



Daily Compliance Activity Report

Trade Date: 11/11/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CANTILLON CAPITAL	040	AA	B	1,756,484	10.85	n/a	n/a	70,259.36	4.0
BUCK	015	ALV	C	2,500	19.33	22-Oct	22-Oct	0.00	0.0
CENTURION GLOBAL MGMT LL	041	AMAT	B	12,700	10.63	n/a	n/a	381.00	3.0
TALA MANAGEMENT	041	AMX	S	3,780	31.19	n/a	n/a	189.00	5.0
ROTHSCHILD ASSET	040	AOC	B	13,050	40.41	n/a	n/a	587.25	4.5
BUCK CAPITAL MGMT	001	ARO	S	40,000	16.85	n/a	10-Nov	1,600.00	4.0
PALMYRA CAPITAL	048	ARO	S	40,000	16.43	n/a	10-Nov	1,600.00	4.0
WEST	031	AXP	B	3,000	22.50	n/a	11-Nov	150.00	5.0
BUCK	015	BACLT	S	15	0.84	n/a	n/a	0.00	0.0
BUCK	015	BAC	C	2,000	18.85	15-Oct	5-Nov	0.00	0.0
BALYASNY ASSET MGMT	044	BJ	B	10,000	35.90	n/a	27-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	BKS	SS	30,000	16.90	n/a	n/a	1,200.00	4.0
COUGAR TRADING	044	BWA	B	10,000	17.53	n/a	30-Oct	500.00	5.0
TRELLUS PARTNERS LP	028	BWA	C	26,550	18.44	n/a	30-Oct	1,327.50	5.0
COLE	077	BZ	S	3,244	0.62	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B Larry Leeds	001	CHC	S	9,000	0.39	n/a	n/a	90.00	1.0
		CHC	S	9000	0.4200	n/a	n/a	0.00	0.0
AMATURO	018	CIT	B	10,000	4.12	n/a	11-Nov	0.00	0.0
KORMAN	003	COF	SS	2,000	32.19	n/a	7-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	20,000	16.19	8-Oct	22-Oct	800.00	4.0
COUGAR TRADING	044	COH	S	5,000	15.73	8-Oct	22-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	CRI	SS	20,000	21.08	n/a	n/a	800.00	4.0
VALHALLA CAPITAL LP	041	CSCO	B	5,000	17.00	n/a	22-Mar	150.00	3.0
HUNTER GLOBAL INVESTOR	067	CVS	S	250,000	28.94	n/a	n/a	12,500.00	5.0
PIONEER MICHAEL NOLAN	067	CXW	S	17,100	12.90	n/a	n/a	513.00	3.0
SERENGETI MGMT	030	CYN	SS	50,000	43.95	n/a	n/a	2,500.00	5.0
BUCK	015	C	SS	1,500	10.89	15-Sep	5-Nov	0.00	0.0
BARCLEYS CAPITAL	041	DECK	B	800	69.00	n/a	n/a	32.00	4.0
ZOLIDIS	011	DECK	S	300	68.50	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	DRC	B	6,360	21.06	n/a	n/a	318.00	5.0
SINCUTMA	031	DVN	S	10	74.62	n/a	31-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	ETH	SS	6,300	15.81	n/a	n/a	252.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAYPOINT TRADING/XYLEM	091	EXP	B	20,654	17.79	n/a	n/a	1,032.70	5.0
BALYASNY ASSET MGMT	044	FDO	SS	20,000	27.70	23-Jul	7-Nov	1,000.00	5.0
KORMAN	003	FDO	SS	2,000	27.11	23-Jul	7-Nov	0.00	0.0
BARCLEYS CAPITAL	041	FLEX	B	200,000	3.44	n/a	n/a	10,000.00	5.0
Õ Larry Leeds		FNLY	S	10300	0.0800	n/a	n/a	0.00	0.0
MFP INVESTORS	032	FOR	B	5,400	5.81	n/a	3-Oct	270.00	5.0
BRUNNER	012	FXP	B	500	72.76	n/a	n/a	0.00	0.0
GAULT	063	FXP	S	100	75.41	n/a	n/a	0.00	0.0
COUGAR TRADING	044	F	B	25,000	1.78	10-Nov	10-Nov	500.00	2.0
