

## **Daily Compliance Activity Report** Trade Date: 11/18/2008

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
IMPALA ASSET MMT	012	ACI	S	100,000	14.61	n/a	n/a	3,000.00	3.0
KORMAN	003	ACI	S	1,000	14.37	n/a	n/a	0.00	0.0
NORTHPOINT	030	ADS	S	15,190	40.14	n/a	n/a	607.60	4.0
KORMAN	003	AMZN	SS	3,000	40.23	n/a	n/a	0.00	0.0
BAYPOINT TRADING/XYLEM	091	ARA	s	20,368	9.28	n/a	n/a	814.72	4.0
BALYASNY ASSET MGMT	044	BEN	В	10,000	51.90	13-Nov	13-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	BKE	S	10,000	16.37	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	BRKB	S	2003,	053.60	n/a	n/a	9.00	4.5
NEUBERGER BERMAN	036	BRY	S	43,100	12.18	n/a	n/a	1,939.50	4.5
HUNTER GLOBAL INVESTOR	067	СВ	В	61,700	47.24	n/a	n/a	3,085.00	5.0
NORTHPOINT	030	CEDC	В	5,430	22.01	n/a	n/a	217.20	4.0
EFSTATHIOU	044	CENT	В	3,000	3.00	18-Nov	18-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	СНН	SS	20,000	22.23	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	CHL	S	4,800	41.32	n/a	n/a	216.00	4.5
ZOLIDIS	011	CMGB	S	200	39.26	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	:/Shr.
IMPALA ASSET MMT	012	CNI	S	50,000	36.83	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	СОН	s	50,000	14.85	8-0ct	22-0ct	2,000.00	4.0
IMPALA ASSET MMT	012	CTRP	В	346,732	19.41	n/a	n/a	10,401.96	3.0
SANDLER O'NEILL ASSET	031	С	SS	100,000	8.20	15-Sep	17-Nov	3,000.00	3.0
ZOLIDIS	011	DECK	s	100	49.93	n/a	n/a	0.00	0.0
NOLAN	067	DUG	В	67	39.65	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	DW	S	16,400	10.83	n/a	n/a	738.00	4.5
CENTURION GLOBAL MGMT LL	041	EMC	В	25,000	10.19	n/a	n/a	750.00	3.0
NEUBERGER BERMAN	036	EOG	S	2,500	78.71	n/a	n/a	112.50	4.5
EFSTATHIOU	044	EPG	s	2,000	0.36	n/a	n/a	0.00	0.0
NORTHPOINT	030	EPIQ	В	2,000	14.93	n/a	n/a	80.00	4.0
COLUMBIA DADINEDO	020	EDO	CC	24 700	27 11	22 7.1	7 Nov	742 67	3.0
				•					5.0
TREELOO TIMINERO EL	020	100		30,000	27.21	25 041	, 1101	1,000.00	o.o
ROYCE TRADING	216	FII	В	21,000	20.12	13-Nov	13-Nov	1,050.00	5.0
SIGMA CAPITAL ASSOCIATES	237	FL	SS	25,000	9.59	7-0ct	14-Nov	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	В	25 <b>,</b> 000	3.96	n/a	3-0ct	1,000.00	4.0
	IMPALA ASSET MMT  BUCK CAPITAL MGMT  IMPALA ASSET MMT  SANDLER O'NEILL ASSET  ZOLIDIS  NOLAN  NEUBERGER BERMAN  CENTURION GLOBAL MGMT LL  NEUBERGER BERMAN  EFSTATHIOU  NORTHPOINT  COLUMBIA PARTNERS TRELLUS PARTNERS LP  ROYCE TRADING  SIGMA CAPITAL ASSOCIATES	IMPALA ASSET MMT 0012  BUCK CAPITAL MGMT 0012  IMPALA ASSET MMT 012  SANDLER O'NEILL ASSET 031  ZOLIDIS 011  NOLAN 067  NEUBERGER BERMAN 036  CENTURION GLOBAL MGMT LL 041  NEUBERGER BERMAN 036  EFSTATHIOU 044  NORTHPOINT 030  COLUMBIA PARTNERS 028 TRELLUS PARTNERS LP 028  ROYCE TRADING 216  SIGMA CAPITAL ASSOCIATES 237	IMPALA ASSET MMT 012 CNI  BUCK CAPITAL MGMT 001 COH  IMPALA ASSET MMT 012 CTRP  SANDLER O'NEILL ASSET 031 C  ZOLIDIS 011 DECK  NOLAN 067 DUG  NEUBERGER BERMAN 036 DW  CENTURION GLOBAL MGMT LL 041 EMC  NEUBERGER BERMAN 036 EOG  EFSTATHIOU 044 EPG  NORTHPOINT 030 EPIQ  COLUMBIA PARTNERS 028 FDO  TRELLUS PARTNERS LP 028 FDO  ROYCE TRADING 216 FII  SIGMA CAPITAL ASSOCIATES 237 FL	BUCK CAPITAL MGMT  1MPALA ASSET MMT  1MPALA ASSE	IMPALA ASSET MMT         012         CNI         S         50,000           BUCK CAPITAL MGMT         001         COH         S         50,000           IMPALA ASSET MMT         012         CTRP         B         346,732           SANDLER O'NEILL ASSET         031         C         SS         100,000           ZOLIDIS         011         DECK         S         100           NOLAN         067         DUG         B         67           NEUBERGER BERMAN         036         DW         S         16,400           CENTURION GLOBAL MGMT LL         041         EMC         B         25,000           NEUBERGER BERMAN         036         EOG         S         2,500           EFSTATHIOU         044         EPG         S         2,000           NORTHPOINT         030         EPIQ         B         