



Daily Compliance Activity Report

Trade Date: 12/23/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AB	S	200	18.01	10-Sep	22-Dec	10.00	5.0
DENVER INST. ADV	046	AEO	B	63,600	9.30	n/a	12-Dec	1,908.00	3.0
PATTEN & PATTEN	067	AGG	B	50	103.08	n/a	n/a	2.50	5.0
NORTHPOINT	030	AMTD	S	17,600	12.76	n/a	n/a	704.00	4.0
PRINCIPLE CAPITAL	040	AMZN	S	109,300	51.12	n/a	n/a	4,372.00	4.0
PATTEN & PATTEN	067	APD	S	225	47.20	n/a	16-Dec	11.25	5.0
ELM RIDGE ADVISORS	044	BBT	C	75,000	25.93	n/a	n/a	3,000.00	4.0
EPOCH INV MGMT	030	BEN	B	1,650	62.04	13-Nov	17-Dec	66.00	4.0
SCOPUS FUND	041	BIG	SS	5,000	14.17	5-Dec	23-Dec	250.00	5.0
BUCK CAPITAL MGMT	001	BKS	SS	60,000	13.42	n/a	n/a	2,400.00	4.0
NWQ INVESTMENT MGMT CO	048	CA	S	24,500	18.18	n/a	n/a	980.00	4.0
LONG GREEN CAP FD	048	CIT	B	5,000	4.48	17-Dec	23-Dec	200.00	4.0
HOLDEN CAPITAL MGMT	035	CMG	SS	8,600	62.11	23-Oct	23-Oct	430.00	5.0
PATTEN & PATTEN	067	CSJ	B	350	100.64	n/a	n/a	17.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	DD	B	3,550	24.87	n/a	4-Dec	142.00	4.0
PATTEN & PATTEN	067	DD	S	500	25.18	n/a	4-Dec	25.00	5.0
EPOCH INV MGMT	030	DE	B	1,550	38.02	8-Dec	8-Dec	62.00	4.0
BUCK CAPITAL MGMT	001	DIS	B	190,000	22.18	n/a	n/a	7,600.00	4.0
PATTEN & PATTEN	067	DOW	B	650	19.80	n/a	2-Dec	32.50	5.0
EPOCH INV MGMT	030	DVA	B	3,800	49.06	n/a	n/a	152.00	4.0
EPOCH INV MGMT	030	ENDP	B	3,150	23.73	20-Oct	23-Dec	126.00	4.0
EPOCH INV MGMT	030	ERTS	B	3,700	16.19	n/a	n/a	148.00	4.0
RBC CAPITAL MARKETS	034	FDO	S	10,000	24.45	5-Dec	19-Dec	400.00	4.0
TYNDALL	091	FOR	B	18,200	6.48	n/a	3-Oct	546.00	3.0
COUGAR TRADING	044	F	S	25,000	2.17	10-Nov	16-Dec	500.00	2.0
BUCK CAPITAL MGMT	001	GCO	B	100,000	17.28	n/a	10-Jan	4,000.00	4.0
WEISS PECK	040	GIL	B	27,700	9.41	11-Dec	12-Dec	1,108.00	4.0
PATTEN & PATTEN	067	GOLD	B	50	42.50	n/a	n/a	2.50	5.0
DAWSON SANBERG & CO	041	GVA	B	112,200	39.21	n/a	n/a	5,610.00	5.0
BUCK CAPITAL MGMT	001	HBI	S	70,000	12.40	n/a	n/a	2,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	HGT	S	41,600	14.69	n/a	n/a	1,664.00	4.0
PATTEN & PATTEN	067	IAI	S	150	18.56	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	ITT	S	350	44.05	3-Oct	18-Nov	17.50	5.0
WHITE PINE CAPITAL	030	IWO	B	34,275	49.06	n/a	n/a	1,713.75	5.0
PATTEN & PATTEN	067	IXP	B	775	49.94	n/a	n/a	38.75	5.0
CAMBIAR CAP	046	JACK	S	10,580	21.16	n/a	n/a	423.20	4.0
BUCK CAPITAL MGMT	001	JCG	S	100,000	11.51	n/a	12-Dec	4,000.00	4.0
CHARTER OAK	033	JCG	SS	3,800	11.64	n/a	12-Dec	190.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	125,000	18.11	17-Nov	12-Dec	5,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	S	150,000	4.57	n/a	30-Oct	4,500.00	3.0
SANDLER O'NEILL ASSET	031	JPM	S	25,000	29.23	23-Dec	23-Dec	1,250.00	5.0
BUCK CAPITAL MGMT	001	KCP	S	20,000	5.90	n/a	28-Sep	600.00	3.0
COUGAR TRADING	044	KSS	SS	5,000	32.70	n/a	12-Dec	250.00	5.0
PATTEN & PATTEN	067	LAZ	B	500	27.99	n/a	n/a	25.00	5.0
BMO NESBITT BURNS	041	LM	SS	25,000	19.32	29-Oct	19-Dec	1,250.00	5.0
