



Daily Compliance Activity Report

Trade Date: 10/30/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARP	023	AAPL	S	100	111.77	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	ABG	S	25,350	3.00	n/a	20-Oct	811.18	3.2
APEX CAPITAL MGMT.	091	ADBE	B	40,000	27.38	n/a	n/a	1,600.00	4.0
COUGAR TRADING	044	AEO	B	5,000	11.75	n/a	10-Oct	250.00	5.0
WHITE PINE CAPITAL	030	AG	B	8,675	29.38	n/a	27-Oct	433.75	5.0
COUGAR TRADING	044	AN	B	5,000	6.31	15-Oct	20-Oct	250.00	5.0
LUCHANSKY1	036	AOC	B	300	40.06	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	AVP	S	18,400	22.28	10-Oct	10-Oct	920.00	5.0
PRINCIPLE CAPITAL	040	AVP	B	116,000	21.91	10-Oct	10-Oct	3,480.00	3.0
KORMAN	003	AVP	C	2,000	20.76	10-Oct	10-Oct	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	BBBY	SS	21,700	25.27	n/a	n/a	868.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	20,000	24.61	n/a	27-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	23.36	n/a	9-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	BJ	B	20,000	34.94	n/a	27-Jul	800.00	4.0
Steven Maguire		CAL	B	2500	16.9400	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	CAM	B	6,100	23.83	n/a	n/a	305.00	5.0
BUCK CAPITAL MGMT	001	CMG	SS	10,000	56.87	23-Oct	23-Oct	400.00	4.0
SCOPUS FUND	041	COST	B	5,000	56.26	n/a	27-Jul	250.00	5.0
SCOPUS FUND	041	CRI	B	10,000	19.82	n/a	n/a	500.00	5.0
JENNISON	032	CSCO	S	2,100,000	17.77	n/a	22-Mar	77,700.00	3.7
NORTHPOINT	030	CYNO	S	15,700	8.82	n/a	n/a	471.00	3.0
SERENGETI MGMT	030	C	B	225,000	13.19	15-Sep	21-Oct	11,250.00	5.0
Ö Steven Maguire		DAL	B	10000	9.5500	n/a	n/a	0.00	0.0
LUCHANSKY1	036	DE	B	300	37.46	14-Aug	14-Aug	0.00	0.0
APEX CAPITAL MGMT.	091	DLB	SS	50,000	30.50	n/a	n/a	2,000.00	4.0
APEX CAPITAL MGMT.	091	DLR	B	114,000	31.89	n/a	n/a	4,560.00	4.0
JMP ASSET MGMT	210	DM	S	3,500	3.94	n/a	n/a	175.00	5.0
EGS ASSOCIATES LP	091	DRI	B	3,500	20.49	13-Oct	13-Oct	210.00	6.0
BUCK CAPITAL MGMT	001	EL	B	50,000	35.13	15-Aug	29-Oct	2,000.00	4.0
CENTURION GLOBAL MGMT LL	041	EMC	B	124,000	11.30	n/a	n/a	3,720.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASIX	033	ENR	B	13,000	51.64	21-Oct	21-Oct	390.00	3.0
BUCK CAPITAL MGMT	001	ETN	S	42,400	46.88	21-Oct	21-Oct	1,696.00	4.0
MUHLENKAMP FUND	046	ETN	B	103,000	45.76	21-Oct	21-Oct	5,150.00	5.0
TRELLUS PARTNERS LP	028	EV	SS	11,000	21.22	21-Aug	27-Oct	550.00	5.0
AVESTA CAP	229	FAST	SS	15,000	39.05	n/a	n/a	750.00	5.0
LED DY	035	FIG	B	2,000	3.54	n/a	n/a	0.00	0.0
HOOVER INV. MGMT	033	FST	B	143,300	26.82	n/a	n/a	5,732.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	24.06	n/a	10-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	GES	S	134,600	21.50	n/a	n/a	5,384.00	4.0
Õ Jason Cohen		GLW	B	100	9.9900	29-Oct	29-Oct	0.00	0.0
MAIRS AND POWER INV	030	GLW	B	20,000	10.57	29-Oct	29-Oct	1,000.00	5.0
COUGAR TRADING	044	GPS	S	10,000	12.44	n/a	17-Oct	500.00	5.0
