



Daily Compliance Activity Report

Trade Date: 10/06/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WYCKOFF	013	AAPL	B	100	92.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	87,400	12.77	n/a	3-Oct	3,496.00	4.0
COUGAR TRADING	044	AEO	B	5,000	13.28	n/a	3-Oct	250.00	5.0
MCCARTAN	028	AIN	C	200	22.11	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	ALY	S	7,100	8.19	n/a	n/a	284.00	4.0
JP MORGAN VENTURES	046	ANF	SS	10,000	35.09	7-Aug	3-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	ANN	SS	40,000	17.85	n/a	17-Sep	1,600.00	4.0
SINCLAIR	031	APCAH	B	10	4.50	n/a	n/a	0.00	0.0
RK CAPITAL MGMT LLC	045	ARGN	B	6,400	4.51	3-Sep	3-Sep	192.00	3.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	27.33	28-Apr	3-Oct	1,600.00	4.0
MCCARTAN	028	ARO	B	200	27.49	28-Apr	3-Oct	0.00	0.0
NOMURA CAPITAL	045	AWI	S	2,600	26.03	n/a	n/a	130.00	5.0
JP MORGAN VENTURES	046	BBBY	SS	10,000	28.53	n/a	n/a	500.00	5.0
GRUBER MACBAINE	033	BJ	B	20,000	36.13	n/a	27-Jul	800.00	4.0
LEDDY	035	BONT	S	300	2.68	n/a	3-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MCCARTAN	028	BX	B	200	13.65	n/a	n/a	0.00	0.0
COLE	077	BZ	B	10	1.04	n/a	n/a	0.00	0.0
PORTER-ORLIN-FELDMAN	044	CAT	B	34,000	47.87	19-Sep	19-Sep	1,700.00	5.0
WHEELER	008	CBI	B	2,000	14.73	n/a	n/a	0.00	0.0
LUCHANSKY1	036	CHL	S	100	45.61	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	CMCSK	S	3,800	17.59	n/a	n/a	190.00	5.0
BUCK CAPITAL MGMT	001	COH	SS	50,000	20.59	30-Jul	1-Oct	2,000.00	4.0
LUCHANSKY1	036	COV	S	75	51.39	n/a	n/a	0.00	0.0
J.W. SELIGMAN	041	CPB	B	99,900	39.50	n/a	n/a	3,996.00	4.0
BULL PATH CAPITAL	044	CPKI	B	25,000	11.62	10-Jul	2-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	CRI	S	70,000	16.38	n/a	n/a	2,800.00	4.0
MERRILL ASSET	032	CRR	S	1,400	47.07	29-Aug	2-Oct	63.00	4.5
TRUSTCO/SUNTRUST	040	CRR	B	27,200	43.85	29-Aug	2-Oct	870.40	3.2
MILLER	025	CSCO	S	40	20.12	n/a	22-Mar	0.00	0.0
NOMURA CAPITAL	045	CVC	S	2,900	19.84	n/a	4-Jan	145.00	5.0
NOMURA CAPITAL	045	DAL	S	4,100	7.20	n/a	n/a	164.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	045	DAN	S	20,100	3.92	n/a	n/a	603.00	3.0
THE JAY GOLDMAN	034	DDS	B	50,000	9.76	n/a	n/a	2,000.00	4.0
Õ Alice Longley		DIS	S	300	30.1900	n/a	n/a	0.00	0.0
MANNING & NAPIER	034	DIS	B	1,000,000	28.05	n/a	n/a	30,000.00	3.0
IRIDIAN ASSET MGMT.	036	DST	S	30,970	46.80	n/a	n/a	1,548.50	5.0
LUCHANSKY1	036	EEM	S	100	28.66	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	SS	60,000	45.34	15-Aug	4-Sep	2,400.00	4.0
SIGMA CAPITAL ASSOCIATES	237	EL	S	25,000	44.16	15-Aug	4-Sep	1,250.00	5.0
MKT MAKER	099	ENDP	B	105	19.00	1-Aug	30-Sep	0.00	0.0
