



Daily Compliance Activity Report

Trade Date: 11/04/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ABG	S	50,000	3.60	n/a	31-Oct	1,000.00	2.0
WHITE PINE CAPITAL	030	ABT	S	500	55.79	n/a	22-Apr	25.00	5.0
BAYPOINT CRIT/B COLBURN	033	ADSK	B	60,000	22.40	n/a	n/a	3,000.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	380,000	10.62	n/a	3-Nov	15,200.00	4.0
COUGAR TRADING	044	AEO	S	10,000	10.44	n/a	3-Nov	500.00	5.0
ROSEDALE CAPITAL	046	AEO	B	10,000	10.31	n/a	3-Nov	500.00	5.0
HUNTER GLOBAL INVESTOR	067	AG	B	89,000	31.93	31-Oct	31-Oct	4,450.00	5.0
PILOT ROCK	028	AMR	B	200,000	11.11	n/a	n/a	8,000.00	4.0
LUCHANSKY1	036	APC	B	200	34.56	n/a	4-Nov	0.00	0.0
LEDDY	035	ARGN	B	2,500	4.33	29-Oct	29-Oct	0.00	0.0
STADIA CAPITAL	035	ARO	SS	17,500	23.59	n/a	3-Nov	700.00	4.0
DAWSON SANBERG & CO	041	BAC	B	205,400	24.27	15-Oct	21-Oct	10,270.00	5.0
BECK MACK & OLIVER LLC	045	BAM	S	4,000	19.56	n/a	n/a	200.00	5.0
RAIL-SPLITTER	031	BIG	B	29,500	24.18	n/a	3-Nov	1,475.00	5.0
RBC CAPITAL MARKETS	034	BJ	B	7,000	34.97	n/a	27-Jul	280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	035	BJ	SS	25,000	35.22	n/a	27-Jul	1,000.00	4.0
BULL PATH CAPITAL	044	BKC	S	27,500	22.38	27-Oct	3-Nov	1,375.00	5.0
STADIA CAPITAL	035	BKE	SS	6,600	25.71	n/a	n/a	264.00	4.0
APEX CAPITAL MGMT.	091	BRCM	B	30,000	17.49	n/a	n/a	1,200.00	4.0
COLE	077	BZ	B	700	0.93	n/a	n/a	0.00	0.0
DAWSON SANBERG & CO	041	CAL	B	73,700	17.59	n/a	n/a	3,685.00	5.0
TRELLUS PARTNERS LP	028	CHD	SS	12,500	60.65	4-Sep	4-Nov	625.00	5.0
LISTED ERR	099	CHD	B	9,000	60.60	4-Sep	4-Nov	0.00	0.0
LISTED ERR	099	CHD	S	9,000	60.60	4-Sep	4-Nov	0.00	0.0
LEDDY	035	CIT	B	1,500	5.94	n/a	16-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	CLX	B	150,000	62.70	3-Nov	3-Nov	6,000.00	4.0
JP MORGAN VENTURES	046	CLZR	S	60,000	0.45	n/a	n/a	1,200.00	2.0
WHITE PINE CAPITAL	030	CL	S	200	66.29	14-Oct	14-Oct	10.00	5.0
ADALY INV MGMT	067	CMI	B	44,900	28.88	4-Nov	4-Nov	2,245.00	5.0
WHITE PINE CAPITAL	030	CMO	S	2,000	10.23	n/a	n/a	100.00	5.0
ROBX	033	COO	B	40,000	16.93	n/a	n/a	1,600.00	4.0
WHITE PINE CAPITAL	030	CPB	S	500	38.91	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROBX	033	CRI	S	75,896	21.79	n/a	n/a	3,035.84	4.0
MCCARTAN	028	DE	B	100	41.94	3-Nov	3-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	DIS	SS	20,000	25.74	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DKS	SS	60,000	16.16	7-Oct	7-Oct	2,400.00	4.0
DISCIPLINED GROWTH INV.	030	ELON	S	40,000	8.51	n/a	n/a	2,000.00	5.0
COUGAR TRADING	044	EL	B	10,000	36.39	15-Aug	29-Oct	500.00	5.0
BUCK	015	FHUKK	S	10	0.90	n/a	n/a	0.00	0.0
GAULT	063	FXP	B	300	76.28	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	F	B	500,000	2.19	8-Oct	4-Nov	10,000.00	2.0
BUCK CAPITAL MGMT	001	GES	S	20,000	21.05	n/a	n/a	800.00	4.0
SUTERA	160	GE	S	1,000	20.88	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	GILD	B	5,000	47.12	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	034	GILD	SS	5,000	47.16	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	034	GIL	SS	5,000	25.02	8-Sep	16-Oct	200.00	4.0
