



## Daily Compliance Activity Report

Trade Date: 12/19/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>KARP</b>	<b>023</b>	<b>AAPL</b>	<b>B</b>	<b>100</b>	<b>89.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	ACI	B	29,100	15.88	n/a	n/a	1,164.00	4.0
JETSTREAM GLOBAL FUND LP	065	ACN	S	30,000	32.35	n/a	n/a	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>30,000</b>	<b>9.54</b>	<b>n/a</b>	<b>12-Dec</b>	<b>900.00</b>	<b>3.0</b>
THE JAY GOLDMAN	034	AEO	S	35,000	9.96	n/a	12-Dec	1,750.00	5.0
DE SHAW	040	AIG	SS	500,000	1.67	n/a	n/a	15,000.00	3.0
FIRST NY SEC/CHRIS	041	ANN	B	10,000	5.74	n/a	15-Dec	500.00	5.0
TRUST CO/COWEN/CALF.	040	ANN	B	162,650	5.96	n/a	15-Dec	6,506.00	4.0
SAXON WOODS ADVISORS	038	APD	B	40,000	47.32	n/a	16-Dec	1,600.00	4.0
RAMIUS CAP	040	ARO	SS	115,000	17.33	n/a	12-Dec	5,750.00	5.0
THE JAY GOLDMAN	034	ARO	B	25,000	17.54	n/a	12-Dec	1,250.00	5.0
HOLDEN CAPITAL MGMT	035	AXL	SS	100,000	2.49	n/a	n/a	5,000.00	5.0
CASTLE ARK	031	BEC	S	46,580	43.03	n/a	n/a	2,794.80	6.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>BIG</b>	<b>SS</b>	<b>5,000</b>	<b>15.66</b>	<b>5-Dec</b>	<b>19-Dec</b>	<b>300.00</b>	<b>6.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>SS</b>	<b>100,000</b>	<b>14.58</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
MILLRACE FUND LP	028	BWA	SS	10,000	21.57	16-Dec	16-Dec	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	BWA	SS	15,000	21.45	16-Dec	16-Dec	750.00	5.0
JMP ASSET MGMT	210	CACC	B	1,800	14.00	n/a	n/a	90.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>CAT</b>	<b>SS</b>	<b>4,500</b>	<b>42.74</b>	<b>19-Sep</b>	<b>19-Dec</b>	<b>270.00</b>	<b>6.0</b>
US BANCORP	030	CBK	S	100,984	4.92	n/a	12-Dec	5,049.20	5.0
WELLS/STRONG LEDDY	035	CHRS	S	7,100	2.03	n/a	22-Mar	71.00	1.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CLX</b>	<b>SS</b>	<b>30,000</b>	<b>53.60</b>	<b>3-Nov</b>	<b>3-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
CENTURION GLOBAL MGMT LL	041	CMC	S	10,457	12.26	n/a	n/a	313.71	3.0
PLATTE RIVER CAPITAL	240	CTAS	B	15,000	22.51	n/a	n/a	600.00	4.0
MERRILL ASSET	032	CVS	S	20,000	26.90	n/a	n/a	900.00	4.5
KENNEDY CAPITAL	046	DLX	S	15,000	14.90	n/a	n/a	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DRE</b>	<b>S</b>	<b>11,500</b>	<b>11.26</b>	<b>n/a</b>	<b>n/a</b>	<b>460.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DRI</b>	<b>B</b>	<b>50,000</b>	<b>26.37</b>	<b>19-Dec</b>	<b>19-Dec</b>	<b>2,000.00</b>	<b>4.0</b>
MERRILL ASSET	032	DRI	S	58,000	27.52	19-Dec	19-Dec	2,610.00	4.5
WAGONHOUND/NIC	048	DRI	S	9,472	27.10	19-Dec	19-Dec	378.88	4.0
BMO NESBITT BURNS	041	DSW	SS	25,000	11.09	14-Nov	19-Dec	1,250.00	5.0
VISIUM/BALY HOWARD	038	DSW	SS	20,000	11.64	14-Nov	19-Dec	1,000.00	5.0
DE SHAW	040	EBAY	S	100,000	14.52	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	FDO	SS	25,000	26.19	5-Dec	19-Dec	1,250.00	5.0
WEISS PECK	040	GIL	B	13,800	9.59	11-Dec	12-Dec	552.00	4.0
LBACCICIND	005	GIL	B	1,000	9.39	11-Dec	12-Dec	0.00	0.0
LBACCHRIS	005	GLW	S	1,000	9.00	19-Nov	8-Dec	0.00	0.0
LBACCICIND	005	GLW	S	1,000	9.00	19-Nov	8-Dec	0.00	0.0
RAMIUS CAP	040	GVA	SS	11,700	40.17	n/a	n/a	585.00	5.0
JMP ASSET MGMT	210	JRJC	S	16,000	8.22	n/a	n/a	640.00	4.0
BUCK CAPITAL MGMT	001	KCP	S	10,000	7.14	n/a	28-Sep	300.00	3.0
WASHINGTON ASSET	048	KMB	S	10,990	51.77	23-Oct	23-Oct	549.50	5.0
PEREGRINE	030	LM	S	19,200	21.56	29-Oct	19-Dec	768.00	4.0
LBACCICIND	005	LM	S	1,000	21.77	29-Oct	19-Dec	0.00	0.0
JMP ASSET MGMT	210	LOOP	S	14,000	6.88	n/a	n/a	560.00	4.0
DISIPLINED GROWTH INV.	030	LTD	S	3,600	9.32	18-Nov	12-Dec	180.00	5.0
DE SHAW	040	MRVL	S	250,000	7.04	n/a	n/a	7,500.00	3.0
BUCK CAPITAL MGMT	001	M	S	100,000	10.44	12-Aug	12-Dec	4,000.00	4.0
LBACCICIND	005	M	S	1,000	10.55	12-Aug	12-Dec	0.00	0.0
LBACENTRP	005	M	S	1,000	10.55	12-Aug	12-Dec	0.00	0.0
RAMIUS CAP	040	PCL	S	64,000	34.38	n/a	18-Dec	3,200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PLCE	SS	2,500	20.52	21-Nov	12-Dec	125.00	5.0
WAGONHOUND/NIC	048	PLCE	S	4,205	22.44	21-Nov	12-Dec	168.20	4.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>PVH</b>	<b>SS</b>	<b>3,000</b>	<b>19.38</b>	<b>18-Dec</b>	<b>18-Dec</b>	<b>180.00</b>	<b>6.0</b>
DE SHAW	040	QTM	B	250,000	0.30	n/a	n/a	5,000.00	2.0
DISIPLINED GROWTH INV.	030	RCL	S	2,100	13.31	29-Oct	29-Oct	105.00	5.0
RAMIUS CAP	040	RL	SS	46,000	47.41	n/a	6-Nov	2,300.00	5.0
MERRILL ASSET	032	SAM	S	17,300	28.39	n/a	n/a	778.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>25,000</b>	<b>12.29</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,000.00</b>	<b>4.0</b>
JMP ASSET MGMT	210	SNCR	B	11,500	10.01	n/a	n/a	460.00	4.0
STRAUSS ASSET MGMT	040	SWN	B	12,500	28.37	19-Dec	19-Dec	500.00	4.0
DE SHAW	040	S	B	1,000,000	1.77	n/a	n/a	30,000.00	3.0
DISIPLINED GROWTH INV.	030	TJX	S	2,600	20.80	11-Aug	5-Dec	130.00	5.0
NOMURA CAPITAL	045	TOL	B	5,000	21.82	n/a	n/a	250.00	5.0
JMP ASSET MGMT	210	TSCM	B	34,000	3.31	n/a	n/a	1,020.00	3.0
MERRILL ASSET	032	URBN	B	7,500	15.90	5-Nov	12-Dec	337.50	4.5
WAGONHOUND/NIC	048	WRC	S	9,217	20.16	7-Nov	7-Nov	368.68	4.0

