR STEARNS ASSET MGMT.	033	WFMI	SS	50,000	18.50	n/a	n/a	2,000.00	4.0
CASTLE ARK	031	WMT	B	149,050	60.47	30-Jun	4-Aug	8,943.00	6.0
SIGMA CAPITAL ASSOCIATES	237	WMT	SS	20,000	59.94	30-Jun	4-Aug	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>43,900</b>	<b>43.13</b>	<b>13-May</b>	<b>18-Jul</b>	<b>1,756.00</b>	<b>4.0</b>
COUGAR TRADING	044	WRC	B	10,000	44.37	13-May	18-Jul	500.00	5.0
COUGAR TRADING	044	WRC	S	10,000	42.80	13-May	18-Jul	500.00	5.0
BMO NESBITT BURNS	041	WY	B	20,000	53.77	n/a	6-Aug	1,000.00	5.0
CATAPULT	040	ZLC	B	14,200	23.98	n/a	n/a	568.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>137,294.15</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/05	NOMURA CAPITAL (NOMUSTRATE)	045	ACW	B	18,050	2.44	n/a	n/a	541.50 3.0
AO,	08/05	NOMURA CAPITAL (NOMUBATT2)	045	ACW	B	19,400	2.44	n/a	n/a	582.00 3.0
AO,	08/05	NOMURA CAPITAL (NOMUBSMAN)	045	ACW	B	22,650	2.44	n/a	n/a	679.50 3.0
AO,CXL	08/04	SATELITE/BOBBY (SATBCITI)	044	BBY	SS	10,000	39.65	n/a	27-Jul	500.00 5.0
AO,CRT	08/04	SATELITE/BOBBY (SATBCITI)	044	BBY	SS	10,000	39.65	n/a	27-Jul	400.00 4.0
AO,	08/05	ARIENCE CAPITAL (ARIEBSPB)	036	ESRX	B	79,580	70.87	n/a	n/a	3979.00 5.0
AO,	08/05	MORRISON/TLB/BAYPOINT (MORRTLBS)	040	GW	S	10,000	8.28	n/a	n/a	500.00 5.0
AO,CXL	08/05	MORRISON/TLB/BAYPOINT (MORRCONTLB)	040	GW	S	10,000	8.28	n/a	n/a	500.00 5.0
AO,CXL	07/31	ADALY INV MGMT (ADALBMOADA)	067	IP	S	9,700	27.11	1-Aug	1-Aug	485.00 5.0
AO,CRT	07/31	ADALY INV MGMT (ADALOPPOMN)	067	IP	S	9,700	27.11	1-Aug	1-Aug	485.00 5.0
AO,	08/04	SATELITE/BOBBY (SATBGSBP)	044	PENN	S	32,500	29.01	n/a	n/a	1300.00 4.0
AO,CXL	08/04	SATELLITE ASSET MGMT (SATEUBS)	012	PENN	S	32,500	29.01	n/a	n/a	1300.00 4.0
AO,CRT	08/05	ZOLIDIS (ZOLIDIS)	011	SEUIE	S	15	1.00	n/a	n/a	0.00 0.0
AO,CXL	08/05	ZOLIDIS (ZOLIDIS)	011	SEUIE	S	15	1.00	n/a	n/a	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>5,682.00</b>

TOTAL (Trade Date):	137,294.15
TOTAL (AO, CXL, CRT):	5,682.00



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TOTAL (RUN DATE) / NFS:

142,976.15

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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