



## Daily Compliance Activity Report

Trade Date: 10/31/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRANITE CAPITAL	045	AAPL	B	6,000	106.70	n/a	n/a	300.00	5.0
TRUSTCO/SUNTRUST	040	ABG	S	30,000	3.14	n/a	31-Oct	960.00	3.2
SERENGETI MGMT	030	ACAS	SS	100,000	13.83	n/a	n/a	5,000.00	5.0
SAXON WOODS ADVISORS	038	ADM	S	10,000	21.58	18-Aug	8-Oct	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>100,000</b>	<b>10.90</b>	<b>n/a</b>	<b>10-Oct</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	S	5,000	11.31	n/a	10-Oct	250.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>APL</b>	<b>B</b>	<b>500</b>	<b>17.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WAGONHOUND/NIC	048	ARG	B	459	37.32	24-Oct	27-Oct	18.36	4.0
COUGAR TRADING	044	ARO	S	5,000	24.24	n/a	10-Oct	250.00	5.0
RAMIUS CAP	040	ARO	C	174,189	24.30	n/a	10-Oct	8,709.45	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>SS</b>	<b>20,000</b>	<b>25.95</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	BMR	S	110,700	13.08	n/a	n/a	4,981.50	4.5
<b>MCERLEAN</b>	<b>N16</b>	<b>CAL</b>	<b>S</b>	<b>1,000</b>	<b>19.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	CBRL	B	12,500	20.17	n/a	n/a	625.00	5.0
MATRIX ASSET ADV.	036	CCL	B	7,800	23.94	n/a	26-Jan	312.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	CHUX	B	5,000	7.55	n/a	n/a	250.00	5.0
AVESTA CAP	229	CLX	B	44,000	62.64	15-Oct	15-Oct	2,200.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CMG</b>	<b>SS</b>	<b>15,000</b>	<b>49.61</b>	<b>23-Oct</b>	<b>23-Oct</b>	<b>600.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>COF</b>	<b>C</b>	<b>1,000</b>	<b>39.72</b>	<b>n/a</b>	<b>17-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	COH	B	5,000	21.32	8-Oct	22-Oct	250.00	5.0
GRANITE CAPITAL	045	CSCO	S	30,000	17.63	n/a	22-Mar	1,500.00	5.0
PRINCIPLE CAPITAL	040	CVS	B	104,700	30.53	n/a	n/a	3,141.00	3.0
NORTHPOINT	030	CYNO	S	39,631	8.56	n/a	n/a	1,188.93	3.0
<b>KAICHER</b>	<b>064</b>	<b>C</b>	<b>S</b>	<b>2,000</b>	<b>13.54</b>	<b>15-Sep</b>	<b>21-Oct</b>	<b>0.00</b>	<b>0.0</b>
MILLRACE FUND LP	028	DSW	B	20,000	12.73	7-Oct	7-Oct	800.00	4.0
<b>OGORMAN</b>	<b>046</b>	<b>DXD</b>	<b>B</b>	<b>300</b>	<b>69.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>EEM</b>	<b>B</b>	<b>100</b>	<b>25.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	EL	SS	5,000	33.95	15-Aug	29-Oct	250.00	5.0
MUHLENKAMP FUND	046	ETN	B	197,000	45.19	21-Oct	21-Oct	9,850.00	5.0
DISIPLINED GROWTH INV.	030	EXBD	B	41,862	29.86	n/a	n/a	2,093.10	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	FDO	SS	4,000	27.43	23-Jul	30-Oct	160.00	4.0
SERENGETI MGMT	030	FII	S	100,000	24.47	6-Oct	27-Oct	5,000.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>FRED</b>	<b>SS</b>	<b>1,000</b>	<b>12.50</b>	<b>n/a</b>	<b>27-Mar</b>	<b>0.00</b>	<b>0.0</b>
PHILADELPHIA FINANCIAL	033	GBL	B	117	35.75	19-Sep	27-Oct	4.68	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>30,000</b>	<b>24.95</b>	<b>n/a</b>	<b>10-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>38,700</b>	<b>21.58</b>	<b>n/a</b>	<b>n/a</b>	<b>1,548.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	GE	S	36,475	19.59	n/a	n/a	1,459.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>GIL</b>	<b>S</b>	<b>3,000</b>	<b>22.61</b>	<b>8-Sep</b>	<b>16-Oct</b>	<b>0.00</b>	<b>0.0</b>
