

Daily Compliance Activity Report Trade Date: 11/11/2008

POTENTIAL ANALYST TRADE VIOLATIONS: 0

=						1 (MAZLIGI	TREEDE VIO	
	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	CANTILLON CAPITAL	040	AA	В	1,756,484	10.85	n/a	n/a	70,259.36	4.0
	BUCK	015	ALV	С	2,500	19.33	22-Oct	22-0ct	0.00	0.0
	CENTURION GLOBAL MGMT LL	041	AMAT	В	12,700	10.63	n/a	n/a	381.00	3.0
	TALA MANAGEMENT	041	AMX	S	3,780	31.19	n/a	n/a	189.00	5.0
	ROTHSCHILD ASSET	040	AOC	В	13,050	40.41	n/a	n/a	587.25	4.5
	BUCK CAPITAL MGMT	001	ARO	s	40,000	16.85	n/a	10-Nov	1,600.00	4.0
	PALMYRA CAPITAL	048	ARO	S	40,000	16.43	n/a	10-Nov	1,600.00	4.0
	WEST	031	AXP	В	3,000	22.50	n/a	11-Nov	150.00	5.0
	BUCK	015	BACLT	S	15	0.84	n/a	n/a	0.00	0.0
	BUCK	015	BAC	С	2,000	18.85	15-Oct	5-Nov	0.00	0.0
	BALYASNY ASSET MGMT	044	ВЈ	В	10,000	35.90	n/a	27-Jul	500.00	5.0
	BUCK CAPITAL MGMT	001	BKS	SS	30,000	16.90	n/a	n/a	1,200.00	4.0
	COUGAR TRADING	044	BWA	В	10,000	17.53	n/a	30-0ct	500.00	5.0
	TRELLUS PARTNERS LP	028	BWA	С	26,550	18.44	n/a	30-0ct	1,327.50	5.0
	COLE	077	BZ	S	3,244	0.62	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
BUCK CAPITAL MGMT	001	СНС	S	9,000	0.39	n/a	n/a	90.00	1.0
Larry Leeds		CHC	S	9000	0.4200	n/a	n/a	0.00	0.0
AMATURO	018	CIT	В	10,000	4.12	n/a	11-Nov	0.00	0.0
KORMAN	003	COF	SS	2,000	32.19	n/a	7-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	СОН	S	20,000	16.19	8-0ct	22-0ct	800.00	4.0
COUGAR TRADING	044	СОН	S	5,000	15.73	8-0ct	22-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	CRI	SS	20,000	21.08	n/a	n/a	800.00	4.0
VALHALLA CAPITAL LP	041	CSCO	В	5,000	17.00	n/a	22-Mar	150.00	3.0
HUNTER GLOBAL INVESTOR	067	CVS	S	250,000	28.94	n/a	n/a	12,500.00	5.0
PIONEER MICHAEL NOLAN	067	CXW	S	17,100	12.90	n/a	n/a	513.00	3.0
SERENGETI MGMT	030	CYN	SS	50,000	43.95	n/a	n/a	2,500.00	5.0
BUCK	015	С	SS	1,500	10.89	15-Sep	5-Nov	0.00	0.0
BARCLEYS CAPITAL	041	DECK	В	800	69.00	n/a	n/a	32.00	4.0
ZOLIDIS	011	DECK	S	300	68.50	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	DRC	В	6,360	21.06	n/a	n/a	318.00	5.0
SINCUTMA	031	DVN	s	10	74.62	n/a	31-0ct	0.00	0.0
BUCK CAPITAL MGMT	001	ETH	SS	6,300	15.81	n/a	n/a	252.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	BAYPOINT TRADING/XYLEM	091	EXP	В	20,654	17.79	n/a	n/a	1,032.70	5.0
	BALYASNY ASSET MGMT	044	FDO	SS	20,000	27.70	23-Jul	7-Nov	1,000.00	5.0
	KORMAN	003	FDO	SS	2,000	27.11	23-Jul	7- Nov	0.00	0.0
	BARCLEYS CAPITAL	041	FLEX	В	200,000	3.44	n/a	n/a	10,000.00	5.0
õ	Larry Leeds		FNLY	s	10300	0.0800	n/a	n/a	0.00	0.0
	MFP INVESTORS	032	FOR	В	5,400	5.81	n/a	3-0ct	270.00	5.0
	BRUNNER	012	FXP	В	500	72.76	n/a	n/a	0.00	0.0
	GAULT	063	FXP	S	100	75.41	n/a	n/a	0.00	0.0
	COUGAR TRADING	044	F	В	25,000	1.78	10-Nov	10-Nov	500.00	2.0
	FIRST NY SEC/CHRIS	041	F	S	150,000	1.80	10-Nov	10-Nov	4,500.00	3.0
	BUCK CAPITAL MGMT	001	GIL	S	45,000	21.10	8-Sep	16-Oct	1,800.00	4.0
	BUCK	015	GISLN	s	10	1.45	n/a	n/a	0.00	0.0
	BAYPOINT TRADING/XYLEM	091	GLT	В	24,424	10.31	n/a	n/a	976.96	4.0
	BRENCOURT	028	GM	SS	50,000	3.21	10-Nov	11-Nov	0.00	0.0
	MAGNETAR FINANCIAL	031	GM	В	50,000	2.80	10-Nov	11-Nov	1,500.00	3.0
	MCCARTAN	028	GR	s	100	33.59	23-0ct	23-0ct	0.00	0.0
	ZOLIDIS	011	HAL	SS	500	18.70	n/a	n/a	0.00	0.0

