



## Daily Compliance Activity Report

Trade Date: 12/11/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	036	AA	B	15,000	9.98	n/a	n/a	450.00	3.0
HOLDEN CAPITAL MGMT	035	ALV	SS	50,000	22.26	26-Nov	26-Nov	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>SS</b>	<b>200,000</b>	<b>20.57</b>	<b>7-Aug</b>	<b>5-Dec</b>	<b>8,000.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	APC	S	13,400	39.53	n/a	20-Nov	670.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>250,000</b>	<b>15.02</b>	<b>n/a</b>	<b>5-Dec</b>	<b>10,000.00</b>	<b>4.0</b>
NORTHPOINT	030	AWR	B	760	29.24	n/a	n/a	30.40	4.0
BMO NESBITT BURNS	041	BWA	SS	25,000	23.49	26-Nov	26-Nov	1,250.00	5.0
BRENCOURT	028	BWA	B	25,000	22.33	26-Nov	26-Nov	1,250.00	5.0
BRENCOURT	028	BWA	SS	25,000	23.55	26-Nov	26-Nov	1,250.00	5.0
DSG CAPITAL	225	CAT	SS	2,000	43.85	19-Sep	22-Oct	100.00	5.0
UBS OCONNOR	031	COST	C	101,541	51.86	n/a	27-Jul	3,046.23	3.0
ARAGON GLOBAL	041	DIS	SS	17,200	22.96	n/a	n/a	860.00	5.0
COUGAR TRADING	044	DSW	SS	10,000	10.52	14-Nov	25-Nov	500.00	5.0
ARAGON GLOBAL	041	ERIC	SS	53,130	7.46	n/a	n/a	2,656.50	5.0
FRONTPOINT/COPIA-ANDREW	031	FAST	B	63,000	32.00	n/a	n/a	2,205.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	038	FDO	SS	7,000	23.13	5-Dec	5-Dec	280.00	4.0
BUCK CAPITAL MGMT	001	FL	S	200,000	6.93	7-Oct	21-Nov	6,000.00	3.0
TYNDALL	091	FOR	B	50,000	4.78	n/a	3-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	GIL	S	52,900	9.31	11-Dec	11-Dec	2,116.00	4.0
COOPER CREEK PART	028	GIL	B	10,000	9.53	11-Dec	11-Dec	300.00	3.0
COUGAR TRADING	044	GIL	B	20,000	8.76	11-Dec	11-Dec	600.00	3.0
COUGAR TRADING	044	GIL	S	10,000	9.71	11-Dec	11-Dec	400.00	4.0
ARAGON GLOBAL	041	GLD	B	19,600	81.12	n/a	n/a	980.00	5.0
WILLOW CREEK	033	GMT	B	10,000	25.04	n/a	n/a	500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	GRA	B	50,000	6.14	n/a	n/a	2,000.00	4.0
DSG CAPITAL	225	GVA	SS	2,000	44.10	n/a	n/a	100.00	5.0
RAMIUS CAP	040	GVA	SS	14,400	45.04	n/a	n/a	720.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	12.49	n/a	2-Dec	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	21.03	17-Nov	5-Dec	4,000.00	4.0
COUGAR TRADING	044	JCP	SS	2,500	21.08	17-Nov	5-Dec	125.00	5.0
RBC CAPITAL MARKETS	034	JCP	B	5,000	20.56	17-Nov	5-Dec	200.00	4.0
BUCK CAPITAL MGMT	001	KCP	S	16,400	8.64	n/a	28-Sep	492.00	3.0
HBK FUNDS	203	KG	S	250,000	9.27	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATLIN PATTERSON	046	KIM	B	50,000	16.34	n/a	n/a	1,500.00	3.0
CASTLEROCK	040	KSS	S	32,502	36.24	n/a	5-Dec	1,300.08	4.0
RBC CAPITAL MARKETS	034	KSS	SS	10,000	35.16	n/a	5-Dec	400.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	3,200	8.67	18-Nov	5-Dec	160.00	5.0
WHITE PINE CAPITAL	030	MCD	S	8,500	62.00	13-Oct	8-Dec	425.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>S</b>	<b>35,163</b>	<b>10.16</b>	<b>n/a</b>	<b>n/a</b>	<b>1,406.52</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	MHK	SS	33,900	34.71	n/a	n/a	1,017.00	3.0
ARAGON GLOBAL	041	MLM	SS	8,650	91.90	n/a	n/a	432.50	5.0
CR INTRINIC INVESTMENT	044	MYL	B	70,000	9.79	n/a	9-Dec	3,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>150,000</b>	<b>8.30</b>	<b>12-Aug</b>	<b>5-Dec</b>	<b>4,500.00</b>	<b>3.0</b>
