



Daily Compliance Activity Report

Trade Date: 10/15/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	ABT	B	36,000	54.09	n/a	22-Apr	1,800.00	5.0
COLUMBIA PARTNERS	028	AG	SS	7,972	31.45	n/a	30-Jul	318.88	4.0
NOMURA CAPITAL	045	ALY	S	930	7.35	n/a	n/a	37.20	4.0
BRENCOURT	028	AN	SS	100,000	6.98	15-Oct	15-Oct	3,000.00	3.0
BUCK CAPITAL MGMT	001	AN	SS	100,000	7.11	15-Oct	15-Oct	4,000.00	4.0
COUGAR TRADING	044	AN	SS	8,000	7.27	15-Oct	15-Oct	400.00	5.0
COUGAR TRADING	044	ARG	B	15,000	36.59	13-Oct	13-Oct	750.00	5.0
COUGAR TRADING	044	ARG	S	15,000	35.34	13-Oct	13-Oct	750.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	24.28	n/a	10-Oct	2,000.00	4.0
COUGAR TRADING	044	ARO	S	10,000	24.51	n/a	10-Oct	500.00	5.0
STELLIAM INV ADV	040	BBBY	B	10,000	24.51	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	BBY	SS	100,000	24.60	n/a	27-Jul	4,000.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	71.03	9-Oct	15-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	BIG	SS	40,000	20.54	29-May	9-Oct	1,600.00	4.0
BUCK CAPITAL MGMT	001	BJ	SS	70,000	33.12	n/a	27-Jul	2,800.00	4.0
GRUBER MACBAINE	033	BJ	B	5,000	31.98	n/a	27-Jul	200.00	4.0
YENJODY	N29	BKHM	S	36	0.80	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHEELER	009	CECE	S	15,000	3.70	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	CHIC	SS	1,300	8.65	n/a	n/a	52.00	4.0
WHEELER	008	CITPRA	B	8,100	6.75	n/a	n/a	0.00	0.0
NOKOMIS PARTNERS	031	CLUB	B	2,000	3.66	n/a	n/a	60.00	3.0
WHEELER	008	COVJI	B	50	2.00	n/a	n/a	0.00	0.0
ALSON CAPITAL	039	DFS	B	200,000	10.90	n/a	14-Oct	10,000.00	5.0
BUCK CAPITAL MGMT	001	DIN	SS	2,500	9.56	n/a	n/a	100.00	4.0
BUCK CAPITAL MGMT	001	DIS	SS	100,000	24.14	n/a	n/a	4,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	DTV	B	41,600	19.55	n/a	4-Jan	2,080.00	5.0
OGORMAN	046	DXD	S	200	84.60	n/a	n/a	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	ENER	B	24,800	39.31	n/a	n/a	1,240.00	5.0
BUCK CAPITAL MGMT	001	FL	S	50,200	12.64	7-Oct	7-Oct	2,008.00	4.0
TANG	058	GE	B	240	19.22	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	GIL	B	3,000	19.58	8-Sep	15-Oct	180.00	6.0
MILLER	025	GLD	B	15	83.20	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLER	025	GR	B	25	30.47	13-Oct	13-Oct	0.00	0.0
NOMURA CAPITAL	045	GT	S	11,600	11.32	n/a	n/a	580.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	26.53	11-Jul	10-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	HAS	SS	35,000	28.60	n/a	n/a	1,400.00	4.0
SAXON WOODS ADVISORS	038	HNZ	S	13,000	42.59	n/a	n/a	520.00	4.0
BUCK CAPITAL MGMT	001	IFF	SS	33,898	36.69	3-Oct	3-Oct	1,355.92	4.0
BALYASNY ASSET MGMT	044	IVZ	B	20,000	15.74	6-Oct	15-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	JCG	SS	50,000	19.87	n/a	17-Sep	2,000.00	4.0