FIRST NY SEC/CHRIS	041	F	S	150,000	1.80	10-Nov	10-Nov	4,500.00	3.0
BUCK CAPITAL MGMT	001	GIL	S	45,000	21.10	8-Sep	16-Oct	1,800.00	4.0
BUCK	015	GISLN	S	10	1.45	n/a	n/a	0.00	0.0
BAYPOINT TRADING/XYLEM	091	GLT	B	24,424	10.31	n/a	n/a	976.96	4.0
BRENCOURT	028	GM	SS	50,000	3.21	10-Nov	11-Nov	0.00	0.0
MAGNETAR FINANCIAL	031	GM	B	50,000	2.80	10-Nov	11-Nov	1,500.00	3.0
MCCARTAN	028	GR	S	100	33.59	23-Oct	23-Oct	0.00	0.0
ZOLIDIS	011	HAL	SS	500	18.70	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS OCONNOR	031	HON	B	35,000	27.30	3-Oct	17-Oct	1,050.00	3.0
DENVER INST. ADV	046	HUM	S	55,700	34.24	n/a	n/a	2,228.00	4.0
BUCK CAPITAL MGMT	001	JCG	SS	40,000	13.98	n/a	3-Nov	1,600.00	4.0
AVESTA CAP	229	KIM	B	25,000	19.97	n/a	n/a	1,250.00	5.0
BUCK	015	KSS	SS	1,000	30.50	n/a	10-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	LEG	SS	100,000	15.27	n/a	n/a	4,000.00	4.0
AVESTA CAP	229	LLTC	B	25,000	21.33	n/a	n/a	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	LM	B	93,000	17.73	29-Oct	11-Nov	3,487.50	3.8
ZOLIDIS	011	LVS	S	45	6.10	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	MCD	B	7,120	56.56	13-Oct	10-Nov	356.00	5.0
SINCLAIR	031	MKXPB	S	100	2.95	n/a	n/a	0.00	0.0
BUCK	015	MRK	B	1,000	27.29	n/a	n/a	0.00	0.0
COUGAR TRADING	044	M	B	5,000	9.10	12-Aug	10-Nov	200.00	4.0
BUCK CAPITAL MGMT	001	NDN	SS	30,000	12.39	31-Oct	7-Nov	1,200.00	4.0
CLOVIS CAPITAL	012	NKE	SS	92,700	45.65	n/a	n/a	4,635.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	OXM	SS	20,000	10.53	n/a	n/a	800.00	4.0
IRIDIAN ASSET MGMT.	036	PKG	B	5,600	13.53	11-Sep	21-Oct	280.00	5.0
THIRD COAST CAPITAL	035	PLCE	S	25,000	20.84	6-Nov	6-Nov	1,250.00	5.0
HEALY CIRCLE	044	PSS	S	20,000	12.03	n/a	n/a	800.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	S	35,000	35.01	n/a	n/a	1,750.00	5.0
AVESTA CAP	229	RIG	B	10,000	75.85	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	80,000	40.29	n/a	6-Nov	3,200.00	4.0
COUGAR TRADING	044	RL	B	5,000	39.97	n/a	6-Nov	250.00	5.0
AMATURO	018	SDS	S	2,000	97.80	n/a	n/a	0.00	0.0
GAULT	063	SDS	S	800	97.33	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	SPG	S	10,000	59.34	n/a	n/a	500.00	5.0
AMATURO	018	SSO	B	3,000	26.86	n/a	n/a	0.00	0.0
AMATURO	018	SSO	S	3,000	27.54	n/a	n/a	0.00	0.0
BRENCOURT	028	SUP	B	50,000	11.05	10-Nov	10-Nov	0.00	0.0
COUGAR TRADING	044	SUP	B	10,000	11.10	10-Nov	10-Nov	500.00	5.0
MILLRACE FUND LP	028	SUP	B	16,000	10.89	10-Nov	10-Nov	640.00	4.0
SINCLAIR	031	SWGOL	S	40	10.45	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	TGT	SS	35,000	35.45	6-Nov	7-Nov	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	TGT	B	10,000	35.77	6-Nov	7-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	750,000	22.99	11-Aug	10-Nov	30,000.00	4.0