WILLOW CREEK	033	NOK	B	10,000	15.12	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	8,600	7.51	n/a	31-Oct	258.00	3.0
BMO NESBITT BURNS	041	PCH	B	25,000	27.87	n/a	11-Dec	1,250.00	5.0
MFP INVESTORS	032	PCS	S	39,400	15.49	n/a	n/a	1,970.00	5.0
AELTUS/ING IVESTMENT MGT	215	PEP	S	100,600	53.30	n/a	n/a	3,521.00	3.5
AVESTA CAP	229	PEP	B	25,000	53.09	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AELTUS/ING INVESTMENT MGT	215	PFE	S	136,900	16.67	n/a	31-Mar	4,791.50	3.5
WAGONHOUND/NIC	048	PLCE	S	1,795	22.68	21-Nov	5-Dec	71.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>145,300</b>	<b>10.24</b>	<b>n/a</b>	<b>n/a</b>	<b>5,812.00</b>	<b>4.0</b>
KINGDON ASSET MGMT	041	QCOM	B	250,000	33.08	n/a	n/a	10,000.00	4.0
DISIPLINED GROWTH INV.	030	RCL	S	1,000	10.42	29-Oct	29-Oct	50.00	5.0
DENVER INST. ADV	046	RL	B	50,000	43.30	n/a	6-Nov	2,000.00	4.0
COUGAR TRADING	044	SSI	B	15,000	6.46	n/a	5-Dec	750.00	5.0
US BANCORP	030	STJ	S	41,700	30.28	n/a	n/a	2,085.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>SS</b>	<b>130,000</b>	<b>37.75</b>	<b>17-Nov</b>	<b>5-Dec</b>	<b>5,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TIF</b>	<b>SS</b>	<b>50,000</b>	<b>23.68</b>	<b>n/a</b>	<b>2-Dec</b>	<b>2,000.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	TIF	SS	83,000	23.87	n/a	2-Dec	2,490.00	3.0
JMP ASSET MGMT	210	TITN	S	4,000	14.13	n/a	n/a	200.00	5.0
VISIUM/BALY HOWARD	038	TJX	B	20,000	20.19	11-Aug	5-Dec	1,000.00	5.0
JMP ASSET MGMT	210	TRA	B	1,400	15.30	n/a	n/a	70.00	5.0
WASHINGTON ASSET	048	TRA	S	14,000	15.29	n/a	n/a	700.00	5.0
CATAPULT	040	TSN	B	10,000	7.25	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WILLOW CREEK	033	TTC	B	5,000	30.36	n/a	n/a	250.00	5.0
KINGDON ASSET MGMT	041	TXN	B	100,000	15.67	n/a	n/a	4,000.00	4.0
DSG CAPITAL	225	URI	S	20,000	7.20	29-Oct	29-Oct	600.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>S</b>	<b>19,200</b>	<b>52.70</b>	<b>n/a</b>	<b>n/a</b>	<b>768.00</b>	<b>4.0</b>
MATRIX ASSET ADV.	036	VLO	B	20,000	19.82	n/a	n/a	600.00	3.0
RAMIUS CAP	040	VMC	SS	9,600	69.60	n/a	n/a	480.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>122,600</b>	<b>17.38</b>	<b>7-Nov</b>	<b>7-Nov</b>	<b>4,904.00</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	WRC	B	42,500	17.83	7-Nov	7-Nov	1,487.50	3.5
WAGONHOUND/NIC	048	WRC	S	2,911	17.80	7-Nov	7-Nov	116.44	4.0
BMO NESBITT BURNS	041	WY	SS	25,000	38.42	3-Nov	3-Nov	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	XEC	SS	50,000	28.01	n/a	n/a	2,500.00	5.0
WILLOW CREEK	033	ZBRA	B	10,000	19.64	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>133,797.47</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/05	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	AA	SS	56,900	8.02	n/a	n/a	2845.00 5.0
AO,CRT	12/05	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	AA	SS	56,900	8.02	n/a	n/a	2276.00 4.0
AO,CXL	12/05	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ACS	B	9,000	40.20	n/a	n/a	450.00 5.0
AO,CRT	12/05	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ACS	B	9,000	40.20	n/a	n/a	360.00 4.0
