



Daily Compliance Activity Report

Trade Date: 09/17/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	ABG	SS	5,000	12.21	10-Jun	31-Jul	250.00	5.0
BAYPOINT TRADING/XYLEM	091	ABH	B	10,000	4.80	n/a	11-Sep	500.00	5.0
COUGAR TRADING	044	AB	B	10,000	38.88	10-Sep	15-Sep	500.00	5.0
WAGONHOUND/NIC	048	AMG	B	9,785	87.98	3-Sep	15-Sep	391.40	4.0
COUGAR TRADING	044	ANF	S	10,000	44.77	7-Aug	17-Sep	500.00	5.0
KORMAN	003	ANN	C	7,000	23.62	n/a	17-Sep	0.00	0.0
COLUMBIA PARTNERS	028	AN	SS	40,876	11.86	25-Jul	28-Jul	1,635.04	4.0
COUGAR TRADING	044	AN	SS	5,000	12.26	25-Jul	28-Jul	250.00	5.0
GAULT	063	APC	B	1,000	51.63	n/a	26-Aug	0.00	0.0
BAYPOINT TRADING/XYLEM	091	ARA	S	7,000	43.88	n/a	n/a	350.00	5.0
LEDDY	035	ARGN	S	3,000	8.14	3-Sep	3-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	33.86	28-Apr	5-Sep	2,000.00	4.0
COUGAR TRADING	044	ARO	SS	10,000	33.43	28-Apr	5-Sep	500.00	5.0
BASIX	033	AXE	B	20,500	60.41	n/a	17-Sep	615.00	3.0
NATIONAL BK OF CAN	031	BBX	S	75,000	1.62	n/a	n/a	1,500.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BBY	S	50,000	41.35	n/a	27-Jul	2,000.00	4.0
LUCHANSKY1	036	BCS	B	500	23.91	n/a	n/a	0.00	0.0
LUCHANSKY1	036	BCS	S	500	23.98	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	BEN	S	19,700	90.36	10-Sep	15-Sep	985.00	5.0
LEDDY	035	BIG	C	500	29.37	29-May	5-Sep	0.00	0.0
SANDLER O'NEILL ASSET	031	BLK	B	9,800	194.59	n/a	16-Sep	490.00	5.0
BAYPOINT TRADING/XYLEM	091	BMS	B	5,000	27.64	n/a	n/a	250.00	5.0
LUCHANSKY	036	BX	S	200	14.95	n/a	n/a	0.00	0.0
COLE	N24	BZ	B	1,800	1.89	n/a	n/a	0.00	0.0
AVESTA CAP	229	CCL	S	20,000	39.09	n/a	26-Jan	1,000.00	5.0
SATELITE/BOBBY	044	CCL	B	10,000	39.12	n/a	26-Jan	400.00	4.0
MS PRINCIPAL STRATEGIES	041	CLMS	B	11,674	16.21	13-Aug	15-Sep	583.70	5.0
BUCK	015	CMA	C	1,539	30.08	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CMG	B	3,000	57.01	12-Sep	12-Sep	150.00	5.0
LUCHANSKY2	036	CMO	S	200	11.44	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	COF	B	25,000	45.71	n/a	17-Sep	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	S	40,000	28.62	30-Jul	28-Aug	1,600.00	4.0
JPMSI/TOM LEDDY	035	COH	B	20,000	27.80	30-Jul	28-Aug	1,000.00	5.0
SATELITE/BOBBY	044	COST	B	10,000	67.00	n/a	27-Jul	400.00	4.0
WHITTIER CAP	048	CRI	S	2,790	19.78	n/a	n/a	111.60	4.0
SATELITE/BOBBY	044	DAL	B	35,000	9.20	n/a	n/a	1,400.00	4.0
LUCHANSKY	036	DCTH	S	2,000	1.64	n/a	n/a	0.00	0.0
MERRILL ASSET	032	DEI	B	17,600	21.24	n/a	n/a	792.00	4.5
GALLEON MGMT LP	033	DFS	S	20,000	14.97	n/a	17-Sep	1,000.00	5.0
SATELITE/BOBBY	044	DIS	SS	15,000	32.34	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	DKS	S	50,000	21.77	22-Aug	22-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	DV	SS	20,000	53.27	n/a	n/a	800.00	4.0
LUCHANSKY1	036	ECL	S	100	46.92	3-Jul	15-Sep	0.00	0.0
JP MORGAN VENTURES	046	EXC	SS	45,000	63.56	n/a	n/a	2,250.00	5.0
MCCARTAN	028	FCN	S	200	70.29	n/a	n/a	0.00	0.0
MERRILL ASSET	032	FHN	S	210,700	11.07	n/a	n/a	9,481.50	4.5