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**TOTAL (Trade Date):**

**131,764.97**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/18	WILLIAM BLAIR (WBLA43CARV)	031	ADBE	S	16,400	21.67	n/a	n/a	656.00 4.0
AO,	12/18	WILLIAM BLAIR (WBLA43VANA)	031	ADBE	S	23,400	21.67	n/a	n/a	936.00 4.0
AO,	12/18	WILLIAM BLAIR (WBLA43CHIM)	031	ADBE	S	39,400	21.67	n/a	n/a	1576.00 4.0
CRT	12/19	THE JAY GOLDMAN (GOLDGSBULK)	034	ARO	B	25,000	17.54	n/a	12-Dec	1250.00 5.0
AO,	12/18	RSIM (RSIM219)	033	DRIV	B	2,300	24.12	n/a	n/a	92.00 4.0
AO,	12/18	ROBX (ROBX207)	033	DRIV	B	4,010	24.12	n/a	n/a	160.40 4.0
AO,CXL	12/18	COUGAR TRADING (COUGPB MS)	044	GIL	B	5,000	9.47	11-Dec	12-Dec	250.00 5.0
AO,CRT	12/18	COUGAR TRADING (COUGPB MS)	044	GIL	B	5,000	9.47	11-Dec	12-Dec	200.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,620.40</b>

TOTAL (Trade Date) :	131,764.97
TOTAL (AO, CXL, CRT) :	4,620.40

<b>TOTAL (RUN DATE) / NFS :</b>	<b>136,385.37</b>
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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