



Daily Compliance Activity Report

Trade Date: 11/12/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARP	023	AAPL	B	100	91.88	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	ACL	B	2,000	79.78	n/a	11-Nov	80.00	4.0
SATELLITE ASSET MGMT	012	ADP	SS	15,000	34.00	n/a	n/a	600.00	4.0
US BANCORP	030	AMED	B	2,602	51.40	n/a	n/a	130.10	5.0
HOLDEN CAPITAL MGMT	035	AMR	B	100,000	6.73	n/a	n/a	5,000.00	5.0
ARAGON GLOBAL	041	AMZN	SS	17,000	42.90	n/a	n/a	850.00	5.0
COUGAR TRADING	044	ANF	B	5,000	22.33	7-Aug	7-Nov	250.00	5.0
CASEY CAPITAL	067	AN	B	10,000	5.93	7-Nov	7-Nov	400.00	4.0
GLICK	059	APP	S	1,000	3.73	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	16.15	n/a	10-Nov	2,000.00	4.0
YORK CAPITAL	036	AXP	SS	1,500,000	20.20	n/a	12-Nov	75,000.00	5.0
BUCK CAPITAL MGMT	001	AZO	SS	10,000	107.45	n/a	n/a	400.00	4.0
IRIDIAN ASSET MGMT.	036	BAX	S	31,940	59.57	n/a	22-Apr	1,597.00	5.0
GRUBER MACBAINE	033	BJ	SS	20,000	35.68	n/a	27-Jul	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BKE	S	20,000	19.97	n/a	n/a	800.00	4.0
BAYPOINT TRADING/XYLEM	091	BMS	B	10,000	23.16	n/a	n/a	500.00	5.0
MILLRACE FUND LP	028	BWA	B	18,000	16.82	n/a	30-Oct	720.00	4.0
BECK MACK & OLIVER LLC	045	CBT	S	15,100	21.53	n/a	3-Nov	755.00	5.0
Õ Jason Cohen		CCI	B	76	13.0700	n/a	n/a	0.00	0.0
GRUSS CAPITAL	045	CKR	B	1,000	6.72	n/a	n/a	30.00	3.0
GRANITE CAPITAL	045	COF	S	12,500	30.95	n/a	12-Nov	500.00	4.0
BUCK CAPITAL MGMT	001	CRI	SS	20,000	19.58	n/a	n/a	800.00	4.0
GLICK	059	DBRN	S	500	7.40	n/a	n/a	0.00	0.0
GRUSS CAPITAL	045	DEI	B	10,000	13.35	n/a	n/a	300.00	3.0
BAYPOINT TRADING/XYLEM	091	DEL	B	10,000	44.95	n/a	n/a	500.00	5.0
IRIDIAN ASSET MGMT.	036	DNR	S	205,290	8.86	n/a	n/a	10,264.50	5.0
BUCK CAPITAL MGMT	001	DSW	S	112,300	11.07	7-Oct	7-Nov	4,492.00	4.0
ZOLIDIS	011	DUG	B	100	41.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DV	SS	20,000	53.16	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
US BANCORP	030	DV	S	6,146	53.49	n/a	n/a	307.30	5.0
Steven Maguire		DXD	S	4500	85.9200	n/a	n/a	0.00	0.0
PENNANT CAP MGMT	029	EME	B	140,289	13.85	n/a	n/a	4,208.67	3.0
JP MORGAN VENTURES	046	ENZN	S	100,000	3.23	n/a	14-Oct	5,000.00	5.0
SATELITE/BOBBY	044	ERTS	B	15,000	22.53	n/a	n/a	600.00	4.0
KORMAN	003	FDO	SS	2,000	27.31	23-Jul	7-Nov	0.00	0.0
CUMBERLAND	038	FEED	S	30,000	3.43	n/a	n/a	1,200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	FL	S	61,900	11.93	7-Oct	7-Oct	2,321.25	3.8
GRUSS CAPITAL	045	FOR	B	1,000	5.19	n/a	3-Oct	30.00	3.0
MFP INVESTORS	032	FOR	B	5,000	5.11	n/a	3-Oct	0.00	0.0
BRUNNER	012	FXP	S	1,500	82.10	n/a	n/a	0.00	0.0
GAULT	063	FXP	S	1,400	77.27	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	031	F	B	200,000	1.93	10-Nov	10-Nov	6,000.00	3.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	20.17	8-Sep	16-Oct	400.00	4.0
KORMAN	003	GLW	S	3,000	9.84	29-Oct	29-Oct	0.00	0.0
PENNANT CAP MGMT	029	HAR	B	20,000	14.81	n/a	30-Oct	600.00	3.0
SATELITE/BOBBY	044	HAS	SS	20,000	25.67	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROGERS	040	HCGI	S	7,500	0.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HEW	SS	50,000	25.24	n/a	n/a	2,000.00	4.0
KORMAN	003	ICON	S	10,000	10.09	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	20,000	19.18	10-Nov	10-Nov	1,000.00	5.0
AELTUS/ING INVESTMENT MGT	215	JNJ	B	99,160	58.64	n/a	22-Apr	3,470.60	3.5
ARAGON GLOBAL	041	JNPR	SS	50,000	15.31	n/a	22-Mar	2,500.00	5.0
COBALT	041	JPM	S	130,650	35.51	26-Sep	5-Nov	6,532.50	5.0
UBS OCONNOR	031	JPM	C	85,000	34.78	26-Sep	5-Nov	2,550.00	3.0
ROYCE TRADING	216	KMT	B	106,100	16.57	18-Sep	27-Oct	5,305.00	5.0
AELTUS/ING INVESTMENT MGT	215	KO	S	64,730	44.12	n/a	n/a	2,265.55	3.5