JPMSI/TOM LEDDY	035	FOSL	B	35,000	26.31	n/a	17-Sep	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MCCARTAN	028	F	S	1,000	4.76	25-Jul	4-Sep	0.00	0.0
NOLAN	067	F	S	500	4.77	25-Jul	4-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	33.55	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	GES	S	130,000	39.61	n/a	n/a	5,200.00	4.0
EATON VANCE MGMT	039	GE	S	500,000	22.81	n/a	n/a	15,000.00	3.0
MATLIN PATTERSON	046	GE	SS	20,000	22.89	n/a	n/a	1,000.00	5.0
COLE	N24	GFG	S	300	4.69	n/a	n/a	0.00	0.0
JPMSI/TOM LEDDY	035	GIL	S	31,000	24.02	8-Sep	8-Sep	1,550.00	5.0
ROXBURY CAPITAL MGMT	035	GIL	B	325,000	23.98	8-Sep	8-Sep	13,000.00	4.0
WAGONHOUND/NIC	048	GIL	B	5,186	24.39	8-Sep	8-Sep	207.44	4.0
WHITTIER CAP	048	GIL	B	5,545	24.05	8-Sep	8-Sep	221.80	4.0
LATEFF MGMT	035	GIS	S	2,500	70.12	n/a	n/a	475.00	19.0
MAIRS AND POWER INV	030	GLW	B	20,000	14.71	n/a	15-Sep	1,000.00	5.0
SINCLAIR	031	GMUB	S	120	0.46	n/a	n/a	0.00	0.0
FORWARD MGMT	033	GNW	B	2,000	10.04	n/a	n/a	100.00	5.0
COUGAR TRADING	044	GPS	S	15,000	18.83	n/a	17-Sep	750.00	5.0
JPMSI/TOM LEDDY	035	GPS	B	30,000	18.79	n/a	17-Sep	1,500.00	5.0
Õ Mitchell Speiser		GPYAF	S	20	1.3300	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	GPYVK	B	5	44.05	n/a	n/a	0.00	0.0
BUCK	015	GSVP	S	8	10.70	n/a	n/a	0.00	0.0
FORD FDN.	032	GS	B	20,000	108.99	15-Sep	17-Sep	1,000.00	5.0
VALHALLA CAPITAL LP	041	GS	S	5,000	100.82	15-Sep	17-Sep	250.00	5.0
COUGAR TRADING	044	GYMB	B	5,000	38.32	11-Jul	5-Sep	250.00	5.0
PNC/MERCANTILE	028	HAS	B	28,224	36.99	n/a	n/a	1,411.20	5.0
SATELITE/BOBBY	044	HOT	B	7,500	35.83	n/a	n/a	300.00	4.0
TRIVIUM CAP MGMT	251	IM	C	23,600	16.52	n/a	n/a	944.00	4.0
BMO NESBITT BURNS	041	IP	SS	15,000	28.77	11-Sep	11-Sep	750.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	1,700	22.80	4-Aug	15-Sep	85.00	5.0
KLEINHEINZ CAP PART	031	IWM	B	150,000	68.89	n/a	n/a	7,500.00	5.0
COUGAR TRADING	044	JCG	B	5,000	29.93	n/a	17-Sep	250.00	5.0
WHITTIER CAP	048	JCG	S	830	28.18	n/a	17-Sep	33.20	4.0
BUCK CAPITAL MGMT	001	JCP	B	7,000	38.11	n/a	5-Sep	280.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	40,000	18.63	n/a	30-Jul	1,600.00	4.0
GRUBER MACBAINE	033	JPM	B	9,000	37.45	15-Sep	15-Sep	360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JPMSI/TOM LEDDY	035	JWN	B	11,900	31.61	10-Jul	17-Sep	595.00	5.0
THIRD COAST CAPITAL	035	KBR	S	20,000	16.14	n/a	n/a	1,000.00	5.0
COLE	N24	KRY	S	800	0.87	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	B	5,000	49.92	n/a	5-Sep	250.00	5.0
JPMSI/TOM LEDDY	035	KSS	B	35,000	49.74	n/a	5-Sep	1,750.00	5.0
LUCHANSKY3	036	LEH	S	300	0.12	11-Sep	15-Sep	0.00	0.0
J L F ASSET MGMT	039	LIZ	S	66,429	16.65	n/a	28-Aug	2,657.16	4.0
N STRATTON	014	LNCE	SS	75	22.50	n/a	n/a	0.00	0.0
SATELITE/BOBBY	044	LOW	S	45,000	23.85	n/a	27-Jul	1,800.00	4.0
BUCK CAPITAL MGMT	001	MAS	SS	20,000	17.88	n/a	n/a	800.00	4.0
KAICHER	064	MDR	S	2,000	30.50	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	MER	B	23,000	20.42	24-Jun	16-Sep	920.00	4.0
NATIONAL BK OF CAN	031	MS	S	18,500	26.88	15-Sep	17-Sep	740.00	4.0
