



## Daily Compliance Activity Report

Trade Date: 11/21/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	AAPL	S	100	82.55	n/a	n/a	0.00	0.0
LUCHANSKY	036	ANN	S	150	4.66	n/a	21-Nov	0.00	0.0
LEDDY	035	ARGN	S	2,400	2.52	29-Oct	29-Oct	0.00	0.0
HUNTER GLOBAL INVESTOR	067	BCR	B	32,926	77.19	n/a	22-Apr	1,646.30	5.0
AMATURO	018	BGU	B	4,000	22.84	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	BKE	B	34,200	15.33	n/a	n/a	1,282.50	3.8
NEUBERGER BERMAN	036	BMR	S	165,500	6.69	n/a	n/a	4,965.00	3.0
MATLIN PATTERSON	046	CALM	B	2,900	21.63	n/a	n/a	87.00	3.0
ROTHSCHILD ASSET	040	CA	B	16,190	13.87	n/a	n/a	728.55	4.5
KLEINHEINZ CAP PART	031	CB	B	50,000	42.70	n/a	n/a	2,500.00	5.0
T. ROWE PRICE	033	CEG	S	216,000	23.04	n/a	n/a	8,640.00	4.0
EFSTATHIOU	044	CENT	B	500	2.30	18-Nov	18-Nov	0.00	0.0
WHEELER	008	CITPRA	S	6,700	5.25	n/a	n/a	0.00	0.0
BUCK	015	COF	C	3,000	24.76	n/a	17-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LUCHANSKY1</b>	<b>036</b>	<b>CPN</b>	<b>S</b>	<b>1,500</b>	<b>7.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	CRR	S	9,400	36.14	29-Aug	20-Nov	423.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DIS</b>	<b>SS</b>	<b>20,000</b>	<b>19.42</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
J.W. SELIGMAN	041	DNA	S	9,700	69.71	n/a	n/a	388.00	4.0
DC CAPITAL	044	DPS	B	175,000	14.92	n/a	n/a	8,750.00	5.0
BMO NESBITT BURNS	041	DSW	SS	25,000	7.90	14-Nov	14-Nov	1,250.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>DUG</b>	<b>B</b>	<b>200</b>	<b>38.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>NOLAN</b>	<b>067</b>	<b>DUG</b>	<b>B</b>	<b>85</b>	<b>44.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	DW	S	30,200	9.69	n/a	n/a	906.00	3.0
NEUBERGER BERMAN	036	EQY	S	81,900	9.85	n/a	n/a	2,457.00	3.0
PHILADELPHIA FINANCIAL	033	EVR	B	44,400	6.82	n/a	n/a	1,776.00	4.0
BARON ASSET MGMT*	012	EV	S	40,000	12.24	13-Nov	20-Nov	1,600.00	4.0
NEUBERGER BERMAN	036	EXR	S	177,000	6.16	n/a	n/a	5,310.00	3.0
STG INVESTORS	041	FDO	SS	50,000	24.85	23-Jul	7-Nov	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FRT</b>	<b>S</b>	<b>10,000</b>	<b>46.06</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>FXP</b>	<b>B</b>	<b>100</b>	<b>82.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	50,000	11.56	n/a	10-Jan	2,000.00	4.0
WHEELER	008	GEWFH	S	80	2.63	n/a	n/a	0.00	0.0
WHEELER	008	GE	B	8,000	13.12	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	S	15,000	16.49	8-Sep	16-Oct	600.00	4.0
MAIRS AND POWER INV	030	GIS	S	10,000	61.94	n/a	n/a	500.00	5.0
LUCHANSKY2	036	GLW	S	200	7.52	19-Nov	20-Nov	0.00	0.0
MCCARTAN	028	GMCA	B	100	0.71	n/a	n/a	0.00	0.0
MCCARTAN	028	GMXA	S	100	2.89	n/a	n/a	0.00	0.0
LEDDY	035	GM	C	1,200	2.75	10-Nov	17-Nov	0.00	0.0
LEDDY	035	GOOG	S	100	263.89	n/a	n/a	0.00	0.0
BUCK	015	GSLP	S	14	1.40	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	HCP	S	87,100	14.97	n/a	n/a	3,919.50	4.5
AMATURO	018	HYP	B	5,600	1.33	n/a	n/a	0.00	0.0
RK CAPITAL MGMT LLC	045	HZO	B	40,600	2.08	n/a	n/a	1,218.00	3.0
SIGMA CAPITAL ASSOCIATES	237	ICON	SS	50,000	5.51	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	ICON	S	3,000	5.60	n/a	n/a	0.00	0.0
LUCHANSKY	036	IVZ	S	100	8.61	13-Nov	20-Nov	0.00	0.0
EMP ERROR	099	IVZ	B	700	8.80	13-Nov	20-Nov	0.00	0.0
