



Daily Compliance Activity Report

Trade Date: 11/06/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	20,000	28.08	n/a	n/a	800.00	4.0
THE BOSTON COMPANY	401	ACV	S	109,080	22.69	n/a	n/a	4,363.20	4.0
COUGAR TRADING	044	AEO	B	20,000	10.45	n/a	3-Nov	1,000.00	5.0
THOMSON HORSTMAN BRYANT	040	AEO	B	85,000	10.15	n/a	3-Nov	4,250.00	5.0
BUCK	015	ALV	SS	1,500	21.35	22-Oct	22-Oct	0.00	0.0
COUGAR TRADING	044	ANF	SS	5,000	26.60	7-Aug	3-Nov	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	ANN	SS	43,200	9.64	n/a	4-Nov	1,728.00	4.0
BRENCOURT	028	AN	B	100,000	5.91	15-Oct	20-Oct	0.00	0.0
STRAUSS ASSET MGMT	040	AN	SS	20,000	6.00	15-Oct	20-Oct	800.00	4.0
WAGONHOUND/NIC	048	AN	C	38,725	5.83	15-Oct	20-Oct	1,161.75	3.0
SINCLAIR	031	APCEG	S	100	6.50	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	BAC	B	25,000	20.18	15-Oct	5-Nov	1,250.00	5.0
BUCK	015	BAC	C	4,000	20.28	15-Oct	5-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	BJ	SS	30,000	36.93	n/a	27-Jul	1,200.00	4.0
THE JAY GOLDMAN	034	BJ	SS	10,000	37.44	n/a	27-Jul	400.00	4.0
MERRILL ASSET	032	BOH	B	17,000	47.70	n/a	n/a	765.00	4.5
GRONET	030	BZ	S	3,000	0.65	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	CAL	B	142,632	16.85	n/a	n/a	5,705.28	4.0
PILOT ROCK	028	CAL	S	300,000	16.60	n/a	n/a	12,000.00	4.0
NORTHPOINT	030	CBST	S	31,333	24.54	n/a	n/a	1,253.32	4.0
AMATURO	018	CHCG	S	13,462	1.03	n/a	n/a	0.00	0.0
WHEELER	008	CHP	S	10,000	2.98	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	80,000	17.98	8-Oct	22-Oct	3,200.00	4.0
JP MORGAN VENTURES	046	COSI	S	22,000	0.80	n/a	n/a	440.00	2.0
BUCK CAPITAL MGMT	001	CRI	SS	150,000	21.49	n/a	n/a	6,000.00	4.0
AVESTA CAP	229	CVX	SS	20,000	70.47	n/a	n/a	1,000.00	5.0
BUCK	015	C	SS	1,500	11.95	15-Sep	5-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	SS	30,000	14.84	7-Oct	7-Oct	1,200.00	4.0
BRUNNER	012	DUG	S	500	41.76	n/a	n/a	0.00	0.0
BRUNNER	012	DXD	S	500	79.97	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	SS	30,000	33.68	15-Aug	29-Oct	1,200.00	4.0
PNC/MERCANTILE	028	EMR	S	34,675	31.95	n/a	n/a	1,733.75	5.0
CAVU CAP ADV	028	ERTS	B	25,000	22.31	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OGORMAN	046	EV	SS	100	21.20	21-Aug	5-Nov	0.00	0.0
PHILADELPHIA FINANCIAL	033	FII	S	56,200	22.88	6-Oct	5-Nov	2,248.00	4.0
SERENGETI MGMT	030	FITB	S	300,000	10.69	n/a	n/a	15,000.00	5.0
UBS OCONNOR	031	FITB	B	190,000	10.69	n/a	n/a	5,700.00	3.0
NORTHPOINT	030	FLO	S	16,646	26.89	n/a	n/a	665.84	4.0
WAGONHOUND/NIC	048	FOSL	S	15,512	16.06	13-Oct	13-Oct	620.48	4.0
BRUNNER	012	FXP	S	750	101.52	n/a	n/a	0.00	0.0
GAULT	063	FXP	S	800	101.81	n/a	n/a	0.00	0.0
DEMARTINI	065	FXP	B	200	94.68	n/a	n/a	0.00	0.0
DEMARTINI	065	FXP	S	200	101.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	S	100,000	23.30	8-Sep	16-Oct	4,000.00	4.0
TRUST CO/COWEN/CALF.	040	GPS	S	327,300	12.92	n/a	3-Nov	13,092.00	4.0
KORMAN	003	HAS	SS	2,000	28.18	n/a	n/a	0.00	0.0
UBS OCONNOR	031	HERO	S	25,000	6.26	n/a	n/a	750.00	3.0
CAVU CAP ADV	028	HPQ	B	15,000	33.90	n/a	n/a	750.00	5.0
