



## Daily Compliance Activity Report

Trade Date: 03/05/2008

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	SS	20,000	21.25	5-Feb	4-Mar	1,000.00	5.0
COUGAR TRADING	044	AEO	S	25,000	21.61	5-Feb	4-Mar	1,250.00	5.0
MERRILL ASSET	032	AMG	S	91,600	93.55	9-Jan	29-Feb	4,122.00	4.5
WENTWORTH HAUSER VIOLICH	033	AMG	B	5,185	92.89	9-Jan	29-Feb	207.40	4.0
COUGAR TRADING	044	ANF	B	5,000	79.04	10-Jan	29-Feb	250.00	5.0
BALYASNY ASSET MGMT	044	ARO	B	20,000	27.55	29-Nov	5-Mar	1,000.00	5.0
J L F ASSET MGMT	039	ARO	S	30,000	27.56	29-Nov	5-Mar	1,200.00	4.0
LEVIN CAPITAL STRATEGIES	012	BIG	B	15,000	20.08	7-Jan	4-Mar	600.00	4.0
PEAK MACAYA CAP MGMT	044	BIG	SS	11,700	21.20	7-Jan	4-Mar	585.00	5.0
NICOLAS APPLGATE	048	BIOS	B	8,970	7.00	n/a	n/a	269.10	3.0
SARAS CAPITAL	038	BLK	B	10,000	204.32	21-Nov	29-Feb	500.00	5.0
ROTHSCHILD ASSET	040	BRS	S	17,600	55.11	n/a	n/a	792.00	4.5
BRANDWINE	028	BSC	B	12,900	78.04	21-Dec	21-Feb	580.50	4.5
COUGAR TRADING	044	BWA	B	10,000	42.76	14-Jan	8-Feb	500.00	5.0
FIRST NY SEC/CHRIS	041	BWA	B	15,000	42.74	14-Jan	8-Feb	750.00	5.0
DIAMONDBACK CAP MGMT	232	CC	C	25,000	4.30	n/a	27-Jul	1,250.00	5.0
COUGAR TRADING	044	CHS	B	10,000	9.14	31-Jan	29-Feb	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>99,000</b>	<b>30.32</b>	<b>24-Oct</b>	<b>24-Jan</b>	<b>3,960.00</b>	<b>4.0</b>
COLONIAL FUND LLC	036	COH	SS	45,000	30.24	24-Oct	24-Jan	2,250.00	5.0
COUGAR TRADING	044	COH	SS	5,000	30.57	24-Oct	24-Jan	250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>COH</b>	<b>SS</b>	<b>90,000</b>	<b>30.24</b>	<b>24-Oct</b>	<b>24-Jan</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	COST	SS	1,000	61.10	n/a	27-Jul	60.00	6.0
RHO CAPITAL MGMT	041	CPST	S	17,000	2.04	n/a	n/a	510.00	3.0
JP MORGAN VENTURES	046	CROX	S	50,000	21.89	n/a	n/a	2,500.00	5.0
POLYGON INVESTMENT	034	CSX	S	250,000	49.13	n/a	n/a	12,500.00	5.0
METROPOLITAN CAPITAL	044	DSW	B	100	16.69	26-Oct	8-Feb	5.00	5.0
POST ROAD CAP	045	FDO	B	30,000	20.38	8-Jan	4-Mar	900.00	3.0
IRONBOUND CAPITAL	012	FOR	B	2,068	24.00	n/a	n/a	103.40	5.0
<b>EMP ERROR</b>	<b>099</b>	<b>FOR</b>	<b>B</b>	<b>466</b>	<b>24.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NCM CAPITAL MGMT	035	FO	S	27,900	64.54	n/a	n/a	1,116.00	4.0
NCNC	035	FO	S	365	64.54	n/a	n/a	14.60	4.0
JENNISON	032	GE	S	78,800	33.64	n/a	n/a	3,152.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>36.82</b>	<b>22-Jan</b>	<b>31-Jan</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	GPS	S	25,000	20.94	n/a	29-Feb	1,250.00	5.0
