



## Daily Compliance Activity Report

Trade Date: 04/16/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ACF	B	38,600	9.93	n/a	n/a	1,544.00	4.0
<b>LUCHANSKY</b>	<b>036</b>	<b>ADM</b>	<b>B</b>	<b>200</b>	<b>45.41</b>	<b>2-Jan</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>175,000</b>	<b>16.17</b>	<b>6-Mar</b>	<b>11-Apr</b>	<b>7,000.00</b>	<b>4.0</b>
RAINIER INV MGMT	035	AET	S	87,745	41.07	n/a	n/a	4,387.25	5.0
CHARTER OAK	033	AFFY	S	5,188	13.67	n/a	n/a	259.40	5.0
ROTHSCHILD ASSET	040	AMG	S	4,620	94.24	7-Apr	16-Apr	207.90	4.5
MERRILL ASSET	032	ANN	S	62,700	23.23	14-Mar	14-Mar	2,821.50	4.5
<b>SINCLAIR</b>	<b>031</b>	<b>APCEL</b>	<b>S</b>	<b>10</b>	<b>8.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	ARGN	B	7,400	13.02	n/a	8-Apr	370.00	5.0
J L F ASSET MGMT	039	ARO	B	70,700	28.50	29-Nov	11-Apr	2,828.00	4.0
<b>GAULT</b>	<b>063</b>	<b>AXE</b>	<b>S</b>	<b>1,000</b>	<b>63.22</b>	<b>28-Mar</b>	<b>4-Apr</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	BC	B	22,800	15.60	n/a	n/a	684.00	3.0
J L F ASSET MGMT	039	BIG	B	25,800	22.52	6-Mar	11-Apr	1,032.00	4.0
<b>OGORMAN</b>	<b>046</b>	<b>BKC</b>	<b>B</b>	<b>400</b>	<b>28.01</b>	<b>n/a</b>	<b>15-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OGORMAN	046	BSC	S	300	10.01	17-Mar	14-Apr	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	BWA	S	25,422	45.21	14-Jan	7-Apr	1,016.88	4.0
BUCK	015	COF	C	700	46.45	n/a	n/a	0.00	0.0
WHEELER	008	COVJI	S	40	3.50	n/a	n/a	0.00	0.0
MILLER	025	C	B	50	23.45	16-Jan	14-Apr	0.00	0.0
PRYLUCKI	092	C	B	125	23.38	16-Jan	14-Apr	0.00	0.0
AVESTA CAP	229	DD	B	50,000	50.87	n/a	10-Apr	2,500.00	5.0
NORTHPOINT	030	DIOD	B	11,610	25.74	n/a	n/a	464.40	4.0
PRINCIPLE CAPITAL	040	DKS	B	13,300	25.40	n/a	14-Mar	399.00	3.0
S.A.C. CAPITAL MGMT.	044	DOW	SS	25,000	38.93	n/a	6-Feb	1,250.00	5.0
COUGAR TRADING	044	DSW	B	20,000	12.40	28-Mar	28-Mar	1,000.00	5.0
GAULT	063	DUG	S	2,000	32.48	n/a	n/a	0.00	0.0
NOLAN	067	DUG	S	60	32.75	n/a	n/a	0.00	0.0
BUCK	015	DVN	S	300	115.09	20-Mar	1-Apr	0.00	0.0
OGORMAN	046	DXD	S	260	54.47	n/a	n/a	0.00	0.0
OGORMAN	046	ENDP	B	400	25.24	17-Dec	15-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>SUTERA</b>	<b>060</b>	<b>ETFC</b>	<b>B</b>	<b>5,000</b>	<b>3.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PHILADELPHIA FINANCIAL	033	EV	B	40,000	32.93	9-Jan	16-Apr	2,000.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>FELE</b>	<b>B</b>	<b>200</b>	<b>34.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>FELE</b>	<b>B</b>	<b>200</b>	<b>34.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>NOLAN</b>	<b>067</b>	<b>FELE</b>	<b>B</b>	<b>60</b>	<b>34.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	F	SS	100,000	7.02	18-Mar	2-Apr	3,000.00	3.0