WESTLANE CAPITAL	044	EXH	B	10,000	23.26	28-Aug	2-Oct	500.00	5.0
NOMURA CAPITAL	045	FCN	S	600	66.97	n/a	n/a	30.00	5.0
NOMURA CAPITAL	045	FDML	S	14,300	8.79	n/a	n/a	572.00	4.0
BARROW HANLEY MEWHINNEY	031	FDO	S	290,500	23.99	23-Jul	6-Oct	11,620.00	4.0
APEX CAPITAL MGMT.	091	FL	C	330,000	13.94	11-Aug	29-Sep	13,200.00	4.0
NUMERIC	060	FL	B	85,000	13.94	11-Aug	29-Sep	2,550.00	3.0
LEDDY	035	F	C	1,500	3.42	25-Jul	2-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	40,000	27.56	n/a	10-Jan	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	B	40,000	28.92	n/a	n/a	1,600.00	4.0
COLE	077	GFG	S	100	3.95	n/a	n/a	0.00	0.0
WEISS PECK	040	GIL	S	43,500	20.49	8-Sep	1-Oct	2,175.00	5.0
LEDDY	035	GIL	S	700	21.33	8-Sep	1-Oct	0.00	0.0
MILLER	025	GLW	S	120	13.70	n/a	23-Sep	0.00	0.0
TRELLUS PARTNERS LP	028	GNTX	C	30,000	11.55	2-Oct	2-Oct	1,500.00	5.0
NOMURA CAPITAL	045	GPI	S	3,600	17.87	10-Jun	30-Jul	180.00	5.0
BUCK CAPITAL MGMT	001	GPS	SS	125,000	16.15	n/a	3-Oct	5,000.00	4.0
NOMURA CAPITAL	045	GRA	S	5,900	10.23	n/a	n/a	295.00	5.0
CAXTON PART	040	GS	S	20,899	117.65	15-Sep	24-Sep	731.47	3.5
NOMURA CAPITAL	045	GT	S	10,200	11.19	n/a	n/a	510.00	5.0
MKT MAKER	099	GYMB	B	200	30.00	11-Jul	3-Oct	0.00	0.0
NOMURA CAPITAL	045	HAYZ	S	23,800	1.69	n/a	n/a	476.00	2.0
FORD FDN.	032	HON	S	35,000	35.34	3-Oct	3-Oct	1,750.00	5.0
NOMURA CAPITAL	045	HOS	S	5,300	30.12	n/a	n/a	265.00	5.0
IRIDIAN ASSET MGMT.	036	HPQ	S	32,830	39.87	n/a	n/a	1,641.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	IAR	S	43,500	0.75	n/a	n/a	870.00	2.0
NOMURA CAPITAL	045	IPHS	S	4,000	16.99	n/a	n/a	200.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	SS	15,000	24.29	22-Sep	22-Sep	750.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	S	50,000	19.48	6-Oct	6-Oct	2,000.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	B	17,700	18.19	6-Oct	6-Oct	885.00	5.0
BEAR STEARNS ASSET MGMT.	033	JCG	S	54,200	25.50	n/a	17-Sep	2,168.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	50,000	15.49	n/a	30-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	SS	100,000	23.00	2-Oct	3-Oct	4,000.00	4.0
MORGAN BANK /JPM	012	KBH	C	9,735	17.88	n/a	n/a	292.05	3.0
STRONG/MARK GRONET	030	KRE	B	34,300	34.54	n/a	n/a	1,372.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	25,000	39.50	n/a	3-Oct	1,000.00	4.0
J.W. SELIGMAN	041	KSS	B	133,300	38.21	n/a	3-Oct	5,332.00	4.0
LUCHANSKY1	036	LH	S	100	62.38	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LL	B	10,000	10.44	n/a	n/a	400.00	4.0
NOMURA CAPITAL	045	MDTH	S	8,700	14.65	n/a	n/a	435.00	5.0
