



Daily Compliance Activity Report

Trade Date: 10/27/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAIL-SPLITTER	031	AMG	S	33,800	37.97	23-Oct	27-Oct	1,690.00	5.0
SCOPUS FUND	041	ANF	B	7,500	25.10	7-Aug	10-Oct	375.00	5.0
SINCLAIR	031	APCEG	B	60	4.00	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARO	B	10,000	21.44	n/a	10-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	AVP	SS	100,000	23.90	10-Oct	10-Oct	4,000.00	4.0
PRINCIPLE CAPITAL	040	AVP	SS	47,300	24.14	10-Oct	10-Oct	1,419.00	3.0
GRISANTI BROWN & PARTNER	048	BA	S	14,500	44.27	n/a	n/a	725.00	5.0
PERRY PARTNERS	041	BJ	SS	25,000	31.15	n/a	27-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	BKE	B	20,000	35.85	n/a	n/a	800.00	4.0
CAMBIAR CAP	046	BRL	S	114,650	58.25	18-Jul	27-Oct	4,586.00	4.0
GRISANTI BROWN & PARTNER	048	CCL	S	20,800	26.26	n/a	26-Jan	1,040.00	5.0
IRONBOUND CAPITAL	012	CHD	SS	300	55.35	4-Sep	11-Sep	15.00	5.0
BUCK CAPITAL MGMT	001	CHH	SS	50,000	21.40	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	COH	B	40,000	16.88	8-Oct	22-Oct	1,600.00	4.0
IRIDIAN ASSET MGMT.	036	CSCO	B	46,270	16.79	n/a	22-Mar	2,313.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LITESPEED	028	DAI	B	225,000	26.00	n/a	n/a	9,000.00	4.0
AMATURO	018	DAVXF	B	30	6.79	n/a	n/a	0.00	0.0
AMATURO	018	DAVXF	S	30	7.60	n/a	n/a	0.00	0.0
SINCUTMA	031	DE	B	100	29.69	14-Aug	14-Aug	0.00	0.0
IRIDIAN ASSET MGMT.	036	DIS	B	35,070	21.99	n/a	n/a	1,753.50	5.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	100	35.39	n/a	15-Oct	4.00	4.0
WEISS PECK	040	DSW	S	23,630	10.36	7-Oct	7-Oct	1,181.50	5.0
BRUNNER	012	DUG	S	1,000	53.71	n/a	n/a	0.00	0.0
Õ Steven Maguire		DXD	S	1000	93.6500	n/a	n/a	0.00	0.0
NORTHPOINT	030	EMKR	B	4,625	3.67	n/a	n/a	138.75	3.0
NORTHPOINT	030	ENER	B	15,260	29.45	n/a	n/a	610.40	4.0
CRAMER ROSENTHAL/SCOTT	012	ERTS	S	200	23.63	n/a	n/a	8.00	4.0
BUCK CAPITAL MGMT	001	FDO	B	70,000	25.70	23-Jul	9-Oct	2,800.00	4.0
PHILADELPHIA FINANCIAL	033	FII	B	28,617	23.10	6-Oct	27-Oct	1,144.68	4.0
GRISANTI BROWN & PARTNER	048	FISV	S	15,600	29.69	n/a	n/a	780.00	5.0
MFP INVESTORS	032	FOR	B	10,000	6.59	n/a	3-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GIL	B	5,000	18.81	8-Sep	16-Oct	250.00	5.0
LUCHANSKY1	036	GMXA	S	50	1.71	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	B	15,000	11.44	n/a	17-Oct	750.00	5.0
EFSTATHIOU	044	GR	B	500	32.15	23-Oct	23-Oct	0.00	0.0
SINCLAIR	031	GSDT	B	10	17.50	n/a	n/a	0.00	0.0
N STRATTON	014	HEMGF	B	1,000	1.14	n/a	n/a	0.00	0.0
GABELLI FUNDS	028	HPC	B	20,000	14.49	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	100,000	28.41	n/a	10-Oct	4,000.00	4.0
OGORMAN	046	LMI	B	1,000	15.20	n/a	n/a	0.00	0.0
OGORMAN	046	LM	SS	1,000	14.75	1-Jul	27-Oct	0.00	0.0
MORGENS WATERFALL	040	MIR	S	80,000	15.07	n/a	n/a	4,000.00	5.0
BUCK CAPITAL MGMT	001	MWA	B	30,000	6.22	8-Aug	11-Aug	1,200.00	4.0
Õ Steven Maguire		MZZ	S	2000121.4000		n/a	n/a	0.00	0.0
Õ Steven Maguire		MZZ	S	3000124.9550		n/a	n/a	0.00	0.0
HEALY CIRCLE	044	NDAQ	SS	15,000	28.51	n/a	n/a	750.00	5.0
AVESTA CAP	229	NKE	B	10,000	48.51	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NKE	SS	20,000	46.92	n/a	n/a	800.00	4.0
GRISANTI BROWN & PARTNER	048	NLY	S	25,700	11.93	n/a	n/a	1,285.00	5.0
LEDDY	035	PCL	B	500	31.75	n/a	15-Oct	0.00	0.0
ELM RIDGE ADVISORS	044	PKG	B	235,100	15.32	11-Sep	21-Oct	9,404.00	4.0
CAXTON PART	040	PM	S	71,552	39.24	n/a	n/a	2,504.32	3.5