MATTHES CAPITAL MGMT	033	GES	SS	5,000	38.06	n/a	n/a	200.00	4.0
GOLD SACHS SPECIAL SIT	030	GIL	SS	50,000	35.33	22-Jan	10-Mar	2,500.00	5.0
<b>MILLER</b>	<b>025</b>	<b>GLW</b>	<b>B</b>	<b>50</b>	<b>25.68</b>	<b>n/a</b>	<b>27-Mar</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	237	GPS	S	25,000	18.62	n/a	11-Apr	1,250.00	5.0
<b>DANIELS</b>	<b>N25</b>	<b>GSI</b>	<b>B</b>	<b>200</b>	<b>6.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	GYMB	S	10,000	40.33	2-Apr	11-Apr	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	HBI	B	39,900	32.35	n/a	n/a	1,496.26	3.8
<b>BUCK</b>	<b>015</b>	<b>HD</b>	<b>C</b>	<b>1,200</b>	<b>27.90</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>HRS</b>	<b>B</b>	<b>1,000</b>	<b>49.50</b>	<b>28-Mar</b>	<b>28-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>IVZ</b>	<b>B</b>	<b>300</b>	<b>23.40</b>	<b>10-Apr</b>	<b>16-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEHMAN PROPRIETARY TRAD	041	IWM	B	25,000	71.04	n/a	n/a	1,000.00	4.0
J L F ASSET MGMT	039	JCP	B	65,100	38.22	4-Jan	11-Apr	2,604.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>JNS</b>	<b>C</b>	<b>200</b>	<b>23.80</b>	<b>24-Mar</b>	<b>10-Apr</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	KMX	SS	20,000	19.75	n/a	10-Jan	1,000.00	5.0
BEAR STEARNS ASSET MGMT.	033	KSS	SS	146,900	43.96	4-Jan	11-Apr	5,876.00	4.0
<b>WHEELER</b>	<b>008</b>	<b>MENT</b>	<b>B</b>	<b>10,000</b>	<b>9.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>PRYLUCKI</b>	<b>092</b>	<b>MER</b>	<b>B</b>	<b>75</b>	<b>44.09</b>	<b>18-Jan</b>	<b>14-Apr</b>	<b>0.00</b>	<b>0.0</b>
OSS CAPITAL/KEVIN DANN	067	NCC	SS	300,000	7.84	n/a	n/a	9,000.00	3.0
ROTHSCHILD ASSET	040	NUS	B	17,260	18.79	n/a	n/a	776.70	4.5
MS PRINCIPAL STRATEGIES	041	OTEX	S	17,000	35.19	n/a	n/a	850.00	5.0
SYSTEMATIC FINANCIAL MGT	035	OXM	S	10,100	26.52	n/a	n/a	378.75	3.8
SERENGETI MGMT	030	PGR	SS	50,000	17.69	n/a	n/a	2,500.00	5.0
NORTHPOINT	030	PLCM	B	5,550	22.63	n/a	22-Mar	222.00	4.0
HIGHBRIDGE CAPITAL	038	PPG	B	1,000	63.90	n/a	26-Feb	50.00	5.0
HIGHBRIDGE CAPITAL	038	ROH	B	3,000	57.37	n/a	28-Jan	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRISANTI BROWN & PARTNER	048	RRI	S	29,300	25.84	n/a	n/a	1,465.00	5.0
GREENLIGHT CAPITAL	041	SAI	S	35,600	19.26	n/a	n/a	1,780.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>SDS</b>	<b>S</b>	<b>230</b>	<b>61.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>060</b>	<b>SDS</b>	<b>S</b>	<b>1,000</b>	<b>61.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEHMAN PROPRIETARY TRAD	041	SLM	B	10,000	16.34	n/a	n/a	400.00	4.0
RHO CAPITAL MGMT	041	STX	SS	1,000	18.97	n/a	n/a	30.00	3.0
