



Daily Compliance Activity Report

Trade Date: 08/05/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	AA	B	23,800	30.90	n/a	n/a	952.00	4.0
VENTANA CAPITAL	060	ADM	B	5,000	26.13	29-Apr	5-Aug	150.00	3.0
COUGAR TRADING	044	AEO	B	15,000	13.87	6-Mar	4-Aug	750.00	5.0
GRISANTI BROWN & PARTNER	048	AEO	B	30,000	14.17	6-Mar	4-Aug	1,500.00	5.0
JP MORGAN VENTURES	046	AEO	B	25,000	13.85	6-Mar	4-Aug	1,250.00	5.0
THE JAY GOLDMAN	034	AEO	S	55,000	14.02	6-Mar	4-Aug	2,200.00	4.0
JENNISON	032	AKAM	S	1,135,000	23.14	n/a	n/a	41,995.00	3.7
TYEE/TYGH	035	AMG	B	11,000	88.99	23-Jul	5-Aug	440.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	110,000	54.92	10-Jul	4-Aug	4,400.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	10,000	24.54	n/a	11-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	APP	B	20,000	5.71	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	ARO	S	15,000	32.87	28-Apr	4-Aug	750.00	5.0
COUGAR TRADING	044	ARO	B	15,000	33.13	28-Apr	4-Aug	750.00	5.0
HOLLIS CAPITAL	033	AVP	B	4,000	44.87	31-Jul	31-Jul	200.00	5.0
HEARTLAND FUNDS	031	BGG	S	50,000	13.77	n/a	n/a	2,500.00	5.0
Õ Raghav Nayar		BIDZ	B	200	9.5000	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	BIG	C	25,000	32.62	29-May	4-Aug	1,000.00	4.0
THIRD POINT MGMT	044	BIG	C	200,000	32.88	29-May	4-Aug	8,000.00	4.0
COUGAR TRADING	044	BKC	B	10,000	27.91	1-May	30-Jul	500.00	5.0
NATIONAL BK OF CAN	031	BK	S	10,000	36.33	n/a	18-Jul	400.00	4.0
SANDLER O'NEILL ASSET	031	BLK	SS	10,000	222.73	n/a	5-Aug	500.00	5.0
WHEELER	008	BQI	B	10,000	3.98	n/a	n/a	0.00	0.0
LEDDY	035	BWA	SS	400	41.89	10-Jun	1-Aug	0.00	0.0
METROPOLITAN CAPITAL	044	BWS	S	17,700	16.72	n/a	n/a	885.00	5.0
ROYCE TRADING	216	CAB	B	10,000	10.34	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	CAKE	B	40,000	15.23	n/a	24-Apr	2,000.00	5.0
LEDDY	035	CAT	C	200	67.64	n/a	23-May	0.00	0.0
LEDDY	035	CHCG	S	4,500	1.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CMG	SS	10,000	71.50	24-Jul	24-Jul	400.00	4.0
BRENCOURT	028	COF	SS	50,000	44.69	n/a	29-Jul	2,500.00	5.0
EGS ASSOCIATES LP	091	COH	SS	6,500	26.65	30-Jul	30-Jul	390.00	6.0
PERFORMANCE PART LP #2	041	COP	B	20,000	79.46	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	COST	C	10,000	64.25	n/a	27-Jul	500.00	5.0
COUGAR TRADING	044	CPKI	SS	5,000	14.07	10-Jul	5-Aug	250.00	5.0
BALYASNY ASSET MGMT	044	CTRN	S	20,000	23.91	n/a	n/a	1,000.00	5.0
Õ Jason Cohen		DDMHM	B	4	0.5000	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	DE	B	75,300	65.90	n/a	23-May	3,765.00	5.0
Õ Jason Cohen		DXDHL	B	2	1.1000	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	B	10,000	46.64	7-May	24-Jun	400.00	4.0
