



Daily Compliance Activity Report

Trade Date: 07/09/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	AEO	S	10,000	13.16	6-Mar	2-Jul	500.00	5.0
BUCK	015	AET	B	1,200	38.25	n/a	n/a	0.00	0.0
GAULT	063	ANFGY	B	10	1.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	40,000	59.44	10-Apr	9-Jul	1,600.00	4.0
LEDDY	035	ARGN	B	1,500	6.77	24-Jun	24-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	B	60,000	32.84	28-Apr	2-Jul	2,400.00	4.0
COUGAR TRADING	044	ARO	B	10,000	32.97	28-Apr	2-Jul	500.00	5.0
ENTRUST CAPITAL	040	ARO	B	31,600	32.92	28-Apr	2-Jul	1,580.00	5.0
CSFB GLOBAL PROPRIETARY	041	AUY	S	10,000	15.18	n/a	n/a	500.00	5.0
CATAPULT	040	AXL	B	24,000	7.45	n/a	n/a	1,200.00	5.0
LATEFF MGMT	035	BBT	S	1,500	23.26	n/a	n/a	270.00	18.0
SUNOVA CAPITAL	031	BEN	S	40,000	90.37	9-Jul	9-Jul	2,000.00	5.0
SAGE ASSET MGMT	012	BEXP	S	56,800	13.12	n/a	n/a	2,840.00	5.0
LUCHANSKY1	036	BWA	S	20	40.20	10-Jun	10-Jun	0.00	0.0
CLOVIS CAPITAL	012	CAG	B	200,000	21.00	n/a	n/a	10,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	CHIC	SS	15,000	17.01	n/a	n/a	750.00	5.0
LEDDY	035	CHK	B	250	59.33	n/a	n/a	0.00	0.0
POST ROAD CAP	045	CHTT	B	10,000	66.73	2-Jun	24-Jun	300.00	3.0
BUCK	015	CMA	SS	1,000	25.39	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CMG	SS	25,500	79.25	n/a	24-Apr	1,020.00	4.0
CRAMER ROSENTHAL/SCOTT	012	COH	B	6,000	26.81	4-Apr	9-Jul	240.00	4.0
BRUNNER	012	COV	S	375	47.91	n/a	n/a	0.00	0.0
BRUN	012	CPN	S	100	19.25	n/a	n/a	0.00	0.0
TALA MANAGEMENT	041	CSX	S	4,558	59.26	n/a	n/a	227.90	5.0
CATAPULT	040	CVA	B	96,332	27.33	n/a	n/a	4,816.60	5.0
NOMURA CAPITAL	045	DENN	B	70,000	2.54	n/a	n/a	2,100.00	3.0
JP MORGAN VENTURES	046	DLR	S	5,000	40.61	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	DUF	B	10,000	16.00	n/a	n/a	400.00	4.0
BRANDWINE	028	ETN	B	71,100	82.38	18-Jun	9-Jul	2,844.00	4.0
OGORMAN	046	FINL	C	4,000	9.40	28-Mar	28-Mar	0.00	0.0

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BRUNNER	012	FOR	B	2,100	18.13	n/a	n/a	0.00	0.0
BRUN	012	FOR	B	200	18.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	60,000	36.99	n/a	n/a	2,400.00	4.0
BWANG	093	GIL	B	100	24.28	30-Apr	9-Jul	0.00	0.0
LATEFF MGMT	035	GIS	S	750	61.85	n/a	n/a	262.50	35.0
M WEINTRAU	024	GLW	B	500	20.68	n/a	9-Jul	0.00	0.0
TRELLUS PARTNERS LP	028	GNTX	C	50,000	14.36	24-Jun	24-Jun	2,500.00	5.0
ADAGE CAPITAL MGMT	030	GPS	B	400,000	16.54	n/a	2-Jul	16,000.00	4.0
TALA MANAGEMENT	041	ICE	S	11,929	97.27	n/a	n/a	596.45	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	200,000	23.01	n/a	26-Jun	10,000.00	5.0
BUCK	015	ISPH	B	2,000	4.39	n/a	n/a	0.00	0.0
CATAPULT	040	ITW	SS	20,103	46.87	20-May	23-May	1,005.15	5.0
ARIENCE CAPITAL	036	IT	SS	61,600	19.91	n/a	n/a	3,080.00	5.0
CATAPULT	040	IVZ	B	10,000	23.28	9-Jul	9-Jul	500.00	5.0
WASHINGTON ASSET	048	IVZ	S	5,000	23.01	9-Jul	9-Jul	250.00	5.0
KERN	050	IYSGK	B	20	1.95	n/a	n/a	0.00	0.0