LEDDY	035	MWO	B	1,200	7.52	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	100,000	22.22	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	M	S	130,000	19.25	12-Aug	29-Aug	5,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	M	B	5,000	18.70	12-Aug	29-Aug	250.00	5.0
COUGAR TRADING	044	M	SS	5,000	19.57	12-Aug	29-Aug	250.00	5.0
J L F ASSET MGMT	039	NDN	S	129,100	9.40	11-Jul	9-Sep	5,164.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	S	2,200	72.12	3-Sep	15-Sep	110.00	5.0
JP MORGAN VENTURES	046	NTY	S	81,000	28.95	n/a	n/a	4,050.00	5.0
MATRIX ASSET ADV.	036	OMC	B	13,900	38.89	n/a	n/a	556.00	4.0
MORGENS WATERFALL	040	PACR	SS	50,000	17.16	n/a	n/a	1,500.00	3.0
COUGAR TRADING	044	PAG	SS	5,000	11.23	10-Jun	1-Aug	250.00	5.0
BAYPOINT TRADING/XYLEM	091	PKG	S	10,000	23.89	11-Sep	11-Sep	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PKG	B	29,500	23.69	11-Sep	11-Sep	1,106.25	3.8
PNC/MERCANTILE	028	PLD	S	25,689	43.55	n/a	n/a	1,284.45	5.0
RAMIUS CAP	040	POL	SS	90,000	6.79	n/a	n/a	4,500.00	5.0
COUGAR TRADING	044	QLD	S	5,000	58.78	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	RL	S	14,200	69.86	n/a	28-Aug	568.00	4.0
COUGAR TRADING	044	SAH	SS	5,000	10.73	n/a	30-Jul	250.00	5.0
ZOLIDIS	011	SHOO	SS	500	27.08	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	SNEN	B	3,000	5.55	n/a	n/a	120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLE	N24	SNS	S	200	7.49	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	SPY	B	100,000	119.50	n/a	n/a	5,000.00	5.0
COUGAR TRADING	044	SSO	S	10,000	50.28	n/a	n/a	500.00	5.0
FORWARD MGMT	033	STZ	S	2,400	21.53	n/a	n/a	120.00	5.0
KERN	050	SWNJG	B	20	1.45	n/a	n/a	0.00	0.0
GAULT	063	SWN	B	1,700	30.73	n/a	3-Sep	0.00	0.0
DEMARTINI	065	SWN	B	500	31.69	n/a	3-Sep	0.00	0.0
EPOCH INV MGMT	030	SWY	S	15,800	24.92	n/a	n/a	632.00	4.0
JPMSI/TOM LEDDY	035	TGT	B	50,000	55.25	n/a	5-Sep	2,500.00	5.0
COUGAR TRADING	044	TIF	B	5,000	37.25	n/a	17-Sep	250.00	5.0
KORMAN	003	TIF	C	2,000	36.70	n/a	17-Sep	0.00	0.0
THE JAY GOLDMAN	034	TIN	B	20,000	17.30	11-Sep	11-Sep	800.00	4.0
COUGAR TRADING	044	TJX	SS	6,300	33.19	11-Aug	5-Sep	315.00	5.0
WHITTIER CAP	048	TJX	S	1,690	32.54	11-Aug	5-Sep	67.60	4.0
LUCHANSKY1	036	TROW	S	200	53.43	25-Jul	15-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	S	30,000	9.83	n/a	20-Aug	1,200.00	4.0
HEALY CIRCLE	044	UA	B	30,000	36.62	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	UYG	B	2,000	18.35	n/a	n/a	0.00	0.0
KEEFE BRUYETTE WOODS A	031	WDR	B	4,000	23.50	15-Jul	15-Sep	200.00	5.0
JMP ASSET MGMT	210	WFMI	SS	400	18.66	n/a	n/a	20.00	5.0
SATELITE/BOBBY	044	WFMI	B	20,000	18.43	n/a	n/a	800.00	4.0
N STRATTON	014	WFSL	SS	100	18.80	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	WMT	C	5,000	60.00	8-Aug	5-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	40,000	46.69	8-Aug	28-Aug	1,600.00	4.0
COUGAR TRADING	044	WRC	SS	5,000	48.25	8-Aug	28-Aug	250.00	5.0
JPMSI/TOM LEDDY	035	WWW	B	95,000	26.01	n/a	13-Mar	4,750.00	5.0
BMO NESBITT BURNS	041	WY	SS	25,000	56.15	n/a	11-Sep	1,250.00	5.0