BRANDWINE	028	ETN	B	32,300	70.33	15-Jul	16-Jul	1,292.00	4.0
EMP ERROR	099	ETN	B	100	69.95	15-Jul	16-Jul	0.00	0.0
EMP ERROR	099	ETN	S	100	71.43	15-Jul	16-Jul	0.00	0.0
WAGONHOUND/NIC	048	EV	C	17,909	36.82	15-Jul	5-Aug	716.36	4.0
AVESTA CAP	229	FDO	B	50,000	25.22	23-Jul	4-Aug	2,500.00	5.0
BASIX	033	FL	S	26,000	15.45	1-Aug	1-Aug	1,040.00	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	33.16	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	GIL	B	10,000	24.52	30-Apr	18-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	GM	B	200,000	10.47	4-Aug	4-Aug	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	GS	S	6,500	176.31	19-Mar	14-Jul	260.00	4.0
SANDLER O'NEILL ASSET	031	GS	S	25,000	177.46	19-Mar	14-Jul	1,250.00	5.0
MORRISON/TLB/BAYPOINT	040	GW	S	10,000	8.28	n/a	n/a	500.00	5.0
WHITTIER CAP	048	GYMB	B	2,575	37.24	11-Jul	4-Aug	103.00	4.0
MCCARTAN	028	GYMB	B	200	36.24	11-Jul	4-Aug	0.00	0.0
BRENCOURT	028	IWM	B	100,000	71.45	n/a	n/a	3,000.00	3.0
GRISANTI BROWN & PARTNER	048	IWM	S	15,000	71.29	n/a	n/a	750.00	5.0
LEDDY	035	JADE	S	2,000	1.88	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	B	10,000	30.50	n/a	30-May	500.00	5.0
COUGAR TRADING	044	JCG	SS	3,000	30.31	n/a	30-May	150.00	5.0
NATIONAL BK OF CAN	031	JPM	S	15,000	40.89	8-May	29-Jul	600.00	4.0
SAXON WOODS ADVISORS	038	KO	B	400,000	54.52	n/a	n/a	12,000.00	3.0
JP MORGAN VENTURES	046	KSS	B	10,000	44.14	n/a	4-Aug	500.00	5.0
NATIONAL BK OF CAN	031	LEH	S	50,000	19.07	9-Jun	14-Jul	2,000.00	4.0
MCCARTAN	028	LPX	B	700	8.83	n/a	4-Aug	0.00	0.0
CATTANI	041	LPX	S	500	8.95	n/a	4-Aug	0.00	0.0
NATIONAL BK OF CAN	031	MER	B	60,000	27.38	24-Jun	29-Jul	2,400.00	4.0
BRANDWINE	028	M	B	42,400	18.87	14-Jul	4-Aug	1,696.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	M	B	5,000	18.59	14-Jul	4-Aug	250.00	5.0
ZOLIDIS	011	NKE	S	300	61.33	n/a	n/a	0.00	0.0
UBS OCONNOR	031	NLY	B	80,000	14.59	n/a	n/a	2,400.00	3.0
PROVIDENT INV COUNSEL	048	PAET	S	98,420	2.88	n/a	n/a	2,952.60	3.0
BMO NESBITT BURNS	041	PG	B	25,000	65.98	24-Jun	5-Aug	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	PG	B	130,000	67.11	24-Jun	5-Aug	5,200.00	4.0
NATIONAL BK OF CAN	031	PNC	B	20,000	72.60	n/a	n/a	800.00	4.0
MHR CAPITAL MGMT	067	PPCO	B	50,000	3.62	n/a	n/a	2,000.00	4.0
HOLLIS CAPITAL	033	PRO	B	3,000	10.20	n/a	n/a	150.00	5.0
JP MORGAN VENTURES	046	PSS	S	35,000	13.63	n/a	n/a	1,750.00	5.0
COUGAR TRADING	044	PSUN	SS	5,000	8.69	n/a	4-Aug	200.00	4.0
COUGAR TRADING	044	PVH	SS	10,000	36.25	5-May	18-Jul	500.00	5.0
THOMSON HORSTMAN BRYANT	040	PVH	B	15,400	36.70	5-May	18-Jul	770.00	5.0
FIRST NEW YORK LEDDY	035	Q	S	10,000	3.61	n/a	n/a	600.00	6.0