BUCK CAPITAL MGMT	001	MFB	B	20,000	11.77	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	MGI	S	44,000	1.22	n/a	n/a	880.00	2.0
LEDDY	035	MS	S	300	21.74	15-Sep	22-Sep	0.00	0.0
OGORMAN	046	MWO	B	1,000	9.93	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	S	25,000	14.56	12-Aug	3-Oct	1,000.00	4.0
JP MORGAN VENTURES	046	M	B	10,000	14.99	12-Aug	3-Oct	500.00	5.0
NATIONAL BK OF CAN	031	NCC	B	200,000	2.47	n/a	n/a	4,000.00	2.0
KAICHER	064	NCC	B	5,000	2.25	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	NWA	S	5,200	8.45	n/a	n/a	208.00	4.0
NOMURA CAPITAL	045	OC	S	6,800	20.26	n/a	n/a	340.00	5.0
PORTER-ORLIN-FELDMAN	044	PDX	B	50,000	41.46	n/a	n/a	2,500.00	5.0
KLEINHEINZ CAP PART	031	PFE	S	100,000	17.81	n/a	31-Mar	5,000.00	5.0
CATAPULT	040	PKG	B	20,400	20.66	11-Sep	22-Sep	1,020.00	5.0
CATAPULT	040	PPG	B	4,700	52.33	n/a	25-Sep	235.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	150,000	15.32	n/a	n/a	6,000.00	4.0
NOMURA CAPITAL	045	PTRY	S	1,700	18.80	n/a	n/a	85.00	5.0
CATAPULT	040	PTV	B	15,500	24.20	n/a	n/a	775.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PVH	S	10,000	32.54	n/a	1-Oct	500.00	5.0
MS PRINCIPAL STRATEGIES	041	PZE	B	47,500	8.97	n/a	n/a	2,375.00	5.0
MILLENNIUM-ANDEW	031	RAIL	SS	8,249	21.45	n/a	n/a	494.94	6.0
BUCK CAPITAL MGMT	001	RL	SS	70,000	55.27	n/a	28-Aug	2,800.00	4.0
KERN	050	SDS	S	200	87.12	n/a	n/a	0.00	0.0
MCCARTAN	028	SHOO	C	400	21.70	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	SHW	B	40,000	51.10	n/a	17-Jul	2,000.00	5.0
THE BOSTON COMPANY	401	SKX	S	39,080	14.69	n/a	13-Mar	1,563.20	4.0
CASTLE ARK	031	SPLS	B	337,590	18.72	n/a	27-Jul	20,255.40	6.0
MORGAN BANK /JPM	012	SPY	S	20,000	102.03	n/a	n/a	600.00	3.0
LUCHANSKY1	036	SPY	S	100	105.05	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	STT	S	12,000	42.36	n/a	n/a	480.00	4.0
MILLRACE FUND LP	028	SUP	SS	10,000	16.97	25-Jul	8-Aug	400.00	4.0
SINCLAIR	031	SWGWX	S	20	6.90	n/a	n/a	0.00	0.0
SINCLAIR	031	SWN	B	410	25.60	n/a	2-Oct	0.00	0.0
SINCUTMA	031	SWN	B	90	26.00	n/a	2-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	TEO	B	25,000	11.61	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	TGT	SS	100,000	42.25	n/a	6-Oct	4,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	40,000	11.99	11-Sep	22-Sep	2,000.00	5.0
STERLING JOHNSTON	035	TIN	B	94,100	12.94	11-Sep	22-Sep	3,764.00	4.0
S.A.C. CAPITAL MGMT.	044	TJX	B	30,000	29.21	11-Aug	3-Oct	1,500.00	5.0
NOMURA CAPITAL	045	TOL	S	12,500	20.62	n/a	n/a	625.00	5.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	20,000	8.31	n/a	1-Oct	800.00	4.0
NOMURA CAPITAL	045	TWC	S	4,000	21.15	n/a	4-Jan	200.00	5.0