LEDDY	035	XOHO	S	5,000	0.60	n/a	n/a	0.00	0.0
LUCHANSKY2	036	YTEC	S	200	9.49	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	YUM	SS	40,000	37.66	14-Aug	14-Aug	1,600.00	4.0
BUCK CAPITAL MGMT	001	ZLC	B	60,000	26.10	n/a	n/a	2,400.00	4.0
KORMAN	003	ZOLT	S	5,000	15.45	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

161,528.34

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/16	WHITE PINE CAPITAL (WPIN0002)	030		B	100,000	39.75	n/a	n/a	500.00	0.0
AO,CXL	09/16	COLUMBUS CIRCLE (COLC4400)	036	AMGN	B	24,011	64.99	n/a	26-Jan	480.22	2.0
AO,	09/16	COLUMBUS CIRCLE (COLC4400)	036	AMGN	B	24,011	64.99	n/a	26-Jan	960.44	4.0
AO,CXL	09/16	SOLARIS INV MGMT (SOLA1248)	029	EBAY	S	800	22.53	n/a	n/a	0.00	0.0
AO,	09/16	SOLARIS INV MGMT (SOLA1248)	029	EBAY	S	800	22.53	n/a	n/a	40.00	5.0
AO,	09/16	SOLARIS INV MGMT (SOLA1099)	029	EBAY	S	300	22.53	n/a	n/a	15.00	5.0
AO,CXL	09/16	SOLARIS INV MGMT (SOLA443)	029	EBAY	S	800	22.53	n/a	n/a	0.00	0.0
AO,	09/16	SOLARIS INV MGMT (SOLA443)	029	EBAY	S	800	22.53	n/a	n/a	40.00	5.0
AO,CXL	09/16	SOLARIS INV MGMT (SOLA970)	029	EBAY	S	100	22.53	n/a	n/a	0.00	0.0
AO,	09/16	SOLARIS INV MGMT (SOLA799)	029	EBAY	S	100	22.53	n/a	n/a	5.00	5.0
AO,CXL	09/16	SOLARIS INV MGMT (SOLA533)	029	EBAY	S	300	22.53	n/a	n/a	0.00	0.0
AO,	09/16	BECK MACK & OLIVER LLC (BMOL3713)	045	GE	S	1,000	25.16	n/a	n/a	50.00	5.0
CRT	09/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	129,900	39.61	n/a	n/a	5196.00	4.0
AO,	09/16	BECK MACK & OLIVER LLC (BMOL3713)	045	IBM	S	180	116.07	n/a	n/a	9.00	5.0
AO,	09/16	BECK MACK & OLIVER LLC (BMOL3713)	045	JNJ	S	500	69.95	n/a	22-Apr	25.00	5.0
CRT	09/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	129,900	19.25	12-Aug	29-Aug	5196.00	4.0
AO,	09/16	PZENA INV ADV (PZEN623)	044	MOT	B	4,200	7.42	n/a	n/a	147.00	3.5
AO,CXL	09/16	PZENA INV ADV (PZEN623)	044	MOT	B	4,200	7.42	n/a	n/a	147.00	3.5
AO,	09/16	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	STX	S	150,000	11.48	n/a	n/a	3000.00	2.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/16	GOLDMAN SACHS ASSET MGMT (GSAM1531)	044	STX	S	100,000	11.48	n/a	n/a	2000.00 2.0
AO,	09/16	BECK MACK & OLIVER LLC (BMOL3713)	045	T	S	500	29.84	n/a	4-Jan	25.00 5.0
AO,CXL	09/16	MAGNETAR FINANCIAL (MAGNCSFB)	031	UST	B	100,000	67.24	n/a	n/a	5000.00 5.0
AO,CRT	09/16	MAGNETAR FINANCIAL (MAGNCSFB)	031	UST	B	100,000	67.24	n/a	n/a	3000.00 3.0
AO,	09/16	BECK MACK & OLIVER LLC (BMOL3713)	045	VZ	S	290	32.90	n/a	4-Jan	14.50 5.0
AO,	09/16	TPG-AXON (TPGACREDSW)	040	WB	C	1,000,000	10.57	n/a	n/a	50000.00 5.0
AO,	09/16	TPG-AXON (TPGACREDSW)	040	WB	C	1,000,000	10.57	n/a	n/a	50000.00 5.0
AO,	09/16	BECK MACK & OLIVER LLC (BMOL3713)	045	WYE	S	400	38.90	n/a	31-Mar	20.00 5.0

TOTAL (AO, CXL, CRT) :	114,615.72
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TOTAL (Trade Date) :	161,528.34
TOTAL (AO, CXL, CRT) :	114,615.72

TOTAL (RUN DATE) / NFS :	276,144.06
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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