DAWSON SANBERG & CO	041	GPS	S	150,000	20.51	n/a	29-Feb	7,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	GPS	SS	10,000	21.00	n/a	29-Feb	500.00	5.0
WENTWORTH HAUSER VIOLICH	033	GRP	S	7,840	51.40	n/a	n/a	313.60	4.0
COUGAR TRADING	044	GYMB	S	10,000	41.46	n/a	29-Feb	500.00	5.0
<b>CROWLEY</b>	<b>071</b>	<b>HCGI</b>	<b>S</b>	<b>10,000</b>	<b>0.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>HRS</b>	<b>B</b>	<b>400</b>	<b>47.70</b>	<b>11-Jan</b>	<b>29-Feb</b>	<b>0.00</b>	<b>0.0</b>
ARIENCE CAPITAL	036	IVZ	B	28,200	24.24	20-Dec	29-Feb	1,410.00	5.0
COUGAR TRADING	044	IVZ	B	15,000	24.02	20-Dec	29-Feb	750.00	5.0
IRONBOUND CAPITAL	012	IVZ	B	25,000	24.03	20-Dec	29-Feb	1,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	JCP	S	70,000	48.05	4-Jan	29-Feb	2,800.00	4.0
COUGAR TRADING	044	JCP	B	5,000	49.03	4-Jan	29-Feb	250.00	5.0
THE JAY GOLDMAN	034	JWN	B	45,000	38.28	26-Feb	29-Feb	1,800.00	4.0
COUGAR TRADING	044	KSS	SS	30,000	45.30	4-Jan	29-Feb	1,500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	KSS	S	10,000	45.28	4-Jan	29-Feb	500.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>LESCJ</b>	<b>B</b>	<b>2</b>	<b>2.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	237	LOW	SS	20,000	24.00	n/a	27-Jul	1,000.00	5.0
COLUMBIA PARTNERS	028	MBI	B	60,000	13.56	n/a	n/a	2,400.00	4.0
BRANDWINE	028	MS	B	30,900	41.47	20-Dec	21-Feb	1,390.50	4.5
LISTED ERR	028	MS	B	8,100	41.47	20-Dec	21-Feb	364.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LISTED ERR</b>	<b>099</b>	<b>MS</b>	<b>S</b>	<b>119</b>	<b>41.47</b>	<b>20-Dec</b>	<b>21-Feb</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	034	M	SS	15,000	26.06	7-Feb	29-Feb	600.00	4.0
CR INTRINIC INVESTMENT	044	PFE	B	100,000	21.89	n/a	31-Mar	5,000.00	5.0
ELM RIDGE ADVISORS	044	PRX	B	154,800	17.24	28-Sep	4-Mar	6,192.00	4.0
COUGAR TRADING	044	PSUN	B	10,000	11.54	n/a	29-Feb	500.00	5.0
BAIRD INVESTMENT	031	RL	B	3,675	61.54	7-Feb	15-Feb	183.75	5.0
J L F ASSET MGMT	039	SBUX	SS	50,900	18.06	n/a	24-Apr	2,036.00	4.0
CR INTRINIC INVESTMENT	044	SGP	S	150,000	20.53	n/a	n/a	7,500.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>SLBCR</b>	<b>B</b>	<b>2</b>	<b>1.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AMBER CAPITAL	046	SNV	SS	100,000	11.33	n/a	n/a	4,000.00	4.0
<b>CATTANI</b>	<b>041</b>	<b>SWN</b>	<b>S</b>	<b>200</b>	<b>67.50</b>	<b>29-Feb</b>	<b>29-Feb</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	TJX	S	10,000	33.01	n/a	29-Feb	500.00	5.0
VICTORIA INVESTORS LP	060	TJX	B	5,000	33.40	n/a	29-Feb	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>S</b>	<b>40,000</b>	<b>29.85</b>	<b>21-Feb</b>	<b>21-Feb</b>	<b>1,600.00</b>	<b>4.0</b>