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KERN	050	IYSGK	S	20	1.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JAH	B	45,000	19.16	n/a	n/a	1,800.00	4.0
NORTHPOINT	030	JAH	B	56,600	19.50	n/a	n/a	2,264.00	4.0
JP MORGAN VENTURES	046	JCG	SS	40,000	32.88	n/a	30-May	2,000.00	5.0
BUCK CAPITAL MGMT	001	JWN	SS	50,000	31.14	16-May	9-Jul	2,000.00	4.0
LATEFF MGMT	035	KFT	S	2,500	29.01	n/a	n/a	400.00	16.0
JP MORGAN VENTURES	046	KLAC	SS	5,000	38.72	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	KVA	S	17,150	19.88	n/a	n/a	686.00	4.0
BUCK CAPITAL MGMT	001	MCD	B	30,000	58.66	9-Jun	9-Jun	1,200.00	4.0
BUCK	015	MER	SS	1,000	31.67	24-Jun	24-Jun	0.00	0.0
BUCK	015	MHS	S	2,000	48.60	n/a	n/a	0.00	0.0
TALA MANAGEMENT	041	MICC	S	4,066	98.91	n/a	n/a	203.30	5.0
BUCK	015	MON	C	300	123.54	n/a	26-Jun	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	NOK	S	150,000	25.01	n/a	n/a	4,500.00	3.0
CR INTRINIC INVESTMENT	044	PFE	B	248,000	18.31	n/a	31-Mar	12,400.00	5.0
COLONIAL FUND LLC	036	PLCE	B	20,000	34.30	23-Jun	9-Jul	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OGORMAN	046	PNK	C	1,000	8.70	n/a	n/a	0.00	0.0
STERLING JOHNSTON	035	RDEN	B	50,000	15.29	10-Jun	24-Jun	2,000.00	4.0
MERRILL LYNCH STRATEGICI	034	ROST	SS	30,000	37.91	n/a	n/a	1,200.00	4.0
CSFB GLOBAL PROPRIETARY	041	RSG	B	20,000	28.98	n/a	n/a	1,000.00	5.0
BUCK	015	SLB	B	200	99.33	n/a	n/a	0.00	0.0
LEDDY	035	SLB	B	150	98.00	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	SPY	SS	10,000	126.66	n/a	n/a	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	100,000	4.91	7-Apr	26-Jun	5,000.00	5.0
HIGHBRIDGE CAPITAL	038	THQI	SS	5,000	18.36	n/a	n/a	250.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	90,000	12.17	29-Apr	26-Jun	4,500.00	5.0
TRIVIUM CAP MGMT	251	TIN	B	100,000	11.99	29-Apr	26-Jun	4,000.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	40,000	32.12	n/a	9-Jul	1,600.00	4.0
HEALY CIRCLE	044	TRK	SS	10,000	19.91	n/a	n/a	500.00	5.0
ARIENCE CAPITAL	036	TWC	SS	23,300	26.04	n/a	4-Jan	1,165.00	5.0
ZOLIDIS	011	TWM	S	500	80.31	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	UA	B	20,000	27.38	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HART	056	VC	B	400	2.26	n/a	8-Jul	0.00	0.0
KERN	050	WBSR	B	20	0.22	n/a	n/a	0.00	0.0
KERN	050	WBSR	S	20	0.15	n/a	n/a	0.00	0.0
STELLIAM INV ADV	040	WERN	SS	12,500	19.52	n/a	n/a	625.00	5.0
EPOCH INV MGMT	030	WFR	B	3,700	55.39	n/a	n/a	148.00	4.0
CSFB GLOBAL PROPRIETARY	041	WMI	B	15,000	36.61	n/a	n/a	750.00	5.0
OGORMAN	046	WMTGL	B	100	0.35	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	WMT	C	27,600	58.42	30-Jun	2-Jul	1,104.00	4.0
JP MORGAN VENTURES	046	WSM	SS	20,000	20.23	n/a	n/a	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	XLB	SS	25,000	39.96	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	XLI	SS	30,000	33.83	n/a	n/a	1,500.00	5.0
NOMURA CAPITAL	045	ZZ	B	30,000	5.56	n/a	n/a	1,200.00	4.0
TOTAL (Trade Date) :							131,527.90		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/08	REICH AND TANG (RICHPEROMN)	067	B	B	800	21.96	n/a	n/a	0.00	0.0
AO,CXL	07/08	REICH AND TANG (RICHBENCH)	067	B	B	5,000	21.96	n/a	n/a	0.00	0.0
AO,CXL	07/08	NOMURA CAPITAL (NOMUSTRATE)	045	DTG	B	3,205	3.17	n/a	n/a	96.15	3.0
AO,	07/08	NOMURA CAPITAL (NOMUSTRATE)	045	DTG	B	4,770	3.17	n/a	n/a	143.10	3.0
AO,CXL	07/08	NOMURA CAPITAL (NOMUBATT2)	045	DTG	B	3,443	3.17	n/a	n/a	103.29	3.0
AO,	07/08	NOMURA CAPITAL (NOMUBATT2)	045	DTG	B	5,316	3.17	n/a	n/a	159.48	3.0
AO,CXL	07/08	NOMURA CAPITAL (NOMUBSMAIN)	045	DTG	B	5,750	3.17	n/a	n/a	172.50	3.0
AO,CXL	07/08	NOMURA CAPITAL (NOMUBSMAIN)	045	DTG	B	4,352	3.17	n/a	n/a	130.56	3.0
AO,	07/08	NOMURA CAPITAL (NOMUBSMAIN)	045	DTG	B	6,664	3.17	n/a	n/a	199.92	3.0
AO,	07/08	EMP ERROR (EMP ERROR)	099	JPM	C	2,500	33.90	8-May	2-Jul	0.00	0.0
AO,CRT	07/08	EMP ERROR (EMP ERROR)	099	JPM	C	2,500	33.84	8-May	2-Jul	0.00	0.0
AO,CXL	07/08	BUCK CAPITAL MGMT (BUCK)	015	JPM	C	2,500	33.84	8-May	2-Jul	0.00	0.0
AO,	07/08	BUCK CAPITAL MGMT (BUCK)	015	JPM	C	2,500	33.90	8-May	2-Jul	0.00	0.0
AO,	07/08	WILLIAM BLAIR (WBLA12VANM)	031	VRSN	S	16,500	32.85	n/a	n/a	660.00	4.0
TOTAL (AO, CXL, CRT) :										660.00	

TOTAL (Trade Date) :	131,527.90
TOTAL (AO, CXL, CRT) :	660.00

TOTAL (RUN DATE) / NFS:	132,187.90
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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