



## Daily Compliance Activity Report

Trade Date: 10/29/2008

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	10,000	10.74	n/a	10-Oct	500.00	5.0
SUN AMERICA ASSET MGMT	030	AEO	S	70,000	10.78	n/a	10-Oct	2,800.00	4.0
ARAGON GLOBAL	041	ALU	B	68,325	2.24	n/a	n/a	2,049.75	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AMG</b>	<b>S</b>	<b>72,025</b>	<b>40.07</b>	<b>23-Oct</b>	<b>27-Oct</b>	<b>2,881.00</b>	<b>4.0</b>
SCOPUS FUND	041	ANF	SS	5,000	27.41	7-Aug	10-Oct	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	APC	B	15,000	32.56	n/a	24-Oct	600.00	4.0
ARAGON GLOBAL	041	APOL	B	11,300	65.87	n/a	n/a	565.00	5.0
COUGAR TRADING	044	ARO	B	10,000	23.71	n/a	10-Oct	500.00	5.0
COUGAR TRADING	044	ARO	S	5,000	24.15	n/a	10-Oct	250.00	5.0
<b>DEMARTINI</b>	<b>065</b>	<b>ASH</b>	<b>S</b>	<b>200</b>	<b>23.44</b>	<b>14-Jul</b>	<b>28-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>SS</b>	<b>40,000</b>	<b>23.23</b>	<b>n/a</b>	<b>27-Jul</b>	<b>1,600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>B</b>	<b>30,000</b>	<b>22.99</b>	<b>n/a</b>	<b>9-Oct</b>	<b>1,200.00</b>	<b>4.0</b>
HARVEST MGMT	039	BIG	S	20,000	21.38	n/a	9-Oct	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>B</b>	<b>30,000</b>	<b>34.33</b>	<b>n/a</b>	<b>27-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKE</b>	<b>B</b>	<b>60,000</b>	<b>39.36</b>	<b>n/a</b>	<b>n/a</b>	<b>2,400.00</b>	<b>4.0</b>
<b>HART</b>	<b>056</b>	<b>BWAWD</b>	<b>S</b>	<b>20</b>	<b>1.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>CCI</b>	<b>C</b>	<b>70,000</b>	<b>19.83</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	CE	S	25,000	13.03	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHH</b>	<b>SS</b>	<b>10,000</b>	<b>28.59</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
AVESTA CAP	229	CNX	B	20,000	26.90	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>100,000</b>	<b>18.99</b>	<b>8-Oct</b>	<b>22-Oct</b>	<b>4,000.00</b>	<b>4.0</b>
CAXTON PART	040	CPB	S	146,114	38.24	n/a	n/a	5,114.00	3.5
SCOPUS FUND	041	CRI	B	10,000	19.00	n/a	n/a	500.00	5.0
JAT CAPITAL MANAGEMENT	041	CSCO	S	84,000	18.05	n/a	22-Mar	4,200.00	5.0
THE BOSTON COMPANY	401	CTRN	B	9	13.70	n/a	n/a	0.36	4.0
SUN AMERICA ASSET MGMT	030	CVS	S	20,000	27.00	n/a	n/a	800.00	4.0
BARON ASSET MGMT*	012	CYH	B	100,000	15.66	2-Oct	2-Oct	4,000.00	4.0
NORTHPOINT	030	CYNO	S	30,900	9.08	n/a	n/a	927.00	3.0
FRONTPOINT/COPIA-ANDREW	031	CYT	B	50,000	26.18	n/a	n/a	2,000.00	4.0
STANDARD PACIFIC CAPITAL	040	DHI	B	120,000	5.34	n/a	n/a	6,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DIS</b>	<b>SS</b>	<b>30,000</b>	<b>23.81</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DKS	SS	30,000	13.81	7-Oct	7-Oct	1,200.00	4.0
BUCK CAPITAL MGMT	001	DPZ	B	100,000	5.21	n/a	24-Apr	4,000.00	4.0
KORMAN	003	DUA	S	2,000	14.84	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DV	SS	10,000	54.68	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	EDU	SS	10,000	54.91	n/a	n/a	400.00	4.0
DISCIPLINED GROWTH INV.	030	ELON	S	75,000	7.27	n/a	n/a	3,750.00	5.0
