



## Daily Compliance Activity Report

Trade Date: 12/01/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORD FDN.	032	ABT	S	14,000	51.21	n/a	22-Apr	700.00	5.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	25.04	13-Nov	19-Nov	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>SS</b>	<b>20,000</b>	<b>19.41</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>
RAINIER INV MGMT	035	BG	S	63,700	38.77	n/a	n/a	3,185.00	5.0
SCOPUS FUND	041	BJ	B	3,900	34.83	n/a	27-Jul	195.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKE</b>	<b>B</b>	<b>20,000</b>	<b>17.36</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
ROTHSCHILD ASSET	040	BNI	S	25,702	72.53	n/a	n/a	1,156.59	4.5
THOMAS WEISEL ASSET MGMT	035	BRY	S	7,390	10.23	n/a	n/a	221.70	3.0
BRENCOURT	028	BWA	SS	15,000	22.56	26-Nov	26-Nov	750.00	5.0
PRINCIPLE CAPITAL	040	CCL	SS	87,900	19.83	n/a	26-Jan	2,637.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CLX</b>	<b>SS</b>	<b>30,000</b>	<b>57.32</b>	<b>3-Nov</b>	<b>3-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
SCOPUS FUND	041	COH	B	17,900	17.07	8-Oct	22-Oct	895.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>SS</b>	<b>50,000</b>	<b>17.61</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
BAIRD INVESTMENT	031	CRR	B	11,325	43.17	29-Aug	20-Nov	566.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DE SHAW	040	CSCO	B	250,000	15.18	n/a	22-Mar	7,500.00	3.0
DE SHAW	040	CSCO	S	250,000	15.50	n/a	22-Mar	7,500.00	3.0
PERRY PARTNERS	041	CY	S	100,000	3.57	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	DIS	SS	50,000	21.03	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	DKS	SS	40,000	11.59	7-Oct	20-Nov	1,600.00	4.0
BUCK CAPITAL MGMT	001	EDU	SS	20,000	48.70	n/a	n/a	800.00	4.0
ROARING BLUE LION MGMT	012	FDO	SS	2,400	26.12	23-Jul	7-Nov	96.00	4.0
SCOPUS FUND	041	FDO	SS	75,000	26.39	23-Jul	7-Nov	3,750.00	5.0
WAGONHOUND/NIC	048	FDO	SS	3,610	26.76	23-Jul	7-Nov	144.40	4.0
BUCK CAPITAL MGMT	001	FL	S	230,000	6.19	7-Oct	21-Nov	6,900.00	3.0
PROSPECTOR PARTNERS LLC	036	FOR	B	20,000	4.00	n/a	3-Oct	600.00	3.0
THE BOSTON COMPANY	401	FRED	SS	24,880	11.16	n/a	27-Mar	995.20	4.0
ENTRUST CAPITAL	040	GE	S	82,500	15.83	n/a	n/a	4,125.00	5.0
FIRST NY SEC/CHRIS	041	GE	B	30,000	15.81	n/a	n/a	1,200.00	4.0
FIRST NY SEC/CHRIS	041	GE	S	85,000	15.85	n/a	n/a	3,400.00	4.0
BUCK CAPITAL MGMT	001	GLW	S	215,300	8.57	19-Nov	20-Nov	6,459.00	3.0
DIAMONDBACK CAP MGMT	232	GYMB	SS	15,000	24.10	7-Nov	20-Nov	750.00	5.0
AVESTA CAP	229	HD	B	25,000	21.44	n/a	27-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	IFF	SS	20,000	29.05	30-Oct	1-Dec	800.00	4.0
DISCIPLINED GROWTH INV.	030	JBLU	B	2,200	4.98	n/a	n/a	66.00	3.0
BUCK CAPITAL MGMT	001	JCP	SS	20,000	16.59	17-Nov	17-Nov	800.00	4.0
DISCIPLINED GROWTH INV.	030	JNS	B	1,800	6.78	25-Jul	19-Nov	90.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	30,000	4.84	n/a	30-Oct	900.00	3.0
DIAMONDBACK CAP MGMT	232	KEY	B	25,000	8.42	n/a	n/a	1,250.00	5.0
ASCEND PARTNERS	033	KR	S	75,000	27.40	n/a	n/a	3,750.00	5.0
COUGAR TRADING	044	KSS	B	2,500	31.29	n/a	14-Nov	125.00	5.0