DIAMONDBACK CAP MGMT	232	GPS	C	25,000	12.75	n/a	17-Oct	1,250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>GS</b>	<b>S</b>	<b>100</b>	<b>88.95</b>	<b>15-Sep</b>	<b>21-Oct</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	HBI	B	10,000	17.79	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	HCBK	B	18,650	18.61	n/a	n/a	746.00	4.0
EPOCH INV MGMT	030	HD	S	34,550	23.52	n/a	27-Jul	1,382.00	4.0
HARVEST MGMT	039	HOTT	B	50,000	6.50	n/a	10-Oct	2,500.00	5.0
COUGAR TRADING	044	IP	B	10,000	17.57	22-Sep	31-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	IRM	B	10,000	23.63	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	IWM	SS	25,000	53.64	n/a	n/a	1,250.00	5.0
BUCK	015	IWO	B	1,000	54.37	n/a	n/a	0.00	0.0
BUCK	015	JCP	SS	1,500	22.79	n/a	10-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	B	50,000	11.17	n/a	30-Oct	2,000.00	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	104,550	0.76	n/a	n/a	2,091.00	2.0
COLE	077	LNET	B	600	0.86	n/a	n/a	0.00	0.0
AVESTA CAP	229	LOW	B	25,000	20.84	n/a	27-Jul	1,250.00	5.0
Õ Mark Megalli		LVS	S	1500	12.2400	n/a	n/a	0.00	0.0
Õ Mark Megalli		LVS	S	2000	11.8000	n/a	n/a	0.00	0.0
KAICHER	064	LVS	S	2,000	14.15	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	MHP	S	24,450	26.49	n/a	n/a	978.00	4.0
EPOCH INV MGMT	030	MMM	S	8,835	63.43	21-Oct	21-Oct	353.40	4.0
BUCK	015	MRK	B	1,500	31.14	n/a	n/a	0.00	0.0
COUGAR TRADING	044	M	S	5,000	12.38	12-Aug	10-Oct	250.00	5.0
VISIUM/BALY HOWARD	038	M	B	40,400	11.97	12-Aug	10-Oct	2,020.00	5.0
CROWLEY	061	NQI	S	1,500	11.39	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JAT CAPITAL MANAGEMENT	041	NVDA	S	100,000	8.78	n/a	n/a	3,000.00	3.0
GRANITE CAPITAL	045	PAG	B	19,300	8.54	n/a	31-Oct	965.00	5.0
TRUSTCO/SUNTRUST	040	PAG	B	50,000	8.50	n/a	31-Oct	1,600.00	3.2
TRELLUS PARTNERS LP	028	PCAR	B	30,000	28.94	3-Oct	22-Oct	1,500.00	5.0
BMO NESBITT BURNS	041	PCL	B	25,000	35.30	n/a	15-Oct	1,250.00	5.0
EPOCH INV MGMT	030	PFE	S	56,710	17.99	n/a	31-Mar	2,268.40	4.0
<b>N STRATTON</b>	<b>014</b>	<b>PG</b>	<b>B</b>	<b>198</b>	<b>64.15</b>	<b>10-Oct</b>	<b>30-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>PKG</b>	<b>B</b>	<b>200</b>	<b>16.96</b>	<b>11-Sep</b>	<b>21-Oct</b>	<b>0.00</b>	<b>0.0</b>
MILLRACE FUND LP	028	PRGS	SS	5,000	21.47	n/a	n/a	200.00	4.0
PRENTICE	038	PSUN	B	25,000	3.49	n/a	10-Oct	750.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>100,000</b>	<b>24.21</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>4,000.00</b>	<b>4.0</b>
<b>KAICHER</b>	<b>064</b>	<b>RIG</b>	<b>B</b>	<b>500</b>	<b>84.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>RIO</b>	<b>S</b>	<b>600</b>	<b>13.25</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>RL</b>	<b>SS</b>	<b>40,000</b>	<b>46.91</b>	<b>n/a</b>	<b>24-Oct</b>	<b>1,600.00</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	RL	B	195,000	46.65	n/a	24-Oct	9,750.00	5.0
