



Daily Compliance Activity Report

Trade Date: 11/20/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	ACC	S	20,650	18.06	n/a	n/a	1,032.50	5.0
COUGAR TRADING	044	AEO	S	10,000	7.58	n/a	10-Nov	300.00	3.0
CATTANI	041	AEO	S	200	7.50	n/a	10-Nov	0.00	0.0
CATAPULT	040	ALV	B	4,500	15.12	22-Oct	22-Oct	225.00	5.0
BUCK	015	ALV	C	2,000	15.30	22-Oct	22-Oct	0.00	0.0
KORMAN	003	AMZN	SS	2,000	35.65	n/a	n/a	0.00	0.0
CROWLEY	061	APNS	S	1,000	0.04	n/a	n/a	0.00	0.0
SERENGETI MGMT	030	ARJ	SS	25,000	21.83	n/a	n/a	1,250.00	5.0
SATELITE/BOBBY	044	ATVI	SS	5,000	9.61	n/a	n/a	200.00	4.0
SCOPUS FUND	041	AXL	B	98,600	1.51	n/a	n/a	1,972.00	2.0
BUCK CAPITAL MGMT	001	AZO	B	15,000	92.69	n/a	n/a	600.00	4.0
BUCK	015	BAC	C	3,000	12.03	15-Oct	17-Nov	0.00	0.0
HUNTER GLOBAL INVESTOR	067	BCR	B	67,074	77.81	n/a	22-Apr	3,353.70	5.0
EPOCH INV MGMT	030	BEN	B	56,950	50.66	13-Nov	19-Nov	2,278.00	4.0
BUCK CAPITAL MGMT	001	BKE	S	50,000	14.32	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	BLL	B	8,180	30.28	n/a	n/a	327.20	4.0
COUGAR TRADING	044	BWA	B	10,000	17.07	n/a	30-Oct	500.00	5.0
COUGAR TRADING	044	BWA	S	10,000	17.65	n/a	30-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	BWS	S	4,400	5.15	n/a	n/a	132.00	3.0
MCERLEAN	N16	CAL	B	1,000	10.64	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	045	CAM	B	7,100	18.35	n/a	n/a	284.00	4.0
ARIENCE CAPITAL	036	CBS	C	205,600	5.03	n/a	n/a	8,224.00	4.0
Õ Joel Tiss		CCE	B	5000	7.7300	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	CHD	SS	9,200	58.29	4-Sep	4-Nov	460.00	5.0
NORTHPOINT	030	CHTT	S	14,445	68.21	16-Oct	13-Nov	577.80	4.0
THE BOSTON COMPANY	401	COST	SS	2,050	47.77	n/a	27-Jul	82.00	4.0
SATELITE/BOBBY	044	CRI	B	30,000	16.88	n/a	n/a	1,200.00	4.0
PAW PARTNERS	041	CRM	B	15,600	23.75	n/a	n/a	780.00	5.0
STELLIAM INV ADV	040	CSCO	B	25,000	14.66	n/a	22-Mar	1,000.00	4.0
Õ Mitchell Speiser		C	B	2000	4.9500	15-Sep	17-Nov	0.00	0.0
Õ Raghav Nayar		C	B	100	4.9500	15-Sep	17-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	C	C	3,000	5.96	15-Sep	17-Nov	0.00	0.0
ZOLIDIS	011	DECK	S	100	46.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	B	50,000	10.03	7-Oct	20-Nov	2,000.00	4.0
IRIDIAN ASSET MGMT.	036	DRC	B	31,910	14.24	n/a	n/a	1,595.50	5.0
THE BOSTON COMPANY	401	DSW	S	20,560	9.12	14-Nov	14-Nov	822.40	4.0
BENCHMARK	028	DUG	B	2,500	45.49	n/a	n/a	125.00	5.0
BRUNNER	012	DUG	S	1,000	44.67	n/a	n/a	0.00	0.0
NOLAN	067	DUG	S	67	49.43	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DV	B	40,000	50.01	n/a	n/a	1,600.00	4.0
KORMAN	003	DV	SS	700	49.69	n/a	n/a	0.00	0.0
BUCK	015	EFA	B	1,000	36.88	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	EVR	B	30,000	7.11	n/a	n/a	1,200.00	4.0
BALYASNY ASSET MGMT	044	EV	B	10,000	13.12	13-Nov	20-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	130,000	25.80	23-Jul	7-Nov	5,200.00	4.0
THE BOSTON COMPANY	401	FDO	S	17,150	26.61	23-Jul	7-Nov	686.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	25,000	3.59	n/a	3-Oct	750.00	3.0
