



Daily Compliance Activity Report

Trade Date: 11/05/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT/COPIA-ANDREW	031	ABFS	SS	69,000	26.92	n/a	n/a	2,415.00	3.5
TRUSTCO/SUNTRUST	040	ABG	S	39,100	3.73	n/a	31-Oct	782.00	2.0
HUNTER GLOBAL INVESTOR	067	AG	B	21,000	30.13	31-Oct	31-Oct	1,050.00	5.0
COUGAR TRADING	044	ANF	B	10,000	27.25	7-Aug	3-Nov	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AOC	B	214,100	42.49	n/a	n/a	8,028.75	3.8
ROTHSCHILD ASSET	040	APC	B	18,020	34.29	n/a	4-Nov	810.90	4.5
CHARTER OAK	033	ARO	B	15,000	23.38	n/a	3-Nov	750.00	5.0
LUCHANSKY1	036	ATDPF	B	5,000	0.17	n/a	n/a	0.00	0.0
BARC	041	ATVI	S	100,000	11.59	n/a	n/a	4,000.00	4.0
PRINCIPLE CAPITAL	040	AVP	B	157,200	26.02	3-Nov	3-Nov	4,716.00	3.0
BUCK CAPITAL MGMT	001	BBY	SS	20,000	27.03	n/a	27-Jul	800.00	4.0
THE BOSTON COMPANY	401	BEBE	S	48,990	7.61	n/a	n/a	1,959.60	4.0
BUCK CAPITAL MGMT	001	BKS	SS	200,000	17.83	n/a	n/a	8,000.00	4.0
BECK MACK & OLIVER LLC	045	CBT	S	5,450	26.84	n/a	3-Nov	272.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLOVIS CAPITAL	012	CI	B	200,000	17.97	n/a	n/a	10,000.00	5.0
SERENGETI MGMT	030	CNA	B	150,000	16.03	n/a	n/a	7,500.00	5.0
VALHALLA CAPITAL LP	041	CSCO	B	5,000	18.07	n/a	22-Mar	150.00	3.0
BUCK CAPITAL MGMT	001	DE	B	13,300	42.44	3-Nov	3-Nov	532.00	4.0
KORMAN	003	DKS	SS	2,000	15.39	7-Oct	7-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	EL	SS	130,000	35.38	15-Aug	29-Oct	5,200.00	4.0
BRUNNER	012	FXP	B	750	80.35	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	GBL	SS	4,400	35.97	19-Sep	5-Nov	176.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	14,300	24.27	8-Sep	16-Oct	572.00	4.0
FIRST NY SEC/CHRIS	041	GYMB	B	15,000	22.84	11-Jul	3-Nov	900.00	6.0
HARVEST MGMT	039	GYMB	S	30,000	23.04	11-Jul	3-Nov	1,500.00	5.0
PERMIAN/BAYPIONT	028	HE	B	8,600	26.74	n/a	n/a	344.00	4.0
HIGHBRIDGE CAPITAL	038	HUN	B	50,000	8.45	n/a	n/a	2,500.00	5.0
AVESTA CAP	229	IBM	S	10,000	90.21	n/a	n/a	500.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	B	75,000	15.89	5-Nov	5-Nov	3,000.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	120,000	22.75	n/a	3-Nov	4,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JNY	SS	24,000	10.02	n/a	30-Oct	960.00	4.0
ROYCE TRADING	216	KMT	B	100,000	21.26	18-Sep	27-Oct	5,000.00	5.0
ZOLIDIS	011	KSWs	SS	2,000	14.37	n/a	13-Mar	0.00	0.0
LEDY	035	KSWs	SS	1,000	14.30	n/a	13-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	SS	20,000	11.63	9-Oct	3-Nov	800.00	4.0
COUGAR TRADING	044	LTD	B	10,000	11.67	9-Oct	3-Nov	500.00	5.0
