



## Daily Compliance Activity Report

Trade Date: 11/07/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	500	98.43	n/a	n/a	20.00	4.0
THE BOSTON COMPANY	401	ACV	S	120,744	22.18	n/a	n/a	4,829.76	4.0
COUGAR TRADING	044	AEO	B	10,000	10.15	n/a	3-Nov	500.00	5.0
YORK CAPITAL	036	AEO	B	250,000	10.16	n/a	3-Nov	12,500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>ALV</b>	<b>SS</b>	<b>1,000</b>	<b>21.32</b>	<b>22-Oct</b>	<b>22-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ANF	B	5,000	26.44	7-Aug	7-Nov	250.00	5.0
BRENCOURT	028	AN	B	75,000	6.24	7-Nov	7-Nov	2,250.00	3.0
COUGAR TRADING	044	AN	B	5,000	6.45	7-Nov	7-Nov	200.00	4.0
<b>BUCK</b>	<b>015</b>	<b>BAC</b>	<b>SS</b>	<b>2,000</b>	<b>20.44</b>	<b>15-Oct</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
HOLDEN CAPITAL MGMT	035	BEBE	SS	50,000	7.11	n/a	n/a	2,500.00	5.0
THE BOSTON COMPANY	401	BEBE	S	113,594	7.14	n/a	n/a	4,543.76	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKE</b>	<b>B</b>	<b>10,000</b>	<b>24.13</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>BUD</b>	<b>B</b>	<b>1,000</b>	<b>65.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	BWA	SS	20,000	20.94	n/a	30-Oct	1,000.00	5.0
<b>MCERLEAN</b>	<b>N16</b>	<b>CAL</b>	<b>B</b>	<b>1,000</b>	<b>15.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	CAM	B	1,350	23.30	n/a	n/a	54.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SERENGETI MGMT	030	CNA	B	50,000	14.41	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	COL	B	1,550	34.82	n/a	n/a	62.00	4.0
JP MORGAN VENTURES	046	COSI	S	6,000	0.57	n/a	n/a	120.00	2.0
BUCK CAPITAL MGMT	001	CRI	SS	50,000	21.28	n/a	n/a	2,000.00	4.0
AMATURO	018	DAVXF	S	40	3.90	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	DRI	SS	3,000	19.25	13-Oct	13-Oct	180.00	6.0
EFSTATHIOU	044	EFR	S	1,000	9.78	n/a	n/a	0.00	0.0
AMATURO	018	EPG	B	10,000	0.50	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	FII	S	25,000	22.28	6-Oct	7-Nov	1,250.00	5.0
UBS OCONNOR	031	FII	B	32,100	22.66	6-Oct	7-Nov	963.00	3.0
CATAPULT	040	FLIR	SS	2,000	29.68	n/a	n/a	100.00	5.0
SCOPUS FUND	041	FL	SS	4,700	13.16	7-Oct	7-Oct	235.00	5.0
MFP INVESTORS	032	FOR	B	2,100	5.88	n/a	3-Oct	0.00	0.0
BRUNNER	012	FXP	B	1,000	85.73	n/a	n/a	0.00	0.0
EFSTATHIOU	044	FXP	B	100	83.75	n/a	n/a	0.00	0.0
GAULT	063	FXP	B	1,400	88.83	n/a	n/a	0.00	0.0
DEMARTINI	065	FXP	B	500	87.24	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	40,000	16.76	n/a	n/a	1,600.00	4.0
SUTERA	160	GE	B	1,000	18.69	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	S	250,000	22.40	8-Sep	16-Oct	10,000.00	4.0
MAGNETAR FINANCIAL	031	GM	B	250,000	4.39	10-Oct	4-Nov	7,500.00	3.0
EPOCH INV MGMT	030	GPC	B	1,500	37.10	n/a	n/a	60.00	4.0
ROTHSCHILD ASSET	040	GPS	B	25,831	12.75	n/a	7-Nov	1,162.41	4.5
BUCK	015	GS	B	400	78.21	15-Sep	5-Nov	0.00	0.0
CATAPULT	040	GWR	B	1,200	32.38	n/a	n/a	60.00	5.0
CATAPULT	040	GWV	SS	3,000	71.66	3-Oct	15-Oct	150.00	5.0
CUMBERLAND	038	IWM	SS	75,000	50.45	n/a	n/a	2,250.00	3.0
BUCK	015	JCP	C	2,500	22.29	n/a	3-Nov	0.00	0.0
HEALY CIRCLE	044	JWN	SS	10,000	15.40	6-Nov	7-Nov	400.00	4.0