2,000           COLUMBIA PARTNERS         028         FDO         SS         30,000           ROYCE TRADING         216         FII         B         21,000           SIGMA CAPITAL ASSOCIATES         237         FL         SS         25,000	IMPALA ASSET MMT         012         CNI         S         50,000         36.83           BUCK CAPITAL MGMT         001         COH         S         50,000         14.85           IMPALA ASSET MMT         012         CTRP         B         346,732         19.41           SANDLER O'NEILL ASSET         031         C         SS         100,000         8.20           ZOLIDIS         011         DECK         S         100         49.93           NOLAN         067         DUG         B         67         39.65           NEUBERGER BERMAN         036         DW         S         16,400         10.83           CENTURION GLOBAL MGMT LL         041         EMC         B         25,000         10.19           NEUBERGER BERMAN         036         EOG         S         2,500         78.71           EFSTATHIOU         044         EPG         S         2,000         0.36           NORTHPOINT         030         EPIQ         B         2,000         14.93           COLUMBIA PARTNERS         028         FDO         SS         24,789         27.11           TRELLUS PARTNERS LP         028         FDO         SS         30,000	IMPALA ASSET MMT 012 CNI S 50,000 36.83 n/a  BUCK CAPITAL MGMT 001 COH S 50,000 14.85 8-Oct  IMPALA ASSET MMT 012 CTRP B 346,732 19.41 n/a  SANDLER O'NEILL ASSET 031 C SS 100,000 8.20 15-Sep  ZOLIDIS 011 DECK S 100 49.93 n/a  NOLAN 067 DUG B 67 39.65 n/a  NEUBERGER BERMAN 036 DW S 16,400 10.83 n/a  CENTURION GLOBAL MGMT LL 041 EMC B 25,000 10.19 n/a  NEUBERGER BERMAN 036 EOG S 2,500 78.71 n/a  EFSTATHIOU 044 EPG S 2,000 0.36 n/a  NORTHPOINT 030 EPIQ B 2,000 14.93 n/a  COLUMBIA PARTNERS 028 FDO SS 24,789 27.11 23-Jul  TRELLUS PARTNERS LP 028 FDO SS 30,000 27.24 23-Jul  ROYCE TRADING 216 FII B 21,000 20.12 13-Nov  SIGMA CAPITAL ASSOCIATES 237 FL SS 25,000 9.59 7-Oct	IMPALA ASSET MMT 012 CNI S 50,000 36.83 n/a n/a  BUCK CAPITAL MGMT 001 COH S 50,000 14.85 8-Oct 22-Oct  IMPALA ASSET MMT 012 CTRP B 346,732 19.41 n/a n/a  SANDLER O'NEILL ASSET 031 C SS 100,000 8.20 15-Sep 17-Nov  ZOLIDIS 011 DECK S 100 49.93 n/a n/a  NOLAN 067 DUG B 67 39.65 n/a n/a  NEUBERGER BERMAN 036 DW S 16,400 10.83 n/a n/a  CENTURION GLOBAL MGMT LL 041 EMC B 25,000 10.19 n/a n/a  NEUBERGER BERMAN 036 EOG S 2,500 78.71 n/a n/a  EFSTATHIOU 044 EPG S 2,000 0.36 n/a n/a  NORTHPOINT 030 EPIQ B 2,000 14.93 n/a n/a  COLUMBIA PARTNERS 028 FDO SS 24,789 27.11 23-Jul 7-Nov  TRELLUS PARTNERS LP 028 FDO SS 30,000 27.24 23-Jul 7-Nov  ROYCE TRADING 216 FII B 21,000 20.12 13-Nov 13-Nov  SIGMA CAPITAL ASSOCIATES 237 FL SS 25,000 9.59 7-Oct 14-Nov	IMPALA ASSET MMT         012         CNI         S         50,000         36.83         n/a         n/a         1,500.00           BUCK CAPITAL MGMT         001         COH         S         50,000         14.85         8-Oct         22-Oct         2,000.00           IMPALA ASSET MMT         012         CTRP         B         346,732         19.41         n/a         n/a         10,401.96           SANDLER O'NEILL ASSET         031         C         SS         100,000         8.20         15-Sep         17-Nov         3,000.00           ZOLIDIS         011         DECK         S         100         49.93         n/a         n/a         0.00           NOLAN         067         DUG         B         67         39.65         n/a         n/a         0.00           NOLAN         067         DUG         B         67         39.65         n/a         n/a         0.00           NOLAN         067         DUG         B         67         39.65         n/a         n/a         0.00           CENTURION GLOBAL MGMT LL         041         EMC         B         25,000         10.19         n/a         n/a         n/a         112.50