EFSTATHIOU	044	FXP	B	100	90.38	n/a	n/a	0.00	0.0
COUGAR TRADING	044	F	B	25,000	1.49	10-Nov	10-Nov	500.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGNETAR FINANCIAL	031	F	B	500,000	1.72	10-Nov	10-Nov	15,000.00	3.0
EFSTATHIOU	044	GE	S	500	12.61	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	045	GIS	B	5,700	62.76	n/a	n/a	228.00	4.0
SATELITE/BOBBY	044	GME	B	18,700	19.27	n/a	n/a	748.00	4.0
COUGAR TRADING	044	GM	B	25,000	3.21	10-Nov	17-Nov	750.00	3.0
SATELITE/BOBBY	044	GPI	S	20,200	6.83	n/a	29-Oct	808.00	4.0
THE BOSTON COMPANY	401	GPS	S	17,230	10.01	n/a	7-Nov	689.20	4.0
BUCK	015	GSLT	B	14	0.28	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HBI	S	80,470	10.80	n/a	n/a	3,218.80	4.0
BUCK CAPITAL MGMT	001	HD	B	60,000	19.57	n/a	27-Jul	2,400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	HD	B	219,600	19.63	n/a	27-Jul	8,235.00	3.8
THE BOSTON COMPANY	401	HD	S	11,640	19.63	n/a	27-Jul	465.60	4.0
PAW PARTNERS	041	HIT	B	11,700	43.34	n/a	n/a	585.00	5.0
ZOLIDIS	011	ICON	S	500	5.82	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	IDC	B	18,500	19.77	n/a	n/a	832.50	4.5
BALYASNY ASSET MGMT	044	IVZ	B	15,000	9.73	13-Nov	20-Nov	750.00	5.0
EFSTATHIOU	044	IVZ	S	700	9.26	13-Nov	20-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LITESPEED	028	IWM	B	135,000	39.33	n/a	n/a	5,400.00	4.0
PILOT ROCK	028	JBHT	B	175,000	23.30	n/a	n/a	7,000.00	4.0
NOLAN	067	JCG	S	60	8.87	n/a	13-Nov	0.00	0.0
PZENA INV ADV	044	JCP	B	38,225	14.06	17-Nov	17-Nov	1,337.92	3.5
NORTHPOINT	030	JDAS	S	51,344	11.34	n/a	n/a	2,053.76	4.0
EPOCH INV MGMT	030	JNS	B	397,050	5.70	25-Jul	19-Nov	15,882.00	4.0
ROYCE TRADING	216	KMT	B	50,000	14.73	18-Sep	27-Oct	2,500.00	5.0
WESTERN RESERVE	031	LEA	B	30,000	1.01	n/a	n/a	900.00	3.0
SOROS	036	LIZ	B	243,800	1.79	n/a	12-Nov	7,314.00	3.0
BMO NESBITT BURNS	041	LM	B	46,000	13.84	29-Oct	20-Nov	2,300.00	5.0
BUCK CAPITAL MGMT	001	LOW	SS	50,000	17.26	n/a	27-Jul	2,000.00	4.0
BMO NESBITT BURNS	041	LPX	B	50,000	2.00	5-Nov	5-Nov	2,500.00	5.0
WHEELER	008	METPRB	B	5,000	12.30	n/a	n/a	0.00	0.0
J.W. SELIGMAN	041	MET	B	30,000	17.43	n/a	n/a	1,200.00	4.0
BUCK	015	MOJMX	B	15	14.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOKIO MARINE ASSET MGMT	045	MRO	B	22,900	22.14	n/a	n/a	916.00	4.0
ZOLIDIS	011	MWO	B	500	8.25	n/a	n/a	0.00	0.0
Õ Mitchell Speiser		MZZ	S	2000	19.8900	n/a	n/a	0.00	0.0
Õ Mitchell Speiser		MZZ	S	2000	19.8900	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	300,000	5.54	12-Aug	13-Nov	9,000.00	3.0
ZOLIDIS	011	M	SS	1,500	5.53	12-Aug	13-Nov	0.00	0.0
Õ Ted Wheeler		NPCO	B	100	81.0000	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	NWY	S	70,000	1.06	n/a	17-Nov	3,500.00	5.0
THE BOSTON COMPANY	401	ORLY	S	5,020	23.07	n/a	n/a	200.80	4.0
SCOPUS FUND	041	PAG	B	6,000	6.32	n/a	31-Oct	300.00	5.0
NOLAN	067	PANL	S	40	5.70	n/a	n/a	0.00	0.0
