



Daily Compliance Activity Report

Trade Date: 11/17/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	S	10,000	8.77	n/a	10-Nov	400.00	4.0
CHIARMONTE	N10	ARTX	S	3	0.51	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	AXB	B	100,000	28.03	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	AZO	B	10,000	107.92	n/a	n/a	400.00	4.0
BUCK	015	BAC	SS	3,000	15.44	15-Oct	17-Nov	0.00	0.0
CLOVIS CAPITAL	012	BBBY	B	50,000	20.68	n/a	n/a	2,500.00	5.0
ROTHSCHILD ASSET	040	BDX	S	35,085	66.18	n/a	22-Apr	1,578.83	4.5
BUCK CAPITAL MGMT	001	BKE	S	50,000	17.90	n/a	n/a	2,000.00	4.0
NEUBERGER BERMAN	036	BRY	S	54,500	13.22	n/a	n/a	2,452.50	4.5
COUGAR TRADING	044	CEM	B	25,000	1.53	n/a	n/a	500.00	2.0
WHEELER	008	CITPRA	S	2,900	9.81	n/a	n/a	0.00	0.0
WHEELER	008	COV	S	5,000	36.47	n/a	n/a	0.00	0.0
GRUSS CAPITAL	045	DEI	B	11,000	12.13	n/a	n/a	550.00	5.0
TROUBH PART	067	DE	S	10,000	33.27	3-Nov	3-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHIARMONTE	N10	DIS	S	12	20.01	n/a	n/a	0.00	0.0
US BANCORP	030	DKS	S	52,787	11.41	7-Oct	14-Nov	2,639.35	5.0
BUCK CAPITAL MGMT	001	DV	SS	10,000	54.23	n/a	n/a	400.00	4.0
CHIARMONTE	N10	DWCH	S	46	0.78	n/a	n/a	0.00	0.0
CHIARMONTE	N10	EFT	S	55	8.92	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	FCX	S	68,600	23.01	n/a	n/a	2,058.00	3.0
IMPALA ASSET MMT	012	FDX	B	50,000	63.69	n/a	n/a	1,500.00	3.0
COLE	077	FLEX	B	300	3.05	n/a	n/a	0.00	0.0
GRUSS CAPITAL	045	FOR	B	11,000	4.14	n/a	3-Oct	330.00	3.0
MFP INVESTORS	032	FOR	B	12,500	3.98	n/a	3-Oct	375.00	3.0
DIAMONDBACK CAP MGMT	232	GPS	C	25,000	10.88	n/a	7-Nov	1,250.00	5.0
STRAUSS ASSET MGMT	040	GRA	B	15,000	4.00	n/a	n/a	600.00	4.0
BARCLEYS CAPITAL	041	GYMB	S	100,000	20.43	7-Nov	7-Nov	4,000.00	4.0
BUCK CAPITAL MGMT	001	HEW	SS	40,000	25.36	n/a	n/a	1,600.00	4.0
N STRATTON	014	HLTH	B	1,000	8.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HME	S	40,000	32.93	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	040	HTZ	SS	125,000	4.24	n/a	n/a	6,250.00	5.0
AVESTA CAP	229	IBM	S	10,000	77.87	n/a	n/a	500.00	5.0
IMPALA ASSET MMT	012	IP	B	175,000	11.88	22-Sep	31-Oct	5,250.00	3.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	10.79	n/a	13-Nov	1,200.00	4.0
BUCK CAPITAL MGMT	001	KFY	SS	10,000	11.46	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	LOW	SS	60,000	19.57	n/a	27-Jul	2,400.00	4.0
ZOLIDIS	011	LOW	SS	500	19.66	n/a	27-Jul	0.00	0.0
IMPALA ASSET MMT	012	LUK	B	100,000	18.39	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	MAN	SS	30,000	27.79	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	MFB	S	5,000	7.79	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	012	MGA	B	130,300	26.61	n/a	n/a	3,909.00	3.0
BUCK	015	MO	B	1,000	16.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MWW	SS	20,000	11.31	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	NHP	S	10,000	21.18	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	OFC	S	20,000	25.10	n/a	n/a	800.00	4.0
ELM RIDGE ADVISORS	044	PKG	B	85,000	13.26	11-Sep	21-Oct	3,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	PLCE	B	125,210	22.44	6-Nov	6-Nov	5,008.40	4.0
SAC TRADING HOWARD	038	PLCE	S	10,000	22.29	6-Nov	6-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	PSB	S	10,000	41.79	n/a	n/a	400.00	4.0
HUNTER GLOBAL INVESTOR	067	RDK	SS	32,000	27.00	n/a	n/a	1,600.00	5.0
BUCK CAPITAL MGMT	001	RHI	SS	20,000	17.48	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	14,600	42.67	n/a	6-Nov	584.00	4.0
PZENA INV ADV	044	RNR	S	18,100	42.94	n/a	n/a	633.69	3.5
STRAUSS ASSET MGMT	040	RRC	B	5,000	41.32	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	237	SBUX	B	50,000	9.00	n/a	24-Apr	2,500.00	5.0
ZOLIDIS	011	SDS	B	50	102.27	n/a	n/a	0.00	0.0
AMATURO	018	SDS	B	2,000	101.98	n/a	n/a	0.00	0.0
GAULT	063	SDS	S	500	100.27	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	SLB	S	71,000	49.56	n/a	n/a	2,485.00	3.5
AMATURO	018	SSO	S	4,000	24.81	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGCL	S	40	8.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	30,000	33.05	17-Nov	17-Nov	1,200.00	4.0
COLONIAL FUND LLC	036	TGT	B	12,500	32.59	17-Nov	17-Nov	625.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	TGT	SS	9,200	34.75	17-Nov	17-Nov	460.00	5.0
SOROS	036	TGT	SS	73,500	33.88	17-Nov	17-Nov	2,940.00	4.0
COUGAR TRADING	044	TIF	B	5,000	20.50	n/a	3-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	140,000	21.31	11-Aug	12-Nov	5,600.00	4.0
THE BOSTON COMPANY	401	TLB	C	58,351	2.98	7-Aug	7-Nov	875.27	1.5
BEAR STEARNS ASSET MGMT.	033	TWB	C	280,200	4.72	n/a	3-Nov	11,208.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	215,748	4.74	n/a	3-Nov	6,472.44	3.0
HIGHBRIDGE/MS OLDS	041	TWC	SS	12,400	19.05	n/a	4-Jan	620.00	5.0
ZOLIDIS	011	TWM	B	100	125.04	n/a	n/a	0.00	0.0
CHIARMONTE	N10	TWX	S	6	8.75	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	UAUA	S	391,877	10.67	n/a	n/a	11,756.31	3.0
HIGHBRIDGE/MS OLDS	041	UTX	B	42,100	48.77	n/a	n/a	2,105.00	5.0
BAYPOINT TRADING/XYLEM	091	VCP	S	7,000	7.14	n/a	n/a	280.00	4.0
CUMBERLAND	038	WFC	SS	20,000	28.07	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	YUM	SS	70,000	25.63	14-Aug	20-Oct	2,800.00	4.0
ZOLIDIS	011	ZQK	S	3,000	1.64	3-Nov	3-Nov	0.00	0.0

