



Daily Compliance Activity Report

Trade Date: 12/16/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	B	20,000	31.90	n/a	n/a	800.00	4.0
COUGAR TRADING	044	ALV	SS	5,000	20.73	26-Nov	16-Dec	250.00	5.0
HOLDEN CAPITAL MGMT	035	ALV	SS	20,000	20.78	26-Nov	16-Dec	1,000.00	5.0
BUCK CAPITAL MGMT	001	AVP	B	30,000	23.08	3-Nov	9-Dec	1,200.00	4.0
PRINCIPLE CAPITAL	040	AVP	SS	45,300	23.09	3-Nov	9-Dec	1,359.00	3.0
MAGNETAR FINANCIAL	031	BBT	B	30,000	27.80	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	BKE	S	10,000	21.59	n/a	n/a	400.00	4.0
ARAGON GLOBAL	041	CMCSA	B	98,400	16.24	n/a	4-Jan	2,952.00	3.0
TRELLUS PARTNERS LP	028	CMI	B	30,000	25.43	14-Nov	11-Dec	1,500.00	5.0
AVESTA CAP	229	COV	S	15,000	34.46	n/a	n/a	750.00	5.0
MERRILL ASSET	032	CVS	S	35,000	27.39	n/a	n/a	1,575.00	4.5
BUCK CAPITAL MGMT	001	DIS	B	20,000	23.21	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	DIS	SS	85,500	23.51	n/a	n/a	4,275.00	5.0
ROBX	302	DTV	S	25,000	23.13	n/a	4-Jan	1,000.00	4.0
MERRILL ASSET	032	EDU	B	6,000	53.38	n/a	n/a	270.00	4.5
HUNTER GLOBAL INVESTOR	067	EQIX	B	65,000	51.35	n/a	n/a	2,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	EXPD	B	8,000	32.99	n/a	n/a	400.00	5.0
MARINER/TRICADIA	041	FDML	S	3,500	3.60	n/a	n/a	175.00	5.0
TYNDALL	091	FOR	B	5,500	4.88	n/a	3-Oct	165.00	3.0
BUCK CAPITAL MGMT	001	GES	B	199,500	14.13	n/a	n/a	7,980.00	4.0
FINANCIAL STOCK LP	028	GET	SS	100,000	11.14	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	GIL	B	5,000	9.50	11-Dec	12-Dec	200.00	4.0
WEISS PECK	040	GIL	B	28,600	9.17	11-Dec	12-Dec	1,144.00	4.0
COUGAR TRADING	044	GYMB	SS	5,000	22.05	7-Nov	16-Dec	250.00	5.0
PRINCIPLE CAPITAL	040	HEI	B	11,000	30.48	n/a	n/a	330.00	3.0
BENCHMARK	028	HOTT	B	15,000	8.26	n/a	12-Dec	600.00	4.0
BUCK CAPITAL MGMT	001	HOT	B	30,000	15.12	n/a	n/a	1,200.00	4.0
MAGNETAR FINANCIAL	031	HTS	S	50,000	23.94	n/a	n/a	1,500.00	3.0
MERRILL ASSET	032	IPI	B	25,000	19.71	n/a	n/a	1,125.00	4.5
BUCK CAPITAL MGMT	001	ITW	B	136,500	31.78	25-Nov	9-Dec	5,460.00	4.0
SANDLER O'NEILL ASSET	031	JPM	S	50,000	30.05	26-Sep	20-Nov	2,500.00	5.0
SANDLER O'NEILL ASSET	031	LM	S	25,200	21.29	29-Oct	12-Dec	1,260.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	MTW	S	25,000	8.97	20-Oct	23-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	M	B	50,000	8.48	12-Aug	12-Dec	1,500.00	3.0
BUCK CAPITAL MGMT	001	NKE	B	100,000	48.75	n/a	n/a	4,000.00	4.0
MAGNETAR FINANCIAL	031	NLY	B	15,000	14.91	n/a	n/a	450.00	3.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	9.18	16-Dec	16-Dec	400.00	4.0
HUNTER GLOBAL INVESTOR	067	NWSA	SS	248,500	8.08	n/a	n/a	7,455.00	3.0
PZENA INV ADV	044	OMC	B	5,225	27.39	n/a	n/a	182.88	3.5
LOCUS WOOD CAPITAL MGMT	044	ORCL	S	50,000	16.75	n/a	n/a	2,000.00	4.0
RAINIER INV MGMT	035	PAYX	S	38,945	25.50	n/a	n/a	1,947.25	5.0
BMO NESBITT BURNS	041	PCH	S	25,000	26.14	n/a	11-Dec	1,250.00	5.0
BMO NESBITT BURNS	041	PCL	B	25,000	33.51	n/a	15-Oct	1,250.00	5.0
AVESTA CAP	229	RIG	S	10,000	56.00	n/a	n/a	500.00	5.0
GRANAHAN INV	039	STNR	S	4,600	26.62	n/a	n/a	184.00	4.0
ARAGON GLOBAL	041	S	B	230,000	1.88	n/a	n/a	4,600.00	2.0
DSG CAPITAL	225	TEX	S	7,500	17.00	23-Oct	23-Oct	375.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	VRX	SS	25,000	20.93	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	WAG	B	10,000	25.71	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	WFC	SS	20,000	27.72	n/a	n/a	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	WFC	B	108,000	27.74	n/a	n/a	5,400.00	5.0