BRUNNER	012	HRS	S	1,000	35.11	30-Oct	30-Oct	0.00	0.0
NOMURA CAPITAL	045	IAR	S	95,500	0.37	n/a	n/a	1,910.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Alice Longley		IBM	??	1000	12.0000	n/a	n/a	0.00	0.0
SCOPUS FUND	041	IP	B	25,000	14.84	22-Sep	31-Oct	1,250.00	5.0
BRIGADE CAPITAL MGMT	029	JCG	SS	88,200	16.73	n/a	3-Nov	2,646.00	3.0
THIRD COAST CAPITAL	035	JCG	B	7,500	17.60	n/a	3-Nov	375.00	5.0
AVESTA CAP	229	JCP	SS	25,000	21.79	n/a	3-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	015	JCP	SS	111,000	23.40	n/a	3-Nov	4,400.00	0.5
THIRD COAST CAPITAL	035	JNY	B	15,000	9.58	n/a	30-Oct	750.00	5.0
COUGAR TRADING	044	JWN	B	10,000	16.49	6-Nov	6-Nov	500.00	5.0
HEALY CIRCLE	044	JWN	SS	10,000	15.17	6-Nov	6-Nov	400.00	4.0
THE JAY GOLDMAN	034	JWN	B	25,000	16.62	6-Nov	6-Nov	1,000.00	4.0
BMO NESBITT BURNS	041	KSS	B	25,000	33.93	n/a	3-Nov	1,250.00	5.0
BMO NESBITT BURNS	041	KSS	SS	25,000	34.16	n/a	3-Nov	1,250.00	5.0
COUGAR TRADING	044	KSS	B	10,000	34.22	n/a	3-Nov	500.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	34.12	n/a	3-Nov	250.00	5.0
KORMAN	003	LEG	SS	2,000	16.24	n/a	n/a	0.00	0.0
WHEELER	008	LPX	B	25,000	2.95	5-Nov	5-Nov	0.00	0.0
COUGAR TRADING	044	LTD	B	5,000	10.87	9-Oct	3-Nov	250.00	5.0
KORMAN	003	MAR	SS	1,500	19.63	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	MGA	B	10,000	33.19	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTIER ASSET	039	MSCC	S	119,400	19.86	n/a	n/a	4,776.00	4.0
WHEELER	008	MTRX	S	5,000	11.51	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	M	B	25,000	10.66	12-Aug	3-Nov	1,250.00	5.0
BMO NESBITT BURNS	041	M	SS	25,000	11.36	12-Aug	3-Nov	1,250.00	5.0
COUGAR TRADING	044	M	SS	5,000	11.59	12-Aug	3-Nov	250.00	5.0
RBC CAPITAL MARKETS	034	M	B	10,000	11.26	12-Aug	3-Nov	400.00	4.0
SLS CAPITAL LLC	224	M	B	95,000	11.70	12-Aug	3-Nov	2,850.00	3.0
HIGHBRIDGE CAPITAL	038	NCR	S	75,000	16.98	n/a	n/a	3,750.00	5.0
KORMAN	003	NKE	SS	1,500	51.86	n/a	n/a	0.00	0.0
WHEELER	008	PENX	S	3,200	12.54	n/a	n/a	0.00	0.0
J.W. SELIGMAN	041	PEP	B	25,100	55.17	n/a	n/a	1,004.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	100,000	21.54	24-Oct	24-Oct	4,000.00	4.0
COUGAR TRADING	044	PVH	S	5,000	19.83	24-Oct	24-Oct	250.00	5.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.10	n/a	n/a	1,000.00	5.0
SERENGETI MGMT	030	RF	B	300,000	11.13	n/a	n/a	15,000.00	5.0
BUCK CAPITAL MGMT	001	RHI	SS	20,000	18.05	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	RL	B	25,000	46.74	n/a	6-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	60,000	45.61	n/a	6-Nov	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	RL	B	5,000	45.97	n/a	6-Nov	250.00	5.0
COUGAR TRADING	044	RL	SS	5,000	46.33	n/a	6-Nov	250.00	5.0
THIRD COAST CAPITAL	035	RSH	B	10,000	11.80	n/a	n/a	500.00	5.0
PALMYRA CAPITAL	048	RUTH	S	100,000	1.62	n/a	n/a	2,000.00	2.0
LUCHANSKY1	036	SDS	B	200	87.34	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SDS	S	200	94.18	n/a	n/a	0.00	0.0
GAULT	063	SDS	S	1,800	95.02	n/a	n/a	0.00	0.0
ZOLIDIS	011	SHOO	C	1,000	20.27	n/a	n/a	0.00	0.0
