



Daily Compliance Activity Report

Trade Date: 12/03/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAPITAL MGMT	040	ALL	C	10,000	22.66	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	AMZN	C	6,634	44.58	n/a	n/a	331.70	5.0
CR INTRINIC INVESTMENT	044	AMZN	SS	25,000	45.15	n/a	n/a	1,250.00	5.0
CR INTRINIC INVESTMENT	044	AMZN	S	60,000	45.00	n/a	n/a	3,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	356,300	16.49	7-Aug	2-Dec	14,252.00	4.0
COUGAR TRADING	044	AN	SS	25,000	8.74	7-Nov	7-Nov	1,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	100,000	14.07	n/a	2-Dec	4,000.00	4.0
NOMURA CAPITAL	045	AURD	B	18,000	0.28	n/a	n/a	360.00	2.0
1798 CAPITAL MGMT	040	BAX	B	5,000	52.09	n/a	22-Apr	250.00	5.0
1798 CAPITAL MGMT	040	BCR	SS	5,000	83.59	n/a	22-Apr	250.00	5.0
1798 CAPITAL MGMT	040	BEC	S	5,000	39.29	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	034	BJ	B	12,500	35.77	n/a	27-Jul	500.00	4.0
CR INTRINIC INVESTMENT	044	BKC	B	44,900	18.72	27-Oct	3-Nov	2,245.00	5.0
COUGAR TRADING	044	BWA	B	5,000	22.48	26-Nov	26-Nov	250.00	5.0
COUGAR TRADING	044	BWA	SS	15,000	21.12	26-Nov	26-Nov	750.00	5.0
PZENA INV ADV	044	CA	S	18,075	15.94	n/a	n/a	632.63	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARTISAN PARTNERS LP	304	CELL	B	2,100	3.86	n/a	n/a	63.00	3.0
ARTX	304	CELL	B	68,600	3.86	n/a	n/a	2,058.00	3.0
PZENA INV ADV	044	COF	S	11,100	30.67	n/a	3-Dec	388.50	3.5
RBC CAPITAL MARKETS	034	COST	SS	2,500	51.10	n/a	27-Jul	100.00	4.0
NOMURA CAPITAL	045	DAN	S	19,250	0.80	n/a	n/a	385.00	2.0
DIAMONDBACK CAP MGMT	232	DHR	C	25,000	49.57	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	DIS	C	25,000	21.69	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	DRI	B	3,000	16.99	2-Dec	2-Dec	150.00	5.0
SCOPUS FUND	041	DSW	SS	70,000	8.89	14-Nov	25-Nov	3,500.00	5.0
1798 CAPITAL MGMT	040	DVA	S	5,000	46.46	n/a	n/a	250.00	5.0
TRUST CO/COWEN/CALF.	040	EL	B	148,600	26.76	n/a	29-Oct	7,430.00	5.0
AVESTA CAP	229	FCX	B	10,000	17.92	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	034	FDO	SS	5,000	25.02	23-Jul	2-Dec	200.00	4.0
SCOPUS FUND	041	FDO	SS	10,000	25.46	23-Jul	2-Dec	500.00	5.0
WAGONHOUND/NIC	048	FDO	SS	3,608	26.12	23-Jul	2-Dec	144.32	4.0
SYSTEMATIC FINANCIAL MGT	035	FDP	B	26,000	22.38	n/a	n/a	975.00	3.8
1798 CAPITAL MGMT	040	GILD	S	20,000	45.82	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	GIL	SS	100,000	14.79	25-Nov	25-Nov	5,000.00	5.0
RBC CAPITAL MARKETS	034	GIL	B	10,000	15.03	25-Nov	25-Nov	400.00	4.0
COUGAR TRADING	044	GM	S	15,000	4.59	10-Nov	3-Dec	450.00	3.0
1798 CAPITAL MGMT	040	GPRO	S	20,000	38.42	n/a	n/a	1,000.00	5.0
KACELA CAPITAL	034	GYMB	B	24,000	23.28	7-Nov	2-Dec	960.00	4.0
ASCEND PARTNERS	033	HD	C	25,000	22.26	n/a	27-Jul	1,250.00	5.0
1798 CAPITAL MGMT	040	HOLX	SS	25,000	12.48	n/a	n/a	750.00	3.0
EPOCH INV MGMT	030	IFF	B	20,950	28.95	30-Oct	3-Dec	838.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	20,000	17.04	17-Nov	2-Dec	800.00	4.0
1798 CAPITAL MGMT	040	JPM	S	10,000	28.72	26-Sep	20-Nov	300.00	3.0
CADIAN CAPITAL	067	JWN	B	125,000	10.70	14-Nov	2-Dec	3,750.00	3.0
KACELA CAPITAL	034	LOW	B	35,000	20.29	n/a	27-Jul	1,400.00	4.0