PATTEN & PATTEN	067	LQD	B	400	100.05	n/a	n/a	20.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	MA	SS	7,418	142.82	23-Dec	23-Dec	296.72	4.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	8.88	n/a	n/a	300.00	3.0
FRED ALGER MGMT	035	MSFT	B	244,539	19.14	n/a	3-Apr	9,781.56	4.0
BUCK CAPITAL MGMT	001	M	S	150,000	9.09	12-Aug	12-Dec	4,500.00	3.0
FRED ALGER MGMT	035	PBR	S	42,430	22.10	n/a	n/a	1,697.20	4.0
PATTEN & PATTEN	067	PIO	B	1,300	12.62	n/a	n/a	65.00	5.0
KACELA CAPITAL	034	PLCE	B	20,000	20.08	21-Nov	12-Dec	800.00	4.0
DELTEC ASSET MGMT.	040	PTY	B	30,000	9.94	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	PWR	S	750	18.16	n/a	n/a	37.50	5.0
PATTEN & PATTEN	067	PX	B	200	57.36	n/a	10-Dec	10.00	5.0
EPOCH INV MGMT	030	RE	B	2,200	77.25	n/a	n/a	88.00	4.0
COUGAR TRADING	044	ROST	B	9,472	28.73	n/a	n/a	473.60	5.0
ETON PARK CAPITAL	041	SBUX	S	880,000	9.34	n/a	24-Apr	44,000.00	5.0
PHILADELPHIA FINANCIAL	033	SCHW	B	30,000	15.00	n/a	n/a	1,200.00	4.0
PROSPECTOR PARTNERS LLC	036	SJT	B	25,800	24.33	n/a	n/a	1,032.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TCO	S	20,000	26.29	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	034	TGT	SS	5,000	32.73	17-Nov	22-Dec	200.00	4.0
PATTEN & PATTEN	067	TXN	B	750	14.67	n/a	n/a	37.50	5.0
NWQ INVESTMENT MGMT CO	048	T	S	15,100	28.32	n/a	4-Jan	604.00	4.0
PATTEN & PATTEN	067	T	S	550	28.40	n/a	4-Jan	27.50	5.0
CUMBERLAND	038	VSH	S	100,000	3.42	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	067	VZ	S	400	33.68	n/a	4-Jan	20.00	5.0
SCOPUS FUND	041	WY	B	35,000	30.90	19-Dec	19-Dec	1,750.00	5.0
EPOCH INV MGMT	030	XOM	B	2,850	75.47	n/a	n/a	114.00	4.0
FRED ALGER MGMT	035	YHOO	B	67,730	12.38	n/a	n/a	2,709.20	4.0
BUCK CAPITAL MGMT	001	ZLC	B	50,000	3.31	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date) :								136,098.73	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/22	WILLIAM BLAIR (WBLA12ISBY)	031	ADS	B	22,980	45.85	n/a	n/a	919.20 4.0
AO,CXL	12/22	MARINER/TRICADIA (MARITRICAD)	041	M	SS	150,000	9.41	12-Aug	12-Dec	3000.00 2.0
AO,CRT	12/22	MARINER/TRICADIA (MARITRICAD)	041	M	SS	150,000	9.41	12-Aug	12-Dec	4500.00 3.0
AO,CXL	12/17	THOMSON HORSTMAN BRYANT (THNBALPWFD)	067	PNRA	S	100	55.36	4-Sep	11-Nov	5.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBAPF)	067	PNRA	S	100	55.36	4-Sep	11-Nov	5.00 5.0
AO,CRT	12/22	STANDARD PACIFIC CAPITAL (SPACUBS)	040	SBH	B	200,000	5.45	n/a	n/a	8000.00 4.0
AO,CXL	12/22	STANDARD PACIFIC CAPITAL (SPACGLZ)	040	SBH	B	200,000	5.45	n/a	n/a	8000.00 4.0
AO,	12/22	MARINER/TRICADIA (MARITRGSPB)	041	XRT	B	2,832	19.38	n/a	n/a	84.96 3.0
AO,CXL	12/22	MARINER/TRICADIA (MARITRICAD)	041	XRT	B	30,000	19.38	n/a	n/a	900.00 3.0
AO,CRT	12/22	MARINER/TRICADIA (MARITRICAD)	041	XRT	B	27,168	19.38	n/a	n/a	815.04 3.0

TOTAL (AO, CXL, CRT) :**2,419.20**

TOTAL (Trade Date) :

136,098.73

TOTAL (AO, CXL, CRT) :

2,419.20

TOTAL (RUN DATE) / NFS :**138,517.93**

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