NORTHPOINT	030	LL	S	3,860	9.92	n/a	n/a	115.80	3.0
HIGHBRIDGE/MS OLDS	041	LXK	B	100,000	24.03	n/a	n/a	5,000.00	5.0
DECADE CAPITAL PARTNERS	040	MDT	SS	30,000	37.94	n/a	22-Apr	1,200.00	4.0
BUCK CAPITAL MGMT	001	MFB	S	5,000	8.23	n/a	n/a	200.00	4.0
UBS OCONNOR	031	MMM	SS	100,000	59.87	21-Oct	21-Oct	3,000.00	3.0
CATAPULT	040	MOS	B	5,920	32.74	n/a	n/a	296.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GLICK	059	MWV	S	400	11.79	30-Oct	30-Oct	0.00	0.0
Õ Steven Maguire		MZZ	S	3000118.8300		n/a	n/a	0.00	0.0
SATELITE/BOBBY	044	M	S	15,000	8.86	12-Aug	10-Nov	600.00	4.0
BUCK CAPITAL MGMT	001	NDN	SS	50,000	12.01	31-Oct	7-Nov	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	NTY	B	25,000	17.07	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	5,000	9.60	n/a	n/a	150.00	3.0
BMO NESBITT BURNS	041	PAG	S	25,000	7.00	n/a	31-Oct	1,250.00	5.0
COUGAR TRADING	044	PAG	SS	5,000	6.74	n/a	31-Oct	200.00	4.0
FIRST NY SEC/CHRIS	041	PAG	SS	10,000	6.99	n/a	31-Oct	600.00	6.0
SCOPUS FUND	041	PAG	SS	50,000	7.04	n/a	31-Oct	2,500.00	5.0
US BANCORP	030	PDX	S	17,892	29.41	n/a	n/a	894.60	5.0
AELTUS/ING IVESTMENT MGT	215	PG	B	63,750	62.33	10-Oct	30-Oct	2,231.25	3.5
BAYPOINT TRADING/XYLEM	091	PKG	S	8,000	13.29	11-Sep	21-Oct	320.00	4.0
IRIDIAN ASSET MGMT.	036	PKG	B	86,950	13.32	11-Sep	21-Oct	4,347.50	5.0
CHART WELL ADV	028	PLCE	B	49,395	21.40	6-Nov	6-Nov	1,975.80	4.0
AMATURO	018	PRUXX	B	30	2.90	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	PX	B	50,400	57.96	n/a	11-Nov	2,520.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RHI	SS	20,000	17.50	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	40,000	39.54	n/a	6-Nov	1,600.00	4.0
ROYCE TRADING	216	RL	B	7,600	38.77	n/a	6-Nov	380.00	5.0
KORMAN	003	RPF	S	3,000	4.66	n/a	n/a	0.00	0.0
KERN	050	SDS	S	200	104.58	n/a	n/a	0.00	0.0
ZOLIDIS	KMH	SHOEQ	C	9,400	0.01	n/a	n/a	0.00	0.0
ZOLIDIS	011	SKF	B	100	168.98	n/a	n/a	0.00	0.0
KORMAN	003	SNEN	S	5,000	3.02	n/a	n/a	0.00	0.0
BAYPOINT TRADING/XYLEM	091	SPP	B	15,000	5.19	n/a	n/a	600.00	4.0
AMATURO	018	SSO	B	4,000	26.66	n/a	n/a	0.00	0.0
COLE	077	SSO	B	100	25.90	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SUP	B	10,000	10.68	10-Nov	10-Nov	500.00	5.0
MILLRACE FUND LP	028	SUP	B	9,500	10.87	10-Nov	10-Nov	380.00	4.0
SINCLAIR	031	SWGCL	B	20	8.00	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGCL	S	20	7.75	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNXE	B	100	1.87	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNXE	S	100	2.10	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	SYF	B	25,000	22.97	n/a	24-Apr	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	TDY	B	11,800	41.60	n/a	n/a	472.00	4.0
WHEELER	008	TENNECO INCB		200,000	46.13	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	TIF	SS	17,500	20.52	n/a	3-Nov	875.00	5.0
COUGAR TRADING	044	TJX	SS	5,000	22.80	11-Aug	12-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	150,000	4.57	7-Aug	7-Nov	4,500.00	3.0
US BANCORP	030	TRA	B	13,290	16.62	n/a	n/a	664.50	5.0
NORTHPOINT	030	TTMI	B	15,536	5.55	n/a	n/a	466.08	3.0
BEAR STEARNS ASSET MGMT.	033	TWB	C	25,900	5.76	n/a	3-Nov	1,036.00	4.0
BAYPOINT TRADING/XYLEM	091	USG	B	40,147	10.82	n/a	5-Nov	1,605.88	4.0
AMATURO	018	USOKW	S	10	2.00	n/a	n/a	0.00	0.0
ZOLIDIS	011	UYG	S	1,600	7.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WMT	S	100,000	52.74	10-Oct	12-Nov	4,000.00	4.0
PECONIC PARTNERS	036	WMT	SS	200,000	52.98	10-Oct	12-Nov	10,000.00	5.0
BUCK CAPITAL MGMT	001	YUM	SS	100,000	25.30	14-Aug	20-Oct	4,000.00	4.0
US BANCORP	030	ZION	S	8,721	34.49	n/a	n/a	436.05	5.0
BUCK CAPITAL MGMT	001	ZLC	SS	10,000	12.75	n/a	n/a	400.00	4.0

