



Daily Compliance Activity Report

Trade Date: 09/24/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ABM	S	6,100	21.73	n/a	n/a	274.50	4.5
LUCHANSKY	036	ADM	S	100	23.80	18-Aug	18-Sep	0.00	0.0
COUGAR TRADING	044	AEO	B	10,000	15.18	n/a	5-Sep	500.00	5.0
REINHART & MAHONEY	031	AFG	B	3,500	28.36	n/a	n/a	175.00	5.0
GRANITE CAPITAL	045	AIG	S	55,100	5.18	n/a	n/a	2,755.00	5.0
TRUSTCO/SUNTRUST	040	ALV	B	42,200	36.40	23-Jul	30-Jul	1,350.40	3.2
PRINCIPLE CAPITAL	040	AMZN	B	17,800	72.18	n/a	n/a	712.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	1,900	39.32	7-Aug	17-Sep	76.00	4.0
COUGAR TRADING	044	ANF	S	5,000	39.80	7-Aug	17-Sep	250.00	5.0
BRENCOURT	028	AN	SS	25,000	12.89	25-Jul	28-Jul	750.00	3.0
PNC/MERCANTILE	028	APD	S	19,888	73.52	n/a	23-Sep	994.40	5.0
LISTED ERR	099	APD	B	8	73.52	n/a	23-Sep	0.00	0.0
CROWLEY	061	APNS	S	15,000	0.06	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	15,700	30.49	28-Apr	5-Sep	628.00	4.0
COUGAR TRADING	044	ARO	B	10,000	30.43	28-Apr	5-Sep	500.00	5.0
COUGAR TRADING	044	ARO	SS	10,000	30.52	28-Apr	5-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	AXE	B	1,500	60.44	n/a	17-Sep	75.00	5.0
SATELITE/BOBBY	044	BBBY	S	10,000	30.88	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	BBY	B	2,300	37.74	n/a	27-Jul	115.00	5.0
JENNISON	032	BRCM	B	59,200	19.33	n/a	n/a	2,190.40	3.7
PORTER-ORLIN-FELDMAN	044	BRE	B	25,000	47.08	n/a	n/a	1,250.00	5.0
BRENCOURT	028	BWA	B	25,000	34.28	10-Jun	1-Aug	750.00	3.0
OGORMAN	046	BZ	B	5,000	1.85	n/a	n/a	0.00	0.0
COLE	077	BZ	B	500	1.85	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CBT	SS	10,000	31.47	n/a	24-Sep	500.00	5.0
KLEINHEINZ CAP PART	031	CB	B	100,000	52.79	n/a	n/a	5,000.00	5.0
JMP ASSET MGMT	210	CNH	B	1,700	27.59	n/a	n/a	85.00	5.0
BUCK CAPITAL MGMT	001	COH	S	30,000	26.61	30-Jul	28-Aug	1,200.00	4.0
KORMAN	003	CPRE	B	2,000	13.00	n/a	n/a	0.00	0.0
ROYAL CAPITAL	039	CREE	B	222,052	26.55	n/a	n/a	11,102.60	5.0
PORTER-ORLIN-FELDMAN	044	CSGP	B	20,000	49.90	n/a	n/a	1,000.00	5.0
GRANITE CAPITAL	045	CVS	S	25,000	32.25	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	CX	B	55,486	18.27	n/a	n/a	2,219.44	4.0
SATELITE/BOBBY	044	DAL	S	50,000	8.13	n/a	n/a	2,000.00	4.0
ZOLIDIS	011	DECK	B	200	104.83	n/a	n/a	0.00	0.0
SINCLAIR	031	DIAWA	B	15	3.75	n/a	n/a	0.00	0.0
AMATURO	018	DIAWB	B	30	4.65	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	DIS	B	150,000	32.31	n/a	n/a	7,500.00	5.0
SATELITE/BOBBY	044	DRI	B	10,000	28.30	26-Aug	18-Sep	400.00	4.0
TRIVIUM CAP MGMT	251	DTSI	SS	4,900	30.14	n/a	n/a	196.00	4.0
SATELITE/BOBBY	044	EAT	B	10,000	17.73	n/a	24-Apr	400.00	4.0
PROSPECTOR PARTNERS LLC	036	EE	B	10,000	20.52	n/a	n/a	400.00	4.0
HART	056	EPG	S	1,500	2.64	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	ERJ	B	1,300	29.75	n/a	n/a	65.00	5.0
JENNISON	032	ERTS	B	20,900	39.78	n/a	n/a	773.30	3.7
SATELITE/BOBBY	044	ERTS	B	9,500	39.13	n/a	n/a	380.00	4.0
DAVIDSON KEMPNER ADVISOR	040	FCX	B	50,000	68.34	n/a	n/a	2,500.00	5.0
