



Daily Compliance Activity Report

Trade Date: 10/21/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	039	ADBE	B	87,465	29.35	n/a	n/a	2,623.95	3.0
COUGAR TRADING	044	AEO	B	5,000	10.84	n/a	10-Oct	250.00	5.0
MERRILL LYNCH STRATEGICI	034	AEO	B	10,000	11.13	n/a	10-Oct	500.00	5.0
LISTED ERR	099	ALB	B	9,600	23.66	n/a	n/a	0.00	0.0
LISTED ERR	099	ALB	S	9,600	23.66	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	ALV	B	9,600	22.32	17-Oct	20-Oct	307.20	3.2
LISTED ERR	099	ALV	B	9,600	22.66	17-Oct	20-Oct	0.00	0.0
LISTED ERR	099	ALV	SS	9,600	22.32	17-Oct	20-Oct	0.00	0.0
BRENCOURT	028	AN	SS	25,000	7.20	15-Oct	20-Oct	750.00	3.0
ROTHSCHILD ASSET	040	APC	S	11,980	35.44	n/a	14-Oct	539.10	4.5
COUGAR TRADING	044	ARG	S	5,000	39.73	13-Oct	13-Oct	250.00	5.0
PRINCIPLE CAPITAL	040	AVP	SS	49,100	29.82	10-Oct	10-Oct	1,473.00	3.0
CENTURION GLOBAL MGMT LL	041	BBH	S	21,000	170.77	n/a	n/a	840.00	4.0
LISTED ERR	099	BBH	B	5,800	170.76	n/a	n/a	0.00	0.0
LISTED ERR	099	BBH	S	5,800	170.77	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BIG	SS	20,000	23.46	29-May	9-Oct	800.00	4.0
PILOT ROCK	028	BTU	B	95,000	38.05	n/a	n/a	3,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	BWA	SS	44,434	23.61	10-Jun	20-Oct	1,777.36	4.0
COUGAR TRADING	044	BWA	B	5,000	24.24	10-Jun	20-Oct	250.00	5.0
MILLRACE FUND LP	028	BWA	SS	4,300	23.95	10-Jun	20-Oct	215.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	20,000	23.82	10-Jun	20-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	CHS	S	400,000	3.22	8-Aug	10-Oct	16,000.00	4.0
PILOT ROCK	028	CNX	B	100,000	37.82	n/a	n/a	4,000.00	4.0
AVESTA CAP	229	COST	SS	25,000	56.82	n/a	27-Jul	1,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	COST	C	25,900	56.81	n/a	27-Jul	1,036.00	4.0
HOLDEN CAPITAL MGMT	035	CTB	SS	20,000	7.05	n/a	n/a	1,000.00	5.0
LUCHANSKY1	036	DDM	S	200	37.74	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDR	B	1,524	14.01	n/a	n/a	60.96	4.0
DIAMONDBACK CAP MGMT	232	DELL	SS	500,000	12.95	n/a	n/a	25,000.00	5.0
KLEINHEINZ CAP PART	031	DIA	S	75,000	91.77	n/a	n/a	3,750.00	5.0
CATTANI	041	DIA	B	50	90.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DRI	S	35,900	21.27	13-Oct	13-Oct	1,436.00	4.0
BUCK CAPITAL MGMT	001	DSW	S	37,500	12.74	7-Oct	7-Oct	1,500.00	4.0
KORMAN	003	DUA	B	2,000	17.05	n/a	n/a	0.00	0.0
BRUNNER	012	DUG	B	1,000	42.81	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRUNNER	012	DUG	S	500	42.72	n/a	n/a	0.00	0.0
GAULT	063	DXD	S	1,800	77.90	n/a	n/a	0.00	0.0
SCOPUS FUND	041	EL	B	11,000	36.42	15-Aug	4-Sep	550.00	5.0
GALLEON MGMT LP	033	ENR	S	5,000	59.51	21-Oct	21-Oct	250.00	5.0
MERRILL LYNCH STRATEGICI	034	ENR	B	2,600	59.65	21-Oct	21-Oct	130.00	5.0
GAULT	063	FXP	S	500	99.85	n/a	n/a	0.00	0.0
LEDDY	035	GE	S	600	20.85	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	22.54	8-Sep	16-Oct	400.00	4.0
MAIRS AND POWER INV	030	GLW	B	20,000	11.84	n/a	23-Sep	1,000.00	5.0
HOLDEN CAPITAL MGMT	035	GNTX	S	20,000	10.10	2-Oct	20-Oct	1,000.00	5.0
