



Daily Compliance Activity Report

Trade Date: 12/02/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARAGON GLOBAL	041	ACF	S	58,000	6.83	n/a	n/a	2,900.00	5.0
LISTED ERR	099	ACF	B	2,000	6.82	n/a	n/a	0.00	0.0
LISTED ERR	099	ACF	SS	2,000	6.69	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	AFL	SS	50,000	42.11	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	130,000	15.85	7-Aug	2-Dec	5,200.00	4.0
HUNTER GLOBAL INVESTOR	067	AVB	B	56,600	54.58	n/a	n/a	2,830.00	5.0
ARAGON GLOBAL	041	BIDU	SS	6,800	117.19	n/a	n/a	340.00	5.0
THE JAY GOLDMAN	034	BJ	B	15,000	34.95	n/a	27-Jul	600.00	4.0
BUCK CAPITAL MGMT	001	BKE	B	150,000	17.38	n/a	n/a	6,000.00	4.0
BALYASNY ASSET MGMT	044	BWA	SS	20,000	21.45	26-Nov	26-Nov	1,000.00	5.0
TRELLUS PARTNERS LP	028	BWA	C	25,000	21.54	26-Nov	26-Nov	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	BXP	B	116,700	47.96	n/a	n/a	5,835.00	5.0
COUGAR TRADING	044	CMG	SS	2,000	46.53	23-Oct	23-Oct	100.00	5.0
ARAGON GLOBAL	041	COF	SS	13,588	28.86	n/a	26-Nov	679.40	5.0
KLEINHEINZ CAP PART	031	COF	B	100,000	27.65	n/a	26-Nov	5,000.00	5.0
THE JAY GOLDMAN	034	COST	SS	10,000	49.63	n/a	27-Jul	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	CRI	B	5,000	18.27	n/a	n/a	250.00	5.0
AMATURO	018	DAVXF	B	20	5.39	n/a	n/a	0.00	0.0
AVESTA CAP	229	FDO	S	25,000	24.78	23-Jul	2-Dec	1,250.00	5.0
CASTLEROCK	040	FDO	SS	88,445	25.20	23-Jul	2-Dec	3,537.80	4.0
COLUMBIA PARTNERS	028	FDO	SS	20,000	24.95	23-Jul	2-Dec	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	FDO	SS	75,000	25.03	23-Jul	2-Dec	3,000.00	4.0
ROTHSCHILD ASSET	040	FDO	B	23,900	26.10	23-Jul	2-Dec	1,075.50	4.5
TRELLUS PARTNERS LP	028	FDO	SS	19,000	26.44	23-Jul	2-Dec	950.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	20,000	3.47	n/a	3-Oct	600.00	3.0
HUNTER GLOBAL INVESTOR	067	FRT	B	136,900	48.84	n/a	n/a	6,845.00	5.0
AMBER CAPITAL	046	GE	SS	100,000	16.99	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	30,000	15.78	25-Nov	25-Nov	1,200.00	4.0
KLEINHEINZ CAP PART	031	GPS	B	200,000	11.87	n/a	2-Dec	10,000.00	5.0
AVESTA CAP	229	IBM	S	10,000	76.91	n/a	n/a	500.00	5.0
CASTLE ARK	031	ICE	S	37,400	62.52	n/a	n/a	2,244.00	6.0
DISIPLINED GROWTH INV.	030	INCY	S	48,000	2.98	n/a	n/a	1,440.00	3.0
PRINCIPLE CAPITAL	040	ITRI	B	100,000	45.21	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	80,000	9.27	n/a	2-Dec	2,400.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	B	5,000	9.30	n/a	2-Dec	250.00	5.0
ARAGON GLOBAL	041	JPM	SS	14,000	27.83	26-Sep	20-Nov	700.00	5.0
ASCEND PARTNERS	033	KR	S	154,843	26.74	n/a	n/a	7,742.15	5.0
COUGAR TRADING	044	LM	B	5,000	15.98	29-Oct	2-Dec	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	LM	B	20,000	16.33	29-Oct	2-Dec	600.00	3.0
SANDLER O'NEILL ASSET	031	LM	B	25,000	15.37	29-Oct	2-Dec	1,250.00	5.0
ARIENCE CAPITAL	036	MCD	C	66,155	56.78	13-Oct	20-Nov	3,307.75	5.0
DALTON GREINER	012	MLI	S	99,800	20.37	n/a	18-Nov	4,990.00	5.0
BEAR STEARNS ASSET MGMT.	033	M	B	25,000	6.79	12-Aug	2-Dec	750.00	3.0
BEAR STEARNS ASSET MGMT.	033	NE	S	5,000	22.21	n/a	n/a	200.00	4.0
HUNTER GLOBAL INVESTOR	067	OFC	B	86,800	23.94	n/a	n/a	4,340.00	5.0
ROTHSCHILD ASSET	040	OGE	S	22,690	24.19	n/a	n/a	1,021.05	4.5
TRELLUS PARTNERS LP	028	PAG	SS	100,000	6.46	n/a	31-Oct	3,000.00	3.0
SUFFOLK CAPITAL MGMT	040	PG	S	100,000	60.71	10-Oct	25-Nov	4,000.00	4.0
AMATURO	018	PRU	SS	1,000	17.95	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	PSA	B	31,800	63.93	n/a	n/a	1,590.00	5.0
BASIX	033	PTV	S	34,000	23.28	n/a	n/a	1,020.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	RJF	SS	180,000	16.66	n/a	n/a	6,300.00	3.5
ARAGON GLOBAL	041	SINA	SS	30,900	25.83	n/a	n/a	1,545.00	5.0
SERENGETI MGMT	030	TROW	SS	150,000	28.61	19-Sep	2-Dec	7,500.00	5.0
ROARING BLUE LION MGMT	012	TSCO	SS	7,500	36.31	n/a	n/a	300.00	4.0
ROBX	033	UFS	SS	74,000	1.40	n/a	n/a	740.00	1.0
BEAR STEARNS ASSET MGMT.	033	URBN	S	75,000	16.95	5-Nov	2-Dec	3,000.00	4.0
LISTED ERR	099	USB	B	270	24.90	n/a	n/a	0.00	0.0
LISTED ERR	099	USB	S	270	24.96	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	VNO	B	89,700	46.37	n/a	n/a	4,485.00	5.0
BECKER CAPITAL	035	WBC	B	29,100	14.08	18-Nov	2-Dec	1,164.00	4.0
ARAGON GLOBAL	041	WFC	SS	63,000	25.26	n/a	n/a	3,150.00	5.0
HEALY CIRCLE	044	WFC	SS	25,000	23.60	n/a	n/a	1,000.00	4.0
KLEINHEINZ CAP PART	031	WFMI	B	200,000	9.82	n/a	n/a	10,000.00	5.0
AVESTA CAP	229	WMT	S	25,000	52.40	10-Oct	2-Dec	1,250.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	15.98	7-Nov	7-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	WSM	SS	400,000	7.31	n/a	n/a	12,000.00	3.0