TOTAL (Trade Date):

122,595.79

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	11/17	CHIARMONTE (CHIARMONTE)	N10	DIS	S	12	20.01	n/a	n/a	0.00	0.0
CRT	11/17	CHIARMONTE (CHIARMONTE)	N10	DWCH	S	46	0.78	n/a	n/a	0.00	0.0
CRT	11/17	CHIARMONTE (CHIARMONTE)	N10	EFT	S	55	8.92	n/a	n/a	0.00	0.0
AO,CXL	11/12	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	S	5,000	8.23	n/a	n/a	200.00	4.0
AO,CRT	11/12	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	S	5,000	8.23	n/a	n/a	150.00	3.0
AO,	11/14	ROTHSCHILD ASSET (ROTH000479)	040	OKE	B	580	26.67	n/a	n/a	26.10	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH4712)	040	OKE	B	510	26.67	n/a	n/a	22.95	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH4711)	040	OKE	B	1,370	26.67	n/a	n/a	61.65	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH471)	040	OKE	B	2,540	26.67	n/a	n/a	114.30	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH470)	040	OKE	B	2,080	26.67	n/a	n/a	93.60	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH450)	040	OKE	B	4,420	26.67	n/a	n/a	198.90	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH386)	040	OKE	B	340	26.67	n/a	n/a	15.30	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH340)	040	OKE	B	8,700	26.67	n/a	n/a	391.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH348)	040	OKE	B	520	26.67	n/a	n/a	23.40	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH333)	040	OKE	B	520	26.67	n/a	n/a	23.40	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH3602)	040	OKE	B	1,160	26.67	n/a	n/a	52.20	4.5
CRT	11/17	CHIARMONTE (CHIARMONTE)	N10	TWX	S	6	8.75	n/a	n/a	0.00	0.0
AO,CRT	11/14	ZOLIDIS (ZOLIDIS)	011	UAAD	S	10	3.50	n/a	n/a	0.00	0.0
AO,CXL	11/14	ZOLIDIS (ZOLIDIS)	011	UAAD	S	10	3.50	n/a	n/a	0.00	0.0
AO,CXL	11/14	CAVU CAP ADV (CAVUCREDIS)	028	VSEA	SS	23,750	17.53	n/a	n/a	1187.50	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/14	CAVU CAP ADV (CAVUCREDIS)	028	VSEA	SS	23,845	17.53	n/a	n/a	1192.25	5.0
AO,CXL	11/14	CAVU CAP ADV (CAVUBSMERL)	028	VSEA	SS	1,350	17.53	n/a	n/a	67.50	5.0
AO,CRT	11/14	CAVU CAP ADV (CAVUBSMERL)	028	VSEA	SS	1,255	17.53	n/a	n/a	62.75	5.0
AO,	11/14	ASCEND PARTNERS (ASCEML)	033	XLP	B	738	23.97	n/a	n/a	36.90	5.0
AO,	11/14	ASCEND PARTNERS (ASCECITI)	033	XLP	B	16,248	23.97	n/a	n/a	812.40	5.0
AO,	11/14	ASCEND PARTNERS (ASCEMSPB)	033	XLP	B	49,721	23.97	n/a	n/a	2486.05	5.0
AO,	11/14	ASCEND PARTNERS (ASCEBANC O)	033	XLP	B	23,293	23.97	n/a	n/a	1164.65	5.0
AO,CRT	11/14	ZOLIDIS (ZOLIDIS)	011	ZLCAV	S	10	1.90	n/a	n/a	0.00	0.0
AO,CXL	11/14	ZOLIDIS (ZOLIDIS)	011	ZLCAV	S	10	1.90	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										5,473.30	
TOTAL (Trade Date) :										122,595.79	
TOTAL (AO, CXL, CRT) :										5,473.30	
TOTAL (RUN DATE) / NFS:										128,069.09	

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