										i
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
UBS OCONNOR	031	HON	В	35,000	27.30	3-0ct	17-Oct	1,050.00	3.0	
DENVER INST. ADV	046	HUM	S	55,700	34.24	n/a	n/a	2,228.00	4.0	
BUCK CAPITAL MGMT	001	JCG	SS	40,000	13.98	n/a	3-Nov	1,600.00	4.0	
AVESTA CAP	229	KIM	В	25,000	19.97	n/a	n/a	1,250.00	5.0	
BUCK	015	KSS	SS	1,000	30.50	n/a	10-Nov	0.00	0.0	
BUCK CAPITAL MGMT	001	LEG	SS	100,000	15.27	n/a	n/a	4,000.00	4.0	
AVESTA CAP	229	LLTC	В	25,000	21.33	n/a	n/a	1,250.00	5.0	
SYSTEMATIC FINANCIAL MGT	035	LM	В	93,000	17.73	29-0ct	11-Nov	3,487.50	3.8	
ZOLIDIS	011	LVS	s	45	6.10	n/a	n/a	0.00	0.0	
IRIDIAN ASSET MGMT.	036	MCD	В	7,120	56.56	13-Oct	10-Nov	356.00	5.0	
SINCLAIR	031	МКХРВ	S	100	2.95	n/a	n/a	0.00	0.0	
BUCK	015	MRK	В	1,000	27.29	n/a	n/a	0.00	0.0	
COUGAR TRADING	044	М	В	5,000	9.10	12-Aug	10-Nov	200.00	4.0	
BUCK CAPITAL MGMT	001	NDN	SS	30,000	12.39	31-0ct	7-Nov	1,200.00	4.0	
CLOVIS CAPITAL	012	NKE	SS	92,700	45.65	n/a	n/a	4,635.00	5.0	
	UBS OCONNOR DENVER INST. ADV BUCK CAPITAL MGMT AVESTA CAP BUCK BUCK CAPITAL MGMT AVESTA CAP SYSTEMATIC FINANCIAL MGT ZOLIDIS IRIDIAN ASSET MGMT. SINCLAIR BUCK COUGAR TRADING BUCK CAPITAL MGMT	UBS OCONNOR 031 DENVER INST. ADV 046 BUCK CAPITAL MGMT 001 AVESTA CAP 229 BUCK 015 BUCK CAPITAL MGMT 001 AVESTA CAP 229 SYSTEMATIC FINANCIAL MGT 035 ZOLIDIS 011 IRIDIAN ASSET MGMT. 036 SINCLAIR 031 BUCK 015 COUGAR TRADING 044 BUCK CAPITAL MGMT 001	UBS OCONNOR 031 HON DENVER INST. ADV 046 HUM BUCK CAPITAL MGMT 001 JCG AVESTA CAP 229 KIM BUCK CAPITAL MGMT 001 LEG AVESTA CAP 229 LLTC SYSTEMATIC FINANCIAL MGT 035 LM ZOLIDIS 011 LVS IRIDIAN ASSET MGMT. 036 MCD SINCLAIR 031 MKXPB BUCK CAPITAL MGMT 044 M BUCK CAPITAL MGMT 044 M BUCK CAPITAL MGMT 001 NDN	DENVER INST. ADV 046 HUM S BUCK CAPITAL MGMT 001 JCG SS AVESTA CAP 229 KIM B BUCK CAPITAL MGMT 001 LEG SS BUCK CAPITAL MGMT 001 LEG SS AVESTA CAP 229 LLTC B SYSTEMATIC FINANCIAL MGT 035 LM B ZOLIDIS 011 LVS S IRIDIAN ASSET MGMT. 036 MCD B SINCLAIR 031 MKXPB S BUCK 015 MRK B COUGAR TRADING 044 M B BUCK CAPITAL MGMT 001 NDN SS	UBS OCONNOR 031 HON B 35,000 DENVER INST. ADV 046 HUM S 55,700 BUCK CAPITAL MGMT 001 JCG SS 40,000 AVESTA CAP 229 KIM B 25,000 BUCK 015 KSS SS 1,000 BUCK CAPITAL MGMT 001 LEG SS 100,000 AVESTA CAP 229 LLTC B 25,000 SYSTEMATIC FINANCIAL MGT 035 LM B 93,000 ZOLIDIS 011 LVS S 45 IRIDIAN ASSET MGMT. 036 MCD B 7,120 SINCLAIR 031 MKXPB S 100 BUCK 015 MRK B 1,000 COUGAR TRADING 044 M B 5,000 BUCK CAPITAL MGMT 001 NDN SS 30,000	UBS OCONNOR 031 HON B 35,000 27.30 DENVER INST. ADV 046 HUM S 55,700 34.24 BUCK CAPITAL MGMT 001 JCG SS 40,000 13.98 AVESTA CAP 229 KIM B 25,000 19.97 BUCK 015 KSS SS 1,000 30.50 BUCK CAPITAL MGMT 001 LEG SS 100,000 15.27 AVESTA CAP 229 LLTC