N STRATTON	014	PRXI	S	700	1.06	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	40.04	n/a	24-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	100,000	11.80	n/a	13-Mar	4,000.00	4.0
LEDDY	035	SLB	S	200	47.55	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	TEVA	B	173,365	38.99	20-Oct	27-Oct	6,934.60	4.0
BUCK CAPITAL MGMT	001	TGT	B	50,000	34.57	n/a	22-Oct	2,000.00	4.0
AVESTA CAP	229	TIF	B	10,000	23.33	n/a	10-Oct	500.00	5.0
COUGAR TRADING	044	TIF	B	5,000	22.28	n/a	10-Oct	250.00	5.0
COUGAR TRADING	044	TIF	SS	5,000	23.06	n/a	10-Oct	250.00	5.0
THE BOSTON COMPANY	401	TLB	SS	44,400	8.60	7-Aug	30-Sep	1,776.00	4.0
BAIRD INVESTMENT	031	TROW	B	15,625	33.40	19-Sep	27-Oct	781.25	5.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	14,200	7.31	n/a	1-Oct	568.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TWB	B	20,000	7.21	n/a	1-Oct	800.00	4.0
IRIDIAN ASSET MGMT.	036	T	B	31,030	24.99	n/a	4-Jan	1,551.50	5.0
PZENA INV ADV	044	UBS	B	202,250	12.89	n/a	n/a	7,078.79	3.5
AVESTA CAP	229	UPS	S	25,000	45.35	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	19.01	14-Aug	1-Oct	250.00	5.0
SCOPUS FUND	041	WSM	B	10,000	10.04	n/a	n/a	500.00	5.0
SCOPUS FUND	041	WSM	SS	26,800	9.62	n/a	n/a	1,340.00	5.0
IRIDIAN ASSET MGMT.	036	YUM	B	29,360	26.53	14-Aug	20-Oct	1,468.00	5.0
TOTAL (Trade Date) :								98,675.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/24	COUGAR TRADING (COUGPB MS)	044	ABG	B	10,000	2.02	n/a	20-Oct	500.00 5.0
AO,CRT	10/24	COUGAR TRADING (COUGPB MS)	044	ABG	B	10,000	2.02	n/a	20-Oct	200.00 2.0
AO,CXL	10/23	STELLIAM INV ADV (STLLGSBULK)	040	CCE	B	30,000	9.94	n/a	n/a	1500.00 5.0
AO,CRT	10/23	STELLIAM INV ADV (STLLGSBULK)	040	CCE	B	30,000	9.94	n/a	n/a	900.00 3.0
AO,CRT	10/23	BRUNNER (BRUNNER)	012	DUG	B	1,000	53.53	n/a	n/a	0.00 0.0
AO,CXL	10/23	BRUNNER (BRUNNER)	012	DUG	B	1,000	53.53	n/a	n/a	0.00 0.0
AO,CRT	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	16	2.43	n/a	n/a	0.00 0.0
AO,CRT	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	22	2.43	n/a	n/a	0.00 0.0
AO,CRT	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	22	2.43	n/a	n/a	0.00 0.0
AO,CXL	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	16	2.43	n/a	n/a	0.00 0.0
AO,CXL	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	22	2.43	n/a	n/a	0.00 0.0
AO,CXL	10/24	MCCARTAN (MCCARTAN)	028	GMCA	S	22	2.43	n/a	n/a	0.00 0.0
AO,CXL	10/24	HART (HART)	056	GMCA	S	10	2.38	n/a	n/a	0.00 0.0
AO,CRT	10/24	HART (HART)	056	GMCA	S	10	2.38	n/a	n/a	0.00 0.0
AO,	10/24	BMO NESBITT BURNS (BMONFLIP)	041	PCL	S	25,000	31.69	n/a	15-Oct	1250.00 5.0
AO,CXL	10/24	COUGAR TRADING (COUGPB MS)	044	SAH	B	12,000	2.57	n/a	20-Oct	480.00 4.0
AO,CRT	10/24	COUGAR TRADING (COUGPB MS)	044	SAH	B	12,000	2.57	n/a	20-Oct	240.00 2.0
AO,CXL	10/24	IRIDIAN ASSET MGMT. (IRAM251)	036	SHPGY	B	630	36.39	15-Oct	27-Oct	0.00 0.0
AO,	10/24	IRIDIAN ASSET MGMT. (IRAM251)	036	SHPGY	B	630	36.39	15-Oct	27-Oct	31.50 5.0
AO,	10/24	BMO NESBITT BURNS (BMONFLIP)	041	WY	B	25,000	30.47	n/a	15-Oct	1250.00 5.0
TOTAL (AO, CXL, CRT) :										1,391.50

TOTAL (Trade Date):	98,675.79
---------------------	-----------

TOTAL (AO, CXL, CRT):	1,391.50
-----------------------	----------

TOTAL (RUN DATE) / NFS:	100,067.29
--------------------------------	-------------------

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