ASCEND PARTNERS	033	L	B	15,700	25.23	n/a	n/a	785.00	5.0
PRINCIPLE CAPITAL	040	MHK	B	31,800	30.97	n/a	n/a	954.00	3.0
DALTON GREINER	012	MLI	S	132,190	20.53	n/a	18-Nov	6,609.50	5.0
SIGMA CAPITAL ASSOCIATES	237	MW	B	45,000	10.66	n/a	n/a	2,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	M	B	250,000	6.83	12-Aug	2-Dec	7,500.00	3.0
BUCK CAPITAL MGMT	001	NKE	B	50,000	51.55	n/a	n/a	2,000.00	4.0
NOMURA CAPITAL	045	NRG	S	6,800	23.11	n/a	n/a	340.00	5.0
RBC CAPITAL MARKETS	034	ORLY	SS	5,000	26.66	n/a	n/a	200.00	4.0
CR INTRINIC INVESTMENT	044	PFE	B	38,000	16.42	n/a	31-Mar	1,900.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	30,000	7.25	n/a	n/a	900.00	3.0
WEISS PECK	040	PSS	C	29,800	7.11	n/a	n/a	1,192.00	4.0
CR INTRINIC INVESTMENT	044	RL	S	25,000	43.52	n/a	6-Nov	1,250.00	5.0
PNC/MERCANTILE	028	SBUX	S	19,338	8.52	n/a	24-Apr	966.90	5.0
DEMARTINI	065	SDS	B	500	97.86	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	SIAL	C	10,000	38.83	22-Oct	13-Nov	500.00	5.0
DIAMONDBACK CAP MGMT	232	SPG	S	50,000	47.49	n/a	n/a	2,500.00	5.0
PNC/MERCANTILE	028	STM	S	17,750	6.47	n/a	n/a	887.50	5.0
ASCEND PARTNERS	033	TAP	S	115,400	40.72	n/a	n/a	5,770.00	5.0
RBC CAPITAL MARKETS	034	TGT	S	10,000	33.07	17-Nov	2-Dec	400.00	4.0
1798 CAPITAL MGMT	040	THOR	S	5,000	25.55	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAIL-SPLITTER	031	TROW	SS	15,800	28.66	19-Sep	2-Dec	790.00	5.0
SCOPUS FUND	041	VFC	SS	20,000	50.55	n/a	n/a	1,000.00	5.0
AVESTA CAP	229	VZ	SS	50,000	32.28	n/a	4-Jan	2,500.00	5.0
PNC/MERCANTILE	028	WAG	S	15,824	23.66	n/a	n/a	791.20	5.0
PNC/MERCANTILE	028	WB	S	12,923	5.20	n/a	n/a	646.15	5.0
ENTRUST CAPITAL	040	WFC	S	22,500	25.53	n/a	n/a	1,125.00	5.0
ASCEND PARTNERS	033	WRC	B	44,700	16.79	7-Nov	7-Nov	2,235.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	17.01	7-Nov	7-Nov	1,200.00	4.0
TOTAL (Trade Date):								114,305.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/02	NOMURA CAPITAL (NOMUBSMAIN)	045	AURD	B	5,000	0.28	n/a	n/a	100.00 2.0
AO,CXL	12/02	COUGAR TRADING (COUGCITI)	044	CMG	SS	2,000	46.53	23-Oct	23-Oct	100.00 5.0
AO,CRT	12/02	COUGAR TRADING (COUGPB MS)	044	CMG	SS	2,000	46.53	23-Oct	23-Oct	100.00 5.0
AO,CXL	12/01	PERRY PARTNERS (PERRGOLDMA)	041	CY	S	100,000	3.57	n/a	n/a	5000.00 5.0
AO,CRT	12/01	PERRY PARTNERS (PERRGOLDMA)	041	CY	S	100,000	3.57	n/a	n/a	3000.00 3.0
AO,CXL	12/02	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GIL	S	30,000	15.78	25-Nov	25-Nov	1200.00 4.0
AO,CRT	12/02	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GIL	S	29,900	15.78	25-Nov	25-Nov	1196.00 4.0
AO,	12/02	BUCK CAPITAL MGMT (BUCKGIL)	001	GIL	S	100	15.78	25-Nov	25-Nov	4.00 4.0
AO,CXL	12/02	COUGAR TRADING (COUGPB MS)	044	JCG	B	5,000	9.30	n/a	2-Dec	250.00 5.0
AO,CRT	12/02	COUGAR TRADING (COUGPB MS)	044	JCG	B	5,000	9.30	n/a	2-Dec	200.00 4.0
AO,	12/02	BANK OF NEW YORK (BONE002)	046	USB	B	15,410	24.80	n/a	n/a	770.50 5.0
TOTAL (AO, CXL, CRT) :										-1,179.50
TOTAL (Trade Date):										114,305.40
TOTAL (AO, CXL, CRT):										-1,179.50
TOTAL (RUN DATE) / NFS:										113,125.90

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