



## Daily Compliance Activity Report

Trade Date: 11/19/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J.W. SELIGMAN	041	AAP	B	57,400	26.92	n/a	n/a	2,296.00	4.0
AMBER CAPITAL	046	AA	SS	300,000	9.05	n/a	n/a	15,000.00	5.0
IMPALA ASSET MMT	012	ABX	S	80,000	21.17	n/a	n/a	2,400.00	3.0
RAINIER INV MGMT	035	ACC	S	63,550	19.76	n/a	n/a	3,177.50	5.0
IMPALA ASSET MMT	012	ACI	S	123,411	14.08	n/a	n/a	3,702.33	3.0
IMPALA ASSET MMT	012	AEM	B	98,522	33.25	n/a	n/a	2,955.66	3.0
COUGAR TRADING	044	AEO	S	10,000	7.81	n/a	10-Nov	400.00	4.0
BENNETT LAWRENCE	045	ALL	C	36,650	21.70	n/a	n/a	1,282.75	3.5
<b>KORMAN</b>	<b>003</b>	<b>AVP</b>	<b>SS</b>	<b>3,000</b>	<b>21.35</b>	<b>3-Nov</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	AZO	B	5,000	104.54	n/a	n/a	250.00	5.0
SANDLER O'NEILL ASSET	031	BAC	B	65,000	13.88	15-Oct	17-Nov	3,250.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>BBY</b>	<b>SS</b>	<b>500</b>	<b>19.26</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
ENTRUST CAPITAL	040	BIG	SS	34,500	14.79	n/a	7-Nov	1,725.00	5.0
IMPALA ASSET MMT	012	BNI	SS	100,000	73.57	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	BOH	B	10,400	40.07	n/a	n/a	468.00	4.5
MERRILL ASSET	032	BXS	B	16,500	18.31	n/a	n/a	742.50	4.5
J.W. SELIGMAN	041	CAT	B	75,000	35.23	19-Sep	22-Oct	3,000.00	4.0
IMPALA ASSET MMT	012	CCK	SS	300,000	15.39	n/a	n/a	9,000.00	3.0
IMPALA ASSET MMT	012	CCL	S	350,000	17.17	n/a	26-Jan	10,500.00	3.0
COUGAR TRADING	044	CENTA	B	12,500	2.96	n/a	n/a	375.00	3.0
COUGAR TRADING	044	CENT	B	12,500	3.15	18-Nov	18-Nov	375.00	3.0
TRELLUS PARTNERS LP	028	CHD	SS	11,134	58.78	4-Sep	4-Nov	556.70	5.0
IMPALA ASSET MMT	012	CNI	S	225,000	34.88	n/a	n/a	6,750.00	3.0
BENNETT LAWRENCE	045	COF	SS	29,750	27.12	n/a	17-Nov	1,041.25	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>40,000</b>	<b>15.02</b>	<b>8-Oct</b>	<b>22-Oct</b>	<b>1,600.00</b>	<b>4.0</b>
IMPALA ASSET MMT	012	DAL	B	65,000	7.04	n/a	n/a	650.00	1.0
TROUBH PART	067	DELL	S	75,000	10.22	n/a	n/a	3,750.00	5.0
THE BOSTON COMPANY	401	DSW	S	23,140	9.43	14-Nov	14-Nov	925.60	4.0
<b>BRUNNER</b>	<b>012</b>	<b>DUG</b>	<b>B</b>	<b>500</b>	<b>38.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>KORMAN</b>	<b>003</b>	<b>DV</b>	<b>SS</b>	<b>1,500</b>	<b>53.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	DW	S	15,300	10.71	n/a	n/a	688.50	4.5
IMPALA ASSET MMT	012	EXPD	S	100,000	28.14	n/a	n/a	3,000.00	3.0
IMPALA ASSET MMT	012	FCX	SS	100,000	20.42	n/a	n/a	3,000.00	3.0
ROARING BLUE LION MGMT	012	FDO	SS	22,000	26.91	23-Jul	7-Nov	880.00	4.0
LGRE	048	FDO	SS	2,000	26.96	23-Jul	7-Nov	100.00	5.0
AVESTA CAP	229	FLR	B	20,000	33.52	n/a	n/a	1,000.00	5.0
IMPALA ASSET MMT	012	FLR	B	75,000	33.34	n/a	n/a	2,250.00	3.0
SIGMA CAPITAL ASSOCIATES	237	FL	SS	50,000	9.22	7-Oct	14-Nov	2,500.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	22,500	3.97	n/a	3-Oct	675.00	3.0
&PRO	036	FOR	B	2,500	3.97	n/a	3-Oct	75.00	3.0
BENNETT LAWRENCE	045	FSLR	S	4,050	101.07	n/a	n/a	182.25	4.5
<b>BRUNNER</b>	<b>012</b>	<b>FXP</b>	<b>S</b>	<b>500</b>	<b>85.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>DEMARTINI</b>	<b>065</b>	<b>FXP</b>	<b>S</b>	<b>500</b>	<b>84.42</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>GCO</b>	<b>S</b>	<b>21,200</b>	<b>14.69</b>	<b>n/a</b>	<b>10-Jan</b>	<b>848.00</b>	<b>4.0</b>
BENNETT LAWRENCE	045	GE	SS	41,250	14.61	n/a	n/a	1,856.25	4.5
