



Daily Compliance Activity Report

Trade Date: 11/24/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	B	50,000	28.23	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	AA	B	8,300	9.13	n/a	n/a	415.00	5.0
PATTEN & PATTEN	067	AB	B	1,000	14.90	10-Sep	19-Nov	50.00	5.0
PATTEN & PATTEN	067	ACL	B	1,550	72.06	n/a	18-Nov	77.50	5.0
PATTEN & PATTEN	067	ADRU	S	3,225	15.93	n/a	n/a	161.25	5.0
BUCK CAPITAL MGMT	001	AEO	S	49,200	8.14	n/a	10-Nov	1,476.00	3.0
PATTEN & PATTEN	067	AGN	S	300	33.41	24-Oct	18-Nov	15.00	5.0
PATTEN & PATTEN	067	AIG	S	400	1.67	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	AMD	B	47,200	1.81	n/a	n/a	944.00	2.0
WAGONHOUND/NIC	048	AMG	B	7,476	21.37	13-Nov	19-Nov	299.04	4.0
BUCK CAPITAL MGMT	001	AM	B	30,000	9.55	n/a	n/a	900.00	3.0
J.W. SELIGMAN	041	ANF	S	189,000	16.37	7-Aug	14-Nov	7,560.00	4.0
SOROS	036	ANF	B	186,630	17.33	7-Aug	14-Nov	7,465.20	4.0
PATTEN & PATTEN	067	APOL	S	1,300	72.37	n/a	n/a	65.00	5.0
TRUST CO/COWEN/CALF.	040	ARM	B	95,950	3.00	n/a	n/a	2,878.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHEELER	008	AVYDG	S	30	1.60	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	AVY	S	1,200	28.17	13-Nov	13-Nov	60.00	5.0
PATTEN & PATTEN	067	BAC	S	1,800	14.24	15-Oct	17-Nov	90.00	5.0
AMATURO	018	BGU	S	4,000	28.90	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BP	S	500	46.33	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	BTU	B	8,950	21.61	n/a	n/a	447.50	5.0
COUGAR TRADING	044	BWA	S	5,000	18.94	n/a	30-Oct	250.00	5.0
PATTEN & PATTEN	067	CAG	S	400	15.09	n/a	n/a	20.00	5.0
IRIDIAN ASSET MGMT.	036	CCK	B	11,020	14.35	n/a	n/a	551.00	5.0
STRAUSS ASSET MGMT	040	CCL	B	15,000	16.46	n/a	26-Jan	600.00	4.0
TRELLUS PARTNERS LP	028	CHD	SS	10,000	57.71	4-Sep	4-Nov	500.00	5.0
WHEELER	008	CITPRA	S	2,800	7.76	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CMG	SS	25,000	41.45	23-Oct	23-Oct	1,000.00	4.0
N STRATTON	014	CPI	S	74	22.35	n/a	n/a	0.00	0.0
BARABOO GROWTH	031	CXO	S	4,000	20.33	n/a	n/a	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	DFS	S	100,000	9.31	n/a	12-Nov	5,000.00	5.0
EGS ASSOCIATES LP	091	DLTR	SS	5,000	37.90	n/a	7-Nov	300.00	6.0
SIGMA CAPITAL ASSOCIATES	237	DLTR	SS	75,000	36.94	n/a	7-Nov	3,750.00	5.0
PATTEN & PATTEN	067	DNN	B	1,900	1.11	n/a	n/a	95.00	5.0
PATTEN & PATTEN	067	DNN	S	800	1.10	n/a	n/a	40.00	5.0
PATTEN & PATTEN	067	DOW	S	825	18.21	n/a	20-Nov	41.25	5.0
SCOPUS FUND	041	DRI	S	102,133	15.70	13-Oct	13-Oct	5,106.65	5.0
SCOPUS FUND	041	DSW	SS	45,300	8.41	14-Nov	14-Nov	2,265.00	5.0
PATTEN & PATTEN	067	DUK	S	234	15.42	n/a	n/a	11.70	5.0
NEUBERGER BERMAN	036	DW	S	22,900	11.69	n/a	n/a	1,030.50	4.5
NORTHPOINT	030	EMKR	B	16,993	1.22	n/a	n/a	509.79	3.0
PATTEN & PATTEN	067	EPP	B	600	23.17	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	EPP	S	1,050	23.14	n/a	n/a	52.50	5.0
