



Daily Compliance Activity Report

Trade Date: 10/23/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AAP	B	100,000	27.65	n/a	n/a	4,000.00	4.0
MENCKE	055	ABCW	S	100	5.58	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	ADP	B	12,700	33.12	n/a	n/a	381.00	3.0
BUCK CAPITAL MGMT	001	AEO	S	579,518	9.96	n/a	10-Oct	23,180.72	4.0
COUGAR TRADING	044	AEO	B	5,000	10.39	n/a	10-Oct	250.00	5.0
AAD CAPITAL	048	ALV	B	20,000	21.66	22-Oct	22-Oct	600.00	3.0
BUCK CAPITAL MGMT	001	ANN	SS	50,000	13.28	n/a	8-Oct	2,000.00	4.0
WAGONHOUND/NIC	048	AN	SS	38,725	5.74	15-Oct	20-Oct	1,161.75	3.0
SINCLAIR	031	APCEG	B	40	6.10	n/a	n/a	0.00	0.0
EFSTATHIOU	044	ARGN	S	2,000	3.16	17-Oct	20-Oct	0.00	0.0
COUGAR TRADING	044	ARG	S	5,000	30.72	13-Oct	13-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	268,700	22.05	n/a	10-Oct	10,748.00	4.0
PRINCIPLE CAPITAL	040	AVP	SS	43,400	25.64	10-Oct	10-Oct	1,302.00	3.0
MORGENS WATERFALL	040	BAC	S	150,000	22.43	15-Oct	21-Oct	4,500.00	3.0
ADAGE CAPITAL MGMT	030	BBY	S	250,000	22.41	n/a	27-Jul	10,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	BIG	C	1,500	21.49	29-May	9-Oct	0.00	0.0
PHILADELPHIA FINANCIAL	033	BLK	SS	18,777	118.26	n/a	22-Oct	751.08	4.0
NORTHPOINT	030	BRLI	S	29,195	22.72	n/a	n/a	1,167.80	4.0
LUCHANSKY1	036	BWA	SS	1,000	20.95	10-Jun	20-Oct	0.00	0.0
WHEELER	008	CBI	B	10,000	9.50	n/a	n/a	0.00	0.0
NORTHPOINT	030	CBST	S	50,645	20.98	n/a	n/a	2,025.80	4.0
STELLIAM INV ADV	040	CCE	B	30,000	9.94	n/a	n/a	1,500.00	5.0
LEDDY	035	CHCG	S	7,000	1.01	n/a	n/a	0.00	0.0
IRONBOUND CAPITAL	012	CHD	SS	86,800	56.50	4-Sep	11-Sep	4,340.00	5.0
CATTANI	041	CHK	S	150	19.92	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CLX	SS	100,000	55.69	15-Oct	15-Oct	4,000.00	4.0
CATAPULT	040	CL	B	11,600	58.75	14-Oct	14-Oct	580.00	5.0
BUCK	015	COF	SS	1,000	34.98	n/a	17-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	20,000	18.54	8-Oct	22-Oct	800.00	4.0
JP MORGAN VENTURES	046	COST	C	10,000	51.66	n/a	27-Jul	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	038	COST	B	15,000	52.11	n/a	27-Jul	600.00	4.0
WAGONHOUND/NIC	048	COV	S	7,501	41.79	n/a	n/a	300.04	4.0
KORMAN	003	CPRE	S	2,000	14.61	n/a	n/a	0.00	0.0
PIONEERING MGMT CORP	067	CRL	S	600	36.41	n/a	n/a	18.00	3.0
DEMARTINI	065	CROX	S	500	1.91	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	CVS	B	100,000	28.90	n/a	n/a	5,000.00	5.0
BRUNNER	012	DIG	S	500	27.22	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	SS	30,000	13.52	7-Oct	7-Oct	1,200.00	4.0
BRUNNER	012	DUG	B	1,000	53.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DV	SS	30,000	43.67	n/a	n/a	1,200.00	4.0
BARON ASSET MGMT*	012	EV	S	40,000	18.80	21-Aug	23-Oct	1,600.00	4.0
MISSOURI VALLEY PART	046	EXPD	B	1,740	31.21	n/a	n/a	87.00	5.0
MENCKE	055	FFIC	S	100	16.10	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	FL	B	50,000	12.12	7-Oct	7-Oct	2,500.00	5.0