MORRISON/TLB/BAYPOINT	040	RWT	B	20,000	14.24	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	SAH	B	10,000	3.56	n/a	29-Oct	400.00	4.0
OGORMAN	046	SDS	B	200	83.00	n/a	n/a	0.00	0.0
KERN	050	SDS	B	250	86.63	n/a	n/a	0.00	0.0
GAULT	063	SDS	B	600	85.20	n/a	n/a	0.00	0.0
MERRILL ASSET	032	SF	S	9,772	45.35	n/a	n/a	488.60	5.0
BUCK	015	SGPPRB	S	600	133.45	n/a	n/a	0.00	0.0
ZOLIDIS	011	SHOO	C	1,000	21.50	n/a	n/a	0.00	0.0
MERRILL ASSET	032	SM	B	27,600	23.89	n/a	n/a	1,242.00	4.5
BUCK	015	SPG	S	800	64.74	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SPY	B	100	98.03	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGOL	S	20	7.60	n/a	n/a	0.00	0.0
KERN	050	SWNWG	B	20	3.50	n/a	n/a	0.00	0.0
MAGUIRE	039	SWN	S	300	36.06	n/a	31-Oct	0.00	0.0
LATEFF MGMT	035	TIN	B	15,000	5.70	29-Oct	29-Oct	750.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	27.16	11-Aug	10-Oct	800.00	4.0
THE BOSTON COMPANY	401	TLB	SS	36,000	9.62	7-Aug	30-Sep	1,440.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SERENGETI MGMT	030	TROW	SS	61,450	39.41	19-Sep	27-Oct	3,072.50	5.0
THIRD POINT MGMT	044	URBN	C	200,000	21.59	14-Aug	1-Oct	8,000.00	4.0
BUCK CAPITAL MGMT	001	VFC	B	20,000	55.63	n/a	n/a	800.00	4.0
ARTX	304	VRSN	S	83,500	21.28	n/a	n/a	4,175.00	5.0
BUCK	015	WFC	B	1,000	33.69	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	WMT	S	20,000	55.57	10-Oct	29-Oct	1,000.00	5.0
BMO NESBITT BURNS	041	WY	S	25,000	36.97	n/a	15-Oct	1,250.00	5.0
JP MORGAN VENTURES	046	XRT	C	10,000	22.92	n/a	n/a	300.00	3.0
PILOT ADV	038	X	B	8,000	36.51	n/a	n/a	320.00	4.0
COUGAR TRADING	044	ZQK	B	30,000	2.62	8-Oct	8-Oct	900.00	3.0
COUGAR TRADING	044	ZQK	S	30,000	2.53	8-Oct	8-Oct	900.00	3.0
PORTER-ORLIN-FELDMAN	044	ZQK	B	150,000	2.67	8-Oct	8-Oct	7,500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>136,492.92</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/30	COUGAR TRADING (COUGPB MS)	044	AN	B	5,000	6.31	15-Oct	20-Oct	250.00 5.0
AO,CRT	10/30	COUGAR TRADING (COUGPB MS)	044	AN	B	5,000	6.31	15-Oct	20-Oct	200.00 4.0
AO,CXL	10/29	JAT CAPITAL MANAGEMENT (JATCPERSHI)	041	CSCO	S	84,000	18.05	n/a	22-Mar	4200.00 5.0
AO,CRT	10/29	JAT CAPITAL MANAGEMENT (JATCPERSHI)	041	CSCO	S	84,000	18.05	n/a	22-Mar	3360.00 4.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI1BOS7)	030	ELON	S	100	7.57	n/a	n/a	5.00 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI1BOS10)	030	ELON	S	50	7.57	n/a	n/a	2.50 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190SKL)	030	ELON	S	3,125	7.57	n/a	n/a	156.25 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI1BOS4)	030	ELON	S	350	7.57	n/a	n/a	17.50 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI1BOS14)	030	ELON	S	75	7.57	n/a	n/a	3.75 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI1BOS11)	030	ELON	S	50	7.57	n/a	n/a	2.50 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI1CIOS1)	030	ELON	S	175	7.57	n/a	n/a	8.75 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190PWM)	030	ELON	S	150	7.57	n/a	n/a	7.50 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190BLO)	