



Daily Compliance Activity Report

Trade Date: 12/24/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAVU CAP ADV	028	AAP	B	5,000	31.46	n/a	n/a	250.00	5.0
Õ James Mitchell		AMG	S	20	36.3900	13-Nov	17-Dec	0.00	0.0
CENTURION GLOBAL MGMT LL	041	ANF	B	7,500	22.03	7-Aug	12-Dec	225.00	3.0
BUCK CAPITAL MGMT	001	AVP	B	40,000	22.72	3-Nov	9-Dec	1,600.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	10,000	17.98	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	DIS	B	30,000	22.09	n/a	n/a	1,200.00	4.0
CAVU CAP ADV	028	EMR	B	45,000	33.87	n/a	n/a	2,250.00	5.0
Õ James Mitchell		FIG	S	100	0.9500	n/a	n/a	0.00	0.0
Õ James Mitchell		FITB	S	100	7.8200	n/a	n/a	0.00	0.0
TYNDALL	091	FOR	B	15,300	6.38	n/a	3-Oct	459.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	26,500	18.23	n/a	10-Jan	1,060.00	4.0
BUCK CAPITAL MGMT	001	GES	B	70,000	14.16	n/a	n/a	2,800.00	4.0
Õ James Mitchell		GFIG	S	430	3.1500	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HOT	B	10,000	16.79	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ James Mitchell		IAI	S	330	18.2700	n/a	n/a	0.00	0.0
Õ James Mitchell		IVZ	S	685	13.1600	13-Nov	19-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	11.49	n/a	12-Dec	1,200.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	18.64	17-Nov	12-Dec	1,200.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	40,000	18.41	17-Nov	12-Dec	1,600.00	4.0
BUCK CAPITAL MGMT	001	JNY	S	50,000	3.93	n/a	30-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	11.78	14-Nov	12-Dec	800.00	4.0
BUCK CAPITAL MGMT	001	KCP	S	20,000	5.77	n/a	28-Sep	600.00	3.0
Õ James Mitchell		KEY	S	100	7.9200	n/a	n/a	0.00	0.0
FRED ALGER MGMT	035	LMT	B	3,700	79.00	n/a	n/a	148.00	4.0
Õ James Mitchell		LM	S	160	20.0500	29-Oct	19-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	S	22,418	8.50	n/a	n/a	672.54	3.0
NWQ INVESTMENT MGMT CO	048	MOT	S	12,000	3.97	n/a	n/a	360.00	3.0
FRED ALGER MGMT	035	MSFT	B	14,700	19.21	n/a	3-Apr	588.00	4.0
BUCK CAPITAL MGMT	001	MW	B	20,000	13.46	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	M	S	50,000	8.64	12-Aug	12-Dec	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ James Mitchell		NCC	S	250	1.6900	n/a	n/a	0.00	0.0
ROBX	302	PKG	S	110,000	12.49	5-Dec	5-Dec	4,400.00	4.0
NWQ INVESTMENT MGMT CO	048	SHS	S	10,800	8.34	n/a	n/a	324.00	3.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	32.51	17-Nov	22-Dec	400.00	4.0
NWQ INVESTMENT MGMT CO	048	TIN	S	2,400	4.36	5-Dec	5-Dec	48.00	2.0
FRED ALGER MGMT	035	TMO	B	8,700	32.80	n/a	n/a	348.00	4.0
CAVU CAP ADV	028	WFT	B	20,000	9.51	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	WSM	B	30,000	7.37	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	ZLC	B	60,000	3.10	n/a	n/a	1,800.00	3.0
TOTAL (Trade Date) :								30,832.54	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/23	ETON PARK CAPITAL (ETONCSFB)	041	SBUX	S	880,000	9.34	n/a	24-Apr	44000.00 5.0
AO,	12/23	ETON PARK CAPITAL (ETONGSBULK)	041	SBUX	S	880,000	9.34	n/a	24-Apr	35200.00 4.0
AO,CXL	12/23	CUMBERLAND (CUMBMS04)	038	VSH	S	100,000	3.42	n/a	n/a	4000.00 4.0
AO,CRT	12/23	CUMBERLAND (CUMBMS04)	038	VSH	S	100,000	3.42	n/a	n/a	3000.00 3.0
TOTAL (AO, CXL, CRT) :										-9,800.00

TOTAL (Trade Date) :	30,832.54
TOTAL (AO, CXL, CRT) :	-9,800.00

TOTAL (RUN DATE) / NFS :	21,032.54
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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