NORTHPOINT	030	JAH	B	16,058	8.90	n/a	n/a	481.74	3.0
SYSTEMATIC FINANCIAL MGT	035	JCG	B	17,200	8.18	n/a	13-Nov	645.00	3.8
NEUBERGER BERMAN	036	JPM	S	467,236	20.38	26-Sep	20-Nov	21,025.68	4.5
LUCHANSKY	036	LMC	S	285	0.85	n/a	n/a	0.00	0.0
GRANAHAN INV	039	LTD	S	150,000	7.49	18-Nov	20-Nov	4,500.00	3.0
THE BOSTON COMPANY	401	LTD	C	54,620	7.58	18-Nov	20-Nov	2,184.80	4.0
BUCK	015	MA	SS	400	117.78	n/a	4-Nov	0.00	0.0
WHEELER	008	MMM	S	3,000	57.90	21-Oct	21-Oct	0.00	0.0
LUCHANSKY	036	MMM	S	200	57.77	21-Oct	21-Oct	0.00	0.0
IVORY CAPITAL	034	MOT	B	1,000,000	3.09	n/a	n/a	5,000.00	0.5
WHEELER	008	MTRX	B	6,196	5.50	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	MW	SS	25,000	9.06	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	M	B	300,000	5.54	12-Aug	13-Nov	9,000.00	3.0
CLOVIS CAPITAL	012	NKE	B	100,000	45.93	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OSS CAPITAL/KEVIN DANN	067	NSR	B	345,000	17.17	n/a	n/a	10,350.00	3.0
MAGNETAR FINANCIAL	031	PHM	S	100,000	6.72	n/a	n/a	3,000.00	3.0
ELM RIDGE ADVISORS	044	PKG	B	241,300	11.60	11-Sep	21-Oct	9,652.00	4.0
<b>LUCHANSKY</b>	<b>036</b>	<b>PNC</b>	<b>S</b>	<b>100</b>	<b>39.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	PRE	B	9,900	58.43	n/a	n/a	445.50	4.5
MERRILL ASSET	032	PRU	S	37,300	14.12	n/a	n/a	1,678.50	4.5
<b>LUCHANSKY</b>	<b>036</b>	<b>PTP</b>	<b>S</b>	<b>200</b>	<b>25.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MATLIN PATTERSON	046	PTRY	B	30,000	13.70	n/a	n/a	900.00	3.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>PVH</b>	<b>B</b>	<b>3,500</b>	<b>13.55</b>	<b>7-Nov</b>	<b>20-Nov</b>	<b>210.00</b>	<b>6.0</b>
BARON ASSET MGMT*	012	RL	B	10,000	35.01	n/a	6-Nov	500.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>B</b>	<b>55</b>	<b>126.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>SDS</b>	<b>S</b>	<b>200</b>	<b>123.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ENTRUST CAPITAL	040	SHW	S	45,500	50.27	n/a	27-Oct	2,275.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>SJM</b>	<b>S</b>	<b>322</b>	<b>41.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SKF</b>	<b>B</b>	<b>25</b>	<b>270.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKT</b>	<b>S</b>	<b>30,000</b>	<b>27.11</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	SLB	S	300	41.05	n/a	n/a	0.00	0.0
AMATURO	018	SSO	S	5,000	18.82	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGCL	B	40	3.99	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNCF	B	50	4.70	n/a	n/a	0.00	0.0
LUCHANSKY	036	TEL	S	50	12.94	n/a	n/a	0.00	0.0
BUCK	015	TGT	C	2,000	27.53	17-Nov	17-Nov	0.00	0.0
NEUBERGER BERMAN	036	THO	S	54,200	13.02	n/a	n/a	2,439.00	4.5
ZOLIDIS	011	TIF	SS	500	18.51	n/a	3-Nov	0.00	0.0
LEDDY	035	TIF	C	2,100	17.96	n/a	3-Nov	0.00	0.0
SCOPUS FUND	041	TJX	B	3,500	19.99	11-Aug	12-Nov	175.00	5.0
BUCK	015	TM	SS	1,000	62.29	n/a	n/a	0.00	0.0
ZOLIDIS	011	TWM	B	139	173.07	n/a	n/a	0.00	0.0
LUCHANSKY	036	TYC	S	50	15.67	12-Nov	18-Nov	0.00	0.0
BENNETT LAWRENCE	045	UA	S	47,550	17.99	n/a	29-Oct	2,139.75	4.5
CAXTON PART	040	UNP	S	22,752	47.97	n/a	n/a	796.32	3.5