RAMIUS CAP	040	SINT	B	40,000	29.23	n/a	n/a	2,000.00	5.0
COUGAR TRADING	044	SSO	B	5,000	28.50	n/a	n/a	250.00	5.0
COUGAR TRADING	044	SSO	S	5,000	30.30	n/a	n/a	250.00	5.0
NORTHPOINT	030	STU	S	1,724	41.13	n/a	n/a	68.96	4.0
KERN	050	SWNWG	S	20	5.00	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TGT	B	25,000	36.86	6-Nov	6-Nov	1,250.00	5.0
CASEY CAPITAL	067	TGT	SS	5,000	37.02	6-Nov	6-Nov	250.00	5.0
FIRST NY SEC/CHRIS	041	TGT	B	10,000	36.90	6-Nov	6-Nov	600.00	6.0
SCOPUS FUND	041	TGT	B	10,000	36.68	6-Nov	6-Nov	500.00	5.0
COUGAR TRADING	044	TJX	B	5,000	25.91	11-Aug	3-Nov	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	16,500	7.61	n/a	3-Nov	660.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	URBN	B	5,000	18.55	5-Nov	6-Nov	250.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	19.60	5-Nov	6-Nov	250.00	5.0
WHEELER	008	UXI	B	4,000	23.50	n/a	n/a	0.00	0.0
J.W. SELIGMAN	041	WMT	B	39,200	55.01	10-Oct	3-Nov	1,568.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	400,000	20.81	24-Oct	24-Oct	16,000.00	4.0
PENN CAPITAL MGMT	243	WRC	B	45,725	16.43	24-Oct	24-Oct	1,829.00	4.0
THIRD COAST CAPITAL	035	WRC	B	7,000	23.22	24-Oct	24-Oct	350.00	5.0
MKT MAKER	098	WRC	S	700	16.43	24-Oct	24-Oct	0.00	0.0
MKT MAKER	243	WRC	B	700	16.43	24-Oct	24-Oct	28.00	4.0
MERRILL ASSET	032	XRX	B	1,369,900	7.35	n/a	n/a	61,645.50	4.5
TOTAL (Trade Date):								245,487.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/30	JMP ASSET MGMT (JMPAGS)	210	DM	S	3,500	3.94	n/a	n/a	175.00 5.0
AO,CRT	10/30	JMP ASSET MGMT (JMPAGS)	210	DM	S	3,500	3.94	n/a	n/a	105.00 3.0
AO,	11/04	DISIPLINED GROWTH INV. (DISI190195)	030	ELON	S	2,550	8.51	n/a	n/a	127.50 5.0
AO,CXL	11/04	DISIPLINED GROWTH INV. (DISI190195)	030	ELON	S	2,550	8.51	n/a	n/a	127.50 5.0
AO,CXL	11/05	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	HUN	B	50,000	8.45	n/a	n/a	2500.00 5.0
AO,CRT	11/05	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	HUN	B	50,000	8.45	n/a	n/a	1500.00 3.0
AO,CXL	10/31	SENATOR INVESTMENT GROUP (SENAMS)	036	IWM	SS	25,000	53.64	n/a	n/a	1250.00 5.0
AO,CRT	10/31	SENATOR INVESTMENT GROUP (SENAGS)	036	IWM	SS	25,000	53.64	n/a	n/a	1250.00 5.0
AO,	11/05	IVORY CAPITAL (IVORCITI)	034	MOT	B	1,450,000	4.80	n/a	n/a	0.00 0.0
AO,CRT	11/05	STANDARD PACIFIC CAPITAL (SPACCGLZ)	040	PAG	B	150,000	8.32	n/a	31-Oct	7500.00 5.0
AO,CXL	11/05	STANDARD PACIFIC CAPITAL (SPACMS)	040	PAG	B	150,000	8.32	n/a	31-Oct	7500.00 5.0
AO,CXL	10/31	MORRISON/TLB/BAYPOINT (MORRCONTLB)	040	RWT	B	20,000	14.24	n/a	n/a	600.00 3.0
AO,CRT	10/31	MORRISON/TLB/BAYPOINT (MORROLDMAN)	040	RWT	B	20,000	14.24	n/a	n/a	600.00 3.0
AO,CXL	11/05	STELLIAM INV ADV (STLLGSBULK)	040	SLE	B	25,000	10.44	n/a	n/a	1000.00 4.0
AO,CRT	11/05	STELLIAM INV ADV (STLLGSBULK)	040	SLE	B	25,000	10.44	n/a	n/a	1250.00 5.0
TOTAL (AO, CXL, CRT) :										-820.00

TOTAL (Trade Date):	245,487.08
TOTAL (AO, CXL, CRT):	-820.00

TOTAL (RUN DATE) / NFS:	244,667.08
--------------------------------	-------------------

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