



Daily Compliance Activity Report

Trade Date: 09/10/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AB	S	20,000	49.49	10-Sep	10-Sep	1,000.00	5.0
COUGAR TRADING	044	AEO	S	10,000	16.77	n/a	5-Sep	500.00	5.0
J L F ASSET MGMT	039	AEO	B	51,700	16.68	n/a	5-Sep	2,068.00	4.0
MILLENIUM KOZLOW	028	AEO	S	5,000	16.63	n/a	5-Sep	250.00	5.0
COUGAR TRADING	044	ANF	B	5,000	49.52	7-Aug	5-Sep	250.00	5.0
COUGAR TRADING	044	ANF	S	5,000	49.96	7-Aug	5-Sep	250.00	5.0
MISSOURI VALLEY PART	046	ANF	B	27,545	49.37	7-Aug	5-Sep	1,377.25	5.0
PRINCIPLE CAPITAL	040	ANF	B	80,100	49.81	7-Aug	5-Sep	3,204.00	4.0
COUGAR TRADING	044	ARO	SS	20,000	34.90	28-Apr	5-Sep	1,000.00	5.0
PRINCIPLE CAPITAL	040	AVP	SS	81,800	43.52	31-Jul	31-Jul	3,272.00	4.0
BALYASNY ASSET MGMT	044	BBBY	SS	20,000	31.61	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	20,000	45.28	n/a	27-Jul	800.00	4.0
JP MORGAN VENTURES	046	BBY	C	50,000	45.59	n/a	27-Jul	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	BDX	B	25,000	85.10	n/a	22-Apr	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	BEC	B	25,000	73.04	n/a	n/a	1,250.00	5.0
PHILADELPHIA FINANCIAL	033	BEN	B	17,612	95.96	10-Sep	10-Sep	704.48	4.0
MILLENIUM KOZLOW	028	BHI	S	5,000	64.74	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGHTPOINT CAP	067	BJS	C	100,000	21.08	n/a	n/a	4,000.00	4.0
LATEFF MGMT	035	BLL	B	1,000	43.32	n/a	n/a	250.00	25.0
JP MORGAN VENTURES	046	CAM	B	25,000	39.40	n/a	n/a	1,250.00	5.0
WHEELER	008	CBI	B	1,000	23.80	n/a	n/a	0.00	0.0
LEDDY	035	CHK	S	350	40.33	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	CKH	S	1,500	82.59	n/a	n/a	75.00	5.0
MS PRINCIPAL STRATEGIES	041	CLMS	SS	300	20.00	13-Aug	8-Sep	15.00	5.0
JP MORGAN VENTURES	046	COL	S	25,000	49.66	n/a	n/a	1,250.00	5.0
MATRIX ASSET ADV.	036	COV	S	5,400	54.55	n/a	n/a	216.00	4.0
JP MORGAN VENTURES	046	CRL	C	25,000	65.40	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	CVD	C	15,000	96.35	n/a	n/a	750.00	5.0
THE JAY GOLDMAN	034	DDS	S	10,000	13.60	n/a	n/a	400.00	4.0
MUHLENKAMP FUND	046	DVN	S	87,700	88.62	7-May	21-Aug	4,385.00	5.0
THE BOSTON COMPANY	401	EL	B	4,000	52.48	15-Aug	4-Sep	160.00	4.0
S CAST	016	EPG	B	300	1.85	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	FISV	B	7,000	51.84	n/a	n/a	350.00	5.0
ADAGE CAPITAL MGMT	030	FL	S	142,927	17.49	11-Aug	22-Aug	5,717.08	4.0
COUGAR TRADING	044	FOSL	B	10,000	30.29	n/a	13-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	36,000	24.83	8-Sep	8-Sep	1,440.00	4.0
COUGAR TRADING	044	GIL	B	20,000	25.05	8-Sep	8-Sep	1,000.00	5.0
WAGONHOUND/NIC	048	GIL	B	11,906	24.95	8-Sep	8-Sep	476.24	4.0
WHITE PINE CAPITAL	030	GIL	B	59,025	24.90	8-Sep	8-Sep	2,951.25	5.0
TRELLUS PARTNERS LP	028	GNTX	SS	10,000	16.35	24-Jun	28-Jul	500.00	5.0
TRELLUS PARTNERS LP	028	GPI	SS	10,000	23.85	10-Jun	30-Jul	500.00	5.0
S CAST	016	GSI	B	70	9.70	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	GT	S	50,000	17.32	n/a	n/a	2,500.00	5.0
LEHMAN PROPRIETARY TRAD	041	GYMB	B	50,000	39.57	11-Jul	5-Sep	2,000.00	4.0
NEUBERGER BERMAN	036	HCN	S	30,000	48.03	n/a	n/a	1,350.00	4.5