SCOPUS FUND	041	TJX	SS	70,000	23.49	11-Aug	10-Nov	3,500.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	90,000	4.98	7-Aug	7-Nov	3,600.00	4.0
ZOLIDIS	011	TOL	SS	500	17.98	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	TWB	C	7,300	6.36	n/a	3-Nov	292.00	4.0
AMATURO	018	USO	B	1,000	48.50	n/a	n/a	0.00	0.0
UBS OCONNOR	031	UTX	SS	20,000	52.00	n/a	n/a	600.00	3.0
ZOLIDIS	011	UYG	S	1,000	7.50	n/a	n/a	0.00	0.0
BAYPOINT TRADING/XYLEM	091	VCP	S	15,000	7.57	n/a	n/a	600.00	4.0
ARAGON GLOBAL	041	VZ	B	52,789	29.84	n/a	4-Jan	2,639.45	5.0
MCCARTAN	028	WBC	S	100	14.62	30-Oct	30-Oct	0.00	0.0
BALYASNY ASSET MGMT	044	WMT	SS	10,000	54.21	10-Oct	7-Nov	500.00	5.0
COUGAR TRADING	044	WRC	S	15,000	18.03	7-Nov	7-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	WWW	SS	20,000	19.97	n/a	13-Mar	800.00	4.0
ZOLIDIS	011	WYNN	S	50	48.75	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	WY	SS	1,500	31.51	3-Nov	3-Nov	0.00	0.0
PIONEER MICHAEL NOLAN	067	YHOO	S	138,000	11.23	n/a	n/a	4,140.00	3.0
BALYASNY ASSET MGMT	044	YUM	B	10,000	25.74	14-Aug	20-Oct	500.00	5.0
SINCUTMA	031	ZQK	B	700	1.73	3-Nov	3-Nov	0.00	0.0
TOTAL (Trade Date):							199,976.72		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTSEP586)	215	WRC	B	1,097	15.58	7-Nov	7-Nov	38.40 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTAIMIPR)	215	WRC	B	55	15.58	7-Nov	7-Nov	1.93 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTAIMRPH)	215	WRC	B	654	15.58	7-Nov	7-Nov	22.89 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTAIMBOW)	215	WRC	B	621	15.58	7-Nov	7-Nov	21.74 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTAIMATR)	215	WRC	B	1,274	15.58	7-Nov	7-Nov	44.59 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTWICH)	215	WRC	B	521	15.58	7-Nov	7-Nov	18.24 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTCOMMTR)	215	WRC	B	188	15.58	7-Nov	7-Nov	6.58 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTINGSCO)	215	WRC	B	4,153	15.58	7-Nov	7-Nov	145.36 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTINGSCF)	215	WRC	B	1,019	15.58	7-Nov	7-Nov	35.67 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTINGSCO)	215	WRC	B	1,761	15.58	7-Nov	7-Nov	61.64 3.5
AO,	11/10	AELTUS/ING INVESTMENT MGT (AELTINGSCO)	215	WRC	B	1,617	15.58	7-Nov	7-Nov	56.60 3.5

TOTAL (AO, CXL, CRT) :**453.64**

TOTAL (Trade Date) :

199,976.72

TOTAL (AO, CXL, CRT) :

453.64

TOTAL (RUN DATE) / NFS:**200,430.36**

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