N STRATTON	014	LNCE	C	75	19.50	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	LTD	SS	3,000	10.40	9-Oct	7-Nov	180.00	6.0
SCOPUS FUND	041	MCD	B	4,000	55.14	13-Oct	3-Nov	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	MFB	S	20,000	10.06	n/a	n/a	800.00	4.0
SINCLAIR	031	MSPB	B	100	2.30	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	MS	B	6,000	15.83	15-Sep	5-Nov	180.00	3.0
UBS OCONNOR	031	MS	S	225,000	16.10	15-Sep	5-Nov	6,750.00	3.0
EGS ASSOCIATES LP	091	M	SS	3,000	10.85	12-Aug	3-Nov	180.00	6.0
NOMURA CAPITAL	045	NCS	B	5,000	17.56	n/a	n/a	250.00	5.0
CLOVIS CAPITAL	012	NKE	SS	200,000	49.22	n/a	n/a	10,000.00	5.0
ROYCE TRADING	216	NR	B	10,000	4.61	n/a	n/a	300.00	3.0
N STRATTON	014	NSRGY	S	100	40.00	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	NVDA	B	11,800	8.38	n/a	n/a	590.00	5.0
HOLDEN CAPITAL MGMT	035	PDCO	SS	35,000	23.45	n/a	n/a	1,750.00	5.0
EPOCH INV MGMT	030	PM	B	950	42.22	n/a	n/a	38.00	4.0
FIRST NEW YORK LEDDY	035	Q	B	10,000	2.96	n/a	n/a	600.00	6.0
STERLING JOHNSTON	035	RDEN	S	19,000	15.63	7-Nov	7-Nov	760.00	4.0
CATAPULT	040	ROP	SS	2,000	41.10	n/a	n/a	100.00	5.0
LUCHANSKY1	036	SDS	B	1,000	91.84	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	SDS	S	1,000	92.80	n/a	n/a	0.00	0.0
KERN	050	SDS	B	100	90.95	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	SHPGY	S	3,750	38.52	15-Oct	4-Nov	187.50	5.0
CATTANI	041	SLB	S	200	51.55	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SLGN	B	2,350	44.33	n/a	n/a	94.00	4.0
EPOCH INV MGMT	030	SUG	B	4,750	15.55	n/a	n/a	190.00	4.0
COUGAR TRADING	044	SUP	SS	10,000	11.95	17-Oct	20-Oct	500.00	5.0
MILLRACE FUND LP	028	SUP	SS	6,500	12.20	17-Oct	20-Oct	260.00	4.0
TRELLUS PARTNERS LP	028	SUP	SS	20,000	11.55	17-Oct	20-Oct	1,000.00	5.0
SINCLAIR	031	SWGOL	S	30	9.45	n/a	n/a	0.00	0.0
KERN	050	SWNWG	S	20	3.50	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SWY	B	4,350	22.30	n/a	n/a	174.00	4.0
ROYCE TRADING	216	TIN	B	10,000	5.46	29-Oct	29-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	209,900	5.67	7-Aug	7-Nov	8,396.00	4.0
NOMURA CAPITAL	045	TLB	B	8,000	5.87	7-Aug	7-Nov	320.00	4.0
EPOCH INV MGMT	030	TMO	B	2,150	37.66	n/a	n/a	86.00	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	C	25,300	7.06	n/a	3-Nov	1,012.00	4.0
BARROW HANLEY MEWHINNEY	031	UST	S	145,800	68.59	n/a	n/a	5,832.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	VAL	SS	7,000	19.51	n/a	n/a	350.00	5.0
EPOCH INV MGMT	030	VTR	B	3,000	29.51	n/a	n/a	120.00	4.0
EPOCH INV MGMT	030	V	B	2,450	53.66	n/a	30-Oct	98.00	4.0
EPOCH INV MGMT	030	WBC	B	2,750	16.16	30-Oct	30-Oct	110.00	4.0
EPOCH INV MGMT	030	WFR	B	1,600	17.57	n/a	n/a	64.00	4.0
EPOCH INV MGMT	030	WFT	B	3,400	14.77	n/a	n/a	136.00	4.0
EPOCH INV MGMT	030	WMI	B	3,550	30.19	n/a	n/a	142.00	4.0
CLOVIS CAPITAL	012	WRC	B	70,000	19.10	7-Nov	7-Nov	3,500.00	5.0
EPOCH INV MGMT	030	WU	B	5,700	15.20	n/a	n/a	228.00	4.0
EPOCH INV MGMT	030	XOM	B	2,200	72.77	n/a	n/a	88.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>105,705.43</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/06	THE BOSTON COMPANY (BOST860)	401	ACV	S	130	22.69	n/a	n/a	5.20 4.0
