



## Daily Compliance Activity Report

Trade Date: 11/14/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	029	ACL	B	3,250	83.96	n/a	14-Nov	146.25	4.5
NEUBERGER BERMAN	036	ACS	S	41,200	40.63	n/a	n/a	1,854.00	4.5
COOKBIELER	028	ALO	S	68,970	31.81	n/a	n/a	2,758.80	4.0
LISTED ERR	099	ALO	B	100	32.00	n/a	n/a	0.00	0.0
BUCK	015	ALV	SS	2,000	18.87	22-Oct	22-Oct	0.00	0.0
ARIENCE CAPITAL	036	AMB	B	31,800	16.19	n/a	n/a	1,590.00	5.0
CAMBIAR CAP	046	ANF	S	200,000	19.69	7-Aug	14-Nov	8,000.00	4.0
NEUBERGER BERMAN	029	AOC	B	6,500	42.18	n/a	n/a	292.50	4.5
KAICHER	064	ARTG	S	600	1.27	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	ATVI	B	25,000	11.40	n/a	n/a	1,250.00	5.0
ARAGON GLOBAL	041	AXP	SS	5,300	20.54	n/a	12-Nov	265.00	5.0
ARIENCE CAPITAL	036	AXP	SS	70,700	20.79	n/a	12-Nov	3,535.00	5.0
BEAR STEARNS ASSET MGMT.	033	AYI	SS	31,500	29.08	n/a	n/a	1,260.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	20,000	22.52	n/a	27-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	BKS	SS	150,000	15.87	n/a	n/a	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	BUD	S	114,600	68.68	n/a	n/a	5,730.00	5.0
COLE	077	BZ	S	1,000	0.55	n/a	n/a	0.00	0.0
AMATURO	018	CBS	S	1,000	6.64	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CCL	SS	30,000	19.77	n/a	26-Jan	1,200.00	4.0
WHEELER	008	CITPRA	S	400	9.30	n/a	n/a	0.00	0.0
CUMBERLAND	038	CIT	B	25,000	4.09	n/a	11-Nov	750.00	3.0
AMATURO	018	CIT	S	10,000	4.17	n/a	11-Nov	0.00	0.0
NEUBERGER BERMAN	036	CLI	S	23,300	20.23	n/a	n/a	1,048.50	4.5
BUCK CAPITAL MGMT	001	CMG	SS	10,000	43.47	23-Oct	23-Oct	400.00	4.0
ROSEDALE CAPITAL	046	CMI	B	10,000	21.45	14-Nov	14-Nov	600.00	6.0
J ROSEALEX	034	CMI	B	100	22.04	14-Nov	14-Nov	0.00	0.0
J ROSEVIC	034	CMI	B	100	22.05	14-Nov	14-Nov	0.00	0.0
KAICHER	064	CNXT	S	100	1.13	n/a	n/a	0.00	0.0
ARAGON GLOBAL	041	COF	SS	3,400	32.18	n/a	12-Nov	170.00	5.0
BUCK	015	COF	SS	1,500	31.65	n/a	12-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	10,000	16.33	8-Oct	22-Oct	400.00	4.0
EATON VANCE MGMT	039	COP	B	400,000	48.34	n/a	n/a	12,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARIENCE CAPITAL	036	COV	S	95,400	38.73	n/a	n/a	4,770.00	5.0
CENTURION GLOBAL MGMT LL	041	CSCO	S	39,200	16.95	n/a	22-Mar	1,176.00	3.0
<b>LBACCHRIS</b>	<b>005</b>	<b>CSCO</b>	<b>S</b>	<b>1,000</b>	<b>16.37</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>LBACCICIND</b>	<b>005</b>	<b>CSCO</b>	<b>S</b>	<b>1,000</b>	<b>16.40</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
ARIENCE CAPITAL	036	CVS	C	64,300	30.47	n/a	n/a	3,215.00	5.0
MILLRACE FUND LP	028	DSW	S	20,000	11.30	14-Nov	14-Nov	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>SS</b>	<b>50,000</b>	<b>30.34</b>	<b>n/a</b>	<b>29-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EQR</b>	<b>S</b>	<b>20,000</b>	<b>30.82</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
MFP INVESTORS	032	FOR	B	2,500	4.50	n/a	3-Oct	100.00	4.0