WHEELER	008	RAE	B	6,277	1.32	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	RCL	B	34,500	27.71	23-Jul	23-Jul	1,725.00	5.0
EPOCH INV MGMT	030	RE	B	5,300	82.17	n/a	n/a	212.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RSH	SS	70,000	18.10	n/a	n/a	2,800.00	4.0
APEX CAPITAL MGMT.	091	SBUX	S	500,000	14.35	n/a	24-Apr	25,000.00	5.0
ARIENCE CAPITAL	036	SBUX	C	129,000	14.44	n/a	24-Apr	6,450.00	5.0
ZOLIDIS	011	SEUIE	S	15	1.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKT	B	20,000	38.43	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	14,500	19.21	n/a	13-Mar	580.00	4.0
COUGAR TRADING	044	SSO	B	5,000	60.63	n/a	n/a	250.00	5.0
J.W. SELIGMAN	041	TGT	S	70,000	47.06	n/a	4-Aug	2,800.00	4.0
IRONBOUND CAPITAL	012	TIN	S	400,000	16.36	29-Apr	30-Jul	12,000.00	3.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	34.26	n/a	4-Aug	800.00	4.0
COUGAR TRADING	044	TJX	B	5,000	33.99	n/a	4-Aug	250.00	5.0
IRIDIAN ASSET MGMT.	036	TK	B	22,060	39.99	n/a	n/a	1,103.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	20,000	15.00	17-Apr	4-Aug	800.00	4.0
EPOCH INV MGMT	030	TMO	S	6,650	59.96	n/a	n/a	266.00	4.0
BUCK CAPITAL MGMT	001	TWB	SS	20,000	13.33	17-Mar	22-May	800.00	4.0
MS PRINCIPAL STRATEGIES	041	TWC	S	12,524	29.90	n/a	4-Jan	626.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	WMT	B	50,000	59.40	30-Jun	4-Aug	2,500.00	5.0
REINHART & MAHONEY	031	WRC	B	25,400	42.82	13-May	18-Jul	1,270.00	5.0
JP MORGAN VENTURES	046	WSM	C	15,000	17.89	n/a	n/a	750.00	5.0
PERFORMANCE PART LP #2	041	WY	B	10,000	55.64	7-Apr	11-Jul	500.00	5.0
PERFORMANCE PART LP #2	041	WY	SS	10,000	55.83	7-Apr	11-Jul	500.00	5.0
SCOPUS FUND	041	WY	S	32,800	55.98	7-Apr	11-Jul	1,640.00	5.0
ROBX	033	XLF	B	85,200	21.99	n/a	n/a	3,408.00	4.0
ROSEDALE CAPITAL	046	YHOO	B	30,000	19.75	n/a	n/a	1,500.00	5.0
TOTAL (Trade Date) :								211,737.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/31	LITESPEED (LITEUBS)	028	AXL	B	125,000	5.92	n/a	n/a	6250.00 5.0
AO,CRT	07/31	LITESPEED (LITEUBS)	028	AXL	B	125,000	5.92	n/a	n/a	3750.00 3.0
AO,CRT	08/01	HEARTLAND FUNDS (HEARHRVIX)	031	BGG	S	43,500	13.67	n/a	n/a	2175.00 5.0
AO,CXL	08/01	HEARTLAND FUNDS (HEARHRSVX)	031	BGG	S	43,500	13.67	n/a	n/a	2175.00 5.0
AO,CRT	08/04	HEARTLAND FUNDS (HEARHRVIX)	031	BGG	S	106,500	13.58	n/a	n/a	5325.00 5.0
AO,CXL	08/04	HEARTLAND FUNDS (HEARHRSVX)	031	BGG	S	106,500	13.58	n/a	n/a	5325.00 5.0
AO,CXL	07/28	SYSTEMATIC FINANCIAL MGT (SYST254)	035	CVS	B	2,700	37.72	n/a	n/a	90.99 3.4
AO,	07/28	SYSTEMATIC FINANCIAL MGT (SYST254)	035	CVS	B	2,700	37.72	n/a	n/a	101.25 3.8
CRT	08/05	EMP ERROR (EMP ERROR)	099	ETN	B	100	69.95	15-Jul	16-Jul	0.00 0.0