PAULSON & CO INC	041	USB	SS	292,000	20.89	n/a	n/a	8,760.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK</b>	<b>015</b>	<b>USB</b>	<b>SS</b>	<b>2,000</b>	<b>22.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VNO</b>	<b>S</b>	<b>60,000</b>	<b>40.24</b>	<b>n/a</b>	<b>n/a</b>	<b>2,400.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	VNO	B	17,100	40.55	n/a	n/a	769.50	4.5
KLEINHEINZ CAP PART	031	VOD	S	75,000	16.36	n/a	n/a	3,750.00	5.0
ROTHSCHILD ASSET	040	WCN	S	12,300	32.73	n/a	n/a	553.54	4.5
EPOCH INV MGMT	030	WDR	B	101,900	9.04	15-Jul	19-Nov	4,076.00	4.0
PZENA INV ADV	044	WEC	S	96,075	40.75	n/a	n/a	3,362.85	3.5
ENTRUST CAPITAL	040	WFC	B	22,600	21.76	n/a	n/a	1,130.00	5.0
PZENA INV ADV	044	WLP	B	8,450	29.30	n/a	n/a	295.75	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>112,100</b>	<b>12.83</b>	<b>7-Nov</b>	<b>7-Nov</b>	<b>4,484.00</b>	<b>4.0</b>
<b>NOLAN</b>	<b>067</b>	<b>XOHO</b>	<b>S</b>	<b>125</b>	<b>0.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PNC/MERCANTILE	028	YHOO	S	18,751	9.18	n/a	n/a	937.55	5.0
<b>LUCHANSKY2</b>	<b>036</b>	<b>YTEC</b>	<b>S</b>	<b>200</b>	<b>4.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	YUM	B	5,000	23.47	14-Aug	20-Oct	250.00	5.0
COUGAR TRADING	044	YUM	SS	5,000	22.39	14-Aug	20-Oct	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ZLC	SS	25,000	8.16	n/a	n/a	1,250.00	5.0

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**TOTAL (Trade Date):**

**173,764.33**

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### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/20	COUGAR TRADING (COUGPB MS)	044	AEO	S	10,000	7.58	n/a	10-Nov	300.00 3.0
AO,CRT	11/20	COUGAR TRADING (COUGPB MS)	044	AEO	S	10,000	7.58	n/a	10-Nov	400.00 4.0
AO,	11/20	NEUBERGER BERMAN (NBER510183)	036	ALV	S	4,100	15.27	22-Oct	22-Oct	184.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER101849)	036	ALV	S	4,100	15.27	22-Oct	22-Oct	184.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER551005)	036	ALV	S	2,400	15.27	22-Oct	22-Oct	108.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER550190)	036	ALV	S	900	15.27	22-Oct	22-Oct	40.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER550167)	036	ALV	S	5,600	15.27	22-Oct	22-Oct	252.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER553820)	036	ALV	S	24,000	15.27	22-Oct	22-Oct	1080.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER003476)	036	DW	S	100	10.13	n/a	n/a	4.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER70151)	036	DW	S	200	10.13	n/a	n/a	9.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER530205)	036	DW	S	100	10.13	n/a	n/a	4.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER502180)	036	DW	S	400	10.13	n/a	n/a	18.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER502173)	036	DW	S	1,300	10.13	n/a	n/a	58.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER734128)	036	DW	S	200	10.13	n/a	n/a	9.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER700890)	036	DW	S	300	10.13	n/a	n/a	13.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER701566)	036	DW	S	200	10.13	n/a	n/a	9.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER700889)	036	DW	S	300	10.13	n/a	n/a	13.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER9W16)	036	DW	S	21,300	10.13	n/a	n/a	958.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER701813)	036	DW	S	200	10.13	n/a	n/a	9.00 4.5