BUCK CAPITAL MGMT	001	EL	B	100,000	35.74	15-Aug	29-Oct	4,000.00	4.0
COUGAR TRADING	044	EL	SS	5,000	35.14	15-Aug	29-Oct	250.00	5.0
ARAGON GLOBAL	041	ESI	B	8,900	84.00	n/a	n/a	445.00	5.0
TRELLUS PARTNERS LP	028	EV	SS	39,000	20.75	21-Aug	27-Oct	1,950.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	20,000	28.79	23-Jul	9-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	90,000	23.72	n/a	10-Jan	3,600.00	4.0
BUCK CAPITAL MGMT	001	GES	S	155,000	21.82	n/a	n/a	6,200.00	4.0
BUCK	015	GISKN	S	10	1.80	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	GLW	B	20,000	10.25	29-Oct	29-Oct	1,000.00	5.0
OMEGA ADVISORS	041	GLW	S	400,000	10.47	29-Oct	29-Oct	12,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HART	056	GMCA	B	10	3.25	n/a	n/a	0.00	0.0
HART	056	GMXA	S	10	1.40	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	GMXR	B	39,000	31.50	n/a	n/a	1,365.00	3.5
SUN AMERICA ASSET MGMT	030	GR	B	100,000	36.57	23-Oct	23-Oct	4,000.00	4.0
MILLER	025	GR	S	25	36.50	23-Oct	23-Oct	0.00	0.0
BUCK	015	GSK	S	2,000	38.20	n/a	n/a	0.00	0.0
HART	056	GXQXB	S	10	1.80	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	HES	B	5,000	54.57	n/a	n/a	200.00	4.0
PROSPECTOR PARTNERS LLC	036	HRB	B	20,000	18.90	n/a	n/a	800.00	4.0
LEDDY	035	HSC	B	400	20.91	3-Oct	3-Oct	0.00	0.0
DENVER INST. ADV	046	HUM	S	150,000	31.52	n/a	n/a	6,000.00	4.0
BMO NESBITT BURNS	041	IP	SS	25,000	17.69	22-Sep	29-Oct	1,250.00	5.0
COUGAR TRADING	044	IP	SS	15,000	17.73	22-Sep	29-Oct	750.00	5.0
SCOPUS FUND	041	IP	SS	60,000	17.83	22-Sep	29-Oct	3,000.00	5.0
THE JAY GOLDMAN	034	IP	SS	12,500	17.80	22-Sep	29-Oct	500.00	4.0
BALYASNY ASSET MGMT	044	IVZ	B	20,000	13.36	27-Oct	27-Oct	1,000.00	5.0
BALYASNY ASSET MGMT	044	IVZ	SS	40,000	14.43	27-Oct	27-Oct	2,000.00	5.0
HEALY CIRCLE	044	IVZ	B	40,000	12.97	27-Oct	27-Oct	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>SS</b>	<b>50,000</b>	<b>18.12</b>	<b>n/a</b>	<b>17-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	JCG	S	10,000	18.01	n/a	17-Sep	500.00	5.0
AVESTA CAP	229	JCP	SS	10,000	21.42	n/a	10-Oct	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>150,000</b>	<b>19.88</b>	<b>n/a</b>	<b>10-Oct</b>	<b>6,000.00</b>	<b>4.0</b>
VALHALLA CAPITAL LP	041	JNPR	B	5,000	18.62	n/a	22-Mar	150.00	3.0
BALYASNY ASSET MGMT	044	JNS	SS	50,000	10.48	25-Jul	27-Oct	2,500.00	5.0
GRUBER MACBAINE	033	JPM	B	15,000	36.84	26-Sep	21-Oct	600.00	4.0
SUN AMERICA ASSET MGMT	030	JPM	B	3,800	37.79	26-Sep	21-Oct	152.00	4.0
&SUN	030	JPM	B	5,900	37.79	26-Sep	21-Oct	236.00	4.0
STANDARD PACIFIC CAPITAL	040	KFT	S	160,000	29.12	n/a	n/a	8,000.00	5.0
MS PRINCIPAL STRATEGIES	041	KOG	S	102,200	0.72	n/a	n/a	2,044.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>50,000</b>	<b>30.71</b>	<b>n/a</b>	<b>10-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	5,000	31.85	n/a	10-Oct	250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	29.42	n/a	10-Oct	250.00	5.0