MISSOURI VALLEY PART	046	FTO	B	1,550	10.60	n/a	n/a	77.50	5.0
PHILADELPHIA FINANCIAL	033	GBL	B	5,100	28.82	19-Sep	20-Oct	204.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	B	50,000	19.90	n/a	n/a	2,000.00	4.0
BUCK	015	GIS	B	1,000	65.31	n/a	n/a	0.00	0.0
MENCKE	055	GME	S	100	28.00	n/a	n/a	0.00	0.0
LEDDY	035	GOOG	S	50	346.95	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	S	5,000	11.96	n/a	17-Oct	250.00	5.0
BASIX	033	GR	B	35,000	33.66	23-Oct	23-Oct	1,050.00	3.0
BENCHMARK	028	GR	B	10,000	34.59	23-Oct	23-Oct	500.00	5.0
EFSTATHIOU	044	GR	B	500	32.65	23-Oct	23-Oct	0.00	0.0
COUGAR TRADING	044	GYMB	S	10,000	23.22	11-Jul	10-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	HAS	SS	30,000	26.65	n/a	n/a	1,200.00	4.0
ROTHSCHILD ASSET	040	HEW	B	10,901	25.68	n/a	n/a	490.57	4.5
MISSOURI VALLEY PART	046	HIG	B	2,735	23.31	n/a	n/a	136.75	5.0
VALHALLA CAPITAL LP	041	HPQ	B	5,000	34.93	n/a	n/a	150.00	3.0
MISSOURI VALLEY PART	046	IGT	B	1,955	11.03	n/a	17-Oct	97.75	5.0
MISSOURI VALLEY PART	046	INTC	B	1,480	14.30	n/a	n/a	74.00	5.0
MISSOURI VALLEY PART	046	IVZ	B	3,690	11.65	6-Oct	23-Oct	184.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	JCG	B	15,000	17.27	n/a	17-Sep	750.00	5.0
MISSOURI VALLEY PART	046	JNJ	B	1,690	61.79	n/a	22-Apr	84.50	5.0
WAGONHOUND/NIC	048	JNS	S	35,348	10.07	25-Jul	23-Oct	1,413.92	4.0
THE BOSTON COMPANY	401	JOSB	S	22,840	22.51	n/a	n/a	913.60	4.0
BENCHMARK	028	JOYG	S	12,500	20.99	4-Sep	4-Sep	625.00	5.0
CAXTON PART	040	JPM	B	70,496	37.94	26-Sep	21-Oct	2,467.36	3.5
MISSOURI VALLEY PART	046	JPM	B	2,225	37.11	26-Sep	21-Oct	111.25	5.0
MERRILL ASSET	032	JWN	S	500,000	16.21	17-Oct	17-Oct	22,500.00	4.5
THE JAY GOLDMAN	034	JWN	B	100,000	16.06	17-Oct	17-Oct	4,000.00	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	12,300	0.80	n/a	n/a	615.00	5.0
MISSOURI VALLEY PART	046	KO	B	1,870	43.49	n/a	n/a	93.50	5.0
COUGAR TRADING	044	KSS	B	10,000	28.83	n/a	10-Oct	500.00	5.0
BUCK	015	KSS	C	2,000	28.45	n/a	10-Oct	0.00	0.0
CATTANI	041	KSS	S	150	29.49	n/a	10-Oct	0.00	0.0
MISSOURI VALLEY PART	046	LOW	B	2,115	17.84	n/a	27-Jul	105.75	5.0
COUGAR TRADING	044	LTD	B	5,000	10.62	9-Oct	23-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	MAN	SS	80,000	26.34	n/a	n/a	3,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	MAT	B	50,000	12.94	n/a	n/a	1,750.05	3.5
BUCK	015	MET	C	2,000	28.71	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	MIR	B	20,000	15.74	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	MLM	SS	8,163	79.17	n/a	n/a	408.15	5.0
ARTX	304	MOS	S	45,758	32.15	n/a	n/a	2,287.90	5.0
PIONEERING MGMT CORP	067	MRO	B	80,000	23.80	n/a	n/a	2,400.00	3.0
IRIDIAN ASSET MGMT.	036	M	SS	106,450	8.77	12-Aug	10-Oct	5,322.50	5.0
GEOSPHERE CAPITAL MGMT	044	NBR	S	50,000	13.84	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	NKE	SS	80,000	50.97	n/a	n/a	3,200.00	4.0
THE BOSTON COMPANY	401	NKE	SS	18,340	51.62	n/a	n/a	733.60	4.0