SATELITE/BOBBY	044	PENN	B	10,000	14.44	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	PFE	S	50,000	15.09	n/a	31-Mar	2,500.00	5.0
ELM RIDGE ADVISORS	044	PKG	B	135,000	11.84	11-Sep	21-Oct	5,400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	46,900	15.03	7-Nov	20-Nov	1,758.75	3.8
CASTLE ARK	031	QCOM	S	150,169	30.16	n/a	n/a	9,010.14	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOKIO MARINE ASSET MGMT	045	RIG	S	4,100	61.15	n/a	n/a	164.00	4.0
BUCK CAPITAL MGMT	001	RL	B	65,900	34.98	n/a	6-Nov	2,636.00	4.0
THE BOSTON COMPANY	401	ROST	S	9,610	23.80	n/a	n/a	384.40	4.0
CATTANI	041	SHPGY	S	100	39.35	15-Oct	19-Nov	0.00	0.0
TOKIO MARINE ASSET MGMT	045	SLB	B	5,800	43.95	n/a	n/a	232.00	4.0
CUMBERLAND	038	SPY	SS	145,000	80.44	n/a	n/a	4,350.00	3.0
BUCK	015	SPY	C	1,000	77.28	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	SSI	B	9,259	3.85	n/a	10-Nov	185.18	2.0
BRUNNER	012	SSO	B	1,000	21.58	n/a	n/a	0.00	0.0
BRUNNER	012	SSO	S	1,000	21.19	n/a	n/a	0.00	0.0
AMATURO	018	SSO	B	5,000	20.50	n/a	n/a	0.00	0.0
AMATURO	018	SSO	S	7,500	20.91	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SSO	B	1,000	20.97	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SSO	S	1,000	20.36	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGCL	B	100	6.04	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNXF	S	75	7.00	n/a	n/a	0.00	0.0
SCOPUS FUND	041	TEN	B	100,000	2.00	n/a	n/a	2,000.00	2.0
BUCK	015	TGT	SS	2,000	28.20	17-Nov	17-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	TIF	SS	1,000	18.00	n/a	3-Nov	0.00	0.0
LUCHANSKY1	036	TIF	SS	1,000	17.82	n/a	3-Nov	0.00	0.0
BMO NESBITT BURNS	041	TROW	SS	25,000	25.60	19-Sep	20-Nov	1,250.00	5.0
ZOLIDIS	011	TWM	B	139	152.85	n/a	n/a	0.00	0.0
WEISS PECK	040	UA	C	4,500	19.25	n/a	29-Oct	225.00	5.0
J.W. SELIGMAN	041	UNM	B	100,000	11.08	n/a	n/a	4,000.00	4.0
ZOLIDIS	011	URBN	S	500	12.39	5-Nov	13-Nov	0.00	0.0
BALYASNY ASSET MGMT	044	USB	B	5,000	23.97	n/a	n/a	250.00	5.0
AMATURO	018	USO	B	1,000	41.35	n/a	n/a	0.00	0.0
WHEELER	008	UYG	B	10,000	3.81	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	S	10,000	40.66	n/a	n/a	400.00	4.0
Õ Joel Tiss		WBC	B	2000	12.1000	18-Nov	18-Nov	0.00	0.0
ROTHSCHILD ASSET	040	WCN	S	4,680	33.12	n/a	n/a	210.64	4.5
BUCK	015	WY	SS	1,000	30.33	3-Nov	3-Nov	0.00	0.0
TOKIO MARINE ASSET MGMT	045	XOM	B	10,400	72.59	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	045	XTO	B	16,700	30.28	n/a	n/a	668.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	ZQK	S	1,000	0.94	3-Nov	3-Nov	0.00	0.0
TOTAL (Trade Date):							177,295.79		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/19	AMBER CAPITAL (AMBRGS)	046	AA	SS	300,000	9.05	n/a	n/a	15000.00 5.0
AO,CRT	11/19	AMBER CAPITAL (AMBRGS)	046	AA	SS	300,000	9.05	n/a	n/a	12000.00 4.0
AO,	11/19	NEUBERGER BERMAN (NBER101849)	036	ALV	S	3,500	15.87	22-Oct	22-Oct	157.50 4.5
AO,	11/19	NEUBERGER BERMAN (NBER551005)	036	ALV	S	2,000	15.87	22-Oct	22-Oct	90.00 4.5
