



# Daily Compliance Activity Report

Trade Date: 12/29/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BULL PATH CAPITAL	044	AAP	S	20,000	31.03	n/a	n/a	1,000.00	5.0
AMBER CAPITAL	046	AA	SS	122,900	9.80	n/a	n/a	4,916.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>9.07</b>	<b>n/a</b>	<b>12-Dec</b>	<b>1,500.00</b>	<b>3.0</b>
CARDINAL CAPITAL	044	AEO	B	53,400	9.01	n/a	12-Dec	2,670.00	5.0
CARDINAL CAPITAL	044	AMG	S	88,500	36.82	13-Nov	17-Dec	4,425.00	5.0
BLUE HARBOR	036	AMZN	B	53,600	49.85	n/a	n/a	2,680.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>SS</b>	<b>30,000</b>	<b>13.33</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
SCOPUS FUND	041	DKS	SS	15,000	12.46	7-Oct	12-Dec	750.00	5.0
NWQ INVESTMENT MGMT CO	048	DNR	B	49,529	9.72	n/a	n/a	1,485.87	3.0
DENVER INST. ADV	046	FL	B	265,385	7.40	7-Oct	12-Dec	7,961.55	3.0
DEVN	046	FL	B	200	7.40	7-Oct	12-Dec	6.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>50,200</b>	<b>16.12</b>	<b>n/a</b>	<b>10-Jan</b>	<b>2,008.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>40,000</b>	<b>14.43</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>GLD</b>	<b>B</b>	<b>50</b>	<b>86.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>GOLD</b>	<b>S</b>	<b>50</b>	<b>43.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SERENGETI MGMT	030	HRC	B	38,200	15.61	n/a	n/a	1,910.00	5.0
MERRILL ASSET	032	IPI	B	2,600	19.42	n/a	n/a	117.00	4.5
FORD FDN.	032	JEC	S	50,000	44.73	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>160,000</b>	<b>33.60</b>	<b>n/a</b>	<b>12-Dec</b>	<b>6,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	5,000	33.75	n/a	12-Dec	250.00	5.0
SCOPUS FUND	041	MW	SS	5,000	12.80	n/a	n/a	250.00	5.0
COUGAR TRADING	044	PLCE	SS	5,000	19.89	21-Nov	12-Dec	250.00	5.0
<b>OTC ERROR</b>	<b>099</b>	<b>PLCE</b>	<b>B</b>	<b>2,205</b>	<b>19.91</b>	<b>21-Nov</b>	<b>12-Dec</b>	<b>0.00</b>	<b>0.0</b>
US BANCORP	030	RIG	B	39,878	46.19	n/a	n/a	1,993.90	5.0
MERRILL ASSET	032	ROH	S	71,100	49.95	n/a	11-Sep	3,199.50	4.5
SCOPUS FUND	041	RYN	B	35,400	29.50	n/a	23-Oct	1,770.00	5.0
NWQ INVESTMENT MGMT CO	048	SFD	S	3,100	12.24	n/a	n/a	124.00	4.0
THIRD COAST CAPITAL	035	TIF	SS	15,000	21.20	n/a	12-Dec	750.00	5.0
SERENGETI MGMT	030	TROW	B	25,000	31.17	19-Sep	17-Dec	1,250.00	5.0
BAIRD INVESTMENT	031	UTHR	B	5,225	60.32	n/a	n/a	261.25	5.0
CENTURION GLOBAL MGMT LL	041	WMT	S	15,800	54.94	10-Oct	12-Dec	474.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	048	WPP	S	2,700	10.41	n/a	n/a	108.00	4.0
MATRIX ASSET ADV.	036	YHOO	B	15,000	11.76	n/a	n/a	450.00	3.0
BUCK CAPITAL MGMT	001	YUM	SS	20,000	29.60	14-Aug	10-Dec	800.00	4.0
