



## Daily Compliance Activity Report

Trade Date: 10/28/2008

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABX	B	20,000	18.50	n/a	n/a	800.00	4.0
ROYCE TRADING	216	AB	B	10,000	18.44	10-Sep	27-Oct	500.00	5.0
COUGAR TRADING	044	AEO	S	10,000	10.05	n/a	10-Oct	500.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>AMZN</b>	<b>SS</b>	<b>1,000</b>	<b>51.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ARO	S	10,000	21.81	n/a	10-Oct	500.00	5.0
HUNTER GLOBAL INVESTOR	067	AVB	S	65,200	64.85	n/a	n/a	3,260.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>AVP</b>	<b>SS</b>	<b>2,000</b>	<b>24.30</b>	<b>10-Oct</b>	<b>10-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AZO</b>	<b>B</b>	<b>10,000</b>	<b>111.13</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
WEINTRAUB CAPITAL MGT.	040	BEN	S	25,000	56.62	24-Oct	27-Oct	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>B</b>	<b>30,000</b>	<b>21.93</b>	<b>n/a</b>	<b>9-Oct</b>	<b>1,200.00</b>	<b>4.0</b>
<b>KERN</b>	<b>050</b>	<b>BRWIX</b>	<b>S</b>	<b>1,084</b>	<b>20.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HART</b>	<b>056</b>	<b>BWAWD</b>	<b>B</b>	<b>20</b>	<b>1.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLRACE FUND LP	028	BWA	SS	9,000	21.15	10-Jun	20-Oct	360.00	4.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>BWA</b>	<b>C</b>	<b>1,000</b>	<b>21.11</b>	<b>10-Jun</b>	<b>20-Oct</b>	<b>0.00</b>	<b>0.0</b>
HUNTER GLOBAL INVESTOR	067	BXP	S	49,800	70.38	n/a	n/a	2,490.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BYI	B	30,000	16.63	n/a	n/a	1,200.00	4.0
BECK MACK & OLIVER LLC	045	CBT	S	3,950	21.52	n/a	24-Sep	197.50	5.0
APEX CAPITAL MGMT.	091	CEL	C	30,000	27.67	n/a	n/a	1,200.00	4.0
KORMAN	003	CLX	SS	1,000	53.38	15-Oct	15-Oct	0.00	0.0
KORMAN	003	CL	SS	1,000	57.54	14-Oct	14-Oct	0.00	0.0
SASCO	038	CNW	S	8,100	30.09	n/a	n/a	405.00	5.0
KORMAN	003	COF	SS	1,000	35.44	n/a	17-Oct	0.00	0.0
ROTHSCHILD ASSET	040	CPB	B	8,880	37.13	n/a	n/a	399.60	4.5
THE BOSTON COMPANY	401	CTRN	B	6,000	14.06	n/a	n/a	240.00	4.0
AVESTA CAP	229	CVS	B	25,000	25.02	n/a	n/a	1,250.00	5.0
AMATURO	018	DAVXF	B	40	7.40	n/a	n/a	0.00	0.0
KORMAN	003	DKS	SS	2,000	12.99	7-Oct	7-Oct	0.00	0.0
SATELITE/BOBBY	044	DSW	S	25,000	10.30	7-Oct	7-Oct	1,000.00	4.0
BRUNNER	012	DUG	B	1,000	51.70	n/a	n/a	0.00	0.0
BRUNNER	012	DUG	S	1,000	54.63	n/a	n/a	0.00	0.0
KORMAN	003	DV	SS	1,000	50.39	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRUNNER	012	DXD	B	500	92.52	n/a	n/a	0.00	0.0
OGORMAN	046	DXD	S	200	89.00	n/a	n/a	0.00	0.0
ETON PARK CAPITAL	041	EEM	B	1,225,000	20.97	n/a	n/a	36,750.00	3.0
DISCIPLINED GROWTH INV.	030	ELON	S	30,000	6.85	n/a	n/a	1,500.00	5.0
MISSOURI VALLEY PART	046	EQT	B	5,430	27.89	n/a	n/a	271.50	5.0
BUCK CAPITAL MGMT	001	FDO	B	20,000	25.69	23-Jul	9-Oct	800.00	4.0
MFP INVESTORS	032	FOR	B	10,000	6.46	n/a	3-Oct	400.00	4.0
