



Daily Compliance Activity Report

Trade Date: 11/26/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ADV	038	AAON	B	20,000	18.66	n/a	n/a	800.00	4.0
CAVU CAP ADV	028	AAWW	B	13,190	14.55	n/a	n/a	659.50	5.0
FORD FDN.	032	ABT	S	50,000	51.07	n/a	22-Apr	2,500.00	5.0
PRINCIPLE CAPITAL	040	ACOR	S	50,000	17.77	n/a	n/a	1,500.00	3.0
COUGAR TRADING	044	ALV	B	15,000	18.26	26-Nov	26-Nov	750.00	5.0
COUGAR TRADING	044	ALV	SS	15,000	16.77	26-Nov	26-Nov	750.00	5.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	23.25	13-Nov	19-Nov	500.00	5.0
PRINCIPLE CAPITAL	040	AVP	SS	64,100	20.40	3-Nov	3-Nov	1,923.00	3.0
PILOT ADV	038	BBOX	B	14,000	23.09	n/a	n/a	560.00	4.0
WHEELER	008	BEAV	S	10,000	7.79	n/a	n/a	0.00	0.0
AMATURO	018	BGZ	B	2,500	82.78	n/a	n/a	0.00	0.0
AMATURO	018	BGZ	S	1,500	72.12	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BIG	B	50,000	17.38	n/a	7-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	BJ	B	20,000	35.81	n/a	27-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	BKE	B	50,000	17.83	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	BLK	SS	13,818	116.44	n/a	20-Nov	552.72	4.0
CUMBERLAND	038	BRCD	B	50,000	2.97	n/a	n/a	1,500.00	3.0
COUGAR TRADING	044	BWA	B	15,000	22.08	26-Nov	26-Nov	750.00	5.0
COUGAR TRADING	044	BWA	SS	15,000	19.70	26-Nov	26-Nov	750.00	5.0
MILLRACE FUND LP	028	BWA	SS	5,000	20.02	26-Nov	26-Nov	200.00	4.0
TRELLUS PARTNERS LP	028	BWA	SS	15,000	22.94	26-Nov	26-Nov	750.00	5.0
COUGAR TRADING	044	CENTA	S	12,500	3.76	n/a	n/a	375.00	3.0
COUGAR TRADING	044	CENT	S	12,500	3.94	18-Nov	18-Nov	375.00	3.0
WHEELER	008	CHP	B	6,200	1.35	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CMG	SS	3,000	47.04	23-Oct	23-Oct	150.00	5.0
ENTRUST CAPITAL	040	COH	B	82,100	17.45	8-Oct	22-Oct	4,105.00	5.0
KAICHER	064	CPN	S	2,000	8.49	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	CSCO	S	20,000	16.20	n/a	22-Mar	1,200.00	6.0
ARIENCE CAPITAL	036	CVS	C	108,537	27.02	n/a	n/a	5,426.85	5.0
DAVIDSON KEMPNER ADVISOR	040	CX	B	24,000	5.38	n/a	n/a	1,200.00	5.0
BEAR STEARNS ASSET MGMT.	033	DF	B	60,000	13.28	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	DKS	B	40,000	12.16	7-Oct	20-Nov	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	DLTR	B	25,000	41.84	n/a	25-Nov	1,250.00	5.0
ARAGON GLOBAL	041	ESI	B	17,600	90.12	n/a	n/a	880.00	5.0
FRONTPOINT/COPIA-ANDREW	031	FSLR	B	29,200	128.58	n/a	n/a	1,022.00	3.5
EFSTATHIOU	044	FXP	S	200	57.78	n/a	n/a	0.00	0.0
COUGAR TRADING	044	F	S	25,000	2.06	10-Nov	10-Nov	500.00	2.0
LEDY	035	F	S	5,000	1.77	10-Nov	10-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	14.34	n/a	10-Jan	800.00	4.0
SCOPUS FUND	041	GIL	S	7,500	17.01	25-Nov	25-Nov	375.00	5.0
LISTED ERR	099	GIL	B	5,300	17.00	25-Nov	25-Nov	0.00	0.0
LISTED ERR	099	GIL	S	5,300	16.91	25-Nov	25-Nov	0.00	0.0
COUGAR TRADING	044	GM	S	10,000	4.87	10-Nov	17-Nov	300.00	3.0
LEDY	035	ICON	S	2,400	6.92	n/a	n/a	0.00	0.0
KAICHER	064	ICON	S	500	7.66	n/a	n/a	0.00	0.0