EATON VANCE MGMT	041	FE	B	75,000	65.76	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SATELITE/BOBBY	044	FOSL	B	25,000	26.72	n/a	17-Sep	1,000.00	4.0
BUCK CAPITAL MGMT	001	GES	S	22,200	37.84	n/a	n/a	888.00	4.0
SATELITE/BOBBY	044	GET	SS	25,000	30.47	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	GIL	S	10,000	23.57	8-Sep	8-Sep	500.00	5.0
JP MORGAN VENTURES	046	GIL	S	20,000	23.73	8-Sep	8-Sep	1,000.00	5.0
ROXBURY CAPITAL MGMT	035	GIL	B	143,000	23.76	8-Sep	8-Sep	5,720.00	4.0
SATELITE/BOBBY	044	GME	B	10,000	34.35	n/a	n/a	400.00	4.0
J L F ASSET MGMT	039	GU	B	66,700	6.39	n/a	n/a	2,668.00	4.0
REINHART & MAHONEY	031	HOLX	B	5,000	19.62	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	HSC	S	7,175	39.87	24-Sep	24-Sep	358.75	5.0
KAICHER	064	JASO	B	2,000	14.33	n/a	n/a	0.00	0.0
KAICHER	064	JASO	S	2,000	13.71	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JWN	SS	28,000	29.77	10-Jul	17-Sep	1,120.00	4.0
BMO NESBITT BURNS	041	KMT	B	4,800	30.82	18-Sep	18-Sep	240.00	5.0
REINHART & MAHONEY	031	KMT	S	31,554	30.64	18-Sep	18-Sep	1,577.70	5.0
SIGMA CAPITAL ASSOCIATES	237	KO	B	20,000	50.03	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	KSS	B	20,000	47.20	n/a	5-Sep	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	LPS	B	81,100	30.06	n/a	n/a	4,055.00	5.0
BMO NESBITT BURNS	041	LPX	B	50,000	9.88	n/a	11-Sep	2,500.00	5.0
GRANITE CAPITAL	045	LULU	B	10,000	23.11	n/a	n/a	500.00	5.0
WHEELER	008	LZ	B	2,000	46.00	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	MAN	B	2,000	44.44	n/a	n/a	100.00	5.0
SATELITE/BOBBY	044	MAR	SS	25,000	25.59	n/a	n/a	1,000.00	4.0
COBALT	041	MER	B	100,000	26.49	24-Jun	19-Sep	5,000.00	5.0
SATELITE/BOBBY	044	MKC	B	20,000	38.57	n/a	n/a	800.00	4.0
WHEELER	008	MWG	S	10,050	13.02	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	MWV	B	30,000	24.88	n/a	11-Sep	1,200.00	4.0
COUGAR TRADING	044	M	B	5,000	17.93	12-Aug	29-Aug	250.00	5.0
JP MORGAN VENTURES	046	NTY	S	49,000	29.10	n/a	n/a	2,450.00	5.0
PORTER-ORLIN-FELDMAN	044	NUE	B	50,000	45.16	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	40,000	9.79	n/a	17-Sep	1,600.00	4.0
PORTER-ORLIN-FELDMAN	044	OFC	B	25,000	38.86	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	PDCO	SS	26,609	30.27	n/a	n/a	1,064.36	4.0
TRUSTCO/SUNTRUST	040	PKG	B	46,100	23.16	11-Sep	22-Sep	1,475.20	3.2
HOTCHKIS & WILEY	035	PM	B	537,900	49.86	n/a	n/a	26,895.00	5.0
COUGAR TRADING	044	PSUN	B	10,000	6.61	n/a	5-Sep	400.00	4.0
MS PRINCIPAL STRATEGIES	041	PTNR	B	10,412	19.33	n/a	n/a	520.60	5.0
SATELITE/BOBBY	044	PZZA	B	6,000	28.06	n/a	24-Apr	240.00	4.0
ZOLIDIS	011	QUKJF	B	6	0.60	n/a	n/a	0.00	0.0
J.W. SELIGMAN	041	RIMM	B	50,000	97.09	n/a	n/a	2,000.00	4.0
PORTER-ORLIN-FELDMAN	044	R	B	30,000	61.30	n/a	n/a	1,500.00	5.0
REINHART & MAHONEY	031	SEE	B	5,000	22.92	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	SII	S	4,720	64.58	n/a	n/a	236.00	5.0
TRUST CO/COWEN/CALF.	040	SLE	B	250,000	13.01	n/a	n/a	10,000.00	4.0
