



# Daily Compliance Activity Report

Trade Date: 11/10/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	10,000	27.54	n/a	n/a	400.00	4.0
THE BOSTON COMPANY	401	ACV	S	16,094	22.07	n/a	n/a	643.76	4.0
RAIL-SPLITTER	031	AMG	S	20,900	41.37	23-Oct	5-Nov	1,045.00	5.0
KORMAN	003	AMZN	SS	2,000	47.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	24.63	7-Aug	7-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	30,000	17.64	n/a	10-Nov	1,200.00	4.0
OPPENHEIMER MGMT.	036	ARO	B	144,700	17.61	n/a	10-Nov	5,788.00	4.0
PRINCIPLE CAPITAL	040	AVP	SS	109,000	25.09	3-Nov	3-Nov	3,270.00	3.0
BEAR STEARNS ASSET MGMT.	033	AYI	SS	28,400	32.47	n/a	n/a	1,136.00	4.0
THE BOSTON COMPANY	401	BEBE	S	62,775	6.64	n/a	n/a	2,511.00	4.0
BUCK CAPITAL MGMT	001	BKE	S	20,000	20.99	n/a	n/a	800.00	4.0
MILLRACE FUND LP	028	BWA	B	13,300	21.55	n/a	30-Oct	532.00	4.0
COLE	077	BZ	S	2,000	0.68	n/a	n/a	0.00	0.0
BARABOO GROWTH	031	CCC	C	8,250	15.49	n/a	n/a	412.50	5.0
BUCK CAPITAL MGMT	001	CCL	SS	50,000	21.24	n/a	26-Jan	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	CPTS	B	10,000	14.92	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>SS</b>	<b>20,000</b>	<b>21.22</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
AVESTA CAP	229	CVS	S	25,000	30.52	n/a	n/a	1,250.00	5.0
SERENGETI MGMT	030	CYN	SS	100,000	45.23	n/a	n/a	5,000.00	5.0
NOMURA CAPITAL	045	DAN	S	28,900	1.50	n/a	n/a	578.00	2.0
<b>ZOLIDIS</b>	<b>011</b>	<b>DECK</b>	<b>S</b>	<b>100</b>	<b>75.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAYPOINT TRADING/XYLEM	040	DEL	B	5,000	45.96	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>SS</b>	<b>20,000</b>	<b>14.21</b>	<b>7-Oct</b>	<b>7-Oct</b>	<b>800.00</b>	<b>4.0</b>
US BANCORP	030	DKS	S	22,286	14.20	7-Oct	7-Oct	1,114.30	5.0
IRIDIAN ASSET MGMT.	036	DNR	S	30,300	11.87	n/a	n/a	1,515.00	5.0
TRELLUS PARTNERS LP	028	EV	SS	50,000	20.89	21-Aug	5-Nov	2,500.00	5.0
GRUSS CAPITAL	045	FOR	B	120,800	6.36	n/a	3-Oct	3,624.00	3.0
WAGONHOUND/NIC	048	FOSL	S	18,052	14.74	10-Nov	10-Nov	722.08	4.0
<b>OGORMAN</b>	<b>046</b>	<b>FOSL</b>	<b>SS</b>	<b>300</b>	<b>14.70</b>	<b>10-Nov</b>	<b>10-Nov</b>	<b>0.00</b>	<b>0.0</b>
PILOT ADV	038	FRED	B	20,000	10.48	n/a	27-Mar	800.00	4.0
<b>GAULT</b>	<b>063</b>	<b>FXP</b>	<b>B</b>	<b>500</b>	<b>68.50</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.	
<b>GAULT</b>	<b>063</b>	<b>FXP</b>	<b>S</b>	<b>400</b>	<b>74.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	F	B	50,000	2.02	10-Nov	10-Nov	1,000.00	2.0
PHILADELPHIA FINANCIAL	033	GBL	B	16,098	31.66	19-Sep	10-Nov	643.92	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>70,000</b>	<b>16.32</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>GSKD</b>	<b>B</b>	<b>10</b>	<b>0.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>GSLT</b>	<b>S</b>	<b>14</b>	<b>2.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>N STRATTON</b>	<b>014</b>	<b>HPC</b>	<b>B</b>	<b>500</b>	<b>19.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BENCHMARK	028	HTGC	S	5,000	7.15	n/a	n/a	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>50,000</b>	<b>21.32</b>	<b>10-Nov</b>	<b>10-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
THE JAY GOLDMAN	034	JCP	B	40,000	19.75	10-Nov	10-Nov	1,600.00	4.0
COUGAR TRADING	044	JWN	S	10,000	14.03	6-Nov	7-Nov	500.00	5.0
THE JAY GOLDMAN	034	KSS	SS	25,000	33.11	n/a	10-Nov	1,000.00	4.0