TRUSTCO/SUNTRUST	040	GPI	B	39,100	8.45	10-Jun	20-Oct	1,251.20	3.2
COUGAR TRADING	044	GPS	S	5,000	13.53	n/a	17-Oct	250.00	5.0
DIAMONDBACK CAP MGMT	232	GPS	SS	30,000	13.66	n/a	17-Oct	1,500.00	5.0
BUCK	015	GSKF	S	5	4.65	n/a	n/a	0.00	0.0
BUCK	015	GSWS	B	10	2.83	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	GWV	B	3,100	79.39	3-Oct	15-Oct	124.00	4.0
HART	056	GXQXB	B	10	1.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	039	HPQ	B	73,573	39.59	n/a	n/a	2,207.19	3.0
VALHALLA CAPITAL LP	041	HPQ	B	10,000	39.77	n/a	n/a	300.00	3.0
FRONTPOINT/COPIA-ANDREW	031	HRS	S	5,500	36.35	3-Oct	3-Oct	220.00	4.0
LEDDY	035	HSC	B	400	22.52	3-Oct	3-Oct	0.00	0.0
ADAGE CAPITAL MGMT	030	JCP	SS	50,000	22.27	n/a	10-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	22.20	n/a	10-Oct	4,000.00	4.0
VALHALLA CAPITAL LP	041	JNPR	B	20,000	19.31	n/a	22-Mar	600.00	3.0
THE BOSTON COMPANY	401	JOSB	S	16,230	26.07	n/a	n/a	649.20	4.0
BASIX	033	JOYG	B	16,000	27.57	4-Sep	4-Sep	480.00	3.0
HEALY CIRCLE	044	JOYG	B	15,000	27.76	4-Sep	4-Sep	750.00	5.0
BUCK CAPITAL MGMT	001	KIM	S	100	22.80	n/a	n/a	4.00	4.0
BUCK CAPITAL MGMT	001	KMX	B	700	10.30	n/a	10-Jan	28.00	4.0
COUGAR TRADING	044	KSS	SS	15,000	32.31	n/a	10-Oct	750.00	5.0
MCCARTAN	028	KSS	B	200	32.43	n/a	10-Oct	0.00	0.0
COLE	077	LBY	B	400	3.13	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LL	S	21,800	10.18	n/a	n/a	872.00	4.0
HUNTER GLOBAL INVESTOR	067	LMT	S	69,000	85.28	n/a	n/a	3,450.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLE	077	LNET	B	300	1.37	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	SS	20,000	12.51	9-Oct	10-Oct	800.00	4.0
AVESTA CAP	229	MCD	B	25,000	55.01	13-Oct	16-Oct	1,250.00	5.0
KORMAN	003	MERPRK	B	2,600	15.80	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	MGM	B	30,900	14.36	n/a	6-Aug	927.00	3.0
HUNTER GLOBAL INVESTOR	067	MTB	SS	50,000	84.95	n/a	n/a	2,500.00	5.0
LUCHANSKY1	036	M	B	100	10.43	12-Aug	10-Oct	0.00	0.0
AAD CAPITAL	048	NDN	SS	20,000	10.49	18-Sep	9-Oct	600.00	3.0
VALHALLA CAPITAL LP	041	ORCL	B	20,000	17.82	n/a	n/a	600.00	3.0
CATTANI	041	PEP	B	50	55.20	n/a	n/a	0.00	0.0
CATTANI	041	PG	S	100	63.92	10-Oct	10-Oct	0.00	0.0
ELM RIDGE ADVISORS	044	PKG	B	123,290	18.06	11-Sep	21-Oct	4,931.60	4.0
HOLDEN CAPITAL MGMT	035	PNRA	SS	5,000	40.36	4-Sep	21-Oct	250.00	5.0
SCOPUS FUND	041	PPG	B	10,000	50.19	n/a	16-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	100,000	13.19	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	PTV	B	42,420	23.88	n/a	n/a	1,908.90	4.5
COUGAR TRADING	044	PVH	B	5,000	27.48	8-Oct	8-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	47.91	n/a	8-Oct	1,200.00	4.0
COUGAR TRADING	044	RL	B	5,000	49.92	n/a	8-Oct	250.00	5.0
BRUNNER	012	SDS	S	500	87.11	n/a	n/a	0.00	0.0
GAULT	063	SDS	S	500	90.11	n/a	n/a	0.00	0.0
CATTANI	041	SLB	S	50	56.21	n/a	n/a	0.00	0.0
BRUNNER	012	SSO	B	1,000	33.63	n/a	n/a	0.00	0.0
BRUNNER	012	SSO	S	1,000	32.26	n/a	n/a	0.00	0.0