EPOCH INV MGMT	030	NLC	B	13,300	13.39	n/a	n/a	532.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	10.01	n/a	15-Oct	400.00	4.0
BALYASNY ASSET MGMT	044	NTRS	B	25,000	48.91	9-Oct	23-Oct	1,250.00	5.0
PZENA INV ADV	044	OMC	B	60,000	26.75	n/a	n/a	2,100.18	3.5
CSFB GLOBAL PROPRIETARY	041	PCL	S	5,000	33.88	n/a	15-Oct	250.00	5.0
LEDDY	035	PCL	B	400	33.50	n/a	15-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	PFCB	B	20,000	18.14	n/a	23-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	PG	SS	50,000	58.02	10-Oct	10-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	PSS	S	277,200	11.04	n/a	n/a	11,088.00	4.0
COUGAR TRADING	044	PVH	S	5,000	23.03	8-Oct	8-Oct	250.00	5.0
IRIDIAN ASSET MGMT.	036	RDC	S	19,930	16.06	n/a	n/a	996.50	5.0
BUCK CAPITAL MGMT	001	RHI	SS	80,000	15.95	n/a	n/a	3,200.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	42.81	n/a	8-Oct	1,200.00	4.0
COUGAR TRADING	044	RL	S	5,000	43.58	n/a	8-Oct	250.00	5.0
IRIDIAN ASSET MGMT.	036	ROC	S	12,180	11.49	n/a	n/a	609.00	5.0
ROTHSCHILD ASSET	040	RSG	S	18,240	20.21	n/a	n/a	820.80	4.5
MENCKE	055	RTIX	S	25	5.10	n/a	n/a	0.00	0.0
CATTANI	041	SHPGY	S	100	36.95	15-Oct	21-Oct	0.00	0.0
MENCKE	055	SKF	B	30	148.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	33,500	11.18	n/a	13-Mar	1,340.00	4.0
THE BOSTON COMPANY	401	SKX	B	23,338	11.13	n/a	13-Mar	933.52	4.0
BUCK	015	SPG	S	1,000	56.93	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHEELER	008	SPNC	B	20,000	3.40	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	SRP	B	25,000	7.65	n/a	n/a	1,000.00	4.0
BRUNNER	012	SSO	S	1,500	27.16	n/a	n/a	0.00	0.0
HART	056	SUPWV	B	10	1.30	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGOL	S	30	9.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SYX	SS	30,000	23.14	n/a	24-Apr	1,200.00	4.0
JP MORGAN VENTURES	046	TIF	SS	10,000	23.76	n/a	10-Oct	500.00	5.0
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	23.82	n/a	n/a	400.00	4.0
STELLIAM INV ADV	040	TXN	B	50,000	16.33	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	UA	B	10,000	20.51	n/a	8-Oct	500.00	5.0
COUGAR TRADING	044	UA	S	10,000	18.44	n/a	8-Oct	500.00	5.0
HUNTER GLOBAL INVESTOR	067	UNP	SS	50,000	59.83	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	UPS	B	10,000	47.16	n/a	n/a	500.00	5.0
COUGAR TRADING	044	UPS	SS	10,000	47.42	n/a	n/a	500.00	5.0
COUGAR TRADING	044	URBN	B	10,000	20.81	14-Aug	1-Oct	500.00	5.0
COUGAR TRADING	044	URBN	SS	10,000	21.26	14-Aug	1-Oct	500.00	5.0
COUGAR TRADING	044	VFC	B	5,000	51.13	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MENCKE	055	VIP	S	75	10.00	n/a	n/a	0.00	0.0
CAXTON PART	040	WFC	B	70,496	30.98	n/a	n/a	2,467.36	3.5
MISSOURI VALLEY PART	046	WFC	B	1,105	30.88	n/a	n/a	55.25	5.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	25.75	8-Oct	8-Oct	2,000.00	4.0
CASTLE ARK	031	WRC	B	175,920	25.29	8-Oct	8-Oct	10,555.20	6.0