COUGAR TRADING	044	LM	S	10,000	16.77	29-Oct	5-Nov	500.00	5.0
GRANAHAN INV	039	LTD	B	36,900	9.92	9-Oct	7-Nov	1,107.00	3.0
BARABOO GROWTH	031	MO	C	6,550	18.26	n/a	n/a	327.50	5.0
CATAPULT	040	MO	SS	14,000	18.23	n/a	n/a	700.00	5.0
<b>BAYPOINT TRADING/XYLEM</b>	<b>091</b>	<b>NCS</b>	<b>B</b>	<b>6,000</b>	<b>18.31</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NDN	SS	20,000	12.27	31-Oct	7-Nov	800.00	4.0
AVESTA CAP	229	NKE	B	10,000	47.68	n/a	n/a	500.00	5.0
KORMAN	003	NKE	SS	3,000	49.84	n/a	n/a	0.00	0.0
PNC/MERCANTILE	028	NST	B	30,610	32.16	n/a	n/a	1,530.50	5.0
MILLRACE FUND LP	028	PFCB	SS	500	19.30	n/a	23-Oct	20.00	4.0
STERLING JOHNSTON	035	RDEN	S	8,004	15.06	7-Nov	7-Nov	320.16	4.0
LUCHANSKY1	036	RIMM	S	200	46.71	n/a	n/a	0.00	0.0
COUGAR TRADING	044	RL	B	5,000	42.60	n/a	6-Nov	250.00	5.0
CATAPULT	040	SAI	SS	16,000	18.20	n/a	n/a	800.00	5.0
ZOLIDIS	011	SHOO	SS	1,000	21.29	n/a	n/a	0.00	0.0
WHEELER	008	SPNC	B	10,073	2.05	n/a	n/a	0.00	0.0
BAYPOINT TRADING/XYLEM	091	SPP	B	15,000	5.81	n/a	n/a	600.00	4.0
LUCHANSKY1	036	SSO	B	1,000	30.62	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SSO	S	1,000	30.19	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SUP	SS	5,000	11.59	10-Nov	10-Nov	250.00	5.0
SINCLAIR	031	SWGOL	B	40	8.09	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	TJX	SS	15,000	23.63	11-Aug	10-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	100,000	5.56	7-Aug	7-Nov	3,000.00	3.0
WEISS PECK	040	UA	SS	8,100	24.20	n/a	29-Oct	405.00	5.0
COUGAR TRADING	044	URBN	B	5,000	15.87	5-Nov	7-Nov	250.00	5.0
ZOLIDIS	011	UYG	S	1,000	8.29	n/a	n/a	0.00	0.0
CATAPULT	040	VAL	SS	8,000	19.62	n/a	n/a	400.00	5.0
MATRIX ASSET ADV.	036	WAG	B	17,000	23.90	n/a	n/a	680.00	4.0
WHITE PINE CAPITAL	030	WDR	S	600	11.76	15-Jul	5-Nov	30.00	5.0
COUGAR TRADING	044	WRC	B	15,000	15.84	7-Nov	7-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	WRI	S	50,000	18.08	n/a	n/a	2,000.00	4.0
BAYPOINT TRADING/XYLEM	091	WY	B	10,000	32.61	3-Nov	3-Nov	500.00	5.0
TOTAL (Trade Date):								66,405.72	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/06	CAVU CAP ADV (CAVUCRDMIL)	028	ERTS	B	23,750	22.31	n/a	n/a	1187.50 5.0
AO,CRT	11/06	CAVU CAP ADV (CAVUCREDIS)	028	ERTS	B	23,750	22.31	n/a	n/a	1187.50 5.0
AO,CXL	11/07	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	FII	S	25,000	22.28	6-Oct	7-Nov	1250.00 5.0
AO,CRT	11/07	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	FII	S	25,000	22.28	6-Oct	7-Nov	1000.00 4.0
AO,CXL	11/07	MFP INVESTORS (MFPIMAIN B)	032	FOR	B	2,100	5.88	n/a	3-Oct	0.00 0.0
AO,CRT	11/07	MFP INVESTORS (MFPIMAIN B)	032	FOR	B	2,100	5.88	n/a	3-Oct	84.00 4.0
AO,CRT	11/07	BRUNNER (BRUNNER)	012	FXP	B	1,000	85.73	n/a	n/a	0.00 0.0
AO,CXL	11/07	BRUNNER (BRUNNER)	012	FXP	B	1,000	85.73	n/a	n/a	0.00 0.0
AO,CRT	11/06	BRUNNER (BRUNNER)	012	FXP	S	750	101.45	n/a	n/a	0.00 0.0
AO,CXL	11/06	BRUNNER (BRUNNER)	012	FXP	S	750	101.45	n/a	n/a	0.00 0.0
AO,CXL	11/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	S	209,900	5.67	7-Aug	7-Nov	8396.00 4.0
AO,CRT	11/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	S	209,900	5.67	7-Aug	7-Nov	6297.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,265.00</b>
TOTAL (Trade Date) :										66,405.72
TOTAL (AO, CXL, CRT) :										-2,265.00
<b>TOTAL (RUN DATE) / NFS :</b>										<b>64,140.72</b>

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