



Daily Compliance Activity Report

Trade Date: 12/22/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	036	AA	B	12,000	9.34	n/a	n/a	360.00	3.0
NWQ INVESTMENT MGMT CO	048	AGU	B	75,950	28.54	n/a	n/a	3,038.00	4.0
SERENGETI MGMT	030	AMB	B	124,500	21.15	n/a	n/a	6,225.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	99,300	16.66	n/a	12-Dec	3,972.00	4.0
SERENGETI MGMT	030	BAC	S	150,000	13.36	15-Oct	12-Dec	7,500.00	5.0
BUCK CAPITAL MGMT	001	BKS	SS	60,000	13.26	n/a	n/a	2,400.00	4.0
BRENCOURT	028	BWA	SS	25,000	21.49	16-Dec	16-Dec	1,250.00	5.0
BUCK CAPITAL MGMT	001	CBL	S	2,200	7.78	n/a	n/a	66.00	3.0
ROTHSCHILD ASSET	040	CIR	S	20,720	24.56	n/a	n/a	932.40	4.5
LEVIN CAPITAL STRATEGIES	012	CL	SS	40,000	65.44	14-Oct	13-Nov	1,600.00	4.0
MATRIX ASSET ADV.	036	COP	B	4,000	49.65	n/a	n/a	160.00	4.0
BEAR STEARNS ASSET MGMT.	033	COST	C	25,000	52.76	n/a	27-Jul	1,000.00	4.0
RAMIUS CAP	040	DEL	SS	15,200	42.84	n/a	n/a	760.00	5.0
BUCK CAPITAL MGMT	001	DIS	B	20,000	21.59	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SERENGETI MGMT	030	DRE	B	112,500	10.73	n/a	n/a	5,625.00	5.0
MATRIX ASSET ADV.	036	DVN	B	10,000	64.72	n/a	20-Nov	400.00	4.0
TRELLUS PARTNERS LP	028	FDO	C	15,000	24.88	5-Dec	19-Dec	750.00	5.0
TYNDALL	091	FOR	B	114,300	6.18	n/a	3-Oct	3,429.00	3.0
SCOPUS FUND	041	GES	SS	40,000	14.02	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	HBI	S	100,000	12.74	n/a	n/a	4,000.00	4.0
PROSPECTOR PARTNERS LLC	036	HGT	S	11,000	14.62	n/a	n/a	440.00	4.0
BUCK CAPITAL MGMT	001	IFF	S	28,100	28.14	30-Oct	3-Dec	1,124.00	4.0
BUCK CAPITAL MGMT	001	IVZ	S	80,200	12.96	13-Nov	19-Dec	3,208.00	4.0
COUGAR TRADING	044	JCG	B	5,000	11.53	n/a	12-Dec	250.00	5.0
BMO NESBITT BURNS	041	JCP	SS	25,000	19.53	17-Nov	12-Dec	1,250.00	5.0
COUGAR TRADING	044	JCP	SS	2,500	19.16	17-Nov	12-Dec	125.00	5.0
MARINER/TRICADIA	041	JCP	SS	83,300	18.75	17-Nov	12-Dec	2,499.00	3.0
PZENA INV ADV	044	JCP	B	2,900	18.70	17-Nov	12-Dec	101.50	3.5
BUCK CAPITAL MGMT	001	KCP	S	30,000	6.44	n/a	28-Sep	900.00	3.0
BEAR STEARNS ASSET MGMT.	033	KSS	S	30,000	34.37	n/a	12-Dec	1,200.00	4.0
COUGAR TRADING	044	KSS	SS	5,000	34.32	n/a	12-Dec	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRENCOURT	028	MGA	SS	12,400	28.65	n/a	n/a	620.00	5.0
Õ Joel Tiss		MMTIF	B	20000	0.0650	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	MW	SS	50,000	13.53	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	M	S	200,000	9.74	12-Aug	12-Dec	6,000.00	3.0
COUGAR TRADING	044	M	SS	5,000	9.83	12-Aug	12-Dec	200.00	4.0
MARINER/TRICADIA	041	M	SS	150,000	9.41	12-Aug	12-Dec	3,000.00	2.0
BUCK CAPITAL MGMT	001	NKE	B	20,000	48.65	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	048	NWL	S	107,500	9.54	n/a	n/a	3,225.00	3.0
