



Daily Compliance Activity Report

Trade Date: 11/18/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	ACI	S	100,000	14.61	n/a	n/a	3,000.00	3.0
KORMAN	003	ACI	S	1,000	14.37	n/a	n/a	0.00	0.0
NORTHPOINT	030	ADS	S	15,190	40.14	n/a	n/a	607.60	4.0
KORMAN	003	AMZN	SS	3,000	40.23	n/a	n/a	0.00	0.0
BAYPOINT TRADING/XYLEM	091	ARA	S	20,368	9.28	n/a	n/a	814.72	4.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	51.90	13-Nov	13-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	BKE	S	10,000	16.37	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	BRKB	S	2003,053.60		n/a	n/a	9.00	4.5
NEUBERGER BERMAN	036	BRY	S	43,100	12.18	n/a	n/a	1,939.50	4.5
HUNTER GLOBAL INVESTOR	067	CB	B	61,700	47.24	n/a	n/a	3,085.00	5.0
NORTHPOINT	030	CEDC	B	5,430	22.01	n/a	n/a	217.20	4.0
EFSTATHIOU	044	CENT	B	3,000	3.00	18-Nov	18-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	CHH	SS	20,000	22.23	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	CHL	S	4,800	41.32	n/a	n/a	216.00	4.5
ZOLIDIS	011	CMGB	S	200	39.26	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	CNI	S	50,000	36.83	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	COH	S	50,000	14.85	8-Oct	22-Oct	2,000.00	4.0
IMPALA ASSET MMT	012	CTRP	B	346,732	19.41	n/a	n/a	10,401.96	3.0
SANDLER O'NEILL ASSET	031	C	SS	100,000	8.20	15-Sep	17-Nov	3,000.00	3.0
ZOLIDIS	011	DECK	S	100	49.93	n/a	n/a	0.00	0.0
NOLAN	067	DUG	B	67	39.65	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	DW	S	16,400	10.83	n/a	n/a	738.00	4.5
CENTURION GLOBAL MGMT LL	041	EMC	B	25,000	10.19	n/a	n/a	750.00	3.0
NEUBERGER BERMAN	036	EOG	S	2,500	78.71	n/a	n/a	112.50	4.5
EFSTATHIOU	044	EPG	S	2,000	0.36	n/a	n/a	0.00	0.0
NORTHPOINT	030	EPIQ	B	2,000	14.93	n/a	n/a	80.00	4.0
COLUMBIA PARTNERS	028	FDO	SS	24,789	27.11	23-Jul	7-Nov	743.67	3.0
TRELLUS PARTNERS LP	028	FDO	SS	30,000	27.24	23-Jul	7-Nov	1,500.00	5.0
ROYCE TRADING	216	FII	B	21,000	20.12	13-Nov	13-Nov	1,050.00	5.0
SIGMA CAPITAL ASSOCIATES	237	FL	SS	25,000	9.59	7-Oct	14-Nov	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	25,000	3.96	n/a	3-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FRT	S	10,000	48.54	n/a	n/a	400.00	4.0
NORTHPOINT	030	FULT	B	1,200	10.33	n/a	n/a	48.00	4.0
NORTHPOINT	030	GES	S	18,000	12.89	n/a	n/a	720.00	4.0
BENCHMARK	028	GIII	B	10,000	8.43	n/a	n/a	500.00	5.0
HUNTER GLOBAL INVESTOR	067	GIS	S	35,000	64.76	n/a	n/a	1,750.00	5.0
DC CAPITAL	044	GLW	S	100,000	8.00	13-Nov	18-Nov	3,500.00	3.5
IMPALA ASSET MMT	012	GLW	S	110,600	7.74	13-Nov	18-Nov	1,106.00	1.0
PERRY PARTNERS	041	HPQ	SS	200,000	32.58	n/a	n/a	10,000.00	5.0
PNC/MERCANTILE	028	HPQ	B	27,264	32.70	n/a	n/a	1,363.20	5.0
Ö Steven Maguire		HSTX	S	10000	4.9800	n/a	n/a	0.00	0.0
WHEELER	008	HSTX	S	8,010	5.04	n/a	n/a	0.00	0.0
J COHEN	N27	HSTX	S	180	5.38	n/a	n/a	0.00	0.0
ZOLIDIS	011	ICON	S	500	7.73	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	IDC	B	16,100	20.10	n/a	n/a	724.50	4.5
BARROW HANLEY MEWHINNEY	031	INTC	B	1,282,500	12.84	n/a	n/a	51,300.00	4.0
EFSTATHIOU	044	IVZ	S	600	10.79	13-Nov	13-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	SS	100,000	9.93	n/a	13-Nov	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BENNETT LAWRENCE	045	JCP	SS	27,700	16.62	17-Nov	17-Nov	1,246.50	4.5
KORMAN	003	JNY	C	6,000	5.90	n/a	30-Oct	0.00	0.0
SANDLER O'NEILL ASSET	031	JPM	B	45,000	31.24	26-Sep	17-Nov	2,250.00	5.0
KORMAN	003	KMB	C	1,000	56.54	23-Oct	23-Oct	0.00	0.0
COUGAR TRADING	044	KSS	SS	2,500	28.37	n/a	14-Nov	125.00	5.0
PHILADELPHIA FINANCIAL	033	LAZ	B	50,000	24.01	n/a	n/a	2,000.00	4.0