AO,	11/20	NEUBERGER BERMAN (&NBER70135)	036	DW	S	300	10.13	n/a	n/a	13.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER700774)	036	DW	S	300	10.13	n/a	n/a	13.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER502191)	036	DW	S	100	10.13	n/a	n/a	4.50 4.5
AO,CRT	11/20	NEUBERGER BERMAN (NBER701352)	036	IDC	B	900	19.77	n/a	n/a	40.50 4.5
AO,CXL	11/20	NEUBERGER BERMAN (&NBER70135)	036	IDC	B	900	19.77	n/a	n/a	40.50 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/20	EFSTATHIOU (EFSTATHIOU)	044	IVZ	S	700	9.26	13-Nov	20-Nov	0.00 0.0
AO,CRT	11/20	EMP ERROR (EMP ERROR)	044	IVZ	S	700	9.26	13-Nov	20-Nov	0.00 0.0
AO,CXL	11/20	LITESPEED (LITEUBS)	028	IWM	B	135,000	39.33	n/a	n/a	5400.00 4.0
AO,CRT	11/20	LITESPEED (LITEUBS)	028	IWM	B	135,000	39.33	n/a	n/a	4050.00 3.0
AO,CXL	11/20	JP MORGAN VENTURES (JPMVGS)	046	NWY	S	70,000	1.06	n/a	21-Nov	3500.00 5.0
AO,	11/20	JP MORGAN VENTURES (JPMVGS)	046	NWY	S	70,000	1.06	n/a	21-Nov	1400.00 2.0
AO,	11/20	BULL PATH CAPITAL (BULLJPHQ)	044	QQQQ	B	195,110	25.57	n/a	n/a	5853.30 3.0
AO,	11/20	BULL PATH CAPITAL (BULLBOAGS)	044	QQQQ	B	399,890	25.57	n/a	n/a	11996.70 3.0
AO,	11/20	BULL PATH CAPITAL (BULLJPHQ)	044	SPY	B	50,000	75.79	n/a	n/a	1500.00 3.0
AO,CRT	11/19	NEUBERGER BERMAN (NBER701352)	036	THO	S	300	14.16	n/a	n/a	13.50 4.5
AO,CXL	11/19	NEUBERGER BERMAN (&NBER70135)	036	THO	S	300	14.16	n/a	n/a	13.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER003476)	036	THO	S	100	13.01	n/a	n/a	4.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER70151)	036	THO	S	200	13.01	n/a	n/a	9.00 4.5
AO,CRT	11/20	NEUBERGER BERMAN (NBER701352)	036	THO	S	500	13.01	n/a	n/a	22.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER530215)	036	THO	S	100	13.01	n/a	n/a	4.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER530207)	036	THO	S	200	13.01	n/a	n/a	9.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER530202)	036	THO	S	800	13.01	n/a	n/a	36.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER530206)	036	THO	S	200	13.01	n/a	n/a	9.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER530205)	036	THO	S	400	13.01	n/a	n/a	18.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER734128)	036	THO	S	500	13.01	n/a	n/a	22.50 4.5
AO,	11/20	NEUBERGER BERMAN (NBER700890)	036	THO	S	400	13.01	n/a	n/a	18.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER700889)	036	THO	S	600	13.01	n/a	n/a	27.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER9W16)	036	THO	S	57,000	13.01	n/a	n/a	2565.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER701814)	036	THO	S	200	13.01	n/a	n/a	9.00 4.5
AO,	11/20	NEUBERGER BERMAN (NBER701813)	036	THO	S	200	13.01	n/a	n/a	9.00 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/20	TOKIO MARINE ASSET MGMT (TOKITMA UM)	045	XOM	B	10,400	72.59	n/a	n/a	0.00 0.0
AO,CRT	11/20	TOKIO MARINE ASSET MGMT (TOKITMA UM)	045	XOM	B	10,400	72.59	n/a	n/a	416.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>22,167.00</b>

TOTAL (Trade Date) :	173,764.33
TOTAL (AO, CXL, CRT) :	22,167.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>195,931.33</b>
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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