COUGAR TRADING	044	JCG	S	15,000	18.90	n/a	17-Sep	750.00	5.0
SCOPUS FUND	041	JCI	B	10,000	21.20	15-Oct	15-Oct	500.00	5.0
JETSTREAM GLOBAL FUND LP	065	JNJ	B	32,400	61.22	n/a	22-Apr	1,620.00	5.0
JETSTREAM GLOBAL FUND LP	065	JPM	B	46,300	39.81	26-Sep	15-Oct	2,315.00	5.0
JETSTREAM GLOBAL FUND LP	065	KBH	B	166,700	13.62	n/a	n/a	8,335.00	5.0
ROYCE TRADING	216	KMT	B	100,000	21.08	18-Sep	18-Sep	5,000.00	5.0
MS PRINCIPAL STRATEGIES	041	KOG	S	42,700	0.69	n/a	n/a	2,135.00	5.0
CASTLEROCK	040	KSS	B	81,792	32.03	n/a	10-Oct	3,271.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	LPX	B	20,000	4.03	n/a	15-Oct	1,000.00	5.0
PRINCIPLE CAPITAL	040	MCD	SS	39,600	53.60	13-Oct	13-Oct	1,584.00	4.0
SAXON WOODS ADVISORS	038	MIC	S	42,300	10.38	n/a	n/a	1,692.00	4.0
KORMAN	003	MWO	B	1,100	12.00	n/a	n/a	0.00	0.0
TRUST CO OF THE WEST/NY	040	M	B	18,790	9.99	12-Aug	10-Oct	751.60	4.0
TRUST CO/COWEN/CALF.	040	M	B	8,545	9.99	12-Aug	10-Oct	341.80	4.0
BUCK CAPITAL MGMT	001	NKE	SS	100,000	54.48	n/a	n/a	4,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	NKE	B	60,800	51.46	n/a	n/a	3,040.00	5.0
NATIONAL BK OF CAN	031	NTRS	S	10,000	57.17	9-Oct	15-Oct	400.00	4.0
ROTHSCHILD ASSET	040	OCR	B	31,230	24.07	26-Aug	8-Oct	1,405.35	4.5
EATON VANCE MGMT	039	OXY	S	328,121	46.16	n/a	n/a	9,843.63	3.0
TRUSTCO/SUNTRUST	040	PAG	B	46,190	7.30	10-Jun	1-Aug	1,478.07	3.2
CAPITAL GROWTH MGMT.	241	PEP	S	200,000	53.94	n/a	n/a	10,000.00	5.0
PZENA INV ADV	044	PFE	S	48,825	16.90	n/a	31-Mar	1,709.02	3.5
JETSTREAM GLOBAL FUND LP	065	PLCE	B	39,700	28.51	21-Aug	10-Oct	1,985.00	5.0
JETSTREAM GLOBAL FUND LP	065	PRU	B	43,700	48.19	n/a	n/a	2,185.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	PTNR	B	19,200	19.01	n/a	n/a	960.00	5.0
NOMURA CAPITAL	045	PTRY	S	729	18.89	n/a	n/a	36.45	5.0
N STRATTON	014	PTSEF	B	1,300	0.42	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PVH	S	5,000	28.21	8-Oct	8-Oct	250.00	5.0
PEREGRINE	030	RKT	S	75,000	28.18	n/a	n/a	3,000.00	4.0
CATTANI	041	RL	S	200	48.44	n/a	8-Oct	0.00	0.0
STELLIAM INV ADV	040	ROST	B	10,000	27.70	n/a	n/a	500.00	5.0
OGORMAN	046	SDS	S	200	97.21	n/a	n/a	0.00	0.0
KAICHER	064	SLM	B	2,000	8.58	n/a	14-Oct	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	SNDA	B	85,500	26.08	n/a	n/a	4,275.00	5.0
WHEELER	008	SPNC	B	10,000	3.79	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	SSCC	S	100,000	2.23	30-Jul	15-Oct	5,000.00	5.0
KNOTT PARTNERS	044	SSI	B	40,000	8.95	n/a	10-Oct	1,200.00	3.0
KNOTT PARTNERS	044	SSI	S	2,300	8.91	n/a	10-Oct	0.00	0.0
KERN	050	SWNVE	S	20	0.75	n/a	n/a	0.00	0.0
KERN	050	SWNVF	S	20	2.35	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	TEO	B	50,000	11.44	n/a	n/a	2,500.00	5.0