SINCLAIR	031	GSDT	S	20	16.20	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	HCBK	S	50,000	18.30	n/a	n/a	2,000.00	4.0
KACELA CAPITAL	034	HOG	S	20,000	24.14	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	031	HON	S	13,093	30.26	3-Oct	17-Oct	654.65	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	HPQ	SS	10,000	36.78	n/a	n/a	500.00	5.0
TROUBH PART	067	HRS	B	25,000	35.79	30-Oct	30-Oct	1,250.00	5.0
BALYASNY ASSET MGMT	044	IP	B	15,000	16.33	22-Sep	29-Oct	750.00	5.0
BMO NESBITT BURNS	041	IP	B	25,000	16.74	22-Sep	29-Oct	1,250.00	5.0
COUGAR TRADING	044	IP	B	5,000	18.64	22-Sep	29-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	21.57	n/a	10-Oct	4,000.00	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	38,800	0.75	n/a	n/a	1,940.00	5.0
THE JAY GOLDMAN	034	KSS	S	10,000	33.18	n/a	10-Oct	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	LM	B	10,000	18.97	29-Oct	29-Oct	400.00	4.0
SERENGETI MGMT	030	LM	B	100,000	20.40	29-Oct	29-Oct	5,000.00	5.0
Õ Mark Megalli		LVS	B	5000	10.8100	n/a	n/a	0.00	0.0
KAICHER	064	LVS	B	2,000	10.90	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	LWSN	S	142,000	5.20	n/a	n/a	2,840.00	2.0
CR INTRINIC INVESTMENT	044	MRK	B	27,708	30.07	n/a	n/a	1,385.40	5.0
SENATOR INVESTMENT GROUP	036	NUE	B	25,000	37.44	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	PAG	B	50,000	7.01	n/a	20-Oct	1,600.00	3.2
APEX CAPITAL MGMT.	091	PBRA	S	156,500	21.51	n/a	n/a	6,260.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	PCAR	B	300	27.98	3-Oct	22-Oct	0.00	0.0
AMBER CAPITAL	046	PETM	B	75,000	19.49	n/a	n/a	3,000.00	4.0
FRONTPOINT CHRIS C	041	PFE	S	26,500	17.57	n/a	31-Mar	1,060.00	4.0
PRINCIPLE CAPITAL	040	PG	SS	37,000	62.49	10-Oct	30-Oct	1,480.00	4.0
PRENTICE	038	PSUN	B	45,100	3.37	n/a	10-Oct	1,353.00	3.0
COUGAR TRADING	044	PVH	B	10,000	22.45	24-Oct	24-Oct	500.00	5.0
EGS ASSOCIATES LP	091	PVH	B	3,500	22.22	24-Oct	24-Oct	210.00	6.0
MERRILL ASSET	032	PVH	B	13,500	22.33	24-Oct	24-Oct	607.50	4.5
APEX CAPITAL MGMT.	091	QCOM	S	30,000	38.21	n/a	n/a	1,200.00	4.0
FIRST NEW YORK LEDDY	035	Q	B	20,000	2.53	n/a	n/a	1,200.00	6.0
BUCK CAPITAL MGMT	001	RL	SS	60,000	43.77	n/a	24-Oct	2,400.00	4.0
COUGAR TRADING	044	RL	B	6,400	43.37	n/a	24-Oct	320.00	5.0
KAICHER	064	SBAC	S	1,000	20.00	n/a	n/a	0.00	0.0
ZOLIDIS	6TM	SHOEQ	C	600	0.02	n/a	n/a	0.00	0.0
SAXON WOODS ADVISORS	038	SJM	S	50,000	43.12	n/a	n/a	2,000.00	4.0
DSG CAPITAL	225	SSO	B	5,000	31.58	n/a	n/a	250.00	5.0
SINCLAIR	031	SWGOL	B	20	8.75	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTPOINT/COPIA-ANDREW	031	SWN	B	76,000	33.10	n/a	24-Oct	2,660.00	3.5
JP MORGAN VENTURES	046	TGT	C	41,500	38.88	n/a	22-Oct	2,075.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	70,000	27.22	11-Aug	10-Oct	2,800.00	4.0
CASTLEROCK	040	TLB	B	188,400	10.00	7-Aug	30-Sep	7,536.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	30,000	8.24	n/a	1-Oct	1,200.00	4.0