IMPALA ASSET MMT	012	GG	B	275,000	21.39	n/a	n/a	8,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	GMAP	S	20	1.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HBI	S	39,530	11.81	n/a	n/a	1,581.20	4.0
AMATURO	018	HYP	B	1,452	1.66	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	IDC	B	9,700	19.99	n/a	n/a	436.50	4.5
IMPALA ASSET MMT	012	IP	B	120,000	11.69	22-Sep	31-Oct	3,600.00	3.0
IMPALA ASSET MMT	012	IR	S	100,000	14.18	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	ITRI	S	79,967	37.83	n/a	n/a	2,399.01	3.0
J.W. SELIGMAN	041	JCP	B	150,000	15.98	17-Nov	17-Nov	6,000.00	4.0
ARAGON GLOBAL	041	JPM	SS	25,800	29.19	26-Sep	17-Nov	1,290.00	5.0
NEUBERGER BERMAN	036	KEX	S	172,206	24.06	n/a	n/a	7,749.27	4.5
LEDDY	035	KSWS	C	1,000	11.70	n/a	13-Mar	0.00	0.0
PEREGRINE	030	LM	B	200,000	14.26	29-Oct	19-Nov	8,000.00	4.0
BENNETT LAWRENCE	045	MANT	B	6,450	49.95	n/a	n/a	290.25	4.5
BENNETT LAWRENCE	045	MET	C	21,300	19.14	n/a	n/a	958.50	4.5
NORTHPOINT	030	MIG	B	30,255	4.34	n/a	n/a	907.65	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BENNETT LAWRENCE	045	MS	SS	54,650	10.38	15-Sep	17-Nov	2,459.25	4.5
BUCK CAPITAL MGMT	001	M	B	200,000	5.76	12-Aug	13-Nov	6,000.00	3.0
WHEELER	008	NALCO CO	B	100,000	85.00	n/a	n/a	0.00	0.0
MENCKE	055	NSC	S	35	46.44	n/a	n/a	0.00	0.0
MENCKE	055	OHI	S	75	11.98	n/a	n/a	0.00	0.0
PNC/MERCANTILE	028	ORCL	S	10,370	16.80	n/a	n/a	518.50	5.0
SCOPUS FUND	041	PAG	B	15,000	6.72	n/a	31-Oct	750.00	5.0
BMO NESBITT BURNS	041	PCL	S	25,000	33.29	n/a	15-Oct	1,250.00	5.0
MERRILL ASSET	032	PFS	B	11,700	15.39	n/a	n/a	526.50	4.5
ARAGON GLOBAL	041	PSA	S	6,400	59.35	n/a	n/a	320.00	5.0
CASTLE ARK	031	PSYS	B	110,080	30.91	n/a	n/a	6,604.80	6.0
BLUE HARBOR	036	PVH	B	80,000	15.53	7-Nov	7-Nov	4,000.00	5.0
CASTLEROCK	040	PVH	S	155,200	15.62	7-Nov	7-Nov	6,208.00	4.0
OPPENHEIMER MGMT.	036	QCOM	B	157,000	31.39	n/a	n/a	6,280.00	4.0
OPPM236	036	QCOM	B	106,800	31.39	n/a	n/a	4,272.00	4.0
BARON ASSET MGMT*	012	RL	S	57,500	34.40	n/a	6-Nov	2,875.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BULL PATH CAPITAL	044	ROST	B	13,500	24.05	n/a	n/a	675.00	5.0
NORTHPOINT	030	RRC	B	3,350	39.95	n/a	n/a	134.00	4.0
ARAGON GLOBAL	041	RSH	SS	44,100	8.57	n/a	n/a	2,205.00	5.0
NEUBERGER BERMAN	036	SAI	B	80,100	18.81	n/a	n/a	3,604.50	4.5
BENNETT LAWRENCE	045	SCOR	S	4,975	7.65	n/a	n/a	223.88	4.5
<b>AMATURO</b>	<b>018</b>	<b>SDS</b>	<b>S</b>	<b>2,000</b>	<b>108.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SKF</b>	<b>B</b>	<b>25</b>	<b>190.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SKF</b>	<b>S</b>	<b>225</b>	<b>224.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>SLB</b>	<b>S</b>	<b>300</b>	<b>50.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BENNETT LAWRENCE	045	SOHU	S	10,900	38.69	n/a	n/a	490.50	4.5
<b>J COHEN</b>	<b>N27</b>	<b>SPY</b>	<b>B</b>	<b>12</b>	<b>83.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	SSO	B	129,000	23.26	n/a	n/a	3,870.00	3.0
IMPALA ASSET MMT	012	SSO	S	129,000	23.83	n/a	n/a	3,870.00	3.0
<b>AMATURO</b>	<b>018</b>	<b>SSO</b>	<b>B</b>	<b>7,500</b>	<b>23.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	THO	S	23,000	14.16	n/a	n/a	1,035.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TIF</b>	<b>SS</b>	<b>30,000</b>	<b>18.75</b>	<b>n/a</b>	<b>3-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