N STRATTON	014	SPRO	B	50	3.55	n/a	n/a	0.00	0.0
LUCHANSKY	036	SPY	B	100	118.21	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SPY	B	100	118.59	n/a	n/a	0.00	0.0
KNOTT PARTNERS	044	SSI	B	23,900	14.47	n/a	5-Sep	956.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	TEN	B	44,800	13.89	n/a	n/a	2,240.00	5.0
COUGAR TRADING	044	TIF	B	100	36.50	n/a	17-Sep	5.00	5.0
BMO NESBITT BURNS	041	TIN	B	25,000	15.95	11-Sep	22-Sep	1,250.00	5.0
COUGAR TRADING	044	TJX	SS	10,000	31.60	11-Aug	5-Sep	500.00	5.0
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	28.93	n/a	n/a	400.00	4.0
AMATURO	016	UQM	S	15,000	2.67	n/a	n/a	0.00	0.0
S CAST	016	UQM	S	775	2.72	n/a	n/a	0.00	0.0
HART	056	UQM	S	1,770	2.70	n/a	n/a	0.00	0.0
CROWLEY	061	UQM	S	6,100	2.69	n/a	n/a	0.00	0.0
KAICHER	064	VMW	S	1,000	29.01	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	45.76	8-Aug	28-Aug	800.00	4.0
SATELITE/BOBBY	044	WTSLA	B	15,000	3.60	n/a	n/a	600.00	4.0
FORD FDN.	032	WYE	B	55,000	36.97	n/a	31-Mar	2,750.00	5.0
COUGAR TRADING	044	YUM	B	2,000	34.72	14-Aug	19-Sep	100.00	5.0
TOTAL (Trade Date) :							149,576.65		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	09/19	ADAGE CAPITAL MGMT (ADAGMS)	030	AEO	B	462,100	16.85	n/a	5-Sep	18484.00	4.0
AO,CXL	09/19	ADAGE CAPITAL MGMT (ADAGESHORT)	030	AEO	B	462,100	16.85	n/a	5-Sep	18484.00	4.0
AO,CXL	09/23	NOMURA CAPITAL (NOMUSTRATE)	045	CLUB	B	8,100	7.47	n/a	n/a	324.00	4.0
AO,	09/23	NOMURA CAPITAL (NOMUSTRATE)	045	CLUB	B	2,500	7.47	n/a	n/a	100.00	4.0
AO,	09/23	NOMURA CAPITAL (NOMUBATT2)	045	CLUB	B	2,625	7.47	n/a	n/a	105.00	4.0
AO,	09/23	NOMURA CAPITAL (NOMUBSMAN)	045	CLUB	B	2,975	7.47	n/a	n/a	119.00	4.0
AO,CXL	09/23	PILOT ADV (PILOEXPLOR)	038	FDO	SS	500	26.70	23-Jul	5-Sep	0.00	0.0
AO,CRT	09/23	PILOT ADV (PILOEXPLOR)	038	FDO	SS	500	26.70	23-Jul	5-Sep	20.00	4.0
CRT	09/24	BUCK CAPITAL MGMT (BUCKMSMAN)	001	GES	S	22,200	37.84	n/a	n/a	888.00	4.0
AO,CRT	09/17	FORWARD MGMT (FORWMIDVAL)	033	GNW	B	2,000	10.04	n/a	n/a	100.00	5.0
AO,CXL	09/17	FORWARD MGMT (FORWSCVAFD)	033	GNW	B	2,000	10.04	n/a	n/a	100.00	5.0
AO,CXL	09/18	JMP ASSET MGMT (JMPAGS)	210	SNIC	S	7,800	4.81	n/a	n/a	390.00	5.0
AO,CRT	09/18	JMP ASSET MGMT (JMPAGS)	210	SNIC	S	7,800	4.81	n/a	n/a	234.00	3.0
AO,CRT	09/17	FORWARD MGMT (FORWMIDVAL)	033	STZ	S	2,400	21.53	n/a	n/a	120.00	5.0
AO,CXL	09/17	FORWARD MGMT (FORWSCVAFD)	033	STZ	S	2,400	21.53	n/a	n/a	120.00	5.0
AO,CXL	09/23	SANDLER O'NEILL ASSET (SANO)	031	WDR	S	20,000	25.15	15-Jul	19-Sep	600.00	3.0
AO,CRT	09/23	SANDLER O'NEILL ASSET (SANO)	031	WDR	S	20,000	25.15	15-Jul	19-Sep	1000.00	5.0
TOTAL (AO, CXL, CRT) :										1,152.00	

TOTAL (Trade Date):	149,576.65
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TOTAL (AO, CXL, CRT):	1,152.00
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TOTAL (RUN DATE) / NFS:	150,728.65
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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