Õ Steven Maguire		UAUA	B	5000	13.1800	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	UHS	S	8,293	39.62	28-Oct	28-Oct	373.20	4.5
COUGAR TRADING	044	URBN	B	5,000	21.08	14-Aug	1-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	VFC	B	10,000	54.47	n/a	n/a	400.00	4.0
FRONTPOINT CHRIS C	041	WMI	S	15,900	30.79	n/a	n/a	636.00	4.0
COUGAR TRADING	044	WMT	S	5,000	54.28	10-Oct	29-Oct	250.00	5.0
CASTLE ARK	031	WRC	B	50,080	26.21	24-Oct	24-Oct	3,004.80	6.0
CAXTON PART	040	WU	B	112,981	15.29	n/a	n/a	3,954.35	3.5
TOTAL (Trade Date):								209,355.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/29	ARAGON GLOBAL (ARAGGS)	041	ALU	B	68,325	2.24	n/a	n/a	2049.75 3.0
AO,CXL	10/29	ARAGON GLOBAL (ARAGMORGAN)	041	ALU	B	68,325	2.24	n/a	n/a	2049.75 3.0
AO,CRT	10/29	ARAGON GLOBAL (ARAGGS)	041	APOL	B	11,300	65.87	n/a	n/a	565.00 5.0
AO,CXL	10/29	ARAGON GLOBAL (ARAGMORGAN)	041	APOL	B	11,300	65.87	n/a	n/a	565.00 5.0
AO,CXL	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DPZ	B	100,000	5.21	n/a	24-Apr	4000.00 4.0
AO,CRT	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DPZ	B	100,000	5.21	n/a	24-Apr	3000.00 3.0
AO,CRT	10/29	ARAGON GLOBAL (ARAGGS)	041	ESI	B	8,900	84.00	n/a	n/a	445.00 5.0
AO,CXL	10/29	ARAGON GLOBAL (ARAGMORGAN)	041	ESI	B	8,900	84.00	n/a	n/a	445.00 5.0
CRT	10/30	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ETN	S	42,100	46.88	21-Oct	21-Oct	1684.00 4.0
CRT	10/30	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	133,800	21.50	n/a	n/a	5352.00 4.0
AO,CXL	10/29	&SUN (&SUNAJULF)	030	JPM	B	5,900	37.79	26-Sep	21-Oct	236.00 4.0
AO,CRT	10/29	SUN AMERICA ASSET MGMT (SUNAJUIF)	030	JPM	B	5,900	37.79	26-Sep	21-Oct	236.00 4.0
CRT	10/30	MS PRINCIPAL STRATEGIES (MSPSMS)	041	KOG	S	38,800	0.75	n/a	n/a	1940.00 5.0
AO,CXL	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	B	13,400	9.48	n/a	n/a	536.00 4.0
AO,CRT	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	B	13,400	9.48	n/a	n/a	402.00 3.0
AO,CXL	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	NWY	B	69,000	2.54	n/a	13-Oct	2760.00 4.0
AO,CRT	10/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	NWY	B	69,000	2.54	n/a	13-Oct	2070.00 3.0
AO,CRT	10/23	SENATOR INVESTMENT GROUP (SENAMS)	036	VMC	SS	10,000	48.50	n/a	n/a	500.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/23	SENATOR INVESTMENT GROUP (SENAGS)	036	VMC	SS	10,000	48.50	n/a	n/a	500.00 5.0
AO,CXL	10/29	&SUN (&SUNAJULF)	030	WMT	B	10,700	55.69	10-Oct	29-Oct	428.00 4.0
AO,CRT	10/29	SUN AMERICA ASSET MGMT (SUNAJUIF)	030	WMT	B	10,700	55.69	10-Oct	29-Oct	428.00 4.0
TOTAL (AO, CXL, CRT) :										7,152.00

TOTAL (Trade Date):	209,355.83
TOTAL (AO, CXL, CRT):	7,152.00

TOTAL (RUN DATE) / NFS:	216,507.83
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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