BUCK	015	GISKN	B	10	1.10	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	GIS	S	150	67.95	n/a	n/a	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	GLW	B	20,000	11.23	29-Oct	29-Oct	1,000.00	5.0
AMATURO	018	GMO	S	12,000	1.80	n/a	n/a	0.00	0.0
MCCARTAN	028	GR	B	100	39.94	23-Oct	23-Oct	0.00	0.0
STADIA CAPITAL	035	GYMB	SS	17,200	24.31	11-Jul	3-Nov	688.00	4.0
ZOLIDIS	011	HALLD	S	10	2.30	n/a	n/a	0.00	0.0
N STRATTON	014	HEMGF	B	1,000	1.61	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	HME	S	49,400	40.82	n/a	n/a	2,223.00	4.5
STELLIAM INV ADV	040	INCY	S	40,000	4.22	n/a	n/a	1,200.00	3.0
HUNTER GLOBAL INVESTOR	067	IR	B	46,900	18.50	n/a	n/a	2,345.00	5.0
BALYASNY ASSET MGMT	044	IVZ	SS	20,000	15.49	27-Oct	4-Nov	1,000.00	5.0
BUCK	015	IZPWZ	S	10	1.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	23.24	n/a	3-Nov	4,000.00	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	70,450	0.82	n/a	n/a	1,409.00	2.0
J.W. SELIGMAN	041	KSS	S	117,000	34.92	n/a	3-Nov	4,680.00	4.0
WHITE PINE CAPITAL	030	KSS	S	500	34.88	n/a	3-Nov	25.00	5.0
LEVIN CAPITAL STRATEGIES	012	LM	S	25,000	20.88	29-Oct	4-Nov	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATTANI	041	LM	B	100	21.20	29-Oct	4-Nov	0.00	0.0
WHITE PINE CAPITAL	030	LNCE	S	200	20.82	n/a	n/a	10.00	5.0
BUCK CAPITAL MGMT	001	LTD	SS	50,000	12.08	9-Oct	3-Nov	2,000.00	4.0
KAICHER	064	LVS	B	2,000	14.04	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	MAC	B	35,550	30.33	n/a	n/a	1,599.75	4.5
AMATURO	018	MPEL	S	6,000	4.38	n/a	n/a	0.00	0.0
CASTLEROCK	040	MS	B	134,925	18.89	15-Sep	21-Oct	5,397.00	4.0
RBC CAPITAL MARKETS	034	M	SS	40,000	11.62	12-Aug	3-Nov	1,600.00	4.0
MCCARTAN	028	NCI	B	200	17.39	n/a	n/a	0.00	0.0
ADALY INV MGMT	067	PCAR	B	15,300	30.85	3-Oct	22-Oct	765.00	5.0
MCCARTAN	028	PCAR	B	100	30.03	3-Oct	22-Oct	0.00	0.0
WHITE PINE CAPITAL	030	PG	S	200	66.12	10-Oct	30-Oct	10.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	50,000	23.36	24-Oct	24-Oct	2,000.00	4.0
LEDDY	035	PXD	B	400	28.85	24-Oct	31-Oct	0.00	0.0
KAICHER	064	RIG	S	500	85.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	49.48	n/a	24-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	RNST	S	1,000	20.24	n/a	n/a	50.00	5.0
AMATURO	018	SDS	B	1,000	78.60	n/a	n/a	0.00	0.0
MCCARTAN	028	SDS	S	100	78.40	n/a	n/a	0.00	0.0
GAULT	063	SDS	B	200	78.59	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	SKT	S	12,100	35.84	n/a	n/a	484.00	4.0
CATTANI	041	SLB	B	200	51.31	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SPY	B	100	99.66	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SSO	S	5,000	34.63	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	STJ	S	1,500	38.26	n/a	n/a	75.00	5.0
WHITE PINE CAPITAL	030	STSA	S	1,000	8.99	n/a	n/a	50.00	5.0
COUGAR TRADING	044	SUP	B	5,000	15.53	17-Oct	20-Oct	250.00	5.0