JP MORGAN VENTURES	046	HD	C	50,000	29.27	n/a	27-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	HOT	SS	80,000	37.47	n/a	n/a	3,200.00	4.0
ROTHSCHILD ASSET	040	HRL	S	13,300	36.53	n/a	n/a	598.50	4.5
HIGHBRIDGE/MS OLDS	041	IACID	B	23,100	17.57	n/a	n/a	924.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BACKBAY	041	IP	S	7,500	29.23	1-Aug	1-Aug	375.00	5.0
LEDDY	035	IVZ	S	700	24.70	4-Aug	10-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	135,700	30.17	n/a	27-Aug	5,428.00	4.0
COUGAR TRADING	044	JCG	B	5,000	30.60	n/a	27-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	JNY	SS	80,000	21.06	n/a	30-Jul	3,200.00	4.0
COUGAR TRADING	044	JWN	S	10,000	34.71	10-Jul	5-Sep	500.00	5.0
AVESTA CAP	229	KMB	B	10,000	64.84	28-Aug	28-Aug	500.00	5.0
COUGAR TRADING	044	KSS	B	15,000	52.35	n/a	5-Sep	750.00	5.0
MISSOURI VALLEY PART	046	KSS	S	57,515	52.78	n/a	5-Sep	2,875.75	5.0
BUCK CAPITAL MGMT	001	LIZ	B	125,000	18.95	n/a	28-Aug	5,000.00	4.0
WAGONHOUND/NIC	048	LPX	B	14,238	10.62	n/a	8-Sep	569.52	4.0
EPOCH INV MGMT	030	MA	B	4,900	212.73	n/a	6-Aug	196.00	4.0
MISSOURI VALLEY PART	046	MCD	S	29,950	63.63	9-Sep	9-Sep	1,497.50	5.0
SANDLER O'NEILL ASSET	031	MER	SS	50,000	23.71	24-Jun	15-Aug	2,500.00	5.0
MISSOURI VALLEY PART	046	MET	B	15,840	56.28	n/a	n/a	792.00	5.0
HIGHBRIDGE CAPITAL	038	MOH	B	24,000	32.62	n/a	n/a	1,200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	MOJVD	S	15	1.70	n/a	n/a	0.00	0.0
WHEELER	008	MTRX	S	3,600	22.02	n/a	n/a	0.00	0.0
SLS CAPITAL LLC	224	M	B	128,500	21.94	12-Aug	29-Aug	5,140.00	4.0
DENVER INST. ADV	046	NFX	S	300,100	36.87	n/a	n/a	12,004.00	4.0
LATEFF MGMT	035	OLN	B	2,000	22.70	20-Jun	20-Jun	320.00	16.0
BACKBAY	041	PKG	S	34,600	25.17	22-Jul	22-Jul	1,730.00	5.0
MILLENIU KOSLOW	028	PKG	B	5,000	24.86	22-Jul	22-Jul	250.00	5.0
THIRD POINT MGMT	044	PNRA	SS	25,000	53.00	4-Sep	4-Sep	1,000.00	4.0
CADIAN CAPITAL	067	PVH	B	125,000	40.53	5-May	28-Aug	6,250.00	5.0
LEDDY	035	PVH	S	500	41.24	5-May	28-Aug	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	B	50,000	3.74	n/a	n/a	3,000.00	6.0
BULL PATH CAPITAL	044	ROST	SS	23,500	40.00	n/a	n/a	1,175.00	5.0
BACKBAY	041	SSCC	S	5,000	6.76	30-Jul	30-Jul	250.00	5.0
THE JAY GOLDMAN	034	SSI	B	10,000	15.60	n/a	5-Sep	400.00	4.0
COUGAR TRADING	044	SSO	B	5,000	56.56	n/a	n/a	250.00	5.0
COUGAR TRADING	044	SSO	S	5,000	56.20	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	SWN	B	6,085	29.30	20-Mar	3-Sep	304.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	TGT	B	100,000	56.83	n/a	5-Sep	5,000.00	5.0
AVESTA CAP	229	TGT	B	25,000	57.14	n/a	5-Sep	1,250.00	5.0
MISSOURI VALLEY PART	046	TGT	B	16,890	56.80	n/a	5-Sep	844.50	5.0
COUGAR TRADING	044	TIF	SS	15,000	43.89	n/a	28-Aug	750.00	5.0
CADIAN CAPITAL	067	TJX	SS	150,000	34.06	11-Aug	5-Sep	7,500.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	11.02	n/a	20-Aug	800.00	4.0
HIGHBRIDGE CAPITAL	038	UNH	B	15,000	29.41	n/a	n/a	750.00	5.0
HARVEST MGMT	039	URBN	S	25,000	35.62	14-Aug	14-Aug	1,250.00	5.0
MILLENIUM KOZLOW	028	VC	B	15,000	3.32	n/a	31-Jul	450.00	3.0
TRELLUS PARTNERS LP	028	VC	S	66,810	3.20	n/a	31-Jul	2,004.30	3.0
LEDDY	035	VC	S	3,700	3.29	n/a	31-Jul	0.00	0.0