PATTEN & PATTEN	067	EP	B	2,100	6.74	n/a	n/a	105.00	5.0
PATTEN & PATTEN	067	EWZ	B	100	32.70	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	EWZ	S	650	32.70	n/a	n/a	32.50	5.0
PATTEN & PATTEN	067	EXH	S	2,590	15.15	28-Aug	20-Nov	129.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FDO	SS	20,000	27.17	23-Jul	7-Nov	800.00	4.0
ROTHSCHILD ASSET	040	FLO	S	19,090	28.48	n/a	n/a	859.05	4.5
PROSPECTOR PARTNERS LLC	036	FOR	B	25,000	4.15	n/a	3-Oct	750.00	3.0
PATTEN & PATTEN	067	GD	S	1,400	50.35	n/a	n/a	70.00	5.0
PILOT ROCK	028	GG	B	320,000	26.85	n/a	n/a	9,600.00	3.0
PATTEN & PATTEN	067	GLW	S	200	8.95	19-Nov	20-Nov	10.00	5.0
M WEINTRAU	024	GLW	B	500	8.82	19-Nov	20-Nov	0.00	0.0
PILOT ADV	038	GVA	B	6,000	33.80	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	171,700	10.99	n/a	n/a	6,868.00	4.0
SERENGETI MGMT	030	HCF	B	49,000	5.67	n/a	n/a	2,450.00	5.0
BARABOO GROWTH	031	HK	S	40,000	15.75	n/a	n/a	2,000.00	5.0
PATTEN & PATTEN	067	HST	S	1,250	7.03	n/a	n/a	62.50	5.0
PATTEN & PATTEN	067	IDXX	S	420	29.86	n/a	22-Apr	21.00	5.0
BUCK CAPITAL MGMT	001	IFF	B	40,000	28.93	30-Oct	13-Nov	1,600.00	4.0
PATTEN & PATTEN	067	ILF	B	500	23.43	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	ITT	B	1,300	39.27	3-Oct	18-Nov	65.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	ITT	S	300	39.22	3-Oct	18-Nov	15.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	40,000	11.48	13-Nov	20-Nov	1,200.00	3.0
SIGMA CAPITAL ASSOCIATES	237	JBX	B	7,100	14.33	n/a	24-Apr	355.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	140,000	10.25	n/a	13-Nov	5,600.00	4.0
BENNETT LAWRENCE	045	JCP	SS	13,700	16.53	17-Nov	17-Nov	616.50	4.5
MILLENIUM PARTNERS	028	JPM	S	150,000	27.13	26-Sep	20-Nov	7,500.00	5.0
PATTEN & PATTEN	067	JPM	B	200	26.85	26-Sep	20-Nov	10.00	5.0
PATTEN & PATTEN	067	JWN	B	4,200	9.71	14-Nov	14-Nov	210.00	5.0
PATTEN & PATTEN	067	JWN	S	3,000	9.65	14-Nov	14-Nov	150.00	5.0
BENNETT LAWRENCE	045	KSS	B	7,900	28.70	n/a	14-Nov	355.50	4.5
IRIDIAN ASSET MGMT.	036	LMDIA	S	119,490	11.10	n/a	n/a	5,974.50	5.0
BMO NESBITT BURNS	041	LM	SS	10,000	16.20	29-Oct	21-Nov	500.00	5.0
BMO NESBITT BURNS	041	LM	S	36,000	16.32	29-Oct	21-Nov	1,800.00	5.0
ROTHSCHILD ASSET	040	LNT	S	22,520	31.75	n/a	n/a	1,013.40	4.5
BUCK CAPITAL MGMT	001	LTM	B	24,600	9.03	n/a	n/a	738.00	3.0
WHEELER	008	LZCG	S	50	2.00	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MDT	B	300	30.98	n/a	22-Apr	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	MET	S	100,000	22.31	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	MGU	S	1,000	9.41	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	MHP	S	3,100	23.26	n/a	n/a	155.00	5.0
PATTEN & PATTEN	067	MIC	B	2,800	3.29	n/a	n/a	140.00	5.0