HOLDEN CAPITAL MGMT	035	FOSL	SS	25,000	15.57	13-Oct	13-Oct	1,250.00	5.0
THE BOSTON COMPANY	401	FRED	C	10,000	10.48	n/a	27-Mar	400.00	4.0
HUNTER GLOBAL INVESTOR	067	FRT	S	45,000	51.08	n/a	n/a	2,250.00	5.0
PHILADELPHIA FINANCIAL	033	GBL	B	6,000	27.83	19-Sep	27-Oct	240.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	21.98	n/a	10-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	S	50,000	21.15	n/a	n/a	2,000.00	4.0
LEDDY	035	GE	S	400	19.55	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GIL	S	5,000	18.60	8-Sep	16-Oct	250.00	5.0
KERN	050	GLW	S	250	11.32	28-Oct	28-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HART	056	GMWJ	S	30	2.20	n/a	n/a	0.00	0.0
LUCHANSKY1	036	GMXA	S	50	1.61	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	S	5,000	11.71	n/a	17-Oct	250.00	5.0
SINCLAIR	031	GSDT	B	10	12.80	n/a	n/a	0.00	0.0
BUCK	015	GSKD	S	10	1.17	n/a	n/a	0.00	0.0
BUCK	015	GSKF	B	5	0.36	n/a	n/a	0.00	0.0
BUCK	015	GS	C	500	85.83	15-Sep	21-Oct	0.00	0.0
KORMAN	003	HAS	SS	2,000	26.01	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	HPQ	B	171,970	31.86	n/a	n/a	6,878.80	4.0
KORMAN	003	IFF	SS	1,000	31.15	3-Oct	27-Oct	0.00	0.0
CASTLE ARK	031	JBHT	B	86,080	24.33	n/a	n/a	5,164.80	6.0
COUGAR TRADING	044	JCG	B	10,000	17.10	n/a	17-Sep	500.00	5.0
COUGAR TRADING	044	JCG	S	20,000	16.68	n/a	17-Sep	1,000.00	5.0
PZENA INV ADV	044	JPM	S	65,250	35.90	26-Sep	21-Oct	2,283.87	3.5
BARROW HANLEY MEWHINNEY	031	KFT	S	80,155	26.81	n/a	n/a	3,206.20	4.0
KORMAN	003	KMB	SS	1,000	56.66	23-Oct	23-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	KMT	SS	23,195	16.28	18-Sep	27-Oct	927.80	4.0
COUGAR TRADING	044	KSS	B	10,000	28.50	n/a	10-Oct	500.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	28.29	n/a	10-Oct	250.00	5.0
BULL PATH CAPITAL	044	LAMR	B	44,000	12.96	n/a	n/a	2,200.00	5.0
SANDLER O'NEILL ASSET	031	LM	B	50,000	12.97	1-Jul	27-Oct	2,500.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>LNET</b>	<b>B</b>	<b>300</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MASTERS CAPITAL MANAGE</b>	<b>091</b>	<b>LPX</b>	<b>B</b>	<b>150,000</b>	<b>3.49</b>	<b>n/a</b>	<b>15-Oct</b>	<b>4,500.00</b>	<b>3.0</b>
CAMBIAR CAP	046	LTD	B	120,200	10.53	9-Oct	23-Oct	4,808.00	4.0
COUGAR TRADING	044	LTD	SS	5,000	12.16	9-Oct	23-Oct	250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>MAR</b>	<b>SS</b>	<b>3,000</b>	<b>16.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MER</b>	<b>S</b>	<b>5,500</b>	<b>15.00</b>	<b>n/a</b>	<b>21-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>B</b>	<b>50,000</b>	<b>8.27</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	M	B	5,000	10.07	12-Aug	10-Oct	250.00	5.0
SATELITE/BOBBY	044	M	S	25,000	9.47	12-Aug	10-Oct	1,000.00	4.0