B 25,000 21.33 SYSTEMATIC FINANCIAL MGT 035 LM B 93,000 17.73 ZOLIDIS 011 LVS S 45 6.10 IRIDIAN ASSET MGMT. 036 MCD B 7,120 56.56 SINCLAIR 031 MKXPB S 100 2.95 BUCK 015 MRK B 1,000 27.29 COUGAR TRADING 044 M B 5,000 9.10 BUCK CAPITAL MGMT 001 NDN SS 30,000 12.39 <	UBS OCONNOR 031 HON B 35,000 27.30 3-Oct DENVER INST. ADV 046 HUM S 55,700 34.24 n/a BUCK CAPITAL MGMT 001 JCG SS 40,000 13.98 n/a AVESTA CAP 229 KIM B 25,000 19.97 n/a BUCK CAPITAL MGMT 001 LEG SS 1,000 30.50 n/a BUCK CAPITAL MGMT 001 LEG SS 100,000 15.27 n/a AVESTA CAP 229 LLTC B 25,000 21.33 n/a SYSTEMATIC FINANCIAL MGT 035 LM B 93,000 17.73 29-Oct ZOLIDIS 011 LVS S 45 6.10 n/a IRIDIAN ASSET MGMT. 036 MCD B 7,120 56.56 13-Oct SINCLAIR 031 MKXPB S 100 2.95 n/a BUCK CAPITAL MGMT 044 M B 5,000 9.10 12-Aug BUCK CAPITAL MGMT 001 NDN SS 30,000 12.39 31-Oct	UBS OCONNOR 031 HON B 35,000 27.30 3-Oct 17-Oct DENVER INST. ADV 046 HUM S 55,700 34.24 n/a n/a BUCK CAPITAL MGMT 001 JCG SS 40,000 13.98 n/a 3-Nov AVESTA CAP 229 KIM B 25,000 19.97 n/a n/a BUCK 015 KSS SS 1,000 30.50 n/a 10-Nov BUCK CAPITAL MGMT 001 LEG SS 100,000 15.27 n/a n/a AVESTA CAP 229 LLTC B 25,000 21.33 n/a n/a SYSTEMATIC FINANCIAL MGT 035 LM B 93,000 17.73 29-Oct 11-Nov ZOLIDIS 011 LVS S 45 6.10 n/a n/a IRIDIAN ASSET MGMT 036 MCD B 7,120 56.56 13-Oct 10-Nov	DES OCONNOR 031 HON B 35,000 27.30 3-0et 17-0et 1,050.00 DENVER INST. ADV 046 HUM S 55,700 34.24 n/a n/a 2,228.00 BUCK CAPITAL MGMT 001 JCG SS 40,000 13.98 n/a 3-Nov 1,600.00 AVESTA CAP 229 KIM B 25,000 19.97 n/a n/a 10-Nov 0.00 BUCK CAPITAL MGMT 001 LEG SS 100,000 15.27 n/a n/a 10-Nov 0.00 BUCK CAPITAL MGMT 001 LEG SS 100,000 15.27 n/a n/a 1,250.00 AVESTA CAP 229 LLTC B 25,000 21.33 n/a n/a 1/a 1,250.00 SYSTEMATIC FINANCIAL MGT 035 LM B 93,000 17.73 29-0et 11-Nov 3,487.50 ZOLIDIS 011 LVS S 45 6.10 n/a n/a 0.00 IRIDIAN ASSET MGMT. 036 MCD B 7,120 56.56 13-0et 10-Nov 356.00 SINCLAIR 031 MKXPB S 100 2.95 n/a n/a 0.00 BUCK CAPITAL MGMT 044 M B 5,000 9.10 12-AUG 10-Nov 200.00 BUCK CAPITAL MGMT 051 NDN SS 30,000 12.39 31-Oet 7-Nov 1,200.00	DES OCONNOR 031 HON B 35,000 27.30 3-Oct 17-Oct 1,050.00 3.0 DENVER INST. ADV 046 HUM S 55,700 34.24 n/a n/a 2,228.00 4.0 BUCK CAPITAL MGMT 001 JCG SS 40,000 13.98 n/a 3-Nov 1,600.00 4.0 AVESTA CAP 229 KIM B 25,000 19.97 n/a n/a 10-Nov 0.00 0.0 BUCK CAPITAL MGMT 001 LEG SS 100,000 15.27 n/a n/a 10-Nov 0.00 0.0 BUCK CAPITAL MGMT 001 LEG SS 100,000 15.27 n/a n/a 1,250.00 5.0 SYSTEMATIC FINANCIAL MCT 035 LM B 93,000 17.73 29-Oct 11-Nov 3,487.50 3.8 ZOLIDIS 011 LVS S 45 6.10 n/a n/a 0.00 0.0 TRIDIAN ASSET MGMT. 036 MCD B 7,120 56.56 13-Oct 10-Nov 356.00 5.0 SINCLAIR 031 MKXPB S 10,000 27.29 n/a n/a 0.00 0.0 BUCK CAPITAL MGMT 034 MR B 5,000 9.10 12-Aug 10-Nov 200.00 4.0 EUCK CAPITAL MGMT 034 MR B 5,000 9.10 12-Aug 10-Nov 200.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