BMO NESBITT BURNS	041	TIN	B	25,000	9.53	11-Sep	15-Oct	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	TROW	SS	27,000	39.46	19-Sep	15-Oct	1,080.00	4.0
COUGAR TRADING	044	TWB	S	1,200	8.58	n/a	1-Oct	60.00	5.0
SAXON WOODS ADVISORS	038	T	S	25,000	25.41	n/a	4-Jan	1,000.00	4.0
COUGAR TRADING	044	URBN	B	5,000	21.38	14-Aug	1-Oct	250.00	5.0
JETSTREAM GLOBAL FUND LP	065	VISN	B	99,600	11.39	n/a	n/a	4,980.00	5.0
CAXTON PART	040	WFC	B	68,592	33.96	n/a	n/a	2,400.72	3.5
JETSTREAM GLOBAL FUND LP	065	WMT	B	41,400	51.01	10-Oct	10-Oct	2,070.00	5.0
BECKER CAPITAL	035	WRC	B	17,200	29.00	8-Oct	8-Oct	688.00	4.0
EATON VANCE MGMT	039	XOM	B	233,912	67.51	n/a	n/a	7,017.36	3.0
MILLER	025	X	B	20	39.74	n/a	n/a	0.00	0.0
CASEY CAPITAL	067	ZLC	B	4,000	15.66	n/a	n/a	200.00	5.0
TOTAL (Trade Date):								154,041.68	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/13	CADIAN CAPITAL (CADIMS)	067	AEO	B	100,000	11.00	n/a	10-Oct	5000.00 5.0
AO,CRT	10/13	CADIAN CAPITAL (CADIMS)	067	AEO	B	100,000	11.00	n/a	10-Oct	3000.00 3.0
AO,CRT	10/14	SANDLER O'NEILL ASSET (SANOJPMBS)	031	BK	S	40,000	34.91	9-Oct	15-Oct	2000.00 5.0
AO,CXL	10/14	SANDLER O'NEILL ASSET (SANO)	031	BK	S	40,000	34.91	9-Oct	15-Oct	2000.00 5.0
AO,CXL	10/14	NEW JERSEY DIV OF INV. (NEWJ5140)	220	ESS	B	9,500	102.71	n/a	n/a	380.00 4.0
AO,CRT	10/14	NEW JERSEY DIV OF INV. (NEWJ5140)	220	ESS	B	5,000	104.51	n/a	n/a	200.00 4.0
AO,	10/14	NEW JERSEY DIV OF INV. (NEWJ5140)	220	ESS	B	4,500	100.71	n/a	n/a	180.00 4.0
AO,CRT	10/09	CAVU CAP ADV (CAVUMAN CS)	028	HAR	SS	12,054	22.75	n/a	15-Aug	602.70 5.0
AO,CXL	10/09	CAVU CAP ADV (CAVUCREDIS)	028	HAR	SS	12,054	22.75	n/a	15-Aug	602.70 5.0
AO,CXL	10/14	NEW JERSEY DIV OF INV. (NEWJ5140)	220	HME	B	22,500	45.54	n/a	n/a	900.00 4.0
AO,CRT	10/14	NEW JERSEY DIV OF INV. (NEWJ5140)	220	HME	B	17,000	45.70	n/a	n/a	680.00 4.0
AO,	10/14	NEW JERSEY DIV OF INV. (NEWJ5140)	220	HME	B	5,500	45.04	n/a	n/a	220.00 4.0
AO,CXL	10/14	COUGAR TRADING (COUGCITI)	044	TIF	B	5,000	29.12	n/a	10-Oct	250.00 5.0
AO,CRT	10/14	COUGAR TRADING (COUGPB MS)	044	TIF	B	5,000	29.12	n/a	10-Oct	250.00 5.0
AO,CXL	10/14	COUGAR TRADING (COUGPB MS)	044	TIF	SS	10,000	32.50	n/a	10-Oct	500.00 5.0
AO,CXL	10/14	COUGAR TRADING (COUGPB MS)	044	TIF	SS	5,000	31.25	n/a	10-Oct	250.00 5.0
AO,CRT	10/14	COUGAR TRADING (COUGPB MS)	044	TIF	SS	10,000	32.50	n/a	10-Oct	500.00 5.0
AO,CRT	10/14	COUGAR TRADING (COUGPB MS)	044	TIF	SS	5,000	31.25	n/a	10-Oct	250.00 5.0
TOTAL (AO, CXL, CRT) :										-2,000.00

TOTAL (Trade Date):	154,041.68
TOTAL (AO, CXL, CRT):	-2,000.00

TOTAL (RUN DATE) / NFS:	152,041.68
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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