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	BUCK CAPITAL MGMT	001	FRT	S	10,000	48.54	n/a	n/a	400.00	4.0
	NORTHPOINT	030	FULT	В	1,200	10.33	n/a	n/a	48.00	4.0
	NORTHPOINT	030	GES	S	18,000	12.89	n/a	n/a	720.00	4.0
	BENCHMARK	028	GIII	В	10,000	8.43	n/a	n/a	500.00	5.0
	HUNTER GLOBAL INVESTOR	067	GIS	S	35,000	64.76	n/a	n/a	1,750.00	5.0
	DC CAPITAL	044	GLW	S	100,000	8.00	13-Nov	18-Nov	3 <b>,</b> 500.00	3.5
	IMPALA ASSET MMT	012	GLW	S	110,600	7.74	13-Nov	18-Nov	1,106.00	1.0
	PERRY PARTNERS	041	HPQ	SS	200,000	32.58	n/a	n/a	10,000.00	5.0
	PNC/MERCANTILE	028	HPQ	В	27,264	32.70	n/a	n/a	1,363.20	5.0
õ	Steven Maguire		HSTX	S	10000	4.9800	n/a	n/a	0.00	0.0
	WHEELER	008	HSTX	S	8,010	5.04	n/a	n/a	0.00	0.0
	J COHEN	N27	HSTX	S	180	5.38	n/a	n/a	0.00	0.0
	ZOLIDIS	011	ICON	s	500	7.73	n/a	n/a	0.00	0.0
	NEUBERGER BERMAN	036	IDC	В	16,100	20.10	n/a	n/a	724.50	4.5
	BARROW HANLEY MEWHINNEY	031	INTC	В	1,282,500	12.84	n/a	n/a	51,300.00	4.0
	EFSTATHIOU	044	IVZ	S	600	10.79	13-Nov	13-Nov	0.00	0.0
	BUCK CAPITAL MGMT	001	JCG	SS	100,000	9.93	n/a	13-Nov	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
BENNETT LAWRENCE	045	JCP	SS	27,700	16.62	17-Nov	17-Nov	1,246.50	4.5
KORMAN	003	JNY	С	6,000	5.90	n/a	30-Oct	0.00	0.0
SANDLER O'NEILL ASSET	031	JPM	В	45,000	31.24	26-Sep	17-Nov	2,250.00	5.0
KORMAN	003	KMB	С	1,000	56.54	23-Oct	23-0ct	0.00	0.0
COUGAR TRADING	044	KSS	SS	2,500	28.37	n/a	14-Nov	125.00	5.0
PHILADELPHIA FINANCIAL	033	LAZ	В	50,000	24.01	n/a	n/a	2,000.00	4.0
IMPALA ASSET MMT	012	LCC	В	275,000	6.49	n/a	n/a	2,750.00	1.0
BUCK CAPITAL MGMT	001	LOW	SS	40,000	18.64	n/a	27-Jul	1,600.00	4.0
IMPALA ASSET MMT	012	LUK	В	52,300	17.10	n/a	n/a	1,569.00	3.0
KORMAN	003	MEE	S	1,000	15.01	n/a	n/a	0.00	0.0
WHEELER	800	METPRA	В	5,000	10.10	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	MET	В	53,600	21.38	n/a	n/a	2,412.00	4.5
WHEELER	800	MET	В	5,000	19.31	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	7.53	n/a	n/a	300.00	3.0
NORTHPOINT	030	MTZ	В	1,600	8.15	n/a	n/a	48.00	3.0
COBALT	041	М	В	50,000	6.98	12-Aug	13-Nov	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. (	Shr.
CLOVIS CAPITAL	012	NKE	В	100,000	45.80	n/a	n/a	5,000.00	5.0
NEUBERGER BERMAN	036	NLY	S	15,400	12.91	n/a	n/a	693.00	4.5
PNC/MERCANTILE	028	NST	В	14,346	33.12	n/a	n/a	717.30	5.0
NORTHPOINT	030	NTLS	В	600	23.11	n/a	n/a	24.00	4.0
NORTHPOINT	030	NYB	В	1,000	14.21	n/a	n/a	40.00	4.0
NORTHPOINT	030	PBCT	В	1,400	18.39	n/a	n/a	56.00	4.0
ELM RIDGE ADVISORS	044	PKG	В	64,300	13.09	11-Sep	21-Oct	2,572.00	4.0