MILLRACE FUND LP	028	SUP	SS	15,000	15.41	17-Oct	20-Oct	600.00	4.0
SINCLAIR	031	SWGOL	B	30	6.10	n/a	n/a	0.00	0.0
KERN	050	SWNWG	B	20	2.60	n/a	n/a	0.00	0.0
LUCHANSKY1	036	TEX	B	200	17.33	23-Oct	23-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	50,000	41.90	n/a	3-Nov	2,000.00	4.0
ZOLIDIS	011	TIF	SS	500	25.90	n/a	3-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TLB	S	40,120	8.14	7-Aug	4-Nov	1,604.80	4.0
CRAMER ROSENTHAL/SCOTT	012	TMO	B	33,200	42.67	n/a	n/a	1,328.00	4.0
BALYASNY ASSET MGMT	044	TROW	SS	10,000	40.40	19-Sep	4-Nov	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	17,300	7.89	n/a	3-Nov	692.00	4.0
HUNTER GLOBAL INVESTOR	067	T	S	300,000	29.01	n/a	4-Jan	12,000.00	4.0
CUMBERLAND	038	USO	SS	35,000	57.11	n/a	n/a	1,400.00	4.0
MCCARTAN	028	UYG	B	200	10.77	n/a	n/a	0.00	0.0
GRISANTI BROWN & PARTNER	048	WAG	B	146,950	25.67	n/a	n/a	7,347.50	5.0
WHITE PINE CAPITAL	030	WAG	S	300	25.64	n/a	n/a	15.00	5.0
MCCARTAN	028	WBC	B	100	18.76	30-Oct	30-Oct	0.00	0.0
LUCHANSKY1	036	WBC	B	167	18.76	30-Oct	30-Oct	0.00	0.0
WHITE PINE CAPITAL	030	WDFC	S	600	28.42	n/a	n/a	30.00	5.0
WHITE PINE CAPITAL	030	WDR	S	600	14.89	15-Jul	4-Nov	30.00	5.0
WHITE PINE CAPITAL	030	WINA	S	400	15.27	n/a	n/a	20.00	5.0
RBC CAPITAL MARKETS	034	WSM	SS	15,000	9.48	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	YUM	SS	30,000	30.35	14-Aug	20-Oct	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	ZQK	B	10,000	2.80	3-Nov	3-Nov	0.00	0.0
TOTAL (Trade Date):							148,950.39		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/03	CASEY CAPITAL (CASENFS)	067	AN	SS	20,000	6.63	15-Oct	20-Oct	1000.00 5.0
AO,CRT	11/03	CASEY CAPITAL (CASENFS)	067	AN	SS	20,000	6.63	15-Oct	20-Oct	800.00 4.0
AO,	11/03	APEX CAPITAL MGMT. (APEXJPMORG)	091	ANF	S	60,100	28.16	7-Aug	3-Nov	2404.00 4.0
AO,CXL	11/03	APEX CAPITAL MGMT. (APEXMORGAN)	091	ANF	S	60,100	28.16	7-Aug	3-Nov	2404.00 4.0
AO,	11/03	BAIRD INVESTMENT (BAIRWMCLFD)	031	CHRW	B	525	53.02	n/a	n/a	26.25 5.0
AO,	11/03	BAIRD INVESTMENT (BAIRJB473L)	031	CHRW	B	425	53.02	n/a	n/a	21.25 5.0
AO,	11/03	BAIRD INVESTMENT (BAIRBLCFB)	031	CHRW	B	1,025	53.02	n/a	n/a	51.25 5.0
AO,	11/03	BAIRD INVESTMENT (BAIRVB515)	031	CHRW	B	575	53.02	n/a	n/a	28.75 5.0
AO,	10/30	BANK OF NEW YORK (BONETS350)	046	WFR	S	25,330	15.56	n/a	n/a	1266.50 5.0
AO,	10/30	BANK OF NEW YORK (BONETS378)	046	WFR	S	97,700	15.56	n/a	n/a	4885.00 5.0
AO,	10/30	BANK OF NEW YORK (BONETS377)	046	WFR	S	126,720	15.56	n/a	n/a	6336.00 5.0
AO,	10/30	BANK OF NEW YORK (BONETS379)	046	WFR	S	51,625	15.56	n/a	n/a	2581.25 5.0
AO,	10/30	BANK OF NEW YORK (BONE002)	046	WFR	S	14,440	15.56	n/a	n/a	722.00 5.0
AO,CXL	10/30	BANK OF NEW YORK (&BONEMAIN)	046	WFR	S	315,815	15.56	n/a	n/a	15790.75 5.0
TOTAL (AO, CXL, CRT) :										-72.50
TOTAL (Trade Date) :										148,950.39
TOTAL (AO, CXL, CRT) :										-72.50
TOTAL (RUN DATE) / NFS:										148,877.89



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