



Daily Compliance Activity Report

Trade Date: 11/03/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	ABT	S	3,100	55.69	n/a	22-Apr	186.00	6.0
COUGAR TRADING	044	AEO	S	15,000	11.17	n/a	3-Nov	750.00	5.0
EPOCH INV MGMT	030	AMP	B	88,250	21.56	n/a	n/a	3,530.00	4.0
CASTLE ARK	031	AMZN	B	100	57.09	n/a	n/a	6.00	6.0
RBC CAPITAL MARKETS	034	AMZN	SS	5,000	56.30	n/a	n/a	200.00	4.0
APEX CAPITAL MGMT.	091	ANF	S	108,100	28.16	7-Aug	3-Nov	4,324.00	4.0
COUGAR TRADING	044	ANF	SS	15,000	28.66	7-Aug	3-Nov	750.00	5.0
CASTLE ARK	031	ANSS	S	500	28.22	n/a	n/a	30.00	6.0
CASEY CAPITAL	067	AN	SS	20,000	6.63	15-Oct	20-Oct	1,000.00	5.0
CASTLE ARK	031	APOL	B	6,000	68.89	n/a	n/a	360.00	6.0
PRINCIPLE CAPITAL	040	AVP	B	61,100	24.77	3-Nov	3-Nov	1,833.00	3.0
COLE	077	BAM	S	100	18.49	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	BBBY	SS	200,000	25.14	n/a	n/a	8,000.00	4.0
AVESTA CAP	229	BBY	SS	25,000	28.52	n/a	27-Jul	1,250.00	5.0
HEALY CIRCLE	044	BBY	B	20,000	28.75	n/a	27-Jul	800.00	4.0
RBC CAPITAL MARKETS	034	BBY	B	15,000	28.25	n/a	27-Jul	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	BHI	S	10,000	32.81	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	034	BKS	SS	10,000	17.94	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	091	BRCM	B	300,000	17.26	n/a	n/a	12,000.00	4.0
CAMBIAR CAP	046	BRL	S	40,000	64.42	18-Jul	28-Oct	1,600.00	4.0
BUCK	015	BUD	B	150	63.30	n/a	n/a	0.00	0.0
COLE	077	BZ	B	2,000	0.81	n/a	n/a	0.00	0.0
YORK CAPITAL	036	CI	S	212,920	17.10	n/a	n/a	8,516.80	4.0
COUGAR TRADING	044	COH	B	5,000	20.61	8-Oct	22-Oct	250.00	5.0
ROBX	302	COO	B	3,600	16.91	n/a	n/a	144.00	4.0
RBC CAPITAL MARKETS	034	COST	B	10,000	53.44	n/a	27-Jul	400.00	4.0
CATTANI	041	DIA	S	50	93.73	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	DIN	SS	35,000	17.02	n/a	n/a	1,400.00	4.0
GAULT	063	FXP	B	500	86.57	n/a	n/a	0.00	0.0
CASTLE ARK	031	GENZ	S	6,500	73.38	n/a	n/a	390.00	6.0
BUCK CAPITAL MGMT	001	GES	S	50,000	22.80	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	GILD	S	3,500	47.05	n/a	n/a	210.00	6.0
CASTLE ARK	031	GIL	S	400	23.92	8-Sep	16-Oct	24.00	6.0
MAIRS AND POWER INV	030	GLW	B	20,000	11.10	29-Oct	29-Oct	1,000.00	5.0
CASTLE ARK	031	GME	S	200	27.32	n/a	n/a	12.00	6.0
BUCK	015	GSK	S	400	39.21	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HAS	B	50,000	28.36	n/a	n/a	2,000.00	4.0
PENNANT CAP MGMT	029	HBAN	SS	300,000	9.50	n/a	n/a	6,000.00	2.0
N STRATTON	014	HEMGF	B	600	1.44	n/a	n/a	0.00	0.0
COLE	077	HEMGF	B	600	1.46	n/a	n/a	0.00	0.0
AVESTA CAP	229	HPQ	SS	15,000	38.91	n/a	n/a	750.00	5.0
PENNANT CAP MGMT	029	HRC	SS	37,500	23.48	n/a	n/a	1,125.00	3.0
CASTLE ARK	031	INTC	B	12,100	16.02	n/a	n/a	726.00	6.0
CASTLE ARK	031	IP	S	200	16.60	22-Sep	31-Oct	12.00	6.0
BUCK	015	IWO	S	1,000	56.05	n/a	n/a	0.00	0.0
CASTLE ARK	031	JBHT	B	3,400	28.63	n/a	n/a	204.00	6.0
BUCK CAPITAL MGMT	001	JCP	SS	50,000	22.73	n/a	3-Nov	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	JWN	B	5,000	16.41	17-Oct	3-Nov	200.00	4.0
CASTLE ARK	031	KSS	S	600	34.35	n/a	3-Nov	36.00	6.0
EPOCH INV MGMT	030	LM DIA	S	60,000	16.85	n/a	n/a	2,400.00	4.0
APEX CAPITAL MGMT.	091	LOW	S	74,800	21.18	n/a	27-Jul	2,992.00	4.0
AVESTA CAP	229	LOW	B	20,000	21.12	n/a	27-Jul	1,000.00	5.0
PILOT ROCK	028	LOW	SS	159,000	21.07	n/a	27-Jul	6,360.00	4.0