KORMAN	003	IFF	C	1,000	29.51	30-Oct	13-Nov	0.00	0.0
COLUMBIA PARTNERS	028	ITW	SS	2,300	32.53	25-Nov	25-Nov	92.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	36,200	11.65	13-Nov	26-Nov	1,810.00	5.0
AVESTA CAP	229	JEC	B	10,000	37.89	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JNY	B	300,000	4.91	n/a	30-Oct	9,000.00	3.0
AVESTA CAP	229	LRY	S	15,000	17.80	n/a	n/a	750.00	5.0
THE JAY GOLDMAN	034	LTD	B	44,200	7.87	18-Nov	20-Nov	1,768.00	4.0
THE JAY GOLDMAN	034	LTD	S	44,200	8.58	18-Nov	20-Nov	1,768.00	4.0
KAICHER	064	LVS	S	1,000	4.85	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MAR	B	50,000	16.14	n/a	n/a	2,000.00	4.0
CAVU CAP ADV	028	MCHP	SS	25,000	18.37	n/a	n/a	1,250.00	5.0
COBALT	041	MER	B	100,000	10.67	n/a	17-Nov	5,000.00	5.0
DALTON GREINER	012	MLI	S	48,955	20.61	n/a	18-Nov	2,447.75	5.0
MERRILL ASSET	032	MPEL	B	397,500	3.25	n/a	n/a	17,887.50	4.5
LEDDY	035	MWO	S	1,000	11.95	n/a	n/a	0.00	0.0
PAW PARTNERS	041	M	B	19,500	7.04	12-Aug	13-Nov	780.00	4.0
CENTURION GLOBAL MGMT LL	041	NTAP	S	16,000	13.07	n/a	n/a	480.00	3.0
PRINCIPLE CAPITAL	040	OSIP	S	300	37.75	n/a	n/a	9.00	3.0
BEAR STEARNS ASSET MGMT.	033	PETM	B	30,000	17.38	n/a	n/a	1,200.00	4.0
CATTANI	041	PG	B	100	62.41	10-Oct	25-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHEELER	008	PRUCX	S	40	5.70	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	PRU	B	21,630	20.15	n/a	n/a	973.35	4.5
WHEELER	008	PRU	B	4,000	18.94	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	B	150,000	7.37	n/a	n/a	4,500.00	3.0
PAW PARTNERS	041	RNT	B	3,900	25.62	n/a	n/a	195.00	5.0
KAICHER	064	RVI	S	500	1.20	n/a	n/a	0.00	0.0
AMATURO	018	SDS	S	2,000	98.60	n/a	n/a	0.00	0.0
KARSCH CAPITAL	034	SPY	S	38,400	85.77	n/a	n/a	1,152.00	3.0
MAGNETAR FINANCIAL	031	SPY	B	62,300	86.66	n/a	n/a	2,492.00	4.0
KAICHER	064	STEM	S	300	1.06	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNXF	B	100	2.40	n/a	n/a	0.00	0.0
SINCLAIR	031	SZCOF	B	30	8.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	B	200,000	32.49	17-Nov	17-Nov	8,000.00	4.0
BUCK CAPITAL MGMT	001	TIF	B	200,000	20.47	n/a	26-Nov	8,000.00	4.0
DSG CAPITAL	225	TIF	S	6,000	20.00	n/a	26-Nov	300.00	5.0
LUCHANSKY1	036	TIF	C	1,000	19.90	n/a	26-Nov	0.00	0.0
KAICHER	064	TPTX	S	62	0.16	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	TRMA	B	5,000	4.06	n/a	n/a	200.00	4.0
WHEELER	008	TRMA	S	2,000	4.06	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TROW	SS	15,000	32.07	19-Sep	21-Nov	750.00	5.0
COUGAR TRADING	044	TWB	B	12,000	3.84	n/a	20-Nov	420.00	3.5
DAVIDSON KEMPNER ADVISOR	040	TXI	SS	26,000	26.52	n/a	n/a	1,300.00	5.0
DEMARTINI	065	WBC	S	200	15.08	18-Nov	18-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	18.67	7-Nov	7-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	WSM	B	102,000	7.32	n/a	n/a	3,060.00	3.0
KAICHER	064	WWAG	S	1,000	0.12	n/a	n/a	0.00	0.0