LEHMAN PROPRIETARY TRAD	041	WAG	B	50,000	35.53	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	WFC	SS	5,000	31.94	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	WINN	B	20,000	14.84	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	40,000	50.72	8-Aug	28-Aug	1,600.00	4.0
CADIAN CAPITAL	067	WRC	B	29,000	50.23	8-Aug	28-Aug	1,450.00	5.0
COUGAR TRADING	044	WRC	SS	5,000	50.35	8-Aug	28-Aug	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	WSM	B	50,000	18.64	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	XOM	B	10,100	74.82	n/a	n/a	505.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	300,000	7.44	27-Aug	5-Sep	12,000.00	4.0
J L F ASSET MGMT	039	ZQK	S	86,000	7.37	27-Aug	5-Sep	3,440.00	4.0
MILLENIUM KOZLOW	028	ZUMZ	B	15,000	17.32	n/a	n/a	750.00	5.0
TOTAL (Trade Date):								165,234.62	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/08	PRINCIPLE CAPITAL (PRINUBSPB)	040	ANF	B	15,000	49.38	7-Aug	5-Sep	450.00 3.0
AO,CRT	09/08	PRINCIPLE CAPITAL (PRINUBSPB)	040	ANF	B	15,000	49.38	7-Aug	5-Sep	600.00 4.0
AO,	09/09	KENNEDY CAPITAL (KENN894)	046	CASY	S	300	30.31	n/a	n/a	12.00 4.0
AO,CXL	09/09	MATLIN PATTERSON (MATLGSPB)	046	DAI	SS	20,000	57.58	n/a	n/a	1000.00 5.0
AO,CRT	09/09	MATLIN PATTERSON (MATLGSPB)	046	DAI	SS	20,000	57.58	n/a	n/a	600.00 3.0
AO,CXL	09/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	24,900	42.29	n/a	n/a	996.00 4.0
AO,CRT	09/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	25,000	42.29	n/a	n/a	1000.00 4.0
AO,CXL	09/09	BUCK CAPITAL MGMT (BUCKGIL)	001	GES	S	100	42.29	n/a	n/a	4.00 4.0
AO,	09/09	DURANGO INVESTMENTS (DURAMORGAN)	031	LNCR	S	20,000	34.32	n/a	22-Jul	800.00 4.0
AO,	09/09	NOMURA CAPITAL (NOMUBATT2)	045	RT	B	3,800	8.18	n/a	n/a	152.00 4.0
AO,	09/09	NOMURA CAPITAL (NOMUBSMAIN)	045	RT	B	8,600	8.18	n/a	n/a	344.00 4.0
AO,	09/09	NOMURA CAPITAL (NOMUSTRATE)	045	RT	B	2,600	8.18	n/a	n/a	104.00 4.0
AO,	09/09	WADDELL AND REED (WADD002)	046	SMBL	B	141,700	7.00	n/a	n/a	2125.50 1.5
AO,	09/09	WADDELL AND REED (WADD077)	046	SMBL	B	253,300	7.00	n/a	n/a	3799.50 1.5
AO,	09/09	WADDELL AND REED (WADD522)	046	SMBL	B	6,700	7.00	n/a	n/a	100.50 1.5
AO,	09/09	WADDELL AND REED (WADD535)	046	SMBL	B	10,100	7.00	n/a	n/a	151.50 1.5
AO,CXL	09/09	SCOPUS FUND (SCOPBANC O)	041	SSCC	S	51,000	6.75	30-Jul	30-Jul	2550.00 5.0
AO,CRT	09/09	SCOPUS FUND (SCOPBANC O)	041	SSCC	S	51,750	6.75	30-Jul	30-Jul	2587.50 5.0
AO,CXL	09/09	SCOPUS FUND (SCOPUBS)	041	SSCC	S	249,000	6.75	30-Jul	30-Jul	12450.00 5.0
AO,CRT	09/09	SCOPUS FUND (SCOPUBS)	041	SSCC	S	248,250	6.75	30-Jul	30-Jul	12412.50 5.0
AO,CXL	09/09	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	22,600	3.38	n/a	31-Jul	678.00 3.0
AO,	09/09	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	22,600	3.38	n/a	31-Jul	678.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/09	HIGHFIELDS CAP MGMT (HIGFBSPB)	039	XTO	B	200,000	45.41	n/a	n/a	8000.00 4.0
TOTAL (AO, CXL, CRT) :										15,339.00

TOTAL (Trade Date):										165,234.62
TOTAL (AO, CXL, CRT):										15,339.00
TOTAL (RUN DATE) / NFS:										180,573.62

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