PATTEN & PATTEN	067	MIC	S	2,650	3.27	n/a	n/a	132.50	5.0
PATTEN & PATTEN	067	MOO	B	200	23.46	n/a	n/a	10.00	5.0
BUCK CAPITAL MGMT	001	M	B	300,000	6.18	12-Aug	13-Nov	9,000.00	3.0
ROTHSCHILD ASSET	040	NRG	B	18,780	20.97	n/a	n/a	845.10	4.5
IRIDIAN ASSET MGMT.	036	NVDA	B	63,970	6.66	n/a	n/a	3,198.50	5.0
PATTEN & PATTEN	067	NVS	S	200	46.59	n/a	n/a	10.00	5.0
TRUST CO/COWEN/CALF.	040	NYB	B	25,350	11.79	n/a	n/a	1,014.00	4.0
NOMURA CAPITAL	045	OC	S	26,800	13.40	n/a	n/a	804.00	3.0
PATTEN & PATTEN	067	OSK	B	3,850	4.67	n/a	n/a	192.50	5.0
PATTEN & PATTEN	067	OSK	S	600	4.62	n/a	n/a	30.00	5.0
BEAR STEARNS ASSET MGMT.	033	PFCB	B	20,000	16.80	n/a	14-Nov	800.00	4.0
PATTEN & PATTEN	067	PL	B	2,000	7.40	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	PRU	B	300	18.72	n/a	n/a	15.00	5.0
BUCK CAPITAL MGMT	001	PSA	S	10,000	65.64	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	PWR	B	8,300	13.68	n/a	n/a	415.00	5.0
PATTEN & PATTEN	067	Q	S	1,700	2.58	n/a	n/a	85.00	5.0
BUCK CAPITAL MGMT	001	RL	B	30,000	39.04	n/a	6-Nov	1,200.00	4.0
SCOPUS FUND	041	RL	SS	10,000	40.51	n/a	6-Nov	500.00	5.0
CASTLE ARK	031	SCHW	B	95,520	17.73	n/a	n/a	5,731.20	6.0
AMATURO	018	SDS	B	2,000	108.07	n/a	n/a	0.00	0.0
MCCARTAN	028	SDS	B	100	96.63	n/a	n/a	0.00	0.0
MENCKE	055	SKF	S	40	223.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	45,000	11.07	n/a	13-Mar	1,800.00	4.0
PATTEN & PATTEN	067	SNE	S	3,000	20.99	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	SPG	S	10,000	43.92	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	SRZ	B	500	0.37	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	SRZ	S	1,250	0.36	n/a	n/a	62.50	5.0
FIRST NY SEC/CHRIS	041	STX	B	15,000	4.30	n/a	n/a	900.00	6.0
SINCLAIR	031	SWGCL	S	140	5.75	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SINCLAIR	031	SZCOF	B	45	10.00	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	THO	S	81,300	14.92	n/a	n/a	3,658.50	4.5
BMO NESBITT BURNS	041	TROW	B	25,000	30.46	19-Sep	21-Nov	1,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	TWB	B	48,800	2.23	n/a	20-Nov	1,464.00	3.0
PATTEN & PATTEN	067	TWTC	S	9,200	6.35	n/a	4-Jan	460.00	5.0
PATTEN & PATTEN	067	TXN	S	100	15.18	n/a	n/a	5.00	5.0
EGS ASSOCIATES LP	091	TYC	B	7,500	18.99	12-Nov	18-Nov	450.00	6.0
PATTEN & PATTEN	067	T	S	250	27.06	n/a	4-Jan	12.50	5.0
COUGAR TRADING	044	URBN	B	5,000	15.87	5-Nov	13-Nov	250.00	5.0
IRIDIAN ASSET MGMT.	036	USB	B	22,990	24.43	n/a	n/a	1,149.50	5.0
AMATURO	018	USO	S	2,000	42.36	n/a	n/a	0.00	0.0
CUMBERLAND	038	UTX	SS	25,000	49.18	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	UTX	B	700	48.95	n/a	n/a	35.00	5.0
WHEELER	008	UXI	S	4,000	19.00	n/a	n/a	0.00	0.0