<b>BRUNNER</b>	<b>012</b>	<b>FXP</b>	<b>B</b>	<b>500</b>	<b>62.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	GIL	S	2,000	21.31	8-Sep	16-Oct	100.00	5.0
<b>LBACCICIND</b>	<b>005</b>	<b>GLW</b>	<b>S</b>	<b>1,000</b>	<b>8.65</b>	<b>13-Nov</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>LBACMELISA</b>	<b>005</b>	<b>GLW</b>	<b>S</b>	<b>1,000</b>	<b>8.68</b>	<b>13-Nov</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
COLUMBIA PARTNERS	028	GME	B	21,544	24.42	n/a	n/a	861.76	4.0
HEALY CIRCLE	044	GME	B	25,000	25.60	n/a	n/a	1,000.00	4.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>GMO</b>	<b>S</b>	<b>2,000</b>	<b>1.16</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>HD</b>	<b>SS</b>	<b>30,000</b>	<b>20.77</b>	<b>n/a</b>	<b>27-Jul</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	HGIC	B	24,700	33.34	n/a	n/a	1,111.50	4.5
CAVU CAP ADV	028	HPQ	B	17,500	30.44	n/a	n/a	875.00	5.0
WHITE PINE CAPITAL	030	HRS	S	830	34.13	30-Oct	30-Oct	41.50	5.0
<b>LEDDY</b>	<b>035</b>	<b>HSC</b>	<b>S</b>	<b>400</b>	<b>22.80</b>	<b>31-Oct</b>	<b>31-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>ICON</b>	<b>S</b>	<b>300</b>	<b>9.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>IMMCQ</b>	<b>S</b>	<b>41,662</b>	<b>0.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	IM	S	75,800	11.97	n/a	n/a	3,411.00	4.5
<b>LBACCHRIS</b>	<b>005</b>	<b>IVZ</b>	<b>S</b>	<b>1,000</b>	<b>11.94</b>	<b>13-Nov</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>LBACCICIND</b>	<b>005</b>	<b>IVZ</b>	<b>S</b>	<b>1,000</b>	<b>11.94</b>	<b>13-Nov</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>LBACMELISA</b>	<b>005</b>	<b>IVZ</b>	<b>S</b>	<b>1,000</b>	<b>12.11</b>	<b>13-Nov</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>20,000</b>	<b>11.42</b>	<b>n/a</b>	<b>13-Nov</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>120,000</b>	<b>18.65</b>	<b>10-Nov</b>	<b>10-Nov</b>	<b>4,800.00</b>	<b>4.0</b>
ROBX	302	JNS	B	15,730	7.97	25-Jul	13-Nov	629.20	4.0
NEUBERGER BERMAN	036	KIM	B	44,800	17.57	n/a	n/a	2,016.00	4.5
SLS CAPITAL LLC	224	KSS	SS	25,000	30.52	n/a	14-Nov	1,000.00	4.0
WHITE PINE CAPITAL	030	KSS	S	3,400	29.63	n/a	14-Nov	170.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>LIME</b>	<b>S</b>	<b>142</b>	<b>3.96</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	LOW	SS	50,000	18.47	n/a	27-Jul	2,000.00	4.0
KAICHER	064	MOVE	S	500	1.07	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	MSFT	S	2,630	20.13	n/a	3-Apr	131.50	5.0
WHITE PINE CAPITAL	030	MWV	S	1,900	12.24	30-Oct	30-Oct	95.00	5.0
BUCK CAPITAL MGMT	001	M	B	140,000	7.90	12-Aug	13-Nov	4,200.00	3.0
TRUST CO/COWEN/CALF.	040	M	S	536,335	7.70	12-Aug	13-Nov	21,453.40	4.0
LBACCICIND	005	M	S	1,000	7.45	12-Aug	13-Nov	0.00	0.0
LBACIND	005	M	S	1,000	7.50	12-Aug	13-Nov	0.00	0.0
LBACCHRIS	005	M	S	1,000	7.53	12-Aug	13-Nov	0.00	0.0