BUCK	015	MCD	S	200	57.00	13-Oct	3-Nov	0.00	0.0
JP MORGAN VENTURES	046	MDR	S	25,000	16.20	n/a	n/a	1,250.00	5.0
BUCK	015	MRK	B	250	29.78	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PAG	SS	5,000	8.56	n/a	31-Oct	200.00	4.0
CATTANI	041	PEP	S	50	57.34	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	PKG	B	73,040	16.39	11-Sep	21-Oct	3,652.00	5.0
RBC CAPITAL MARKETS	034	PLCE	B	10,000	32.73	21-Aug	3-Nov	400.00	4.0
CASTLE ARK	031	PRE	B	1,500	67.38	n/a	n/a	90.00	6.0
EGS ASSOCIATES LP	091	PVH	B	4,500	23.28	24-Oct	24-Oct	270.00	6.0
CASTLE ARK	031	QCOM	S	100	37.11	n/a	n/a	6.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	RL	S	5,000	47.09	n/a	24-Oct	250.00	5.0
KLEINHEINZ CAP PART	031	RL	B	50,000	47.40	n/a	24-Oct	2,500.00	5.0
CASTLE ARK	031	RRC	B	1,300	39.35	n/a	n/a	78.00	6.0
APEX CAPITAL MGMT.	091	RSH	C	99,500	12.95	n/a	n/a	3,980.00	4.0
BUCK	015	SPG	B	800	64.64	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SSO	B	10,000	31.94	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	SUP	SS	13,600	15.04	17-Oct	20-Oct	680.00	5.0
RBC CAPITAL MARKETS	034	TGT	SS	3,000	40.31	n/a	3-Nov	120.00	4.0
CASTLE ARK	031	TJX	S	5,000	26.60	11-Aug	3-Nov	300.00	6.0
RBC CAPITAL MARKETS	034	TJX	SS	2,500	26.51	11-Aug	3-Nov	100.00	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	17,400	8.09	n/a	3-Nov	696.00	4.0
SAXON WOODS ADVISORS	038	TWC	B	250,000	19.99	n/a	4-Jan	7,500.00	3.0
COUGAR TRADING	044	URBN	SS	5,000	21.82	14-Aug	3-Nov	250.00	5.0
RAMIUS CAP	040	URBN	C	205,300	20.90	14-Aug	3-Nov	10,265.00	5.0
WHEELER	008	UXI	S	8,000	27.00	n/a	n/a	0.00	0.0
BUCK	015	WFC	B	500	34.30	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WFT	S	34,850	15.13	n/a	n/a	1,394.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	WMB	S	451,298	20.00	n/a	n/a	16,923.69	3.8
CASTLE ARK	031	WMT	S	200	56.98	10-Oct	3-Nov	12.00	6.0
CASTLE ARK	031	WRC	B	3,000	29.28	24-Oct	24-Oct	180.00	6.0
APEX CAPITAL MGMT.	091	WSM	S	75,000	9.10	n/a	n/a	2,250.00	3.0
RBC CAPITAL MARKETS	034	WSM	SS	45,000	9.22	n/a	n/a	1,800.00	4.0
CASTLE ARK	031	XTO	B	2,800	34.60	n/a	n/a	168.00	6.0
RBC CAPITAL MARKETS	034	YUM	B	10,000	29.18	14-Aug	20-Oct	400.00	4.0
BMO NESBITT BURNS	041	ZQK	B	50,000	2.88	3-Nov	3-Nov	2,500.00	5.0
PERFORMANCE PART LP #2	041	ZQK	B	30,000	2.70	3-Nov	3-Nov	900.00	3.0
TOTAL (Trade Date) :								137,885.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/31	HARVEST MGMT (HARVGSCO)	039	HOTT	B	50,000	6.50	n/a	3-Nov	2500.00 5.0
AO,CRT	10/31	HARVEST MGMT (HARVGSCO)	039	HOTT	B	50,000	6.50	n/a	3-Nov	1500.00 3.0
AO,CRT	10/31	COUGAR TRADING (COUGCITI)	044	M	S	5,000	12.38	12-Aug	3-Nov	250.00 5.0
AO,CXL	10/31	COUGAR TRADING (COUGPB MS)	044	M	S	5,000	12.38	12-Aug	3-Nov	250.00 5.0
CRT	11/03	EGS ASSOCIATES LP (EGASBANC O)	091	PVH	B	4,500	23.28	24-Oct	24-Oct	270.00 6.0
AO,CXL	10/31	CUMBERLAND (CUMBMS04)	038	SAH	B	10,000	3.56	n/a	29-Oct	400.00 4.0
AO,CRT	10/31	CUMBERLAND (CUMBMS04)	038	SAH	B	10,000	3.56	n/a	29-Oct	300.00 3.0
TOTAL (AO, CXL, CRT) :										-830.00

TOTAL (Trade Date):	137,885.49
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TOTAL (RUN DATE) / NFS:	137,055.49
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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