WHEELER	008	UYG	S	10,000	4.38	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	VLO	S	1,000	17.41	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	VOD	B	100,000	17.99	n/a	n/a	5,000.00	5.0
MERRILL ASSET	032	WBS	B	22,300	12.76	n/a	n/a	1,003.50	4.5
WAGONHOUND/NIC	048	WDR	S	19,487	10.42	15-Jul	19-Nov	779.48	4.0
PATTEN & PATTEN	067	WFR	S	500	13.96	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	WMT	B	50,000	53.87	10-Oct	13-Nov	2,000.00	4.0
WAGONHOUND/NIC	048	WRC	B	1,101	14.59	7-Nov	7-Nov	44.04	4.0
BUCK CAPITAL MGMT	001	WSM	B	100,000	6.41	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	067	WY	B	1,300	34.81	3-Nov	3-Nov	65.00	5.0
PATTEN & PATTEN	067	WY	S	1,000	34.74	3-Nov	3-Nov	50.00	5.0
FORWARD MGMT	033	ZQK	S	16,000	1.30	3-Nov	3-Nov	800.00	5.0
TOTAL (Trade Date):								153,764.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/19	WHEELER (WHEELER)	008		B	100,000	85.00	n/a	n/a	0.00	0.0
AO,	11/19	WHEELER (WHEELER)	008		B	100,000	85.00	n/a	n/a	0.00	0.0
AO,	11/21	N STRATTON (N STRATTON)	OPT	BUDAM	S	5	5.00	n/a	n/a	0.00	0.0
AO,CXL	11/20	STELLIAM INV ADV (STLLGSBULK)	040	CSCO	B	25,000	14.66	n/a	22-Mar	1000.00	4.0
AO,CRT	11/20	STELLIAM INV ADV (STLLGSBULK)	040	CSCO	B	25,000	14.66	n/a	22-Mar	1250.00	5.0
AO,CRT	11/21	CLOVIS CAPITAL (CLOVGOLDMA)	012	DPS	B	175,000	14.92	n/a	n/a	8750.00	5.0
AO,CXL	11/21	DC CAPITAL (DCCAGOLDMA)	044	DPS	B	175,000	14.92	n/a	n/a	8750.00	5.0
AO,	11/20	NEUBERGER BERMAN (NBER701352)	036	DW	S	300	10.13	n/a	n/a	13.50	4.5
AO,CXL	11/20	NEUBERGER BERMAN (&NBER70135)	036	DW	S	300	10.13	n/a	n/a	13.50	4.5
AO,CXL	11/20	BALYASNY ASSET MGMT (BALYGS)	044	IVZ	B	15,000	9.73	13-Nov	20-Nov	750.00	5.0
AO,CRT	11/20	BALYASNY ASSET MGMT (BALYGS)	044	IVZ	B	15,000	9.73	13-Nov	20-Nov	600.00	4.0
AO,	11/21	BUCK CAPITAL MGMT (BUCK)	015	IWO	B	1,000	52.00	n/a	n/a	0.00	0.0
CRT	11/24	PATTEN & PATTEN (PATTPERSHI)	067	JWN	B	4,200	9.71	14-Nov	14-Nov	210.00	5.0
AO,	11/21	IVORY CAPITAL (IVORJPMBS)	034	MOT	B	1,000,000	3.09	n/a	n/a	5000.00	0.5
AO,CXL	11/21	IVORY CAPITAL (IVORMORGAN)	034	MOT	B	1,000,000	3.09	n/a	n/a	5000.00	0.5
AO,CXL	11/21	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	NSR	B	345,000	17.17	n/a	n/a	10350.00	3.0
AO,	11/21	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	NSR	B	345,900	17.17	n/a	n/a	10377.00	3.0
AO,CXL	11/21	COUGAR TRADING (COUGCITI)	044	YUM	B	5,000	23.47	14-Aug	20-Oct	250.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/21	COUGAR TRADING (COUGPB MS)	044	YUM	B	5,000	23.47	14-Aug	20-Oct	250.00 5.0

TOTAL (AO, CXL, CRT) :									337.00	
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TOTAL (Trade Date) :									153,764.65	
TOTAL (AO, CXL, CRT) :									337.00	

TOTAL (RUN DATE) / NFS :									154,101.65	
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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