BECK MACK & OLIVER LLC	045	LVL	S	32,600	1.23	n/a	4-Jan	652.00	2.0
ZOLIDIS	011	MDCA	S	1,000	4.28	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	MGM	SS	150,000	15.25	n/a	30-Oct	6,000.00	4.0
BUCK CAPITAL MGMT	001	MHK	SS	50,000	43.43	n/a	n/a	2,000.00	4.0
BECK MACK & OLIVER LLC	045	MOLX	S	9,266	15.14	n/a	n/a	463.30	5.0
COUGAR TRADING	044	M	S	15,000	11.66	12-Aug	3-Nov	750.00	5.0
KORMAN	003	NDN	SS	5,000	11.23	31-Oct	3-Nov	0.00	0.0
COUGAR TRADING	044	NWY	S	35,000	2.71	n/a	3-Nov	1,050.00	3.0
STANDARD PACIFIC CAPITAL	040	PAG	B	150,000	8.32	n/a	31-Oct	7,500.00	5.0
BASIX	033	PKG	S	63,100	16.03	11-Sep	21-Oct	1,893.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PVH	S	5,000	23.71	24-Oct	24-Oct	250.00	5.0
KORMAN	003	PZZA	C	3,000	20.00	n/a	24-Apr	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	S	10,000	3.34	n/a	n/a	600.00	6.0
PILOT ROCK	028	RIMM	B	245,000	57.56	n/a	n/a	9,800.00	4.0
LUCHANSKY1	036	RIMM	B	200	56.95	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	RL	SS	25,000	48.95	n/a	24-Oct	1,250.00	5.0
COUGAR TRADING	044	RL	SS	10,000	49.67	n/a	24-Oct	500.00	5.0
CENTURION GLOBAL MGMT LL	041	SAP	B	9,000	36.95	n/a	n/a	270.00	3.0
MCCARTAN	028	SDS	B	100	86.36	n/a	n/a	0.00	0.0
STELLIAM INV ADV	040	SLE	B	25,000	10.44	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	SSO	B	10,000	32.99	n/a	n/a	500.00	5.0
COUGAR TRADING	044	SSO	S	5,000	32.10	n/a	n/a	250.00	5.0
MILLRACE FUND LP	028	SUP	SS	4,000	15.19	17-Oct	20-Oct	160.00	4.0
TRUST CO/COWEN/CALF.	040	THC	B	312,415	2.48	n/a	4-Nov	9,372.45	3.0
COUGAR TRADING	044	TIF	B	5,000	25.28	n/a	3-Nov	250.00	5.0
COUGAR TRADING	044	TJX	SS	5,000	26.09	11-Aug	3-Nov	250.00	5.0
RAIL-SPLITTER	031	TROW	B	30,900	41.25	19-Sep	5-Nov	1,545.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	UNP	SS	162,300	66.08	n/a	n/a	6,492.00	4.0
COUGAR TRADING	044	URBN	SS	5,000	21.84	5-Nov	5-Nov	250.00	5.0
GRANITE CAPITAL	045	URBN	S	28,500	20.85	5-Nov	5-Nov	1,425.00	5.0
BAYPOINT CRIT/B COLBURN	033	URS	SS	50,000	29.95	n/a	n/a	2,500.00	5.0
ZOLIDIS	011	UYG	S	1,000	10.63	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	WMB	S	6,500	20.10	n/a	n/a	325.00	5.0
COUGAR TRADING	044	WRC	B	10,000	27.57	24-Oct	24-Oct	500.00	5.0
COUGAR TRADING	044	WRC	S	10,000	26.39	24-Oct	24-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	WWW	SS	40,000	20.71	n/a	13-Mar	1,600.00	4.0
BUCK CAPITAL MGMT	001	ZLC	SS	25,000	14.23	n/a	n/a	1,000.00	4.0
ZOLIDIS	011	ZQK	B	4,000	2.10	3-Nov	3-Nov	0.00	0.0