BENCHMARK	028	TYC	B	5,000	41.85	9-Nov	25-Feb	250.00	5.0
CENTURION GLOBAL MGMT LL	041	UCBH	B	25,000	9.20	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	URBN	B	10,000	29.39	29-Feb	29-Feb	500.00	5.0
MORRISON & FRASIER	040	VQ	S	12,000	12.79	n/a	n/a	600.00	5.0
BUCK CAPITAL MGMT	001	WHR	B	30,000	85.87	n/a	n/a	1,200.00	4.0
PROVIDENT INV COUNSEL	048	XTO	B	98,900	61.70	n/a	n/a	3,956.00	4.0
<b>TOTAL (Trade Date):</b>							<b>104,173.35</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/04	PEAK MACAYA CAP MGMT (PMACGSPB)	044	CACC	B	1,490	14.53	n/a	n/a	7450.00 500.0
AO,CRT	03/04	PEAK MACAYA CAP MGMT (PMACGSPB)	044	CACC	B	1,490	14.53	n/a	n/a	74.50 5.0
AO,CXL	03/04	BALYASNY ASSET MGMT (BALY)	044	CHS	B	40,000	9.35	31-Jan	29-Feb	2000.00 5.0
AO,CRT	03/04	BALYASNY ASSET MGMT (BALY)	044	CHS	B	40,000	9.35	31-Jan	29-Feb	1600.00 4.0
<b>CRT</b>	<b>03/05</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>097</b>	<b>COH</b>	<b>SS</b>	<b>45,000</b>	<b>30.24</b>	<b>24-Oct</b>	<b>24-Jan</b>	<b>0.00 0.0</b>
<b>CRT</b>	<b>03/05</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>COH</b>	<b>SS</b>	<b>45,000</b>	<b>30.23</b>	<b>24-Oct</b>	<b>24-Jan</b>	<b>0.00 0.0</b>
CRT	03/05	COLONIAL FUND LLC (COLOMAINSL)	036	COH	SS	45,000	30.24	24-Oct	24-Jan	2250.00 5.0
AO,	03/04	FIRST NEW YORK LEDDY (FNYS)	035	COH	SS	15,000	30.06	24-Oct	24-Jan	600.00 4.0
AO,CXL	03/04	LEVIN CAPITAL STRATEGIES (LEVSMS)	012	COH	SS	15,000	30.03	24-Oct	24-Jan	600.00 4.0
AO,	03/04	LEVIN CAPITAL STRATEGIES (LEVSMS)	012	COH	SS	15,000	30.03	24-Oct	24-Jan	600.00 4.0
<b>AO,CXL</b>	<b>03/04</b>	<b>LEDDY (LEDDY)</b>	<b>035</b>	<b>FOR</b>	<b>S</b>	<b>466</b>	<b>24.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,CRT</b>	<b>03/04</b>	<b>EMP ERROR (EMP ERROR)</b>	<b>099</b>	<b>FOR</b>	<b>S</b>	<b>466</b>	<b>24.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,CXL</b>	<b>02/06</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>KSS</b>	<b>B</b>	<b>5,000</b>	<b>43.57</b>	<b>4-Jan</b>	<b>29-Feb</b>	<b>0.00 0.0</b>
<b>AO,</b>	<b>02/06</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>KSS</b>	<b>B</b>	<b>5,000</b>	<b>43.59</b>	<b>4-Jan</b>	<b>29-Feb</b>	<b>0.00 0.0</b>
AO,CXL	02/28	NATIONAL BK OF CAN (NBCAMAIN)	031	LEH	B	25,000	55.23	n/a	27-Feb	1250.00 5.0
AO,CRT	02/28	NATIONAL BK OF CAN (NBCAMAIN)	031	LEH	B	25,000	55.23	n/a	27-Feb	1000.00 4.0
AO,CXL	02/26	NATIONAL BK OF CAN (NBCAMAIN)	031	LEH	SS	25,000	57.41	n/a	27-Feb	1250.00 5.0
AO,CRT	02/26	NATIONAL BK OF CAN (NBCAMAIN)	031	LEH	SS	25,000	57.41	n/a	27-Feb	1000.00 4.0
