



Daily Compliance Activity Report

Trade Date: 12/15/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AG	SS	5,000	22.52	15-Dec	15-Dec	250.00	5.0
FRONTPOINT/COPIA-ANDREW	031	APC	B	78,000	37.33	n/a	20-Nov	2,730.00	3.5
BUCK CAPITAL MGMT	001	AVP	B	40,000	22.94	3-Nov	9-Dec	1,600.00	4.0
NORTHPOINT	030	AWR	B	13,100	30.00	n/a	n/a	524.00	4.0
SERENGETI MGMT	030	BAC	S	50,000	14.50	15-Oct	12-Dec	2,500.00	5.0
MATRIX ASSET ADV.	036	BK	B	21,000	25.70	9-Oct	12-Dec	840.00	4.0
SANDLER O'NEILL ASSET	031	BK	B	49,700	26.02	9-Oct	12-Dec	2,485.00	5.0
MILLRACE FUND LP	028	BWA	B	10,000	20.55	26-Nov	26-Nov	400.00	4.0
MATRIX ASSET ADV.	036	CCL	B	10,000	20.67	n/a	26-Jan	400.00	4.0
STRAUSS ASSET MGMT	040	CREE	B	5,000	15.21	n/a	n/a	200.00	4.0
COOPER CREEK PART	028	DSW	SS	5,000	9.78	14-Nov	12-Dec	150.00	3.0
CAPITAL GROWTH MGMT.	241	ESRX	B	1,000	57.75	n/a	n/a	50.00	5.0
TRIBE CAP/MILLENNIUM	041	FDML	S	8,300	4.17	n/a	n/a	415.00	5.0
ROYCE TRADING	216	GDI	S	5,000	24.43	n/a	n/a	250.00	5.0
COOPER CREEK PART	028	GIL	B	5,000	9.18	11-Dec	12-Dec	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PEREGRINE	030	GIL	B	68,000	9.14	11-Dec	12-Dec	2,720.00	4.0
SCOPUS FUND	041	GME	SS	5,000	23.11	n/a	n/a	250.00	5.0
BASIX	033	HRS	B	14,000	35.49	30-Oct	9-Dec	420.00	3.0
CAPITAL GROWTH MGMT.	241	ISRG	B	2,000	129.58	n/a	n/a	100.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	B	38,000	11.56	13-Nov	11-Dec	1,520.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	100,000	12.32	n/a	12-Dec	4,000.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	19.37	17-Nov	12-Dec	4,000.00	4.0
COUGAR TRADING	044	JCP	B	7,500	19.54	17-Nov	12-Dec	375.00	5.0
RBC CAPITAL MARKETS	034	KR	B	15,000	25.71	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	50,000	35.26	n/a	12-Dec	2,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	LQD	B	25,000	94.40	n/a	n/a	1,000.00	4.0
AELTUS/ING INVESTMENT MGT	215	MCD	S	62,200	60.76	13-Oct	8-Dec	2,177.00	3.5
BEAR STEARNS ASSET MGMT.	033	MCD	C	8,700	60.48	13-Oct	8-Dec	348.00	4.0
ROBX	302	NDAQ	S	39,750	23.33	n/a	n/a	1,590.00	4.0
ROYCE TRADING	216	NR	B	10,000	3.68	n/a	n/a	300.00	3.0
FIRST NY SEC/CHRIS	041	RCRC	B	10,000	7.23	n/a	n/a	600.00	6.0
DENVER INST. ADV	046	RL	B	14,700	43.76	n/a	6-Nov	588.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	ROH	S	7,070	67.78	n/a	11-Sep	353.50	5.0
CAPITAL GROWTH MGMT.	241	SGP	B	260,000	17.06	n/a	n/a	10,400.00	4.0
FRONTPOINT/COPIA-ANDREW	031	SLB	SS	108,400	42.27	n/a	n/a	3,794.00	3.5
COUGAR TRADING	044	SLM	S	25,000	7.81	n/a	10-Dec	1,000.00	4.0
ROSEDALE CAPITAL	046	TDC	B	30,000	14.69	n/a	n/a	1,800.00	6.0
DSG CAPITAL	225	TGT	SS	3,000	34.50	17-Nov	12-Dec	150.00	5.0
ROYCE TRADING	216	TWP	S	5,000	13.82	n/a	n/a	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	YUM	S	10,000	27.91	14-Aug	10-Dec	400.00	4.0
TOTAL (Trade Date) :								53,679.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/12	PALMYRA CAPITAL (PALMGSCO)	048	CAB	B	19,300	6.65	n/a	n/a	772.00 4.0