AO,	11/19	NEUBERGER BERMAN (NBER550190)	036	ALV	S	700	15.87	22-Oct	22-Oct	31.50 4.5
AO,	11/19	NEUBERGER BERMAN (NBER550167)	036	ALV	S	4,800	15.87	22-Oct	22-Oct	216.00 4.5
AO,	11/19	NEUBERGER BERMAN (NBER553820)	036	ALV	S	20,700	15.87	22-Oct	22-Oct	931.50 4.5
CRT	11/20	CROWN ADVISORS (CROWLEY)	061	APNS	S	1,000	0.04	n/a	n/a	0.00 0.0
AO,CXL	11/19	SCOPUS FUND (SCOPBANC O)	041	AZO	B	1,500	104.54	n/a	n/a	75.00 5.0
AO,CRT	11/19	SCOPUS FUND (SCOPBANC O)	041	AZO	B	750	104.54	n/a	n/a	37.50 5.0
AO,CXL	11/19	SCOPUS FUND (SCOPUBS)	041	AZO	B	3,500	104.54	n/a	n/a	175.00 5.0
AO,CRT	11/19	SCOPUS FUND (SCOPUBS)	041	AZO	B	4,250	104.54	n/a	n/a	212.50 5.0
AO,CXL	11/19	IMPALA ASSET MMT (IMPACITI)	012	EXPD	S	100,000	28.14	n/a	n/a	3000.00 3.0
AO,	11/19	IMPALA ASSET MMT (IMPABS)	012	EXPD	S	100,000	28.14	n/a	n/a	3000.00 3.0
AO,CXL	11/19	&PRO (&PROSCLOSE)	036	FOR	B	2,500	3.97	n/a	3-Oct	75.00 3.0
AO,CRT	11/19	PROSPECTOR PARTNERS LLC (PROSFOLKSA)	036	FOR	B	2,500	3.97	n/a	3-Oct	75.00 3.0
AO,	11/19	BANK OF NEW YORK (BONETS376)	046	HST	S	140,160	6.02	n/a	n/a	7008.00 5.0
AO,	11/19	BANK OF NEW YORK (BONETS350)	046	HST	S	38,440	6.02	n/a	n/a	1922.00 5.0
AO,	11/19	BANK OF NEW YORK (BONETS379)	046	HST	S	80,050	6.02	n/a	n/a	4002.50 5.0
AO,	11/19	BANK OF NEW YORK (BONE002)	046	HST	S	21,300	6.02	n/a	n/a	1065.00 5.0
AO,CXL	11/19	IMPALA ASSET MMT (IMPABS)	012	IR	S	100,000	14.18	n/a	n/a	0.00 0.0
AO,	11/19	IMPALA ASSET MMT (IMPABS)	012	IR	S	100,000	14.18	n/a	n/a	3000.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/19	IRIDIAN ASSET MGMT. (IRAM288)	036	LMDIA	S	14,150	13.35	n/a	n/a	707.50 5.0
AO,CXL	11/19	SCOPUS FUND (SCOPBANC O)	041	PAG	B	1,500	6.72	n/a	31-Oct	75.00 5.0
AO,CRT	11/19	SCOPUS FUND (SCOPBANC O)	041	PAG	B	2,250	6.72	n/a	31-Oct	112.50 5.0
AO,CXL	11/19	SCOPUS FUND (SCOPUBS)	041	PAG	B	13,500	6.72	n/a	31-Oct	675.00 5.0
AO,CRT	11/19	SCOPUS FUND (SCOPUBS)	041	PAG	B	12,750	6.72	n/a	31-Oct	637.50 5.0
AO,CXL	11/19	IMPALA ASSET MMT (IMPAGOLDMA)	012	SSO	S	129,000	23.83	n/a	n/a	3870.00 3.0
AO,	11/19	IMPALA ASSET MMT (IMPAGOLDMA)	012	SSO	S	129,000	23.53	n/a	n/a	3870.00 3.0
AO,CXL	11/13	LITESPEED (LITEUBS)	028	WAG	B	7,721	23.06	n/a	n/a	386.05 5.0
AO,CRT	11/13	LITESPEED (LITEUBS)	028	WAG	B	7,721	23.06	n/a	n/a	231.63 3.0
AO,CXL	11/13	LITESPEED (LITEUBS)	028	WMT	B	33,328	52.12	10-Oct	13-Nov	1666.40 5.0
AO,CRT	11/13	LITESPEED (LITEUBS)	028	WMT	B	33,328	52.12	10-Oct	13-Nov	999.84 3.0
AO,CXL	11/19	IMPALA ASSET MMT (IMPACITI)	012	WY	B	100,000	31.31	3-Nov	3-Nov	3000.00 3.0
AO,	11/19	IMPALA ASSET MMT (IMPABS)	012	WY	B	100,000	31.31	3-Nov	3-Nov	3000.00 3.0

TOTAL (AO, CXL, CRT) :	15,310.52
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TOTAL (Trade Date) :	177,295.79
TOTAL (AO, CXL, CRT) :	15,310.52

TOTAL (RUN DATE) / NFS:	192,606.31
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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