SUN AMERICA ASSET MGMT	030	KSS	S	23,100	30.77	n/a	10-Oct	924.00	4.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>LLL</b>	<b>B</b>	<b>100</b>	<b>76.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	LM	B	50,000	17.34	29-Oct	29-Oct	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LM</b>	<b>S</b>	<b>160,000</b>	<b>17.06</b>	<b>29-Oct</b>	<b>29-Oct</b>	<b>6,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	LM	B	10,000	17.42	29-Oct	29-Oct	500.00	5.0
GREEN ARROW CAPITAL	034	LM	B	10,000	17.43	29-Oct	29-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	LM	B	50,000	18.03	29-Oct	29-Oct	1,500.00	3.0
COUGAR TRADING	044	LTD	SS	5,000	11.80	9-Oct	23-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	MAC	S	20,000	22.88	n/a	n/a	800.00	4.0
N STRATTON	014	MCDAE	S	1	34.00	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	MCD	S	31,800	58.82	13-Oct	23-Oct	1,272.00	4.0
HIGHBRIDGE/MS OLDS	041	MDR	B	125,000	13.86	n/a	n/a	5,000.00	4.0
MAGNETAR FINANCIAL	031	MDT	B	75,000	39.64	n/a	22-Apr	2,250.00	3.0
GREEN ARROW CAPITAL	034	MET	S	10,000	29.49	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	MET	S	24,600	30.85	n/a	n/a	984.00	4.0
BUCK CAPITAL MGMT	001	MFB	B	13,400	9.48	n/a	n/a	536.00	4.0
MILLRACE FUND LP	028	MMSI	SS	5,000	17.26	n/a	n/a	200.00	4.0
BUCK	015	MSKT	B	20	0.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	14.22	n/a	n/a	1,200.00	4.0
COUGAR TRADING	044	M	B	5,000	10.68	12-Aug	10-Oct	250.00	5.0
COUGAR TRADING	044	M	S	5,000	11.60	12-Aug	10-Oct	250.00	5.0
KAICHER	064	NCC	S	2,500	2.46	n/a	n/a	0.00	0.0
AAD CAPITAL	048	NDN	SS	25,000	11.10	18-Sep	9-Oct	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	NEM	B	20,000	26.53	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	NKE	SS	100,000	52.02	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	69,000	2.54	n/a	13-Oct	2,760.00	4.0
HUNTER GLOBAL INVESTOR	067	OFC	S	100,000	27.02	n/a	n/a	5,000.00	5.0
LEDDY	035	PBR	B	400	24.82	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	PCP	B	28,000	54.27	n/a	n/a	1,400.00	5.0
COUGAR TRADING	044	PFCB	B	10,000	17.55	n/a	23-Oct	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	PNRA	SS	30,000	40.63	4-Sep	21-Oct	1,200.00	4.0
JP MORGAN VENTURES	046	PVH	B	15,000	22.04	24-Oct	24-Oct	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	50,000	21.50	24-Oct	24-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	355,400	42.65	n/a	24-Oct	14,216.00	4.0
MERRILL ASSET	032	RTI	B	31,000	14.62	n/a	n/a	1,395.00	4.5
EFSTATHIOU	044	SDS	B	100	89.10	n/a	n/a	0.00	0.0
KERN	050	SDS	S	200	85.00	n/a	n/a	0.00	0.0
BUCK	015	SGPPRB	B	600	132.00	n/a	n/a	0.00	0.0
EFSTATHIOU	044	SMG	SS	300	24.46	22-Sep	22-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	SM	B	22,200	22.06	n/a	n/a	999.00	4.5
COUGAR TRADING	044	SSO	B	10,000	30.28	n/a	n/a	500.00	5.0
DSG CAPITAL	225	SSO	B	5,000	29.99	n/a	n/a	250.00	5.0
PROSPECTOR PARTNERS LLC	036	STFC	B	10,000	22.64	n/a	n/a	400.00	4.0
DECADE CAPITAL PARTNERS	040	STI	S	25,000	40.75	n/a	n/a	1,250.00	5.0