IMPALA ASSET MMT	012	UAUA	S	275,000	9.52	n/a	n/a	2,750.00	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	URBN	SS	5,000	13.56	5-Nov	13-Nov	250.00	5.0
PNC/MERCANTILE	028	VAL	S	10,380	16.62	n/a	n/a	519.00	5.0
BMO NESBITT BURNS	041	WY	B	25,000	31.24	3-Nov	3-Nov	1,250.00	5.0
IMPALA ASSET MMT	012	WY	B	100,000	31.31	3-Nov	3-Nov	3,000.00	3.0
AVESTA CAP	229	YRCW	B	25,000	1.85	n/a	n/a	500.00	2.0
BUCK CAPITAL MGMT	001	YUM	SS	40,000	25.27	14-Aug	20-Oct	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	237	ZLC	SS	25,000	9.72	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date):</b>							<b>208,181.60</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSWHITNE)	036	FOR	B	4,400	3.96	n/a	3-Oct	176.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSWHITNE)	036	FOR	B	4,400	3.96	n/a	3-Oct	132.00 3.0
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSEIC)	036	FOR	B	400	3.96	n/a	3-Oct	16.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSEIC)	036	FOR	B	400	3.96	n/a	3-Oct	12.00 3.0
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSFARE)	036	FOR	B	3,400	3.96	n/a	3-Oct	136.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSFARE)	036	FOR	B	3,400	3.96	n/a	3-Oct	102.00 3.0
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSMERR)	036	FOR	B	2,600	3.96	n/a	3-Oct	104.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSMERR)	036	FOR	B	2,600	3.96	n/a	3-Oct	78.00 3.0
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSS93)	036	FOR	B	3,800	3.96	n/a	3-Oct	152.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSS93)	036	FOR	B	3,800	3.96	n/a	3-Oct	114.00 3.0
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSMONTRE)	036	FOR	B	3,500	3.96	n/a	3-Oct	140.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSMONTRE)	036	FOR	B	3,500	3.96	n/a	3-Oct	105.00 3.0
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSFULLYM)	036	FOR	B	500	3.96	n/a	3-Oct	20.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSFULLYM)	036	FOR	B	500	3.96	n/a	3-Oct	15.00 3.0
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSEQUITY)	036	FOR	B	1,200	3.96	n/a	3-Oct	48.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSEQUITY)	036	FOR	B	1,200	3.96	n/a	3-Oct	36.00 3.0
AO,CXL	11/18	PROSPECTOR PARTNERS LLC (PROSFOLKSA)	036	FOR	B	5,200	3.96	n/a	3-Oct	208.00 4.0
AO,CRT	11/18	PROSPECTOR PARTNERS LLC (PROSFOLKSA)	036	FOR	B	5,200	3.96	n/a	3-Oct	156.00 3.0
AO,	11/18	NOMURA CAPITAL (NOMUSIIT)	045	OC	S	6,114	12.82	n/a	n/a	305.70 5.0
AO,	11/18	NOMURA CAPITAL (NOMUSIMT)	045	OC	S	5,007	12.82	n/a	n/a	250.35 5.0
AO,	11/18	NOMURA CAPITAL (NOMUSPH)	045	OC	S	1,206	12.82	n/a	n/a	60.30 5.0
AO,	11/18	NOMURA CAPITAL (NOMUMCERS)	045	OC	S	1,611	12.82	n/a	n/a	80.55 5.0
AO,	11/18	NOMURA CAPITAL (NOMU7MS7)	045	OC	S	12,737	12.82	n/a	n/a	636.85 5.0
AO,	11/18	NOMURA CAPITAL (NOMUNCRA)	045	OC	S	125	12.82	n/a	n/a	6.25 5.0
CRT	11/19	BLUE HARBOR (BLUHGOLDMA)	036	PVH	B	80,000	15.53	7-Nov	7-Nov	4000.00 5.0
AO,CRT	11/17	ZOLIDIS (ZOLIDIS)	011	SDS	B	50	102.27	n/a	n/a	0.00 0.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
AO,CXL	11/17	ZOLIDIS (ZOLIDIS)	011	SDS	B	50	102.27	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										5,090.00	
TOTAL (Trade Date) :										208,181.60	
TOTAL (AO, CXL, CRT) :										5,090.00	
TOTAL (RUN DATE) / NFS:										213,271.60	

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