



## Daily Compliance Activity Report

Trade Date: 12/10/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DE SHAW	040	AEO	B	100,000	10.13	n/a	5-Dec	4,000.00	4.0
<b>MENCKE</b>	<b>055</b>	<b>ALD</b>	<b>S</b>	<b>100</b>	<b>2.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SENATOR INVESTMENT GROUP	036	AMT	SS	25,000	27.61	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	AN	SS	35,000	9.99	7-Nov	7-Nov	1,750.00	5.0
HUNTER GLOBAL INVESTOR	067	ARG	B	110,200	35.68	24-Oct	3-Nov	5,510.00	5.0
<b>AMATURO</b>	<b>018</b>	<b>BGU</b>	<b>S</b>	<b>4,000</b>	<b>36.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>AMATURO</b>	<b>018</b>	<b>BGZ</b>	<b>B</b>	<b>1,500</b>	<b>62.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	BWA	SS	2,500	25.07	26-Nov	26-Nov	125.00	5.0
TRELLUS PARTNERS LP	028	CAT	SS	20,000	44.50	19-Sep	22-Oct	1,000.00	5.0
PIONEER MICHAEL NOLAN	067	CECO	S	27,600	17.97	n/a	n/a	828.00	3.0
WELLS/STRONG LEDDY	035	CHS	B	194,500	3.59	5-Dec	5-Dec	5,835.00	3.0
HEALY CIRCLE	044	COST	S	10,000	52.40	n/a	27-Jul	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CVS</b>	<b>B</b>	<b>50,000</b>	<b>28.34</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
CUMBERLAND	038	DELL	B	100,000	11.98	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	DSW	SS	5,000	10.72	14-Nov	25-Nov	250.00	5.0
BASIX	033	FDO	SS	21,000	23.59	5-Dec	5-Dec	630.00	3.0
HOLLIS CAPITAL	033	FDO	SS	8,000	23.64	5-Dec	5-Dec	400.00	5.0
PILOT ADV	038	FDO	B	15,000	23.25	5-Dec	5-Dec	588.00	2.0
LISTED ERR	099	FDO	B	4,000	23.25	5-Dec	5-Dec	0.00	0.0
LISTED ERR	099	FDO	S	4,000	23.25	5-Dec	5-Dec	0.00	0.0
MFP INVESTORS	032	FOR	S	31,800	4.49	n/a	3-Oct	1,272.00	4.0
TYNDALL	091	FOR	B	50,000	4.77	n/a	3-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	GES	B	20,000	15.13	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	100,000	14.50	n/a	n/a	4,000.00	4.0
SENATOR INVESTMENT GROUP	036	HES	B	15,000	44.65	n/a	n/a	600.00	4.0
LEVIN CAPITAL STRATEGIES	012	HIG	S	75,000	15.45	n/a	n/a	2,250.00	3.0
BAIRD INVESTMENT	031	HRS	B	2,675	36.60	30-Oct	9-Dec	133.75	5.0
AMATURO	018	HYP	B	5,000	1.54	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	50,000	36.09	n/a	5-Dec	2,000.00	4.0
KINGDON ASSET MGMT	041	MFE	SS	150,000	29.13	n/a	3-Apr	6,000.00	4.0
SLS CAPITAL LLC	224	M	B	163,700	8.77	12-Aug	5-Dec	6,548.00	4.0
SANDELL ADV	040	NCX	B	150,000	4.39	n/a	n/a	9,000.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NKE	B	50,000	51.33	n/a	n/a	2,000.00	4.0
AELTUS/ING INVESTMENT MGT	215	PCP	B	169,670	56.88	n/a	n/a	5,938.45	3.5
BEAR STEARNS ASSET MGMT.	033	PETM	S	50,000	17.48	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	200,000	19.81	7-Nov	20-Nov	8,000.00	4.0
J.W. SELIGMAN	041	PZZA	C	200	17.60	n/a	24-Apr	8.00	4.0
MENCKE	055	SGA	S	35	2.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	100,000	11.38	n/a	13-Mar	4,000.00	4.0
HUNTER GLOBAL INVESTOR	067	SLG	B	44,000	23.08	n/a	n/a	2,200.00	5.0
MUHLENKAMP FUND	046	TEX	B	100,000	17.17	23-Oct	23-Oct	5,000.00	5.0
NUMERIC	060	TEX	S	87,500	17.39	23-Oct	23-Oct	2,625.00	3.0
TRELLUS PARTNERS LP	028	TGT	C	4,500	37.79	17-Nov	5-Dec	225.00	5.0
TRELLUS PARTNERS LP	028	TGT	SS	14,500	38.26	17-Nov	5-Dec	725.00	5.0
CLOVIS CAPITAL	012	TIF	S	63,500	23.89	n/a	2-Dec	3,175.00	5.0
HBK FUNDS	031	WCG	B	50,000	12.15	n/a	n/a	0.00	0.0
PIONEER MICHAEL NOLAN	067	WFT	B	25,000	10.74	n/a	n/a	750.00	3.0
COUGAR TRADING	044	YUM	SS	5,000	28.23	14-Aug	10-Dec	250.00	5.0

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**TOTAL (Trade Date):**

**99,316.20**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/08	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	SS	7,500	25.04	26-Nov	26-Nov	375.00 5.0
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTSEP583)	215	JPM	S	9,790	34.65	26-Sep	20-Nov	342.65 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTSEP466)	215	JPM	S	6,650	34.65	26-Sep	20-Nov	232.75 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTLUXUSG)	215	JPM	S	18,930	34.65	26-Sep	20-Nov	662.55 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTALLIED)	215	JPM	S	3,870	34.65	26-Sep	20-Nov	135.45 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTSEPC00)	215	JPM	S	127,430	34.65	26-Sep	20-Nov	4460.05 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTIIMHEB)	215	JPM	S	5,790	34.65	26-Sep	20-Nov	202.65 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTAIMPRO)	215	JPM	S	4,010	34.65	26-Sep	20-Nov	140.35 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTAIMPRO)	215	JPM	S	35,400	34.65	26-Sep	20-Nov	1239.00 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTIIMANN)	215	JPM	S	36,690	34.65	26-Sep	20-Nov	1284.15 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTAIMCOK)	215	JPM	S	14,320	34.65	26-Sep	20-Nov	501.20 3.5
AO,	12/09	AELTUS/ING IVESTMENT MGT (AELTAIMTIG)	215	JPM	S	265,610	34.65	26-Sep	20-Nov	9296.35 3.5
AO,	12/09	HBK FUNDS (HBKFCSFB)	012	UAUA	S	256,730	10.71	n/a	n/a	7701.90 3.0
AO,CXL	12/09	IMPALA ASSET MMT (IMPAGOLDMA)	012	UAUA	S	256,730	10.71	n/a	n/a	7701.90 3.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>18,872.15</b>	
TOTAL (Trade Date):									99,316.20	
TOTAL (AO, CXL, CRT):									18,872.15	
<b>TOTAL (RUN DATE) / NFS:</b>									<b>118,188.35</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