<b>HART</b>	<b>056</b>	<b>SUPWV</b>	<b>S</b>	<b>10</b>	<b>1.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KERN</b>	<b>050</b>	<b>SWNWE</b>	<b>B</b>	<b>30</b>	<b>1.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KERN</b>	<b>050</b>	<b>SWNWE</b>	<b>S</b>	<b>30</b>	<b>1.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>SS</b>	<b>80,000</b>	<b>39.23</b>	<b>n/a</b>	<b>22-Oct</b>	<b>3,200.00</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	TGT	B	50,000	40.52	n/a	22-Oct	2,000.00	4.0
CASTLEROCK	040	TLB	B	151,567	9.53	7-Aug	30-Sep	6,062.68	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	21,700	7.78	n/a	1-Oct	868.00	4.0
DECADE CAPITAL PARTNERS	040	USB	B	10,000	30.19	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>B</b>	<b>20,000</b>	<b>55.71</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
HUNTER GLOBAL INVESTOR	067	VNO	S	32,300	61.57	n/a	n/a	1,615.00	5.0
SUN AMERICA ASSET MGMT	030	VZ	S	50,000	31.15	n/a	4-Jan	2,000.00	4.0
FRONTPOINT CHRIS C	041	WMI	S	8,800	29.50	n/a	n/a	352.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	WMT	S	20,000	55.01	10-Oct	29-Oct	1,000.00	5.0
SUN AMERICA ASSET MGMT	030	WMT	B	6,900	55.69	10-Oct	29-Oct	276.00	4.0
&SUN	030	WMT	B	10,700	55.69	10-Oct	29-Oct	428.00	4.0
CASTLE ARK	031	WRC	B	41,300	26.02	24-Oct	24-Oct	2,478.00	6.0
LEVIN CAPITAL STRATEGIES	012	WYE	B	50,000	34.16	n/a	31-Mar	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	XOM	C	25,000	76.19	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>228,344.79</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	AMG	S	71,525	40.07	23-Oct	27-Oct	2861.00 4.0
CRT	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	154,900	21.82	n/a	n/a	6196.00 4.0
AO,CXL	10/28	BULL PATH CAPITAL (BULLJPHQ)	044	LAMR	B	13,776	12.96	n/a	n/a	688.80 5.0
AO,	10/28	BULL PATH CAPITAL (BULLJPHQ)	044	LAMR	B	12,167	12.96	n/a	n/a	608.35 5.0
AO,CXL	10/28	BULL PATH CAPITAL (BULLBOAGS)	044	LAMR	B	30,224	12.96	n/a	n/a	1511.20 5.0
AO,	10/28	BULL PATH CAPITAL (BULLBOAGS)	044	LAMR	B	31,833	12.96	n/a	n/a	1591.65 5.0
CRT	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LM	S	158,900	17.06	29-Oct	29-Oct	6356.00 4.0
AO,CXL	10/28	SATELITE/BOBBY (SATBCITI)	044	M	S	25,000	9.47	12-Aug	10-Oct	1000.00 4.0
AO,CRT	10/28	SATELITE/BOBBY (SATBCITI)	044	M	S	25,000	9.47	12-Aug	10-Oct	750.00 3.0
AO,CRT	10/28	STELLIAM INV ADV (STLLGSBULK)	040	NEM	S	20,000	22.76	n/a	n/a	1000.00 5.0
AO,CXL	10/28	STELLIAM INV ADV (STLLMSEXEC)	040	NEM	S	20,000	22.76	n/a	n/a	1000.00 5.0
AO,CRT	10/28	STELLIAM INV ADV (STLLGSBULK)	040	SNDK	B	65,000	7.86	n/a	n/a	1950.00 3.0
AO,CXL	10/28	STELLIAM INV ADV (STLLMSEXEC)	040	SNDK	B	65,000	7.86	n/a	n/a	3250.00 5.0
AO,CXL	10/28	SATELITE/BOBBY (SATBCITI)	044	XLY	SS	25,000	19.47	n/a	n/a	1000.00 4.0
AO,CRT	10/28	SATELITE/BOBBY (SATBCITI)	044	XLY	SS	25,000	19.47	n/a	n/a	750.00 3.0

**TOTAL (AO, CXL, CRT) :****13,613.00**

TOTAL (Trade Date) :

228,344.79

TOTAL (AO, CXL, CRT) :

13,613.00

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TOTAL (RUN DATE) / NFS:

241,957.79

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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