N STRATTON	014	PNWIF	В	2,200	1.20	n/a	n/a	0.00	0.0
NORTHPOINT	030	PRE	В	200	66.11	n/a	n/a	8.00	4.0
BENNETT LAWRENCE	045	PRU	С	53,700	18.85	n/a	n/a	2,416.50	4.5
BUCK CAPITAL MGMT	001	PSA	S	30,000	62.67	n/a	n/a	1,200.00	4.0
CASTLEROCK	040	PVH	S	178,403	15.57	7-Nov	7-Nov	7,136.12	4.0
HUNTER GLOBAL INVESTOR	067	RDK	SS	32,618	27.01	n/a	n/a	1,630.90	5.0
BARCLEYS CAPITAL	041	RL	SS	30,000	36.00	n/a	6-Nov	1,200.00	4.0
WHEELER	800	RUSHA	В	17,000	6.30	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
ZOLIDIS	011	SKF	В	100	182.92	n/a	n/a	0.00	0.0
NORTHPOINT	030	SMSI	В	20,440	5.68	n/a	n/a	613.20	3.0
NORTHPOINT	030	SRCL	S	4,210	61.50	n/a	n/a	168.40	4.0
NOLAN	067	sso	S	100	23.67	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	THO	S	18,600	15.06	n/a	n/a	837.00	4.5
ZOLIDIS	011	TIF	SS	500	19.04	n/a	3-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	S	40,000	20.26	11-Aug	12-Nov	1,600.00	4.0
THE BOSTON COMPANY	401	TLB	С	62,049	2.96	7-Aug	7-Nov	930.74	1.5
SERENGETI MGMT	030	TMK	SS	100,000	33.73	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	102,700	3.88	n/a	3-Nov	3,081.00	3.0
HUNTER GLOBAL INVESTOR	067	Т	В	405,750	26.18	n/a	4-Jan	16,230.00	4.0
ZOLIDIS	011	URBN	S	1,000	15.03	5-Nov	13-Nov	0.00	0.0
RAMIUS CAP	040	UST	S	50,000	68.73	n/a	n/a	2,500.00	5.0
BAYPOINT TRADING/XYLEM	091	VCP	S	25,457	6.66	n/a	n/a	1,018.28	4.0
BUCK CAPITAL MGMT	001	VFC	S	5,000	42.89	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
SANDLER O'NEILL ASSET	031	WFC	В	50,000	26.80	n/a	n/a	2,500.00 5.0
ZOLIDIS	011	ZQK	S	10,000	1.39	3-Nov	3-Nov	0.00 0.0

TOTAL (Trade Date): 183,299.79

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	11/14	ROSEDALE CAPITAL (ROSEGS)	046	CMI	В	10,000	21.45	14-Nov	14-Nov	600.00	6.0
AO,CRT	11/14	ROSEDALE CAPITAL (ROSEGS)	046	CMI	В	10,000	21.45	14-Nov	14-Nov	500.00	5.0
CRT	11/18	DC CAPITAL (DCCAGOLDMA)	044	GLW	S	100,000	8.00	13-Nov	18-Nov	3500.00	3.5
AO,CXL	11/17	STRAUSS ASSET MGMT (STRAJEFUSE)	040	GRA	В	15,000	4.00	n/a	n/a	600.00	4.0
AO, CRT	11/17	STRAUSS ASSET MGMT (STRAJEFUSE)	040	GRA	В	15,000	4.00	n/a	n/a	450.00	3.0
AO, CXL	11/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	s	20,000	10.06	n/a	n/a	600.00	3.0
AO, CRT	11/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	S	20,000	10.06	n/a	n/a	800.00	4.0

TOTAL (RUN DATE) / NFS:	186,749.79
TOTAL (AO, CXL, CRT):	3,450.00
TOTAL (Trade Date):	183,299.79

## Legend:

O: 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