BALYASNY ASSET MGMT	044	LM	B	30,000	16.23	29-Oct	21-Nov	1,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	LM	S	20,000	16.70	29-Oct	21-Nov	600.00	3.0
DISCIPLINED GROWTH INV.	030	LNC	B	1,800	13.07	n/a	n/a	90.00	5.0
AVESTA CAP	229	LOW	B	25,000	19.44	n/a	27-Jul	1,250.00	5.0
DISCIPLINED GROWTH INV.	030	LSTR	B	1,500	31.11	n/a	n/a	75.00	5.0
DISCIPLINED GROWTH INV.	030	MIDD	B	600	29.44	6-Nov	11-Nov	30.00	5.0
SCOPUS FUND	041	MW	SS	29,407	9.95	n/a	n/a	1,470.35	5.0
BUCK CAPITAL MGMT	001	M	B	40,000	6.60	12-Aug	13-Nov	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NDN</b>	<b>SS</b>	<b>50,000</b>	<b>10.30</b>	<b>31-Oct</b>	<b>7-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
DISCIPLINED GROWTH INV.	030	NE	B	1,300	23.57	n/a	n/a	65.00	5.0
ROYCE TRADING	216	NR	B	10,000	3.80	n/a	n/a	300.00	3.0
DISCIPLINED GROWTH INV.	030	NTRI	B	900	12.96	n/a	n/a	45.00	5.0
PROSPECTOR PARTNERS LLC	036	NXY	B	15,000	17.92	n/a	n/a	600.00	4.0
DE SHAW	040	ONXX	B	75,000	26.29	n/a	n/a	2,250.00	3.0
DISCIPLINED GROWTH INV.	030	OTEX	B	2,400	26.44	n/a	n/a	120.00	5.0
PROSPECTOR PARTNERS LLC	036	PCZ	B	15,000	23.47	n/a	n/a	600.00	4.0
MILLRACE FUND LP	028	PFCB	SS	500	18.10	n/a	14-Nov	20.00	4.0
DISCIPLINED GROWTH INV.	030	PLT	B	2,000	11.81	n/a	n/a	100.00	5.0
DISCIPLINED GROWTH INV.	030	PLXS	B	4,700	15.22	n/a	n/a	235.00	5.0
DISCIPLINED GROWTH INV.	030	PTV	B	2,200	24.48	n/a	n/a	110.00	5.0
ROYCE TRADING	216	RDC	B	10,000	14.53	n/a	n/a	500.00	5.0
ROYCE TRADING	216	ROC	B	10,000	6.92	n/a	n/a	500.00	5.0
<b>DEMARTINI</b>	<b>065</b>	<b>SDS</b>	<b>S</b>	<b>500</b>	<b>94.70</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.	
BUCK CAPITAL MGMT	001	SPG	S	30,000	43.36	n/a	n/a	1,200.00	4.0
SINCLAIR	031	SWNXF	S	100	3.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	S	100,000	29.44	17-Nov	17-Nov	4,000.00	4.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	20.43	11-Aug	12-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	VFC	S	20,000	48.24	n/a	n/a	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	VZ	SS	20,000	31.58	n/a	4-Jan	800.00	4.0
KLEINHEINZ CAP PART	031	WFMI	B	75,000	9.69	n/a	n/a	3,750.00	5.0
ASCEND PARTNERS	033	WRC	B	15,000	16.14	7-Nov	7-Nov	750.00	5.0
BALYASNY ASSET MGMT	044	XL	B	100,000	4.20	n/a	n/a	3,000.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>106,217.49</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/25	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	AA	SS	49,800	9.51	n/a	n/a	2490.00 5.0
AO,CXL	11/25	HIGHBRIDGE/MS OLDS (&HIBCMAIN)	041	AA	SS	49,800	9.51	n/a	n/a	2490.00 5.0
AO,CXL	11/25	PALMYRA CAPITAL (PALMGSCO)	048	CHS	S	65,000	2.37	26-Nov	26-Nov	2600.00 4.0
AO,CRT	11/25	PALMYRA CAPITAL (PALMGSCO)	048	CHS	S	65,000	2.37	26-Nov	26-Nov	1950.00 3.0
AO,CXL	11/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	FL	S	100,000	6.64	7-Oct	21-Nov	4000.00 4.0
AO,CRT	11/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	FL	S	100,000	6.64	7-Oct	21-Nov	3000.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,650.00</b>
TOTAL (Trade Date) :										106,217.49
TOTAL (AO, CXL, CRT) :										-1,650.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>104,567.49</b>

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