US BANCORP	030	WRC	B	10,000	24.95	8-Oct	8-Oct	500.00	5.0
FEDP	029	WYE	B	472,000	32.55	n/a	31-Mar	21,240.00	4.5
CSFB GLOBAL PROPRIETARY	041	WY	S	7,000	36.35	n/a	15-Oct	350.00	5.0
TOTAL (Trade Date):								226,028.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/22	SCOPUS FUND (SCOPBANC O)	041	ANF	SS	1,700	27.01	7-Aug	10-Oct	85.00 5.0
AO,CXL	10/22	SCOPUS FUND (SCOPBANC O)	041	ANF	SS	850	27.00	7-Aug	10-Oct	42.50 5.0
AO,CRT	10/22	SCOPUS FUND (SCOPBANC O)	041	ANF	SS	1,950	27.01	7-Aug	10-Oct	97.50 5.0
AO,CXL	10/22	SCOPUS FUND (SCOPUBS)	041	ANF	SS	8,300	27.01	7-Aug	10-Oct	415.00 5.0
AO,CXL	10/22	SCOPUS FUND (SCOPUBS)	041	ANF	SS	4,150	27.00	7-Aug	10-Oct	207.50 5.0
AO,CRT	10/22	SCOPUS FUND (SCOPUBS)	041	ANF	SS	13,050	27.01	7-Aug	10-Oct	652.50 5.0
AO,CXL	10/21	MILLRACE FUND LP (MILRGS)	028	BWA	SS	4,300	23.95	10-Jun	20-Oct	215.00 5.0
AO,CRT	10/21	MILLRACE FUND LP (MILRGS)	028	BWA	SS	4,300	23.95	10-Jun	20-Oct	172.00 4.0
AO,CXL	10/21	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CHS	S	400,000	3.22	8-Aug	10-Oct	16000.00 4.0
AO,CRT	10/21	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CHS	S	400,000	3.22	8-Aug	10-Oct	12000.00 3.0
AO,CXL	10/22	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CHS	S	194,500	2.95	8-Aug	10-Oct	7780.00 4.0
AO,CRT	10/22	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CHS	S	194,500	2.95	8-Aug	10-Oct	5835.00 3.0
AO,CXL	10/22	SATELITE/BOBBY (SATBCITI)	044	DAL	B	60,000	9.81	n/a	n/a	2400.00 4.0
AO,CRT	10/22	SATELITE/BOBBY (SATBCITI)	044	DAL	B	60,000	9.81	n/a	n/a	1800.00 3.0
AO,	10/22	IRIDIAN ASSET MGMT. (IRAM305)	036	DRC	B	4,720	19.90	n/a	n/a	236.00 5.0
AO,	10/22	IRIDIAN ASSET MGMT. (IRAM303)	036	DRC	B	1,720	19.90	n/a	n/a	86.00 5.0
AO,	10/22	IRIDIAN ASSET MGMT. (IRAM192)	036	DRC	B	14,360	19.90	n/a	n/a	718.00 5.0
AO,CXL	10/22	SCOPUS FUND (SCOPBANC O)	041	EL	B	2,550	34.34	15-Aug	4-Sep	127.50 5.0
AO,CRT	10/22	SCOPUS FUND (SCOPBANC O)	041	EL	B	1,950	34.34	15-Aug	4-Sep	97.50 5.0
AO,CXL	10/22	SCOPUS FUND (SCOPUBS)	041	EL	B	12,450	34.34	15-Aug	4-Sep	622.50 5.0
AO,CRT	10/22	SCOPUS FUND (SCOPUBS)	041	EL	B	13,050	34.34	15-Aug	4-Sep	652.50 5.0
AO,CRT	10/22	MAGNETAR FINANCIAL (MAGNDBPB)	031	F	B	378,029	2.11	8-Oct	20-Oct	11340.87 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/22	MAGNETAR FINANCIAL (MAGNMERRIL)	031	F	B	378,029	2.11	8-Oct	20-Oct	11340.87 3.0
AO,CXL	10/22	BALYASNY ASSET MGMT (BALYGS)	044	GNTX	SS	100,000	9.47	22-Oct	22-Oct	5000.00 5.0
AO,CRT	10/22	BALYASNY ASSET MGMT (BALYGS)	044	GNTX	SS	100,000	9.47	22-Oct	22-Oct	4000.00 4.0
CRT	10/23	THE JAY GOLDMAN (GOLDGSBULK)	034	JWN	B	100,000	16.06	17-Oct	17-Oct	4000.00 4.0
TOTAL (AO, CXL, CRT) :										-2,548.00
TOTAL (Trade Date) :										226,028.15
TOTAL (AO, CXL, CRT) :										-2,548.00
TOTAL (RUN DATE) / NFS:										223,480.15

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