STELLIAM INV ADV	040	NEM	S	20,000	22.76	n/a	n/a	1,000.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>NKE</b>	<b>SS</b>	<b>1,500</b>	<b>48.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HUNTER GLOBAL INVESTOR	067	OFC	S	78,600	25.05	n/a	n/a	3,930.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SASCO	038	OKE	S	9,100	26.54	n/a	n/a	455.00	5.0
BMO NESBITT BURNS	041	PEP	S	25,000	54.13	n/a	n/a	1,250.00	5.0
ELM RIDGE ADVISORS	044	PKG	B	111,800	14.97	11-Sep	21-Oct	4,472.00	4.0
<b>N STRATTON</b>	<b>014</b>	<b>PNWIF</b>	<b>B</b>	<b>1,000</b>	<b>1.34</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>PVH</b>	<b>B</b>	<b>100,000</b>	<b>22.13</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>4,000.00</b>	<b>4.0</b>
CADIAN CAPITAL	067	PVH	B	226,300	21.93	24-Oct	24-Oct	9,052.00	4.0
JP MORGAN VENTURES	046	PVH	B	15,000	21.32	24-Oct	24-Oct	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	50,000	22.63	24-Oct	24-Oct	2,000.00	4.0
BENCHMARK	028	QLD	B	15,000	30.11	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	RHI	B	44,000	15.93	n/a	n/a	2,200.00	5.0
SASCO	038	RTN	S	2,800	44.30	n/a	n/a	140.00	5.0
<b>AMATURO</b>	<b>018</b>	<b>SDS</b>	<b>S</b>	<b>600</b>	<b>99.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>SDS</b>	<b>S</b>	<b>200</b>	<b>107.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KERN</b>	<b>050</b>	<b>SDS</b>	<b>B</b>	<b>200</b>	<b>98.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>SDS</b>	<b>B</b>	<b>1,800</b>	<b>104.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ENTRUST CAPITAL	040	SHW	B	55,700	49.14	n/a	27-Oct	2,785.00	5.0
CAXTON PART	040	SLB	S	63,471	43.44	n/a	n/a	2,221.49	3.5
STELLIAM INV ADV	040	SNDK	B	65,000	7.86	n/a	n/a	3,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	STFC	B	10,000	20.40	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>50,000</b>	<b>36.55</b>	<b>n/a</b>	<b>22-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	TIF	B	5,000	22.28	n/a	10-Oct	250.00	5.0
COUGAR TRADING	044	TIF	SS	5,000	23.07	n/a	10-Oct	250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>TIF</b>	<b>SS</b>	<b>2,000</b>	<b>22.89</b>	<b>n/a</b>	<b>10-Oct</b>	<b>0.00</b>	<b>0.0</b>
BACKBAY	041	TIN	B	50,000	5.80	11-Sep	16-Oct	1,500.00	3.0
FIRST NY SEC/CHRIS	041	TIN	B	30,000	5.74	11-Sep	16-Oct	1,200.00	4.0
<b>MASTERS CAPITAL MANAGE</b>	<b>091</b>	<b>TIN</b>	<b>B</b>	<b>150,000</b>	<b>4.56</b>	<b>11-Sep</b>	<b>16-Oct</b>	<b>4,500.00</b>	<b>3.0</b>
SCOPUS FUND	041	TIN	B	50,000	5.78	11-Sep	16-Oct	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>B</b>	<b>20,000</b>	<b>23.85</b>	<b>11-Aug</b>	<b>10-Oct</b>	<b>800.00</b>	<b>4.0</b>
THE BOSTON COMPANY	401	TLB	SS	40,000	8.13	7-Aug	30-Sep	1,600.00	4.0
ROTHSCHILD ASSET	040	TMO	S	34,860	34.34	n/a	n/a	1,568.70	4.5
SASCO	038	TNB	S	5,100	19.76	n/a	n/a	255.00	5.0