IMPALA ASSET MMT	012	LCC	B	275,000	6.49	n/a	n/a	2,750.00	1.0
BUCK CAPITAL MGMT	001	LOW	SS	40,000	18.64	n/a	27-Jul	1,600.00	4.0
IMPALA ASSET MMT	012	LUK	B	52,300	17.10	n/a	n/a	1,569.00	3.0
KORMAN	003	MEE	S	1,000	15.01	n/a	n/a	0.00	0.0
WHEELER	008	METPRA	B	5,000	10.10	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	MET	B	53,600	21.38	n/a	n/a	2,412.00	4.5
WHEELER	008	MET	B	5,000	19.31	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	7.53	n/a	n/a	300.00	3.0
NORTHPOINT	030	MTZ	B	1,600	8.15	n/a	n/a	48.00	3.0
COBALT	041	M	B	50,000	6.98	12-Aug	13-Nov	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLOVIS CAPITAL	012	NKE	B	100,000	45.80	n/a	n/a	5,000.00	5.0
NEUBERGER BERMAN	036	NLY	S	15,400	12.91	n/a	n/a	693.00	4.5
PNC/MERCANTILE	028	NST	B	14,346	33.12	n/a	n/a	717.30	5.0
NORTHPOINT	030	NTLS	B	600	23.11	n/a	n/a	24.00	4.0
NORTHPOINT	030	NYB	B	1,000	14.21	n/a	n/a	40.00	4.0
NORTHPOINT	030	PBCT	B	1,400	18.39	n/a	n/a	56.00	4.0
ELM RIDGE ADVISORS	044	PKG	B	64,300	13.09	11-Sep	21-Oct	2,572.00	4.0
N STRATTON	014	PNWIF	B	2,200	1.20	n/a	n/a	0.00	0.0
NORTHPOINT	030	PRE	B	200	66.11	n/a	n/a	8.00	4.0
BENNETT LAWRENCE	045	PRU	C	53,700	18.85	n/a	n/a	2,416.50	4.5
BUCK CAPITAL MGMT	001	PSA	S	30,000	62.67	n/a	n/a	1,200.00	4.0
CASTLEROCK	040	PVH	S	178,403	15.57	7-Nov	7-Nov	7,136.12	4.0
HUNTER GLOBAL INVESTOR	067	RDK	SS	32,618	27.01	n/a	n/a	1,630.90	5.0
BARCLEYS CAPITAL	041	RL	SS	30,000	36.00	n/a	6-Nov	1,200.00	4.0
WHEELER	008	RUSHA	B	17,000	6.30	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	SKF	B	100	182.92	n/a	n/a	0.00	0.0
NORTHPOINT	030	SMSI	B	20,440	5.68	n/a	n/a	613.20	3.0
NORTHPOINT	030	SRCL	S	4,210	61.50	n/a	n/a	168.40	4.0
NOLAN	067	SSO	S	100	23.67	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	THO	S	18,600	15.06	n/a	n/a	837.00	4.5
ZOLIDIS	011	TIF	SS	500	19.04	n/a	3-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	S	40,000	20.26	11-Aug	12-Nov	1,600.00	4.0
THE BOSTON COMPANY	401	TLB	C	62,049	2.96	7-Aug	7-Nov	930.74	1.5
SERENGETI MGMT	030	TMK	SS	100,000	33.73	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	102,700	3.88	n/a	3-Nov	3,081.00	3.0
HUNTER GLOBAL INVESTOR	067	T	B	405,750	26.18	n/a	4-Jan	16,230.00	4.0
ZOLIDIS	011	URBN	S	1,000	15.03	5-Nov	13-Nov	0.00	0.0
RAMIUS CAP	040	UST	S	50,000	68.73	n/a	n/a	2,500.00	5.0
BAYPOINT TRADING/XYLEM	091	VCP	S	25,457	6.66	n/a	n/a	1,018.28	4.0
BUCK CAPITAL MGMT	001	VFC	S	5,000	42.89	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	WFC	B	50,000	26.80	n/a	n/a	2,500.00	5.0
ZOLIDIS	011	ZQK	S	10,000	1.39	3-Nov	3-Nov	0.00	0.0
TOTAL (Trade Date):								183,299.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/14	ROSEDALE CAPITAL (ROSEGS)	046	CMI	B	10,000	21.45	14-Nov	14-Nov	600.00 6.0
AO,CRT	11/14	ROSEDALE CAPITAL (ROSEGS)	046	CMI	B	10,000	21.45	14-Nov	14-Nov	500.00 5.0
CRT	11/18	DC CAPITAL (DCCAGOLDMA)	044	GLW	S	100,000	8.00	13-Nov	18-Nov	3500.00 3.5
AO,CXL	11/17	STRAUSS ASSET MGMT (STRAJEFUSE)	040	GRA	B	15,000	4.00	n/a	n/a	600.00 4.0
AO,CRT	11/17	STRAUSS ASSET MGMT (STRAJEFUSE)	040	GRA	B	15,000	4.00	n/a	n/a	450.00 3.0
AO,CXL	11/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	S	20,000	10.06	n/a	n/a	600.00 3.0
AO,CRT	11/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MFB	S	20,000	10.06	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										3,450.00
TOTAL (Trade Date) :										183,299.79
TOTAL (AO, CXL, CRT) :										3,450.00
TOTAL (RUN DATE) / NFS :										186,749.79

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