LBACIRA	005	NLS	S	1,000	1.83	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	NWL	S	13,500	12.13	n/a	n/a	540.00	4.0
ROYCE TRADING	216	PAG	S	12,700	7.09	n/a	31-Oct	635.00	5.0
CAVU CAP ADV	028	PDE	B	58,700	15.73	n/a	n/a	2,935.00	5.0
CENTURION GLOBAL MGMT LL	041	PFE	B	8,000	16.77	n/a	31-Mar	240.00	3.0
ELM RIDGE ADVISORS	044	PKG	B	35,000	13.35	11-Sep	21-Oct	1,400.00	4.0
CHART WELL ADV	028	PLCE	B	30,605	22.39	6-Nov	6-Nov	1,224.20	4.0
ASCEND PARTNERS	033	PM	B	40,000	39.09	n/a	n/a	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	039	PM	B	100,000	39.13	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	PSA	S	10,000	69.57	n/a	n/a	400.00	4.0
LBACENTRP	005	RAS	S	1,000	2.53	n/a	n/a	0.00	0.0
KAICHER	064	REV	S	100	8.41	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SAFT	B	12,400	34.41	n/a	n/a	558.00	4.5
CENTURION GLOBAL MGMT LL	041	SAP	B	3,600	36.12	n/a	n/a	108.00	3.0
NEUBERGER BERMAN	036	SHPGY	S	34,800	39.41	15-Oct	14-Nov	1,566.00	4.5
BUCK CAPITAL MGMT	001	SKT	S	20,000	32.62	n/a	n/a	800.00	4.0
KAICHER	064	SLM	S	2,000	7.75	n/a	10-Nov	0.00	0.0
LBACENTRP	005	SNCR	S	2,000	8.08	n/a	n/a	0.00	0.0
J ROSEIND	034	SSO	B	100	26.70	n/a	n/a	0.00	0.0
LUCHANSKY	036	SSO	B	2,000	27.30	n/a	n/a	0.00	0.0
LUCHANSKY	036	SSO	S	2,000	27.13	n/a	n/a	0.00	0.0
KERN	050	SWNWF	B	50	1.30	n/a	n/a	0.00	0.0
KERN	050	SWNWF	S	50	0.95	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNXF	B	75	3.20	n/a	n/a	0.00	0.0
NORTHPOINT	030	TDY	B	6,800	40.92	n/a	n/a	272.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TGT	SS	50,000	35.19	6-Nov	7-Nov	2,000.00	4.0
NEUBERGER BERMAN	036	THG	B	18,700	38.21	n/a	n/a	841.50	4.5
LEDDY	035	TIF	SS	2,100	21.55	n/a	3-Nov	0.00	0.0
NOMURA CAPITAL	045	TLB	B	8,800	3.15	7-Aug	7-Nov	264.00	3.0
KAICHER	064	TRMM	S	1,000	0.14	n/a	n/a	0.00	0.0
PILOT ADV	038	TROW	SS	10,000	32.34	19-Sep	13-Nov	400.00	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	C	86,400	5.25	n/a	3-Nov	3,456.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	145,752	5.27	n/a	3-Nov	4,372.56	3.0
ZOLIDIS	011	UAAD	S	10	3.50	n/a	n/a	0.00	0.0
KAICHER	064	UIS	S	300	0.64	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	UNT	S	900	29.62	n/a	4-Nov	45.00	5.0
J.W. SELIGMAN	041	UPS	B	27,000	53.66	n/a	n/a	1,080.00	4.0
ZOLIDIS	011	URBN	B	1,500	16.65	5-Nov	13-Nov	0.00	0.0
LBACIRA	005	UTVG	S	10,000	0.68	n/a	n/a	0.00	0.0
LBACENTRP	005	UTVG	S	20,000	0.72	n/a	n/a	0.00	0.0
AVESTA CAP	229	UTX	B	25,000	52.44	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAVU CAP ADV	028	VSEA	SS	25,100	17.53	n/a	n/a	1,255.00	5.0
NWQ INVESTMENT MGMT CO	048	WCC	S	5,850	16.06	n/a	n/a	234.00	4.0
WHITE PINE CAPITAL	030	WMT	S	620	53.60	10-Oct	13-Nov	31.00	5.0
JMP ASSET MGMT	210	WSM	B	1,000	6.44	n/a	n/a	30.00	3.0
<b>ZOLIDIS</b>	<b>011</b>	<b>ZLCAV</b>	<b>S</b>	<b>10</b>	<b>1.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>							<b>139,744.17</b>		



### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/13	LISTED ERR (LISTED ERR)	028	ALO	S	100	30.70	n/a	n/a	4.00	4.0
AO,	11/13	LISTED ERR (LISTED ERR)	028	ALO	S	100	30.70	n/a	n/a	0.00	0.0
AO,CXL	11/13	CAMBIAR CAP (CAMB1)	046	ANF	S	5,700	20.70	7-Aug	14-Nov	0.00	0.0
AO,	11/13	CAMBIAR CAP (CAMB1)	046	ANF	S	5,700	20.70	7-Aug	14-Nov	228.00	4.0
AO,CXL	11/13	CAMBIAR CAP (CAMB76)	046	ANF	S	1,100	20.70	7-Aug	14-Nov	0.00	0.0
AO,	11/13	CAMBIAR CAP (CAMB76)	046	ANF	S	1,100	20.70	7-Aug	14-Nov	44.00	4.0
AO,CXL	11/13	SILVERPOINT (SILPGS)	067	AXP	SS	150,000	19.27	n/a	12-Nov	7500.00	5.0
AO,CRT	11/13	SILVERPOINT (SILPGS)	067	AXP	SS	150,000	19.27	n/a	12-Nov	6000.00	4.0
AO,CXL	11/13	STELLIAM INV ADV (STLLMSEXEC)	040	CAL	B	12,500	10.71	n/a	n/a	500.00	4.0
AO,CRT	11/13	STELLIAM INV ADV (STLLMSEXEC)	040	CAL	B	12,500	10.71	n/a	n/a	625.00	5.0
AO,	11/13	NOMURA CAPITAL (NOMUBPD)	045	DAN	S	657	1.20	n/a	n/a	13.14	2.0
AO,	11/13	NOMURA CAPITAL (NOMUSTRATE)	045	DAN	S	4,900	1.20	n/a	n/a	98.00	2.0
AO,	11/13	NOMURA CAPITAL (NOMUBATT2)	045	DAN	S	4,500	1.20	n/a	n/a	90.00	2.0
AO,	11/13	NOMURA CAPITAL (NOMUBSMAN)	045	DAN	S	5,600	1.20	n/a	n/a	112.00	2.0
AO,CXL	11/13	BUCK CAPITAL MGMT (BUCKMSMAN)	001	EXR	S	50,000	9.43	n/a	n/a	1500.00	3.0
AO,CRT	11/13	BUCK CAPITAL MGMT (BUCKMSMAN)	001	EXR	S	50,000	9.43	n/a	n/a	2000.00	4.0
AO,CRT	11/13	LISTED ERR (LISTED ERR)	099	FII	B	38	20.61	13-Nov	13-Nov	0.00	0.0
AO,	11/13	STONERIDGE INV PART (STOR090)	028	FII	B	190	21.40	13-Nov	13-Nov	9.50	5.0
AO,	11/13	STONERIDGE INV PART (STOR005)	028	FII	B	8,600	21.40	13-Nov	13-Nov	430.00	5.0
AO,	11/13	STONERIDGE INV PART (STOR071)	028	FII	B	4,800	21.40	13-Nov	13-Nov	240.00	5.0
AO,	11/13	STONERIDGE INV PART (STOR054)	028	FII	B	6,100	21.40	13-Nov	13-Nov	305.00	5.0
AO,	11/13	STONERIDGE INV PART (STOR065)	028	FII	B	3,100	21.40	13-Nov	13-Nov	155.00	5.0
AO,	11/13	STONERIDGE INV PART (STOR087)	028	FII	B	575	21.40	13-Nov	13-Nov	28.75	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/13	STONERIDGE INV PART (STOR011)	028	FII	B	7,600	21.40	13-Nov	13-Nov	380.00 5.0
AO,	11/13	STONERIDGE INV PART (STOR076)	028	FII	B	800	21.40	13-Nov	13-Nov	40.00 5.0
AO,	11/13	STONERIDGE INV PART (STOR089)	028	FII	B	230	21.40	13-Nov	13-Nov	11.50 5.0
AO,	11/13	STONERIDGE INV PART (STOR014)	028	FII	B	3,500	21.40	13-Nov	13-Nov	175.00 5.0
AO,	11/13	STONERIDGE INV PART (STOR049)	028	FII	B	1,700	21.40	13-Nov	13-Nov	85.00 5.0
AO,	11/13	STONERIDGE INV PART (STOR084)	028	FII	B	44	21.40	13-Nov	13-Nov	2.20 5.0
AO,CRT	11/13	ZOLIDIS (ZOLIDIS)	011	GMAH	S	3	0.90	n/a	n/a	0.00 0.0
AO,CXL	11/13	ZOLIDIS (ZOLIDIS)	011	GMAH	S	3	0.90	n/a	n/a	0.00 0.0
AO,CXL	11/13	PNC/MERCANTILE (PNCMEQINF)	028	JNJ	S	11,643	60.06	n/a	22-Apr	582.15 5.0
AO,CRT	11/13	PNC/MERCANTILE (PNCMMAINAC)	028	JNJ	S	11,643	60.06	n/a	22-Apr	582.15 5.0
AO,CXL	11/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	S	20,000	10.06	n/a	n/a	800.00 4.0
AO,CRT	11/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	S	20,000	10.06	n/a	n/a	600.00 3.0
AO,CXL	11/13	PNC/MERCANTILE (PNCMEQINF)	028	MHS	B	31,612	39.77	n/a	n/a	1580.60 5.0
AO,CRT	11/13	PNC/MERCANTILE (PNCMMAINAC)	028	MHS	B	31,612	39.77	n/a	n/a	1580.60 5.0
AO,	11/13	NOMURA CAPITAL (NOMUSTRATE)	045	TLB	B	2,600	3.68	7-Aug	7-Nov	78.00 3.0
AO,	11/13	NOMURA CAPITAL (NOMUBATT2)	045	TLB	B	2,400	3.68	7-Aug	7-Nov	72.00 3.0
AO,	11/13	NOMURA CAPITAL (NOMUBSMAIN)	045	TLB	B	3,000	3.68	7-Aug	7-Nov	90.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,608.09</b>

TOTAL (Trade Date) :

139,744.17

TOTAL (AO, CXL, CRT):

1,608.09

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**TOTAL (RUN DATE) / NFS:**

**141,352.26**

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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