<b>TOTAL (Trade Date):</b>								<b>55,060.07</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/26	DENVER INST. ADV (DENV412)	046	AEO	B	2,100	9.14	n/a	12-Dec	63.00 3.0
AO,	12/26	DENVER INST. ADV (DENV411)	046	AEO	B	10,800	9.14	n/a	12-Dec	324.00 3.0
AO,	12/26	DENVER INST. ADV (DENV410)	046	AEO	B	15,900	9.14	n/a	12-Dec	477.00 3.0
AO,	12/26	DENVER INST. ADV (DENV401)	046	AEO	B	5,000	9.14	n/a	12-Dec	150.00 3.0
AO,	12/26	DENVER INST. ADV (DENV379)	046	AEO	B	500	9.14	n/a	12-Dec	15.00 3.0
AO,	12/26	DENVER INST. ADV (DENV314)	046	AEO	B	5,600	9.14	n/a	12-Dec	168.00 3.0
AO,	12/26	DENVER INST. ADV (DENV267)	046	AEO	B	2,100	9.14	n/a	12-Dec	63.00 3.0
AO,	12/26	DENVER INST. ADV (DENV224)	046	AEO	B	1,300	9.14	n/a	12-Dec	39.00 3.0
AO,	12/26	DENVER INST. ADV (DENV192)	046	AEO	B	23,400	9.14	n/a	12-Dec	702.00 3.0
AO,	12/26	DENVER INST. ADV (DENV185)	046	AEO	B	1,900	9.14	n/a	12-Dec	57.00 3.0
AO,CXL	12/26	DENVER INST. ADV (DENV100)	046	AEO	B	324,100	9.14	n/a	12-Dec	9723.00 3.0
AO,	12/26	DENVER INST. ADV (DENV100)	046	AEO	B	136,300	9.14	n/a	12-Dec	4089.00 3.0
AO,	12/26	DENVER INST. ADV (DENV375)	046	AEO	B	3,000	9.14	n/a	12-Dec	90.00 3.0
AO,	12/26	DENVER INST. ADV (DENV568)	046	AEO	B	200	9.14	n/a	12-Dec	6.00 3.0
AO,	12/26	DENVER INST. ADV (DENV567)	046	AEO	B	1,300	9.14	n/a	12-Dec	39.00 3.0
AO,	12/26	DENVER INST. ADV (DENV92)	046	AEO	B	9,000	9.14	n/a	12-Dec	270.00 3.0
AO,	12/26	DENVER INST. ADV (DENV70)	046	AEO	B	23,600	9.14	n/a	12-Dec	708.00 3.0
AO,	12/26	DENVER INST. ADV (DENV7)	046	AEO	B	16,100	9.14	n/a	12-Dec	483.00 3.0
AO,	12/26	DENVER INST. ADV (DENV566)	046	AEO	B	1,900	9.14	n/a	12-Dec	57.00 3.0
AO,	12/26	DENVER INST. ADV (DENV455)	046	AEO	B	62,700	9.14	n/a	12-Dec	1881.00 3.0
AO,	12/26	DENVER INST. ADV (DENV454)	046	AEO	B	1,400	9.14	n/a	12-Dec	42.00 3.0
AO,CXL	12/23	PATTEN & PATTEN (PATTPERSHI)	067	CSJ	B	350	100.64	n/a	n/a	17.50 5.0
AO,CRT	12/23	PATTEN & PATTEN (PATTPERSHI)	067	CSJ	B	200	100.64	n/a	n/a	10.00 5.0
AO,	12/23	PATTEN & PATTEN (PATTSCHWAB)	067	CSJ	B	150	100.64	n/a	n/a	7.50 5.0
AO,	12/23	LISTED ERR (LISTED ERR)	099	GLD	S	50	86.63	n/a	n/a	0.00 0.0
AO,	12/23	PATTEN & PATTEN (PATTSCHWAB)	067	GLD	B	50	86.63	n/a	n/a	2.50 5.0
AO,CRT	12/23	LISTED ERR (LISTED ERR)	099	GOLD	B	50	42.50	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/23	PATTEN & PATTEN (PATTSCHWAB)	067	GOLD	B	50	42.50	n/a	n/a	2.50 5.0
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (Trade Date) :										55,060.07
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (RUN DATE) / NFS:										55,060.07

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