FINANCIAL STOCK LP	028	STT	S	12,000	41.51	n/a	n/a	480.00	4.0
SOROS	036	SUP	SS	154,000	13.03	17-Oct	20-Oct	6,160.00	4.0
SINCLAIR	031	SWGOL	B	30	6.45	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGWN	S	40	3.30	n/a	n/a	0.00	0.0
KERN	050	SWNWE	B	40	1.60	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	TROW	B	12,763	39.17	19-Sep	21-Oct	510.52	4.0
HUNTER GLOBAL INVESTOR	067	TXT	B	100,000	15.98	n/a	n/a	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	UA	S	15,000	22.71	n/a	8-Oct	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	URBN	SS	5,000	23.58	14-Aug	1-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	URI	SS	100,000	9.74	8-Sep	8-Sep	4,000.00	4.0
ROSEDALE CAPITAL	046	UYG	B	25,000	10.45	n/a	n/a	1,250.00	5.0
KORMAN	003	WBPRC	B	2,700	16.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	29.60	8-Oct	8-Oct	2,000.00	4.0
KLEINHEINZ CAP PART	031	WSM	B	125,000	11.55	n/a	n/a	6,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	XOM	C	20,000	71.69	n/a	n/a	800.00	4.0
CAXTON PART	040	XTO	B	68,905	34.28	n/a	n/a	2,411.68	3.5
TOTAL (Trade Date) :								141,853.86	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/20	STRAUSS ASSET MGMT (STRAJEFUSE)	040	AN	SS	50,000	6.90	15-Oct	20-Oct	2500.00 5.0
AO,CRT	10/20	STRAUSS ASSET MGMT (STRAJEFUSE)	040	AN	SS	50,000	6.90	15-Oct	20-Oct	2000.00 4.0
AO,CXL	10/20	PALMYRA CAPITAL (PALMGSCO)	048	CAB	SS	20,000	9.12	n/a	n/a	1000.00 5.0
AO,CRT	10/20	PALMYRA CAPITAL (PALMGSCO)	048	CAB	SS	20,000	9.12	n/a	n/a	600.00 3.0
CRT	10/21	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DRI	S	35,700	21.27	13-Oct	13-Oct	1428.00 4.0
CRT	10/21	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DSW	S	37,400	12.74	7-Oct	7-Oct	1496.00 4.0
AO,CRT	10/16	OGORMAN (OGORMAN)	046	DXD	B	200	89.44	n/a	n/a	0.00 0.0
AO,CXL	10/16	OGORMAN (OGORMAN)	046	DXD	B	200	89.44	n/a	n/a	0.00 0.0
AO,CRT	10/15	OGORMAN (OGORMAN)	046	DXD	S	200	84.60	n/a	n/a	0.00 0.0
AO,CXL	10/15	OGORMAN (OGORMAN)	046	DXD	S	200	84.60	n/a	n/a	0.00 0.0
AO,CXL	10/20	STRAUSS ASSET MGMT (STRAJEFUSE)	040	MS	S	5,000	20.54	15-Sep	21-Oct	250.00 5.0
AO,CRT	10/20	STRAUSS ASSET MGMT (STRAJEFUSE)	040	MS	S	5,000	20.54	15-Sep	21-Oct	200.00 4.0
CRT	10/21	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	SS	30,000	47.91	n/a	8-Oct	1200.00 4.0
AO,CRT	10/16	OGORMAN (OGORMAN)	046	SDS	B	200	102.78	n/a	n/a	0.00 0.0
AO,CXL	10/16	OGORMAN (OGORMAN)	046	SDS	B	200	102.78	n/a	n/a	0.00 0.0
AO,CRT	10/15	OGORMAN (OGORMAN)	046	SDS	S	200	97.21	n/a	n/a	0.00 0.0
AO,CXL	10/15	OGORMAN (OGORMAN)	046	SDS	S	200	97.21	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										3,174.00

TOTAL (Trade Date):	141,853.86
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TOTAL (AO, CXL, CRT):	3,174.00
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TOTAL (RUN DATE) / NFS:	145,027.86
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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