TOTAL (Trade Date):

219,525.93

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/11	BAYPOINT TRADING/XYLEM (BAYXXYLEM)	091	ARA	S	10,000	10.40	n/a	n/a	400.00 4.0
AO,CXL	11/11	FIRST NY SEC/CHRIS (FNYCHRIS)	041	F	S	150,000	1.80	10-Nov	10-Nov	4500.00 3.0
AO,CRT	11/11	FIRST NY SEC/CHRIS (FNYCHRIS)	041	F	S	150,000	1.80	10-Nov	10-Nov	4500.00 3.0
AO,CXL	11/11	BARCLEYS CAPITAL (BARCFLI0)	041	FLEX	B	200,000	3.44	n/a	n/a	10000.00 5.0
AO,CRT	11/11	BARCLEYS CAPITAL (BARCFLI0)	041	FLEX	B	200,000	3.44	n/a	n/a	8000.00 4.0
AO,CXL	11/11	MFP INVESTORS (MFPIMAIN B)	032	FOR	B	5,400	5.81	n/a	3-Oct	270.00 5.0
AO,CRT	11/11	MFP INVESTORS (MFPIMAIN B)	032	FOR	B	5,400	5.81	n/a	3-Oct	216.00 4.0
AO,CRT	11/11	BUCK CAPITAL MGMT (BUCK)	015	GISLN	S	10	1.45	n/a	n/a	0.00 0.0
AO,CXL	11/11	BUCK CAPITAL MGMT (BUCK)	015	GISLN	S	10	1.45	n/a	n/a	0.00 0.0
AO,CXL	11/11	BRENCOURT (BRENGS)	028	GM	SS	50,000	3.21	10-Nov	11-Nov	0.00 0.0
AO,CRT	11/11	BRENCOURT (BRENGS)	028	GM	SS	50,000	3.21	10-Nov	11-Nov	1500.00 3.0
AO,CRT	11/11	JP MORGAN VENTURES (JPMVGS)	046	ISTA	S	100,000	0.36	n/a	n/a	2000.00 2.0
AO,	11/11	KINGDON ASSET MGMT (KINDBOA)	041	PBG	S	50,000	21.50	n/a	n/a	2000.00 4.0
AO,	11/11	BUCK CAPITAL MGMT (BUCK)	015	PEP	B	1,000	67.50	n/a	n/a	0.00 0.0
AO,CXL	11/11	BRENCOURT (BRENGS)	028	SUP	B	50,000	11.05	10-Nov	10-Nov	0.00 0.0
AO,CRT	11/11	BRENCOURT (BRENGS)	028	SUP	B	50,000	11.05	10-Nov	10-Nov	2500.00 5.0
AO,	11/11	DURANGO INVESTMENTS (DURACREDIT)	031	SYI	S	30,000	24.52	n/a	24-Apr	1200.00 4.0
AO,CXL	11/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	S	90,000	4.98	7-Aug	7-Nov	3600.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	S	90,000	4.98	7-Aug	7-Nov	2700.00 3.0

TOTAL (AO, CXL, CRT) :									6,646.00	
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TOTAL (Trade Date) :									219,525.93	
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TOTAL (AO, CXL, CRT) :									6,646.00	
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TOTAL (RUN DATE) / NFS :									226,171.93	
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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