AO,CXL	11/06	THE BOSTON COMPANY (BOST858)	401	ACV	S	130	22.69	n/a	n/a	5.20 4.0
AO,CXL	11/06	THE BOSTON COMPANY (BOST858)	401	ACV	S	1,960	22.69	n/a	n/a	78.40 4.0
AO,	11/06	THE BOSTON COMPANY (BOST844)	401	ACV	S	1,960	22.69	n/a	n/a	78.40 4.0
AO,CXL	11/06	BRENCOURT (BRENGS)	028	AN	B	100,000	5.91	7-Nov	7-Nov	0.00 0.0
AO,CRT	11/06	BRENCOURT (BRENGS)	028	AN	B	100,000	5.91	7-Nov	7-Nov	3000.00 3.0
AO,	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	SS	6,700	22.69	n/a	30-Oct	335.00 5.0
AO,	11/06	BANK OF NEW YORK (BONETS376)	046	DFT	S	30,000	3.23	n/a	n/a	1500.00 5.0
AO,CRT	11/05	BRUNNER (BRUNNER)	012	FXP	B	250	80.35	n/a	n/a	0.00 0.0
AO,CRT	11/05	BRUNNER (BRUNNER)	012	FXP	B	500	80.35	n/a	n/a	0.00 0.0
AO,CXL	11/05	BRUNNER (BRUNNER)	012	FXP	B	250	80.35	n/a	n/a	0.00 0.0
AO,CXL	11/05	BRUNNER (BRUNNER)	012	FXP	B	500	80.35	n/a	n/a	0.00 0.0
AO,	11/06	BANK OF NEW YORK (BONETS350)	046	HPQ	S	5,650	34.41	n/a	n/a	282.50 5.0
AO,	11/06	BANK OF NEW YORK (BONETS379)	046	HPQ	S	12,550	34.41	n/a	n/a	627.50 5.0
AO,	11/06	BANK OF NEW YORK (BONE002)	046	HPQ	S	2,815	34.41	n/a	n/a	140.75 5.0
AO,	11/06	BANK OF NEW YORK (BONETS350)	046	INTC	S	14,750	14.32	n/a	n/a	737.50 5.0
AO,	11/06	BANK OF NEW YORK (BONETS378)	046	INTC	S	71,850	14.32	n/a	n/a	3592.50 5.0
AO,	11/06	BANK OF NEW YORK (BONETS377)	046	INTC	S	92,800	14.32	n/a	n/a	4640.00 5.0
AO,	11/06	BANK OF NEW YORK (BONETS379)	046	INTC	S	29,450	14.32	n/a	n/a	1472.50 5.0
AO,	11/06	BANK OF NEW YORK (BONE002)	046	INTC	S	8,035	14.32	n/a	n/a	401.75 5.0
AO,CXL	10/31	SENATOR INVESTMENT GROUP (SENAGS)	036	IWM	SS	25,000	53.64	n/a	n/a	1250.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/31	SENATOR INVESTMENT GROUP (SENAGS)	036	IWM	SS	25,000	53.64	n/a	n/a	1000.00 4.0
AO,CXL	11/06	WHEELER (WHEELER)	008	LPX	B	25,000	2.95	5-Nov	5-Nov	0.00 0.0
AO,CRT	11/06	WHEELER (WHEELER)	008	LPX	B	25,000	2.95	5-Nov	5-Nov	0.00 0.0
AO,CXL	11/05	IVORY CAPITAL (IVORCITI)	034	MOT	B	1,450,000	4.80	n/a	n/a	0.00 0.0
AO,CRT	11/05	IVORY CAPITAL (IVORCITI)	034	MOT	B	1,450,000	4.80	n/a	n/a	7250.00 0.0
CRT	11/07	CLOVIS CAPITAL (CLOVGOLDMA)	012	NKE	SS	200,000	49.22	n/a	n/a	10000.00 5.0
AO,CXL	11/06	PALMYRA CAPITAL (PALMGSCO)	048	RUTH	S	100,000	1.62	n/a	n/a	2000.00 2.0
AO,CRT	11/06	PALMYRA CAPITAL (PALMGSCO)	048	RUTH	S	100,000	1.62	n/a	n/a	3000.00 3.0
AO,CXL	11/06	MKT MAKER (MKT MAKER)	243	WRC	B	700	16.43	7-Nov	7-Nov	28.00 4.0
AO,CRT	11/06	MKT MAKER (MKT MAKER)	243	WRC	B	700	16.43	7-Nov	7-Nov	0.00 0.0
AO,CXL	11/06	PENN CAPITAL MGMT (PENNAREXBO)	243	WRC	B	125	16.43	7-Nov	7-Nov	5.00 4.0
AO,CXL	11/06	PENN CAPITAL MGMT (PENNCITLAR)	243	WRC	B	1,860	16.43	7-Nov	7-Nov	74.40 4.0
AO,	11/06	PENN CAPITAL MGMT (PENNCANTER)	243	WRC	B	1,860	16.43	7-Nov	7-Nov	74.40 4.0
AO,	11/06	PENN CAPITAL MGMT (PENNARCEX)	243	WRC	B	125	16.43	7-Nov	7-Nov	5.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>34,702.00</b>

TOTAL (Trade Date):	105,705.43
TOTAL (AO, CXL, CRT):	34,702.00
<b>TOTAL (RUN DATE) / NFS:</b>	<b>140,407.43</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