



Daily Compliance Activity Report

Trade Date: 12/30/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	AA	SS	300,000	10.22	n/a	n/a	12,000.00	4.0
SCOPUS FUND	041	AG	B	12,500	23.30	15-Dec	19-Dec	625.00	5.0
COUGAR TRADING	044	AN	B	5,000	9.22	7-Nov	23-Dec	200.00	4.0
BUCK CAPITAL MGMT	001	BKS	SS	20,000	13.97	n/a	n/a	800.00	4.0
STRONG/MARK GRONET	030	CNST	S	445,000	0.05	n/a	n/a	4,450.00	1.0
ASCEND PARTNERS	033	DKS	SS	20,000	12.87	7-Oct	12-Dec	1,000.00	5.0
ASCEND PARTNERS	033	FDO	SS	15,000	25.11	5-Dec	19-Dec	750.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	7,900	16.18	n/a	10-Jan	316.00	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	14.99	n/a	n/a	800.00	4.0
CENTURION GLOBAL MGMT LL	041	GRMN	B	25,000	19.54	n/a	n/a	750.00	3.0
SERENGETI MGMT	030	HRC	B	86,800	16.14	n/a	n/a	4,340.00	5.0
US BANCORP	030	ISIL	B	149,186	8.99	n/a	n/a	7,459.30	5.0
COUGAR TRADING	044	JCP	B	5,000	18.35	17-Nov	12-Dec	250.00	5.0
FORD FDN.	032	JEC	S	10,000	44.56	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	LEN	B	279,315	8.41	n/a	n/a	11,172.60	4.0
DALTON GREINER	012	MLI	S	23,780	22.81	n/a	18-Nov	1,189.00	5.0
UBS OCONNOR	031	MS	C	240,000	14.80	18-Dec	18-Dec	7,200.00	3.0
SIGMA CAPITAL ASSOCIATES	237	ORLY	B	50,000	29.81	n/a	n/a	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PHG	C	20,000	19.35	n/a	n/a	600.00	3.0
COUGAR TRADING	044	PH	B	5,000	41.72	28-Sep	11-Dec	250.00	5.0
HEALY CIRCLE	044	PWR	B	10,000	18.88	n/a	n/a	400.00	4.0
SERENGETI MGMT	030	RBA	B	56,508	20.89	n/a	n/a	2,825.40	5.0
ROYCE TRADING	216	SAH	B	10,000	3.53	n/a	23-Dec	300.00	3.0
EPOCH INV MGMT	030	SCG	B	22,600	36.31	n/a	n/a	904.00	4.0
SAXON WOODS ADVISORS	038	SJM	S	36,700	42.99	n/a	n/a	1,468.00	4.0
HOLLIS CAPITAL	033	TGT	B	5,000	33.25	17-Nov	22-Dec	250.00	5.0
ROYCE TRADING	216	TIN	B	10,000	4.27	5-Dec	5-Dec	300.00	3.0
ROYCE TRADING	216	TWB	B	10,000	4.34	n/a	12-Dec	300.00	3.0
LEVIN CAPITAL STRATEGIES	012	UN	S	13,200	24.28	n/a	n/a	528.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	URI	B	10,000	8.18	29-Oct	29-Oct	500.00	5.0
EPOCH INV MGMT	030	VTR	B	22,350	31.39	n/a	n/a	894.00	4.0
EPOCH INV MGMT	030	V	B	19,950	50.57	n/a	30-Oct	798.00	4.0
EPOCH INV MGMT	030	WFR	B	21,050	13.51	n/a	n/a	842.00	4.0
EPOCH INV MGMT	030	WFT	B	26,100	10.36	n/a	n/a	1,044.00	4.0
EPOCH INV MGMT	030	XOM	B	18,550	78.51	n/a	n/a	742.00	4.0
TOTAL (Trade Date) :								69,247.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/29	CARDINAL CAPITAL (CARDPRKARL)	044	AEO	B	2,400	9.01	n/a	12-Dec	120.00 5.0
AO,CXL	12/29	CARDINAL CAPITAL (CARDMIDCAP)	044	AEO	B	2,400	9.01	n/a	12-Dec	120.00 5.0
AO,	12/29	CARDINAL CAPITAL (CARDPRKARL)	044	AMG	S	3,700	36.82	13-Nov	17-Dec	185.00 5.0
AO,CXL	12/29	CARDINAL CAPITAL (CARDMIDCAP)	044	AMG	S	3,700	36.82	13-Nov	17-Dec	185.00 5.0
AO,CXL	12/29	CARDINAL CAPITAL (CARDMIDCAP)	044	AMG	S	3,300	36.82	13-Nov	17-Dec	165.00 5.0
AO,	12/29	CARDINAL CAPITAL (CARDMIDCAP)	044	AMG	S	3,300	36.82	13-Nov	17-Dec	165.00 5.0
AO,CXL	12/29	CARDINAL CAPITAL (CARDCVEP)	044	AMG	S	19,400	36.82	13-Nov	17-Dec	970.00 5.0
AO,	12/29	CARDINAL CAPITAL (CARDCVEP)	044	AMG	S	19,400	36.82	13-Nov	17-Dec	970.00 5.0
AO,	12/29	OTC ERROR (OTC ERROR)	099	PLCE	S	2,205	19.91	21-Nov	12-Dec	0.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (RUN DATE) / NFS :	69,247.30
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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