TOTAL (Trade Date):								139,916.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/04	BULL PATH CAPITAL (BULLJPHQ)	044	BKC	S	9,865	22.38	27-Oct	3-Nov	493.25 5.0
AO,CRT	11/04	BULL PATH CAPITAL (BULLJPHQ)	044	BKC	S	8,716	22.38	27-Oct	3-Nov	435.80 5.0
AO,CXL	11/04	BULL PATH CAPITAL (BULLBOAGS)	044	BKC	S	17,635	22.38	27-Oct	3-Nov	881.75 5.0
AO,CRT	11/04	BULL PATH CAPITAL (BULLBOAGS)	044	BKC	S	18,784	22.38	27-Oct	3-Nov	939.20 5.0
AO,CRT	11/04	BUCK CAPITAL MGMT (BUCK)	015	FHUKK	S	10	0.90	n/a	n/a	0.00 0.0
AO,CXL	11/04	BUCK CAPITAL MGMT (BUCK)	015	FHUKK	S	10	0.90	n/a	n/a	0.00 0.0
AO,CRT	11/04	ZOLIDIS (ZOLIDIS)	011	HALLD	S	10	2.30	n/a	n/a	0.00 0.0
AO,CXL	11/04	ZOLIDIS (ZOLIDIS)	011	HALLD	S	10	2.30	n/a	n/a	0.00 0.0
AO,	11/04	PERMIAN/BAYPIONT (PERMGS)	028	HE	B	11,100	26.80	n/a	n/a	444.00 4.0
AO,CXL	11/04	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	IR	B	46,900	18.50	n/a	n/a	2345.00 5.0
AO,CRT	11/04	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	IR	B	46,900	18.50	n/a	n/a	1876.00 4.0
AO,CXL	11/04	CASTLEROCK (CASTMERRIL)	040	MS	B	134,925	18.89	15-Sep	5-Nov	5397.00 4.0
AO,CRT	11/04	CASTLEROCK (CASTMERRIL)	040	MS	B	43,853	18.89	15-Sep	5-Nov	1754.12 4.0
AO,	11/04	CASTLEROCK (CASTUBS)	040	MS	B	91,072	18.89	15-Sep	5-Nov	3642.88 4.0
AO,CXL	10/30	SENATOR INVESTMENT GROUP (SENAMS)	036	NUE	B	25,000	37.44	n/a	n/a	1250.00 5.0
AO,CRT	10/30	SENATOR INVESTMENT GROUP (SENAGS)	036	NUE	B	25,000	37.44	n/a	n/a	1000.00 4.0
AO,CXL	11/04	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	S	40,120	8.14	7-Aug	4-Nov	1604.80 4.0
AO,CRT	11/04	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	S	40,120	8.14	7-Aug	4-Nov	1203.60 3.0
AO,CXL	11/04	CUMBERLAND (CUMBMS04)	038	USO	SS	35,000	57.11	n/a	n/a	1400.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/04	CUMBERLAND (CUMBMS04)	038	USO	SS	35,000	57.11	n/a	n/a	1050.00 3.0
AO,	11/04	PERMIAN/BAYPIONT (PERMGS)	028	ZLC	SS	10,000	15.73	n/a	n/a	400.00 4.0
AO,CXL	11/03	PERFORMANCE PART LP #2 (PERPP2MGMT)	041	ZQK	B	6,000	2.70	3-Nov	3-Nov	180.00 3.0
AO,CXL	11/03	PERFORMANCE PART LP #2 (PERPP2PART)	041	ZQK	B	24,000	2.70	3-Nov	3-Nov	720.00 3.0
AO,CRT	11/03	PERFORMANCE PART LP #2 (PERPP2PART)	041	ZQK	B	30,000	2.70	3-Nov	3-Nov	900.00 3.0

TOTAL (AO, CXL, CRT) :	-626.20
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TOTAL (Trade Date) :	139,916.50
TOTAL (AO, CXL, CRT) :	-626.20

TOTAL (RUN DATE) / NFS:	139,290.30
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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