TOTAL (Trade Date):

166,971.65

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/01	NOMURA CAPITAL (NOMUSTRATE)	045	AURD	B	32,000	0.28	n/a	n/a	640.00	2.0
AO,	12/01	NOMURA CAPITAL (NOMUBATT2)	045	AURD	B	19,000	0.28	n/a	n/a	380.00	2.0
AO,	12/01	NOMURA CAPITAL (NOMUBSMAIN)	045	AURD	B	30,800	0.28	n/a	n/a	616.00	2.0
AO,	11/26	COLUMBIA PARTNERS (COLPTID)	028	DF	B	519	13.45	n/a	n/a	20.76	4.0
AO,CXL	11/26	COLUMBIA PARTNERS (COLPTID)	028	DF	B	519	13.45	n/a	n/a	20.76	4.0
AO,CXL	11/24	NEUBERGER BERMAN (NBER701814)	036	DW	S	100	11.69	n/a	n/a	4.50	4.5
AO,	11/24	NEUBERGER BERMAN (NBER701813)	036	DW	S	100	11.69	n/a	n/a	4.50	4.5
AO,CRT	11/24	GARDNER LEWIS ASSET MGMT (GLAMTXHOSP)	028	WFT	S	21,900	11.41	n/a	n/a	1095.00	5.0
AO,CXL	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) :	1,636.00
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TOTAL (Trade Date):	166,971.65
TOTAL (AO, CXL, CRT):	1,636.00

TOTAL (RUN DATE) / NFS:	168,607.65
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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