KAICHER	064	ZHNE	S	2,000	0.08	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							121,288.67		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	AA	SS	49,800	9.51	n/a	n/a	2490.00 5.0
AO,CRT	11/25	HIGHBRIDGE/MS OLDS (HIBCMAN)	041	AA	SS	49,800	9.51	n/a	n/a	2490.00 5.0
AO,CXL	11/25	CROSS CAPITAL (CROCBEARST)	028	ADM	B	1,300	27.22	4-Nov	13-Nov	65.00 5.0
AO,CRT	11/25	CROSS CAPITAL (CROCBEARST)	028	ADM	B	1,800	27.22	4-Nov	13-Nov	90.00 5.0
AO,CXL	11/25	CROSS CAPITAL (CROCBAUSE)	028	ADM	B	31,800	27.22	4-Nov	13-Nov	1590.00 5.0
AO,CRT	11/25	CROSS CAPITAL (CROCBAUSE)	028	ADM	B	31,300	27.22	4-Nov	13-Nov	1565.00 5.0
AO,CRT	11/24	WHEELER (WHEELER)	008	AVYDG	S	30	1.60	n/a	n/a	0.00 0.0
AO,CXL	11/24	WHEELER (WHEELER)	008	AVYDG	S	30	1.60	n/a	n/a	0.00 0.0
AO,	11/25	SANDLER O'NEILL ASSET (SANO)	031	BLK	S	2,800	118.79	n/a	20-Nov	140.00 5.0
AO,CXL	11/25	SANDLER O'NEILL ASSET (SANOJPMBS)	031	BLK	S	5,400	118.79	n/a	20-Nov	270.00 5.0
AO,	11/25	SANDLER O'NEILL ASSET (SANOJPMBS)	031	BLK	S	2,600	118.79	n/a	20-Nov	130.00 5.0
AO,CXL	11/25	OPPENHEIMER MGMT. (&OPPM236)	036	CSCO	S	173,500	15.61	n/a	22-Mar	6940.00 4.0
AO,CRT	11/25	OPPENHEIMER MGMT. (OPPM236)	036	CSCO	S	173,500	15.61	n/a	22-Mar	6940.00 4.0
AO,	11/25	SAXON WOODS ADVISORS (SAXOAGD)	038	FAS	S	24,000	24.03	n/a	n/a	960.00 4.0
AO,	11/25	SAXON WOODS ADVISORS (SAXOAOB)	038	FAS	S	201,000	24.03	n/a	n/a	8040.00 4.0
AO,CRT	11/19	ZOLIDIS (ZOLIDIS)	011	GMAP	S	20	1.15	n/a	n/a	0.00 0.0
AO,CXL	11/19	ZOLIDIS (ZOLIDIS)	011	GMAP	S	20	1.15	n/a	n/a	0.00 0.0
AO,CRT	11/21	BUCK CAPITAL MGMT (BUCK)	015	GSLP	S	14	1.40	n/a	n/a	0.00 0.0
AO,CXL	11/21	BUCK CAPITAL MGMT (BUCK)	015	GSLP	S	14	1.40	n/a	n/a	0.00 0.0
AO,CXL	11/25	SANDLER O'NEILL ASSET (SANOJPMBS)	031	IVZ	S	3,800	11.47	13-Nov	26-Nov	190.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/25	SANDLER O'NEILL ASSET (SANOJPMBS)	031	IVZ	S	3,500	11.47	13-Nov	26-Nov	175.00 5.0
AO,	11/25	SANDLER O'NEILL ASSET (SANO)	031	IVZ	S	300	11.47	13-Nov	26-Nov	15.00 5.0
AO,CXL	11/25	BALYASNY ASSET MGMT (BALYGS)	044	JWN	SS	25,000	9.97	14-Nov	14-Nov	1250.00 5.0
AO,CRT	11/25	BALYASNY ASSET MGMT (BALYGS)	044	JWN	SS	25,000	9.97	14-Nov	14-Nov	1000.00 4.0
AO,CXL	11/25	SANDLER O'NEILL ASSET (SANOJPMBS)	031	LM	B	50,000	15.45	29-Oct	21-Nov	2500.00 5.0
AO,	11/25	SANDLER O'NEILL ASSET (SANO)	031	LM	B	50,000	15.45	29-Oct	21-Nov	2500.00 5.0
AO,CRT	11/24	WHEELER (WHEELER)	008	LZCG	S	50	2.00	n/a	n/a	0.00 0.0
AO,CXL	11/24	WHEELER (WHEELER)	008	LZCG	S	50	2.00	n/a	n/a	0.00 0.0
AO,	11/24	ROTHSCHILD ASSET (ROTH384)	040	NRG	B	970	20.97	n/a	n/a	43.65 4.5
AO,CXL	11/24	ROTHSCHILD ASSET (ROTH348)	040	NRG	B	970	20.97	n/a	n/a	43.65 4.5
AO,	11/24	GARDNER LEWIS ASSET MGMT (GLAMTXHOSP)	028	WFT	S	21,900	11.41	n/a	n/a	1095.00 5.0

TOTAL (AO, CXL, CRT) :	9,845.00
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TOTAL (Trade Date) :	121,288.67
TOTAL (AO, CXL, CRT) :	9,845.00

TOTAL (RUN DATE) / NFS :	131,133.67
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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