STANDARD PACIFIC CAPITAL	040	PAG	B	166,101	7.18	n/a	31-Oct	8,305.05	5.0
RAMIUS CAP	040	PCH	B	60,000	23.80	n/a	11-Dec	3,000.00	5.0
RAMIUS CAP	040	PCL	S	64,000	34.71	n/a	18-Dec	3,200.00	5.0
COUGAR TRADING	044	PFCB	SS	10,000	21.66	n/a	14-Nov	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PG	SS	20,000	59.59	10-Oct	12-Dec	800.00	4.0
COUGAR TRADING	044	PLCE	SS	2,500	18.96	21-Nov	12-Dec	125.00	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	43.12	n/a	6-Nov	400.00	4.0
COUGAR TRADING	044	RL	B	1,000	42.69	n/a	6-Nov	50.00	5.0
COUGAR TRADING	044	RL	SS	1,500	44.96	n/a	6-Nov	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STANDARD PACIFIC CAPITAL	040	SBH	B	200,000	5.45	n/a	n/a	8,000.00	4.0
PROSPECTOR PARTNERS LLC	036	SJT	B	6,500	24.14	n/a	n/a	260.00	4.0
COUGAR TRADING	044	TIF	B	2,400	22.42	n/a	12-Dec	120.00	5.0
MATRIX ASSET ADV.	036	VLO	B	8,000	20.75	n/a	n/a	320.00	4.0
BUCK CAPITAL MGMT	001	VNO	S	30,000	57.29	n/a	n/a	1,200.00	4.0
MARINER/TRICADIA	041	XRT	B	30,000	19.38	n/a	n/a	900.00	3.0
TOTAL (Trade Date):								101,214.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CLX	SS	30,000	53.60	3-Nov	3-Nov	1200.00 4.0
AO,CRT	12/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CLX	SS	39,400	53.60	3-Nov	3-Nov	1576.00 4.0
AO,	12/19	RAMIUS CAP (RAMICSFB)	040	DEL	SS	11,700	46.66	n/a	n/a	585.00 5.0
AO,CRT	12/19	VISIUM/BALY HOWARD (VISHJPM)	038	DSW	SS	20,000	11.64	14-Nov	19-Dec	1000.00 5.0
AO,CXL	12/19	VISIUM/BALY HOWARD (VISHMS)	038	DSW	SS	20,000	11.64	14-Nov	19-Dec	1000.00 5.0
AO,	12/19	ROBX (ROBX147)	033	HAE	B	1,040	54.66	n/a	n/a	41.60 4.0
AO,	12/19	ROBX (ROBX130)	033	HAE	B	120	54.66	n/a	n/a	4.80 4.0
AO,	12/19	ROBX (ROBX66)	033	HAE	B	290	54.66	n/a	n/a	11.60 4.0
AO,	12/19	ROBX (ROBX342)	033	HAE	B	9,650	54.66	n/a	n/a	386.00 4.0
AO,	12/19	ROBX (ROBX166)	033	HAE	B	40	54.66	n/a	n/a	1.60 4.0
AO,	12/19	ROBX (ROBX341)	033	HAE	B	1,730	54.66	n/a	n/a	69.20 4.0
AO,	12/19	ROBX (ROBX136)	033	HAE	B	600	54.66	n/a	n/a	24.00 4.0
AO,CXL	12/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	100,000	10.44	12-Aug	12-Dec	4000.00 4.0
AO,CRT	12/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	150,000	10.44	12-Aug	12-Dec	6000.00 4.0
AO,CXL	12/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	SKX	S	25,000	12.29	n/a	13-Mar	1000.00 4.0
AO,CRT	12/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	SKX	S	50,000	12.29	n/a	13-Mar	2000.00 4.0
TOTAL (AO, CXL, CRT) :										4,499.80

TOTAL (Trade Date) :

101,214.95

TOTAL (AO, CXL, CRT):

4,499.80

TOTAL (RUN DATE) / NFS:

105,714.75

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