



Daily Compliance Activity Report

Trade Date: 12/05/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE/MS OLDS	041	AA	SS	56,900	8.02	n/a	n/a	2,845.00	5.0
HIGHBRIDGE/MS OLDS	041	ACS	B	9,000	40.20	n/a	n/a	450.00	5.0
NATIONAL BK OF CAN	031	AFL	B	11,000	43.47	n/a	n/a	440.00	4.0
LISTED ERR	099	ALV	B	218	19.45	26-Nov	26-Nov	0.00	0.0
BENCHMARK	028	AMGN	B	2,500	57.54	n/a	26-Jan	125.00	5.0
FORWARD MGMT	033	ARMH	B	10,000	3.78	n/a	n/a	500.00	5.0
AMATURO	018	BGU	B	3,000	30.57	n/a	n/a	0.00	0.0
AMATURO	018	BGZ	S	1,000	77.27	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	BIG	C	66,500	15.49	5-Dec	5-Dec	2,660.00	4.0
THIRD POINT MGMT	044	BIG	C	75,000	14.42	5-Dec	5-Dec	3,000.00	4.0
BUCK CAPITAL MGMT	001	BKE	B	20,000	23.80	n/a	n/a	800.00	4.0
COUGAR TRADING	044	BWA	B	10,000	22.05	26-Nov	26-Nov	500.00	5.0
COUGAR TRADING	044	BWA	SS	5,000	20.40	26-Nov	26-Nov	250.00	5.0
TRELLUS PARTNERS LP	028	BWA	C	10,000	20.60	26-Nov	26-Nov	500.00	5.0
CATAPULT	040	CAT	S	4,000	37.17	19-Sep	22-Oct	200.00	5.0
MTB INV ADV	034	CCI	B	21,275	17.02	n/a	n/a	1,063.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	CE	B	5,448	11.04	n/a	n/a	272.40	5.0
BEAR STEARNS ASSET MGMT.	033	CHS	B	125,000	2.67	5-Dec	5-Dec	3,750.00	3.0
BUCK CAPITAL MGMT	001	CHS	B	200,000	3.19	5-Dec	5-Dec	8,000.00	4.0
COUGAR TRADING	044	CHS	B	10,000	2.54	5-Dec	5-Dec	300.00	3.0
BUCK CAPITAL MGMT	001	CLX	SS	30,000	55.25	3-Nov	3-Nov	1,200.00	4.0
HIGHBRIDGE/MS OLDS	041	COF	SS	82,100	30.84	n/a	3-Dec	4,105.00	5.0
FORWARD MGMT	033	CRYP	B	6,000	2.43	n/a	n/a	300.00	5.0
CATAPULT	040	CVA	S	5,435	18.50	n/a	n/a	271.75	5.0
AMATURO	018	DAVXF	S	20	4.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DSW	SS	18,900	10.41	14-Nov	25-Nov	756.00	4.0
VISIUM/BALY HOWARD	038	DSW	SS	5,000	9.67	14-Nov	25-Nov	250.00	5.0
FIRST INV MGMT CORP	029	DVN	S	159,300	58.74	n/a	20-Nov	7,168.50	4.5
KINGDON ASSET MGMT	041	EMC	B	100,000	10.24	n/a	n/a	4,000.00	4.0
LISTED ERR	099	EMC	S	400	10.24	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	EMS	B	29,700	30.13	n/a	n/a	1,336.63	4.5
FORWARD MGMT	033	EXPD	B	1,500	31.52	n/a	n/a	75.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	130,000	22.52	5-Dec	5-Dec	5,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE/MS OLDS	041	FLR	B	7,900	45.04	n/a	n/a	395.00	5.0
BUCK CAPITAL MGMT	001	FL	S	100,000	6.63	7-Oct	21-Nov	3,000.00	3.0
TYND	091	FOR	B	16,900	3.64	n/a	3-Oct	507.00	3.0
BALYASNY ASSET MGMT	044	GNTX	SS	10,400	8.59	22-Oct	26-Nov	520.00	5.0
DISIPLINED GROWTH INV.	030	GNTX	B	100,000	8.66	22-Oct	26-Nov	5,000.00	5.0
GLOBAL 56 LLC	060	GTI	B	3,500	5.93	n/a	n/a	175.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	78,800	12.75	n/a	n/a	3,152.00	4.0
ASCEND PARTNERS	033	HD	C	60,000	23.12	n/a	27-Jul	3,000.00	5.0
CENTURION PARTNERS	255	HIG	S	50,000	15.33	n/a	n/a	2,500.00	5.0
NATIONAL BK OF CAN	031	HIG	SS	35,000	14.96	n/a	n/a	1,400.00	4.0
HUNTER GLOBAL INVESTOR	067	HOT	SS	150,000	15.24	n/a	n/a	6,000.00	4.0
AMATURO	018	HYP	B	3,000	1.62	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	IFF	B	20,000	28.18	30-Oct	3-Dec	800.00	4.0
CATAPULT	040	IP	SS	12,500	10.62	22-Sep	5-Dec	625.00	5.0
COUGAR TRADING	044	JCP	SS	2,500	20.52	17-Nov	5-Dec	125.00	5.0
BAIRD INVESTMENT	031	JOYG	S	7,895	17.13	4-Sep	4-Dec	394.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	KR	B	25,000	27.15	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	100,000	9.06	18-Nov	5-Dec	3,000.00	3.0
WASHINGTON ASSET	048	MCD	S	8,000	58.82	13-Oct	5-Dec	400.00	5.0
MERRILL ASSET	032	MET	B	12,000	26.41	n/a	n/a	540.00	4.5