BUCK CAPITAL MGMT	001	ОХМ	SS	20,000	10.53	n/a	n/a	800.00	4.0
IRIDIAN ASSET MGMT.	036	PKG	В	5,600	13.53	11-Sep	21-Oct	280.00	5.0
THIRD COAST CAPITAL	035	PLCE	S	25,000	20.84	6-Nov	6-Nov	1,250.00	5.0
HEALY CIRCLE	044	PSS	S	20,000	12.03	n/a	n/a	800.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	S	35,000	35.01	n/a	n/a	1,750.00	5.0
AVESTA CAP	229	RIG	В	10,000	75.85	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	80,000	40.29	n/a	6-Nov	3,200.00	4.0
COUGAR TRADING	044	RL	В	5,000	39.97	n/a	6-Nov	250.00	5.0
AMATURO	018	SDS	S	2,000	97.80	n/a	n/a	0.00	0.0
GAULT	063	SDS	s	800	97.33	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	SPG	S	10,000	59.34	n/a	n/a	500.00	5.0
AMATURO	018	SSO	В	3,000	26.86	n/a	n/a	0.00	0.0
AMATURO	018	SSO	S	3,000	27.54	n/a	n/a	0.00	0.0
BRENCOURT	028	SUP	В	50 , 000	11.05	10-Nov	10-Nov	0.00	0.0
COUGAR TRADING	044	SUP	В	10,000	11.10	10-Nov	10-Nov	500.00	5.0
MILLRACE FUND LP	028	SUP	В	16,000	10.89	10-Nov	10-Nov	640.00	4.0
SINCLAIR	031	SWGOL	S	40	10.45	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	TGT	SS	35,000	35.45	6-Nov	7-Nov	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
BALYASNY ASSET MGMT	044	TGT	В	10,000	35.77	6-Nov	7-Nov	500.00	5.0	
BUCK CAPITAL MGMT	001	TJX	S	750,000	22.99	11-Aug	10-Nov	30,000.00	4.0	
	041	TJX	SS	70,000	23.49	•	10-Nov	3,500.00	5.0	
SCOPUS FUND	041	101	55	70,000	23.49	11-Aug	10-1000	3,300.00	3.0	
BUCK CAPITAL MGMT	001	TLB	S	90,000	4.98	7-Aug	7-Nov	3,600.00	4.0	
ZOLIDIS	011	TOL	SS	500	17.98	n/a	n/a	0.00	0.0	
BEAR STEARNS ASSET MGMT.	033	TWB	С	7,300	6.36	n/a	3-Nov	292.00	4.0	
AMATURO	018	USO	В	1,000	48.50	n/a	n/a	0.00	0.0	
						,	,			
UBS OCONNOR	031	UTX	SS	20,000	52.00	n/a	n/a	600.00	3.0	
ZOLIDIS	011	UYG	S	1,000	7.50	n/a	n/a	0.00	0.0	
	011	010	J	1,000	7.50	11, 4	, a	0.00	0.0	
BAYPOINT TRADING/XYLEM	091	VCP	S	15,000	7.57	n/a	n/a	600.00	4.0	
ARAGON GLOBAL	041	VZ	В	52 , 789	29.84	n/a	4-Jan	2,639.45	5.0	
MCCARTAN	028	WBC	S	100	14.62	30-0ct	30-0ct	0.00	0.0	
DAT VACNIV ACCET MOME	0.4.4	L-IN A CT	CC	10,000	E4 01	10 0-4	7 No	F00 00	F 0	
BALYASNY ASSET MGMT	044	WMT	SS	10,000	54.21	10-0ct	7-Nov	500.00	5.0	
COUGAR TRADING	044	WRC	S	15,000	18.03	7-Nov	7-Nov	750.00	5.0	
				•						
BUCK CAPITAL MGMT	001	WWW	SS	20,000	19.97	n/a	13-Mar	800.00	4.0	
ZOLIDIS	011	WYNN	S	50	48.75	n/a	n/a	0.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	WY	SS	1,500	31.51	3-Nov	3-Nov	0.00 0.0	
PIONEER MICHAEL NOLAN	067	ҮНОО	S	138,000	11.23	n/a	n/a	4,140.00 3.0	
BALYASNY ASSET MGMT	044	YUM	В	10,000	25.74	14-Aug	20-Oct	500.00 5.0	
SINCUTMA	031	ZQK	В	700	1.73	3-Nov	3-Nov	0.00 0.0	