AO,CRT	12/12	PALMYRA CAPITAL (PALMGSCO)	048	CAB	B	19,300	6.65	n/a	n/a	579.00 3.0
AO,CRT	12/12	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	38,200	4.11	n/a	n/a	1910.00 5.0
AO,CXL	12/12	TRIBE CAP/MILLENNIUM (TRICMLPICS)	041	FDML	S	38,200	4.11	n/a	n/a	1910.00 5.0
AO,	12/12	BARON ASSET MGMT* (BAROCHASE)	012	JCG	B	16,000	12.48	n/a	12-Dec	640.00 4.0
AO,CXL	12/12	BUCK CAPITAL MGMT (BUCKGILAGX)	001	JCG	S	150,000	12.46	n/a	12-Dec	6000.00 4.0
AO,CRT	12/12	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JCG	S	150,000	12.46	n/a	12-Dec	6000.00 4.0
AO,CXL	12/12	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	LEA	B	225,000	1.99	n/a	n/a	9000.00 4.0
AO,CRT	12/12	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	LEA	B	225,000	1.99	n/a	n/a	4500.00 2.0
AO,	12/12	SANDLER O'NEILL ASSET (SANOJPMBS)	031	LM	B	200	18.60	29-Oct	12-Dec	10.00 5.0
AO,	12/12	DENVER INST. ADV (DENV568)	046	RL	B	75	43.18	n/a	6-Nov	3.00 4.0
AO,	12/12	DENVER INST. ADV (DENV567)	046	RL	B	600	43.18	n/a	6-Nov	24.00 4.0
AO,	12/12	DENVER INST. ADV (DENV84)	046	RL	B	5,400	43.18	n/a	6-Nov	216.00 4.0
AO,	12/12	DENVER INST. ADV (DENV70)	046	RL	B	11,800	43.18	n/a	6-Nov	472.00 4.0
AO,	12/12	DENVER INST. ADV (DENV7)	046	RL	B	8,000	43.18	n/a	6-Nov	320.00 4.0
AO,	12/12	DENVER INST. ADV (DENV566)	046	RL	B	1,000	43.18	n/a	6-Nov	40.00 4.0
AO,	12/12	DENVER INST. ADV (DENV455)	046	RL	B	30,700	43.18	n/a	6-Nov	1228.00 4.0
AO,	12/12	DENVER INST. ADV (DENV454)	046	RL	B	700	43.18	n/a	6-Nov	28.00 4.0
AO,	12/12	DENVER INST. ADV (DENV412)	046	RL	B	1,000	43.18	n/a	6-Nov	40.00 4.0
AO,	12/12	DENVER INST. ADV (DENV411)	046	RL	B	5,400	43.18	n/a	6-Nov	216.00 4.0
AO,	12/12	DENVER INST. ADV (DENV410)	046	RL	B	7,800	43.18	n/a	6-Nov	312.00 4.0
AO,	12/12	DENVER INST. ADV (DENV401)	046	RL	B	2,500	43.18	n/a	6-Nov	100.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/12	DENVER INST. ADV (DENV379)	046	RL	B	300	43.18	n/a	6-Nov	12.00 4.0
AO,	12/12	DENVER INST. ADV (DENV314)	046	RL	B	2,700	43.18	n/a	6-Nov	108.00 4.0
AO,	12/12	DENVER INST. ADV (DENV267)	046	RL	B	1,000	43.18	n/a	6-Nov	40.00 4.0
AO,	12/12	DENVER INST. ADV (DENV224)	046	RL	B	700	43.18	n/a	6-Nov	28.00 4.0
AO,	12/12	DENVER INST. ADV (DENV192)	046	RL	B	11,500	43.18	n/a	6-Nov	460.00 4.0
AO,	12/12	DENVER INST. ADV (DENV185)	046	RL	B	1,000	43.18	n/a	6-Nov	40.00 4.0
AO,	12/12	DENVER INST. ADV (DENV375)	046	RL	B	1,500	43.18	n/a	6-Nov	60.00 4.0
AO,	12/12	HARVEST MGMT (HARVGSCO)	039	SKS	SS	25,000	4.26	n/a	n/a	1250.00 5.0
AO,CXL	12/12	PALMYRA CAPITAL (PALMGSCO)	048	SKS	S	14,525	4.38	n/a	n/a	581.00 4.0
AO,CRT	12/12	PALMYRA CAPITAL (PALMGSCO)	048	SKS	S	14,525	4.38	n/a	n/a	435.75 3.0
TOTAL (AO, CXL, CRT) :										808.75
TOTAL (Trade Date) :										53,679.50
TOTAL (AO, CXL, CRT) :										808.75
TOTAL (RUN DATE) / NFS:										54,488.25

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