COUGAR TRADING	044	M	SS	10,000	8.48	12-Aug	5-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	NKE	B	50,000	51.42	n/a	n/a	2,000.00	4.0
CATAPULT	040	NX	S	8,000	6.54	n/a	n/a	320.00	4.0
COUGAR TRADING	044	PAG	SS	10,000	6.37	n/a	31-Oct	400.00	4.0
ROYCE TRADING	216	PAG	S	32,000	6.12	n/a	31-Oct	1,600.00	5.0
MILLRACE FUND LP	028	PFCB	SS	5,000	19.50	n/a	14-Nov	200.00	4.0
CATAPULT	040	PH	B	3,500	36.63	28-Sep	17-Oct	175.00	5.0
MERRILL ASSET	032	PRU	B	39,000	23.23	n/a	n/a	1,755.00	4.5
AMATURO	018	PRU	SS	1,000	24.33	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	B	50,000	9.05	n/a	n/a	1,500.00	3.0
KINGDON ASSET MGMT	041	RIMM	B	150,000	39.46	n/a	n/a	6,000.00	4.0
CENTURION PARTNERS	255	SCHW	S	50,000	18.06	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEMARTINI	065	SDS	B	500	96.67	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	S	232,115	18.49	11-Aug	5-Dec	9,284.60	4.0
DENVER INST. ADV	046	TJX	S	295,100	19.26	11-Aug	5-Dec	11,804.00	4.0
FORWARD MGMT	033	TROW	B	1,500	31.76	19-Sep	2-Dec	75.00	5.0
HIGHBRIDGE/MS OLDS	041	TWC	SS	12,900	20.62	n/a	4-Jan	645.00	5.0
MTB INV ADV	034	TWTC	B	63,950	7.32	n/a	4-Jan	3,197.50	5.0
EGS ASSOCIATES LP	091	TYC	B	3,500	20.31	12-Nov	18-Nov	210.00	6.0
HUNTER GLOBAL INVESTOR	067	USB	SS	36,000	28.12	n/a	n/a	1,800.00	5.0
HUNTER GLOBAL INVESTOR	067	WFC	SS	34,500	29.05	n/a	n/a	1,725.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	80,000	17.52	7-Nov	7-Nov	3,200.00	4.0
CATAPULT	040	XRT	SS	8,600	17.78	n/a	n/a	430.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	377,989	1.18	3-Nov	3-Nov	7,559.78	2.0
TOTAL (Trade Date) :								139,883.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/04	PERFORMANCE PART LP #2 (PERPP2PART)	041	ACI	B	10,000	13.33	n/a	n/a	300.00 3.0
AO,	12/04	PERFORMANCE PART LP #2 (PERPP2PART)	041	ACI	B	10,000	13.33	n/a	n/a	500.00 5.0
AO,	12/04	LISTED ERR (LISTED ERR)	098	ALV	S	218	19.33	26-Nov	26-Nov	0.00 0.0
AO,CRT	12/04	CADIAN CAPITAL (CADIGS)	067	BBBY	B	40,000	23.16	n/a	n/a	1600.00 4.0
AO,	12/04	CADIAN CAPITAL (CADIGS)	067	BBBY	B	2,800	23.16	n/a	n/a	0.00 0.0
AO,CXL	12/04	CADIAN CAPITAL (CADIMS)	067	BBBY	B	42,800	23.16	n/a	n/a	1712.00 4.0
AO,CRT	12/04	CADIAN CAPITAL (CADIGS)	067	BBBY	S	2,800	23.17	n/a	n/a	0.00 0.0
AO,CXL	12/04	CADIAN CAPITAL (CADIMS)	067	BBBY	S	2,800	23.17	n/a	n/a	112.00 4.0
AO,CRT	12/04	VISIUM/BALY HOWARD (VISHJPM)	038	DSW	SS	20,000	10.09	14-Nov	25-Nov	1000.00 5.0
AO,CXL	12/04	VISIUM/BALY HOWARD (VISHMS)	038	DSW	SS	20,000	10.09	14-Nov	25-Nov	1000.00 5.0
AO,CRT	12/04	SAXON WOODS ADVISORS (SAXODYNDIV)	038	MCK	S	55,100	32.98	n/a	n/a	2204.00 4.0
AO,CXL	12/04	SAXON WOODS ADVISORS (SAXODYNBAL)	038	MCK	S	55,100	32.98	n/a	n/a	2204.00 4.0
AO,CXL	12/04	PERFORMANCE PART LP #2 (PERPP2PART)	041	SLV	B	25,000	9.39	n/a	n/a	750.00 3.0
AO,	12/04	PERFORMANCE PART LP #2 (PERPP2PART)	041	SLV	B	25,000	9.39	n/a	n/a	1250.00 5.0
AO,CXL	12/04	PERFORMANCE PART LP #2 (PERPP2PART)	041	UYG	B	20,000	5.38	n/a	n/a	600.00 3.0
AO,	12/04	PERFORMANCE PART LP #2 (PERPP2PART)	041	UYG	B	20,000	5.38	n/a	n/a	1000.00 5.0
AO,	12/04	BANK OF NEW YORK (BONETS378)	046	V	B	8,950	51.81	n/a	30-Oct	447.50 5.0
AO,	12/04	BANK OF NEW YORK (BONETS377)	046	V	B	11,650	51.81	n/a	30-Oct	582.50 5.0
TOTAL (AO, CXL, CRT) :										1,906.00

TOTAL (Trade Date):	139,883.66
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TOTAL (RUN DATE) / NFS:	141,789.66
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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