TOTAL (Trade Date): 199,976.72

Cancel/Corrects and As-Of Trades

Type	Date	Account			RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTSEP586)	215	WRC	В	1,097	15.58	7-Nov	7-Nov	38.40	3.5
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTAIMIPR)	215	WRC	В	55	15.58	7-Nov	7-Nov	1.93	3.5
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTAIMRPH)	215	WRC	В	654	15.58	7-Nov	7-Nov	22.89	3.5
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTAIMBOW)	215	WRC	В	621	15.58	7-Nov	7-Nov	21.74	3.5
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTAIMATR)	215	WRC	В	1,274	15.58	7-Nov	7-Nov	44.59	3.5
10,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTWICH)	215	WRC	В	521	15.58	7-Nov	7-Nov	18.24	3.5
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTCOMMTR)	215	WRC	В	188	15.58	7-Nov	7-Nov	6.58	3.5
10,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTINGSCO)	215	WRC	В	4,153	15.58	7-Nov	7-Nov	145.36	3.5
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTINGSCF)	215	WRC	В	1,019	15.58	7-Nov	7-Nov	35.67	3.5
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTINGSCO)	215	WRC	В	1,761	15.58	7-Nov	7-Nov	61.64	3.5
AO,	11/10	AELTUS/ING IVESTM	ENT MGT	(AELTINGSCO)	215	WRC	В	1,617	15.58	7-Nov	7-Nov	56.60	3.5

TOTAL (RUN DATE) / NFS:	200,430.36
TOTAL (AO, CXL, CRT):	453.64
TOTAL (Trade Date):	199,976.72

Legend:

O: 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