AO,CXL	08/04	SATELITE/BOBBY (SATBCITI)	044	GPI	SS	24,500	20.66	10-Jun	30-Jul	1225.00 5.0
AO,CRT	08/04	SATELITE/BOBBY (SATBCITI)	044	GPI	SS	24,500	20.66	10-Jun	30-Jul	980.00 4.0
AO,	08/04	TRELLUS PARTNERS LP (TRELMMERR)	028	GPI	SS	1,878	20.99	10-Jun	30-Jul	93.90 5.0
AO,	08/04	TRELLUS PARTNERS LP (TRELGS)	028	GPI	SS	1,878	20.99	10-Jun	30-Jul	93.90 5.0
AO,	08/04	TRELLUS PARTNERS LP (TRELMAIN)	028	GPI	SS	15,000	20.99	10-Jun	30-Jul	750.00 5.0
AO,	08/04	TRELLUS PARTNERS LP (TRELMAIN)	028	GPI	SS	31,244	20.99	10-Jun	30-Jul	1562.20 5.0
AO,CXL	08/04	SATELITE/BOBBY (SATBCITI)	044	PENN	S	45,000	29.01	n/a	n/a	2250.00 5.0
AO,CRT	08/04	SATELITE/BOBBY (SATBCITI)	044	PENN	S	12,500	29.01	n/a	n/a	500.00 4.0
AO,	08/04	SATELLITE ASSET MGMT (SATEUBS)	012	PENN	S	32,500	29.01	n/a	n/a	1300.00 4.0
AO,CXL	08/04	SATELITE/BOBBY (SATBCITI)	044	PLCE	B	50,000	36.22	23-Jun	4-Aug	2500.00 5.0
AO,CRT	08/04	SATELITE/BOBBY (SATBCITI)	044	PLCE	B	50,000	36.22	23-Jun	4-Aug	2000.00 4.0
AO,CXL	08/04	SATELITE/BOBBY (SATBCITI)	044	SBUX	SS	25,000	14.09	n/a	24-Apr	1250.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/04	SATELITE/BOBBY (SATBCITI)	044	SBUX	SS	25,000	14.09	n/a	24-Apr	1000.00 4.0
AO,	08/04	NOMURA CAPITAL (NOMUSTRATE)	045	SGLP	B	4,000	9.62	n/a	n/a	160.00 4.0
AO,	08/04	NOMURA CAPITAL (NOMUBATT2)	045	SGLP	B	4,100	9.62	n/a	n/a	164.00 4.0
AO,	08/04	NOMURA CAPITAL (NOMUBSMAN)	045	SGLP	B	3,000	9.62	n/a	n/a	120.00 4.0
AO,CXL	08/04	SATELITE/BOBBY (SATBCITI)	044	SPY	B	16,500	125.24	n/a	n/a	825.00 5.0
AO,CRT	08/04	SATELITE/BOBBY (SATBCITI)	044	SPY	B	16,500	125.24	n/a	n/a	495.00 3.0
AO,CXL	08/04	IRONBOUND CAPITAL (IROBGS)	012	TIN	S	17,900	16.02	29-Apr	30-Jul	716.00 4.0
AO,CRT	08/04	IRONBOUND CAPITAL (IROBGS)	012	TIN	S	17,900	16.02	29-Apr	30-Jul	537.00 3.0
AO,	08/04	TRELLUS PARTNERS LP (TRELMEER)	028	TXRH	SS	1,404	9.32	n/a	n/a	42.12 3.0
AO,	08/04	TRELLUS PARTNERS LP (TRELGS)	028	TXRH	SS	1,404	9.32	n/a	n/a	42.12 3.0
AO,	08/04	TRELLUS PARTNERS LP (TRELMAIN)	028	TXRH	SS	20,000	9.32	n/a	n/a	600.00 3.0
AO,	08/04	TRELLUS PARTNERS LP (TRELMAIN)	028	TXRH	SS	27,192	9.32	n/a	n/a	815.76 3.0
AO,CXL	08/04	SATELITE/BOBBY (SATBCITI)	044	WYNN	SS	10,000	94.44	n/a	n/a	500.00 5.0
AO,CRT	08/04	SATELITE/BOBBY (SATBCITI)	044	WYNN	SS	10,000	94.44	n/a	n/a	400.00 4.0
AO,CXL	08/04	SATELITE/BOBBY (SATBCITI)	044	XRT	SS	25,000	29.37	n/a	n/a	1250.00 5.0
AO,CRT	08/04	SATELITE/BOBBY (SATBCITI)	044	XRT	SS	25,000	29.37	n/a	n/a	750.00 3.0

TOTAL (AO, CXL, CRT) :

-599.74

TOTAL (Trade Date) :

211,737.16

TOTAL (AO, CXL, CRT):

-599.74

TOTAL (RUN DATE) / NFS:

211,137.42

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