<b>AO,</b>	<b>03/04</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>NOK</b>	<b>B</b>	<b>93,800</b>	<b>34.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,</b>	<b>03/04</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>NOK</b>	<b>B</b>	<b>850,000</b>	<b>33.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,</b>	<b>03/04</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>NOK</b>	<b>S</b>	<b>93,800</b>	<b>34.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,</b>	<b>03/04</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>NOK</b>	<b>S</b>	<b>850,000</b>	<b>33.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/04	JENNISON (JENN662)	032	NOK	B	9,700	34.03	n/a	n/a	388.00 4.0
AO,	03/04	JENNISON (JENN538)	032	NOK	B	2,300	34.03	n/a	n/a	92.00 4.0
AO,	03/04	JENNISON (JENN503)	032	NOK	B	2,800	33.66	n/a	n/a	112.00 4.0
AO,	03/04	JENNISON (JENN495)	032	NOK	B	8,600	34.03	n/a	n/a	344.00 4.0
AO,	03/04	JENNISON (JENN14)	032	NOK	B	3,800	34.03	n/a	n/a	152.00 4.0
AO,	03/04	JENNISON (JENN691)	032	NOK	B	2,700	34.03	n/a	n/a	108.00 4.0
AO,	03/04	JENNISON (JENN629)	032	NOK	B	4,900	33.66	n/a	n/a	196.00 4.0
AO,	03/04	JENNISON (JENN610)	032	NOK	B	1,400	33.66	n/a	n/a	56.00 4.0
AO,	03/04	JENNISON (JENN584)	032	NOK	B	800	34.03	n/a	n/a	32.00 4.0
AO,	03/04	JENNISON (JENN579)	032	NOK	B	1,400	34.03	n/a	n/a	56.00 4.0
AO,	03/04	JENNISON (JENN567)	032	NOK	B	7,400	33.66	n/a	n/a	296.00 4.0
AO,	03/04	JENNISON (JENN490)	032	NOK	B	4,600	33.66	n/a	n/a	184.00 4.0
AO,	03/04	JENNISON (JENN452)	032	NOK	B	2,700	34.03	n/a	n/a	108.00 4.0
AO,	03/04	JENNISON (JENN463)	032	NOK	B	1,400	34.03	n/a	n/a	56.00 4.0
AO,	03/04	JENNISON (JENN440)	032	NOK	B	5,800	33.66	n/a	n/a	232.00 4.0
AO,	03/04	JENNISON (JENN439)	032	NOK	B	400	34.03	n/a	n/a	16.00 4.0
AO,	03/04	JENNISON (JENN438)	032	NOK	B	1,500	34.03	n/a	n/a	60.00 4.0
AO,	03/04	JENNISON (JENN443)	032	NOK	B	24,700	33.66	n/a	n/a	988.00 4.0
AO,	03/04	JENNISON (JENN396)	032	NOK	B	1,900	33.66	n/a	n/a	76.00 4.0
AO,	03/04	JENNISON (JENN404)	032	NOK	B	1,000	33.66	n/a	n/a	40.00 4.0
AO,	03/04	JENNISON (JENN162)	032	NOK	B	5,400	34.03	n/a	n/a	216.00 4.0
AO,	03/04	JENNISON (JENN540)	032	NOK	B	5,900	33.66	n/a	n/a	236.00 4.0
AO,	03/04	JENNISON (JENN372)	032	NOK	B	800	34.03	n/a	n/a	32.00 4.0
AO,	03/04	JENNISON (JENN354)	032	NOK	B	7,600	33.66	n/a	n/a	304.00 4.0
AO,	03/04	JENNISON (JENN529)	032	NOK	B	99,600	33.66	n/a	n/a	3984.00 4.0
AO,	03/04	JENNISON (JENN499)	032	NOK	B	81,400	33.66	n/a	n/a	3256.00 4.0
AO,	03/04	JENNISON (JENN148)	032	NOK	B	19,600	33.66	n/a	n/a	784.00 4.0