BEAR STEARNS ASSET MGMT.	033	TWB	C	43,400	6.94	n/a	1-Oct	1,736.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>B</b>	<b>50,000</b>	<b>7.17</b>	<b>n/a</b>	<b>1-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	TWB	S	70,000	7.06	n/a	1-Oct	2,100.00	3.0
ROSEDALE CAPITAL	046	UYG	B	30,000	7.32	n/a	n/a	900.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>B</b>	<b>95,400</b>	<b>51.55</b>	<b>n/a</b>	<b>n/a</b>	<b>3,816.00</b>	<b>4.0</b>
COUGAR TRADING	044	VFC	B	5,000	47.70	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	WAG	B	20,000	22.31	n/a	n/a	800.00	4.0
GRANAHAN INV	039	WDR	S	71,000	12.09	15-Jul	28-Oct	2,840.00	4.0
BARROW HANLEY MEWHINNEY	031	WFC	S	149,940	30.94	n/a	n/a	5,997.60	4.0
COUGAR TRADING	044	WMT	S	5,000	51.88	10-Oct	10-Oct	250.00	5.0
J.W. SELIGMAN	041	WMT	B	68,100	52.86	10-Oct	10-Oct	2,724.00	4.0
PORTER-ORLIN-FELDMAN	044	WYE	S	55,000	31.57	n/a	31-Mar	2,750.00	5.0
SATELITE/BOBBY	044	XLY	SS	25,000	19.47	n/a	n/a	1,000.00	4.0
MISSOURI VALLEY PART	046	ZMH	B	6,830	39.68	n/a	n/a	341.50	5.0
<b>TOTAL (Trade Date):</b>								<b>185,267.36</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	10/27	LITESPEED (LITEUBS)	028	DAI	B	225,000	26.00	n/a	n/a	9000.00	4.0
AO,CRT	10/27	LITESPEED (LITEUBS)	028	DAI	B	225,000	26.00	n/a	n/a	6750.00	3.0
AO,CRT	10/24	BRUNNER (BRUNNER)	012	DUG	B	500	53.03	n/a	n/a	0.00	0.0
AO,CXL	10/24	BRUNNER (BRUNNER)	012	DUG	B	500	53.03	n/a	n/a	0.00	0.0
AO,CRT	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	28	2.43	n/a	n/a	0.00	0.0
AO,CRT	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	12	2.42	n/a	n/a	0.00	0.0
AO,CXL	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	28	2.43	n/a	n/a	0.00	0.0
AO,CXL	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	12	2.42	n/a	n/a	0.00	0.0
AO,CXL	10/27	MORGENS WATERFALL (MORGMORGAN)	040	MIR	S	80,000	15.07	n/a	n/a	4000.00	5.0
AO,CRT	10/27	MORGENS WATERFALL (MORGMORGAN)	040	MIR	S	80,000	15.07	n/a	n/a	2400.00	3.0
AO,CXL	09/15	EMP ERROR (EMP ERROR)	099	MS	C	1,500	34.39	15-Sep	21-Oct	0.00	0.0
AO,CRT	09/16	EMP ERROR (EMP ERROR)	099	MS	C	1,500	26.60	15-Sep	21-Oct	0.00	0.0
AO,CRT	09/15	BUCK CAPITAL MGMT (BUCK)	015	MS	C	1,500	34.39	15-Sep	21-Oct	0.00	0.0
AO,CXL	09/16	BUCK CAPITAL MGMT (BUCK)	015	MS	C	1,500	26.60	15-Sep	21-Oct	0.00	0.0
AO,CXL	10/24	NATIONAL BK OF CAN (NBCAMAIN)	031	NCC	S	100,000	2.38	n/a	n/a	4000.00	4.0
AO,CRT	10/24	NATIONAL BK OF CAN (NBCAMAIN)	031	NCC	S	100,000	2.38	n/a	n/a	2000.00	2.0
CRT	10/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TGT	B	50,000	36.55	n/a	22-Oct	2000.00	4.0
TOTAL (AO, CXL, CRT) :										-3,850.00	

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TOTAL (Trade Date):	185,267.36
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TOTAL (AO, CXL, CRT):	-3,850.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>181,417.36</b>
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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