MERRILL ASSET	032	WGO	B	6,500	4.69	n/a	n/a	292.50	4.5
BUCK CAPITAL MGMT	001	WRC	B	161,500	17.21	7-Nov	7-Nov	6,460.00	4.0
BALYASNY ASSET MGMT	044	XL	B	140,000	3.56	n/a	n/a	4,200.00	3.0
TOTAL (Trade Date):								96,266.63	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	12/15	SANDLER O'NEILL ASSET (SANOJPMBS)	031	BK	B	25,000	26.02	9-Oct	12-Dec	1250.00	5.0
AO,CRT	12/15	SANDLER O'NEILL ASSET (SANOJPMBS)	031	BK	B	300	26.02	9-Oct	12-Dec	15.00	5.0
AO,CRT	12/15	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	8,300	4.17	n/a	n/a	415.00	5.0
AO,CXL	12/15	TRIBE CAP/MILLENNIUM (TRICMLPICS)	041	FDML	S	8,300	4.17	n/a	n/a	415.00	5.0
AO,CXL	12/12	COOPER CREEK PART (COOPGS)	028	GT	S	20,000	5.46	n/a	n/a	1000.00	5.0
AO,CRT	12/12	COOPER CREEK PART (COOPGS)	028	GT	S	20,000	5.46	n/a	n/a	600.00	3.0
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTSEP465)	215	PG	B	1,000	59.19	10-Oct	12-Dec	35.00	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTLUXNA)	215	PG	B	12,100	59.19	10-Oct	12-Dec	423.50	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTSEP588)	215	PG	B	2,800	59.19	10-Oct	12-Dec	98.00	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTSEP596)	215	PG	B	240	59.19	10-Oct	12-Dec	8.40	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTIMSCI)	215	PG	B	8,600	59.19	10-Oct	12-Dec	301.00	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTSEPCO3)	215	PG	B	7,100	59.19	10-Oct	12-Dec	248.50	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTAIMCCC)	215	PG	B	7,300	59.19	10-Oct	12-Dec	255.50	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTGIGAE)	215	PG	B	10,200	59.19	10-Oct	12-Dec	357.00	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTBALPE)	215	PG	B	22,000	59.19	10-Oct	12-Dec	770.00	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTPTCAD)	215	PG	B	2,100	59.19	10-Oct	12-Dec	73.50	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTBALFE)	215	PG	B	5,000	59.19	10-Oct	12-Dec	175.00	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTBRICK7)	215	PG	B	600	59.19	10-Oct	12-Dec	21.00	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTPLCF)	215	PG	B	28,700	59.19	10-Oct	12-Dec	1004.50	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTPLCP)	215	PG	B	62,800	59.19	10-Oct	12-Dec	2198.00	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTBERMUQ)	215	PG	B	60	59.19	10-Oct	12-Dec	2.10	3.5
AO,	12/15	AELTUS/ING IVESTMENT MGT (AELTLUXECL)	215	PG	B	1,200	59.19	10-Oct	12-Dec	42.00	3.5
CRT	12/16	AVESTA CAP (AVESDEUTSC)	229	RIG	S	10,000	56.00	n/a	n/a	500.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/12	HARVEST MGMT (HARVGSCO)	039	SKS	SS	25,000	4.26	n/a	n/a	1250.00 5.0
AO,CRT	12/12	HARVEST MGMT (HARVGSCO)	039	SKS	SS	25,000	4.26	n/a	n/a	750.00 3.0
AO,	12/15	ARAGON GLOBAL (ARAGGS)	041	SLV	B	116,000	10.52	n/a	n/a	5800.00 5.0
AO,CXL	12/15	ROSEDALE CAPITAL (ROSEGS)	046	TDC	B	30,000	14.69	n/a	n/a	1800.00 6.0
AO,CRT	12/15	ROSEDALE CAPITAL (ROSEGS)	046	TDC	B	30,000	14.69	n/a	n/a	1500.00 5.0

TOTAL (AO, CXL, CRT) :	9,878.00
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TOTAL (Trade Date) :	96,266.63
TOTAL (AO, CXL, CRT) :	9,878.00

TOTAL (RUN DATE) / NFS :	106,144.63
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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