AO,	12/10	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	B	10,000	24.00	26-Nov	26-Nov	500.00 5.0
AO,CXL	12/05	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	COF	SS	82,100	30.84	n/a	10-Dec	4105.00 5.0
AO,CRT	12/05	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	COF	SS	82,100	30.84	n/a	10-Dec	3284.00 4.0
AO,CXL	12/10	PILOT ADV (PILOEXPLOR)	038	FDO	B	300	23.25	5-Dec	5-Dec	0.00 0.0
AO,CRT	12/10	PILOT ADV (PILOEXPLOR)	038	FDO	B	300	23.25	5-Dec	5-Dec	12.00 4.0
AO,CXL	12/10	MFP INVESTORS (MFPIMAIN B)	032	FOR	S	31,800	4.49	n/a	3-Oct	1272.00 4.0
AO,CRT	12/10	MFP INVESTORS (MFPIMAIN B)	032	FOR	S	31,800	4.49	n/a	3-Oct	954.00 3.0
AO,	12/10	GARDNER LEWIS ASSET MGMT (GLAMADIA)	028	LUV	S	276,800	7.86	n/a	n/a	11072.00 4.0
AO,	12/10	KINGDON ASSET MGMT (KINDJPMORG)	041	MFE	SS	4,100	29.13	n/a	3-Apr	164.00 4.0
AO,	12/10	KINGDON ASSET MGMT (KINDJPMORG)	041	MFE	SS	106,100	29.13	n/a	3-Apr	4244.00 4.0
AO,	12/10	KINGDON ASSET MGMT (KINDJPMORG)	041	MFE	SS	39,800	29.13	n/a	3-Apr	1592.00 4.0
AO,CXL	12/10	KINGDON ASSET MGMT (KINDMORGAN)	041	MFE	SS	39,800	29.13	n/a	3-Apr	1592.00 4.0
AO,CXL	12/10	KINGDON ASSET MGMT (KINDMORGAN)	041	MFE	SS	4,100	29.13	n/a	3-Apr	164.00 4.0
AO,CXL	12/10	KINGDON ASSET MGMT (KINDMORGAN)	041	MFE	SS	106,100	29.13	n/a	3-Apr	4244.00 4.0
AO,CXL	12/10	SANDELL ADV (SANLMORGAN)	040	NCX	B	150,000	4.39	n/a	n/a	9000.00 6.0
AO,CRT	12/10	SANDLER CAPITAL (SANDOMINBU)	038	NCX	B	150,000	4.39	n/a	n/a	9000.00 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/09	HBK FUNDS (HBKFCSFB)	031	ONXX	SS	27,633	31.29	n/a	n/a	1381.65 5.0
AO,CXL	12/09	HBK FUNDS (HBKFCITI)	031	ONXX	SS	27,633	31.29	n/a	n/a	1381.65 5.0
AO,	12/10	US BANCORP (USBCFEDMCG)	030	STJ	S	1,969	30.16	n/a	n/a	98.45 5.0
AO,	12/10	US BANCORP (USBCSCHULZ)	030	STJ	S	1,220	30.16	n/a	n/a	61.00 5.0
AO,	12/10	US BANCORP (USBCSIMS)	030	STJ	S	1,986	30.16	n/a	n/a	99.30 5.0
AO,	12/10	US BANCORP (USBCFRSLX)	030	STJ	S	184,108	30.16	n/a	n/a	9205.40 5.0
AO,	12/10	US BANCORP (USBCCTAMCG)	030	STJ	S	3,964	30.16	n/a	n/a	198.20 5.0
AO,	12/10	US BANCORP (USBCIBEWMC)	030	STJ	S	1,626	30.16	n/a	n/a	81.30 5.0
AO,CXL	12/05	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	TWC	SS	12,900	20.62	n/a	4-Jan	645.00 5.0
AO,CRT	12/05	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	TWC	SS	12,900	20.62	n/a	4-Jan	516.00 4.0
AO,CXL	12/05	MTB INV ADV (MTBIMAIN O)	034	TWTC	B	2,800	7.32	n/a	4-Jan	140.00 5.0
AO,CRT	12/05	MTB INV ADV (MTBIMAIN O)	034	TWTC	B	2,800	7.32	n/a	4-Jan	112.00 4.0
AO,CXL	12/09	HBK FUNDS (HBKFCSFB)	012	UAUA	S	256,730	10.71	n/a	n/a	7701.90 3.0
AO,	12/09	IMPALA ASSET MMT (IMPAGOLDMA)	012	UAUA	S	256,730	10.71	n/a	n/a	7701.90 3.0
AO,CXL	12/10	HBK FUNDS (HBKFCITI)	031	WCG	B	50,000	12.15	n/a	n/a	0.00 0.0
AO,	12/10	HBK FUNDS (HBKFCITI)	031	WCG	B	50,000	12.15	n/a	n/a	2500.00 5.0

**TOTAL (AO, CXL, CRT) :**

**21,872.65**

**TOTAL (Trade Date) :**

**133,797.47**

TOTAL (AO, CXL, CRT):

21,872.65

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**TOTAL (RUN DATE) / NFS:**

**155,670.12**

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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