030	ELON	S	1,425	7.57	n/a	n/a	71.25 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190ACS)	030	ELON	S	1,250	7.57	n/a	n/a	62.50 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190194)	030	ELON	S	3,650	7.57	n/a	n/a	182.50 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190BOW)	030	ELON	S	5,500	7.57	n/a	n/a	275.00 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190CFT)	030	ELON	S	1,200	7.57	n/a	n/a	60.00 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190KNI)	030	ELON	S	3,325	7.57	n/a	n/a	166.25 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190194)	030	ELON	S	9,825	7.57	n/a	n/a	491.25 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISIOMINBU)	030	ELON	S	31,225	7.57	n/a	n/a	1561.25 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI19507)	030	ELON	S	4,450	7.57	n/a	n/a	222.50 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190D40)	030	ELON	S	1,650	7.57	n/a	n/a	82.50 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190PWM)	030	ELON	S	575	7.57	n/a	n/a	28.75 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190PWM)	030	ELON	S	525	7.57	n/a	n/a	26.25 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190PWM)	030	ELON	S	200	7.57	n/a	n/a	10.00 5.0
AO,	10/30	DISIPLINED GROWTH INV. (DISI190LEU)	030	ELON	S	875	7.57	n/a	n/a	43.75 5.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/30	DISCIPLINED GROWTH INV. (DISI190PWM)	030	ELON	S	100	7.57	n/a	n/a	5.00 5.0
AO,	10/30	DISCIPLINED GROWTH INV. (DISI1BOS6)	030	ELON	S	75	7.57	n/a	n/a	3.75 5.0
AO,	10/30	DISCIPLINED GROWTH INV. (DISI1BOS8)	030	ELON	S	75	7.57	n/a	n/a	3.75 5.0
AO,CXL	10/30	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ETN	S	300	46.88	21-Oct	21-Oct	12.00 4.0
AO,CRT	10/30	BUCK CAPITAL MGMT (BUCKGIL)	001	ETN	S	300	46.88	21-Oct	21-Oct	12.00 4.0
CRT	10/31	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GCO	B	30,000	24.95	n/a	10-Jan	1200.00 4.0
AO,CXL	10/30	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	800	21.50	n/a	n/a	32.00 4.0
AO,CRT	10/30	BUCK CAPITAL MGMT (BUCKGIL)	001	GES	S	800	21.50	n/a	n/a	32.00 4.0
AO,CXL	10/30	CASTLEROCK (CASTMS)	040	TLB	B	60,892	10.00	7-Aug	30-Sep	2435.68 4.0
AO,CRT	10/30	CASTLEROCK (CASTMERRIL)	040	TLB	B	60,892	10.00	7-Aug	30-Sep	2435.68 4.0
AO,CXL	10/30	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TWB	B	30,000	8.24	n/a	31-Oct	1200.00 4.0
AO,CRT	10/30	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TWB	B	30,000	8.24	n/a	31-Oct	900.00 3.0
AO,	10/30	BANK OF NEW YORK (BONEMAIN)	046	WFR	S	315,815	15.56	n/a	n/a	15790.75 5.0
AO,	10/30	UBS OCONNOR (UBSOCITI)	031	XLF	C	49,005	14.83	n/a	n/a	1470.15 3.0
AO,	10/30	UBS OCONNOR (UBSOCSFBCO)	031	XLF	C	85,995	14.83	n/a	n/a	2579.85 3.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>23,350.75</b>	

TOTAL (Trade Date) : 136,492.92

TOTAL (AO, CXL, CRT):

23,350.75

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**TOTAL (RUN DATE) / NFS:**

**159,843.67**

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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