CATAPULT	040	T	B	10,000	26.34	n/a	4-Jan	500.00	5.0
COUGAR TRADING	044	URBN	B	5,000	24.47	14-Aug	1-Oct	250.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	25.00	14-Aug	1-Oct	250.00	5.0
MKT MAKER	099	URBN	B	200	24.48	14-Aug	1-Oct	0.00	0.0
NOMURA CAPITAL	045	USO	SS	5,000	72.03	n/a	n/a	250.00	5.0
MCCARTAN	028	VC	B	1,000	1.50	n/a	31-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	37.97	8-Aug	1-Oct	800.00	4.0
CASTLEROCK	040	WTS	B	55,145	26.74	n/a	n/a	2,205.80	4.0
MORGAN BANK /JPM	012	X	B	23,350	55.14	n/a	n/a	700.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMATURO	018	X	S	2,000	57.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	YUM	B	20,000	28.74	14-Aug	3-Oct	800.00	4.0
TOTAL (Trade Date):							202,938.76		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/03	WHEELER (WHEELER)	008		B	100,000	75.00	n/a	n/a	0.00 0.0
CRT	10/06	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ARO	B	40,000	27.33	28-Apr	3-Oct	1600.00 4.0
AO,CXL	10/02	COLUMBIA PARTNERS (COLPTID)	028	BEAV	S	577	12.45	n/a	n/a	23.08 4.0
AO,	10/02	COLUMBIA PARTNERS (COLPTID)	028	BEAV	S	577	12.45	n/a	n/a	23.08 4.0
CRT	10/06	LUCHANSKY1 (LUCHANSKY1)	036	EEM	S	100	28.66	n/a	n/a	0.00 0.0
CRT	10/06	MKT MAKER (MKT MAKER)	099	ENDP	B	5	19.00	1-Aug	30-Sep	0.00 0.0
CRT	10/06	MKT MAKER (MKT MAKER)	099	ENDP	B	100	18.00	1-Aug	30-Sep	0.00 0.0
CRT	10/06	MKT MAKER (MKT MAKER)	099	GYMB	B	100	30.00	11-Jul	3-Oct	0.00 0.0
CRT	10/06	MKT MAKER (MKT MAKER)	099	GYMB	B	100	29.00	11-Jul	3-Oct	0.00 0.0
AO,	10/03	CAXTON PART (CAXTJPMOMN)	040	JPM	B	9,333	50.00	26-Sep	26-Sep	326.66 3.5
AO,CXL	10/03	CAXTON PART (CAXTKF01MS)	040	JPM	B	9,333	50.00	26-Sep	26-Sep	326.66 3.5
AO,	10/03	CAXTON PART (CAXTJPMOMN)	040	LEN	S	12,308	12.79	n/a	n/a	430.78 3.5
AO,CXL	10/03	CAXTON PART (CAXTKF01MS)	040	LEN	S	12,308	12.79	n/a	n/a	430.78 3.5
AO,	10/03	MILLENNIUM-ANDEW (MILAMSMART)	031	RAIL	SS	31,751	24.09	n/a	n/a	1905.06 6.0
AO,CXL	10/01	LITESPEED (LITEUBS)	028	TSN	B	40,913	12.39	n/a	n/a	2045.65 5.0
AO,CRT	10/01	LITESPEED (LITEUBS)	028	TSN	B	40,913	12.39	n/a	n/a	1227.39 3.0
CRT	10/06	MKT MAKER (MKT MAKER)	099	URBN	B	200	24.48	14-Aug	1-Oct	0.00 0.0
AO,CRT	10/02	ZOLIDIS (ZOLIDIS)	011	UYG	B	600	17.45	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
AO,CXL	10/02	ZOLIDIS (ZOLIDIS)	011	UYG	B	600	17.45	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :									2,686.80		
TOTAL (Trade Date) :									202,938.76		
TOTAL (AO, CXL, CRT) :									2,686.80		
TOTAL (RUN DATE) / NFS:									205,625.56		

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