AO,	03/04	JENNISON (JENN267)	032	NOK	B	10,500	33.66	n/a	n/a	420.00 4.0
AO,	03/04	JENNISON (JENN18)	032	NOK	B	23,500	33.66	n/a	n/a	940.00 4.0
AO,	03/04	JENNISON (JENN166)	032	NOK	B	17,900	33.66	n/a	n/a	716.00 4.0

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AO,	03/04	JENNISON (JENN856)	032	NOK	B	3,600	34.03	n/a	n/a	144.00 4.0
AO,	03/04	JENNISON (JENN0857)	032	NOK	B	2,700	34.03	n/a	n/a	108.00 4.0
AO,	03/04	JENNISON (JENN844)	032	NOK	B	5,100	34.03	n/a	n/a	204.00 4.0
AO,	03/04	JENNISON (JENN837)	032	NOK	B	1,400	34.03	n/a	n/a	56.00 4.0
AO,	03/04	JENNISON (JENN826)	032	NOK	B	57,200	33.66	n/a	n/a	2288.00 4.0
AO,	03/04	JENNISON (JENN825)	032	NOK	B	15,800	34.03	n/a	n/a	632.00 4.0
AO,	03/04	JENNISON (JENN814)	032	NOK	B	2,800	33.66	n/a	n/a	112.00 4.0
AO,	03/04	JENNISON (JENN797)	032	NOK	B	7,700	34.03	n/a	n/a	308.00 4.0
AO,	03/04	JENNISON (JENN795)	032	NOK	B	12,000	34.03	n/a	n/a	480.00 4.0
AO,	03/04	JENNISON (JENN770)	032	NOK	B	10,200	33.66	n/a	n/a	408.00 4.0
AO,	03/04	JENNISON (JENN534)	032	NOK	B	2,700	33.66	n/a	n/a	108.00 4.0
AO,	03/04	JENNISON (JENN134)	032	NOK	B	1,000	34.03	n/a	n/a	40.00 4.0
AO,	03/04	JENNISON (JENN387)	032	NOK	B	364,200	33.66	n/a	n/a	14568.00 4.0
AO,	03/04	JENNISON (JENN46)	032	NOK	B	6,000	33.66	n/a	n/a	240.00 4.0
AO,	03/04	JENNISON (JENN268)	032	NOK	B	2,200	33.66	n/a	n/a	88.00 4.0
AO,	03/04	JENNISON (JENN553)	032	NOK	B	1,000	33.66	n/a	n/a	40.00 4.0
AO,	03/04	JENNISON (JENN694)	032	NOK	B	9,100	33.66	n/a	n/a	364.00 4.0
AO,	03/04	JENNISON (JENN697)	032	NOK	B	62,400	33.66	n/a	n/a	2496.00 4.0
AO,	03/04	JENNISON (JENN636)	032	NOK	B	2,200	33.66	n/a	n/a	88.00 4.0
AO,	03/04	JENNISON (JENN244)	032	NOK	B	800	34.03	n/a	n/a	32.00 4.0
AO,	03/04	JENNISON (JENN80)	032	NOK	B	2,200	34.03	n/a	n/a	88.00 4.0
AO,	03/04	JENNISON (JENN641)	032	NOK	B	100	33.66	n/a	n/a	4.00 4.0
AO,	03/04	JENNISON (JENN619)	032	NOK	B	700	33.66	n/a	n/a	28.00 4.0
AO,	03/04	JENNISON (JENN704)	032	NOK	B	8,700	33.66	n/a	n/a	348.00 4.0
AO,CXL	03/04	REINHART & MAHONEY (REINPETTIT)	031	WEC	B	140	44.12	n/a	n/a	4.20 3.0
AO,CRT	03/04	REINHART & MAHONEY (REINSECHAR)	031	WEC	B	140	44.12	n/a	n/a	4.20 3.0
AO,CXL	03/04	STRAUSS ASSET MGMT (STRAJEFUSE)	040	XMSR	S	25,000	11.19	n/a	n/a	1250.00 5.0
AO,CRT	03/04	STRAUSS ASSET MGMT (STRAJEFUSE)	040	XMSR	S	25,000	11.19	n/a	n/a	1000.00 4.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>32,076.50</b>
TOTAL (Trade Date) :									104,173.35
TOTAL (AO, CXL, CRT) :									32,076.50
<b>TOTAL (RUN DATE) / NFS :</b>									<b>136,249.85</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