<b>OGORMAN</b>	<b>046</b>	<b>SZK</b>	<b>S</b>	<b>300</b>	<b>69.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>TIN</b>	<b>SS</b>	<b>50,000</b>	<b>12.39</b>	<b>19-Mar</b>	<b>7-Apr</b>	<b>2,000.00</b>	<b>4.0</b>
MERRILL ASSET	032	TLB	B	117,200	9.67	2-Apr	2-Apr	5,274.00	4.5
<b>GAULT</b>	<b>063</b>	<b>TMA</b>	<b>B</b>	<b>7,000</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	TPX	S	314,400	10.62	n/a	n/a	9,432.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>TROW</b>	<b>SS</b>	<b>200</b>	<b>52.58</b>	<b>9-Jan</b>	<b>16-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>KAICHER</b>	<b>064</b>	<b>TSO</b>	<b>B</b>	<b>2,000</b>	<b>28.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>NOLAN</b>	<b>067</b>	<b>TWTC</b>	<b>B</b>	<b>25</b>	<b>16.45</b>	<b>9-Nov</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	VC	B	7,100	3.49	n/a	7-Apr	426.00	6.0
TRELLUS PARTNERS LP	028	VC	B	6,200	3.62	n/a	7-Apr	186.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	VSKMJ	B	10	2.30	n/a	n/a	0.00	0.0
BUCK	015	VSKML	S	10	5.30	n/a	n/a	0.00	0.0
BUCK	015	VUL	B	10	3.70	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	220	WB	B	200,000	25.26	n/a	n/a	8,000.00	4.0
RHO CAPITAL MGMT	041	WDC	SS	500	27.89	n/a	n/a	15.00	3.0
FIRST NY SEC/CHRIS	041	WEN	B	10,000	23.74	n/a	24-Apr	600.00	6.0
SCOPUS FUND	041	WEN	B	105,000	23.66	n/a	24-Apr	5,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	WWW	SS	20,800	30.64	n/a	13-Mar	1,040.00	5.0
<b>TOTAL (Trade Date):</b>								<b>99,016.04</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	04/15	RHO CAPITAL MGMT (RHOCBSDRAK)	041	AAPL	B	60	148.56	n/a	n/a	1.80	3.0
AO,	04/15	RHO CAPITAL MGMT (RHOCJOSHUA)	099	BTRNQ	S	1,222	0.00	n/a	n/a	0.00	0.0
AO,	04/15	RHO CAPITAL MGMT (RHOCTRII)	099	BTRNQ	S	332,925	0.00	n/a	n/a	210.00	0.0
AO,	04/15	RHO CAPITAL MGMT (RHOC"H"LP)	099	BTRNQ	S	27,866	0.00	n/a	n/a	0.00	0.0
AO,	04/15	RHO CAPITAL MGMT (RHOCATLAS)	099	BTRNQ	S	13	0.00	n/a	n/a	0.00	0.0
AO,	04/15	RHO CAPITAL MGMT (RHOCBSDRAK)	041	EWI	S	2,800	18.24	n/a	n/a	84.00	3.0
AO,	04/15	RHO CAPITAL MGMT (RHOCBSDRAK)	041	INTC	B	400	20.92	n/a	n/a	12.00	3.0
AO,	04/15	JENNISON (JENN816)	032	NWA	S	2,200	10.75	n/a	n/a	88.00	4.0
AO,	04/15	JENNISON (JENN800)	032	NWA	S	2,900	10.75	n/a	n/a	116.00	4.0
AO,	04/15	JENNISON (JENN843)	032	NWA	S	2,800	10.75	n/a	n/a	112.00	4.0
AO,	04/15	JENNISON (JENN468)	032	NWA	S	500	10.75	n/a	n/a	20.00	4.0
AO,	04/15	JENNISON (JENN720)	032	NWA	S	200	10.75	n/a	n/a	8.00	4.0
AO,	04/15	JENNISON (JENN665)	032	NWA	S	1,500	10.75	n/a	n/a	60.00	4.0
AO,	04/15	JENNISON (JENN631)	032	NWA	S	1,600	10.75	n/a	n/a	64.00	4.0
AO,	04/15	JENNISON (JENN577)	032	NWA	S	600	10.75	n/a	n/a	24.00	4.0
AO,	04/15	JENNISON (JENN465)	032	NWA	S	1,300	10.75	n/a	n/a	52.00	4.0
AO,	04/15	JENNISON (JENN410)	032	NWA	S	100	10.75	n/a	n/a	4.00	4.0
AO,	04/15	JENNISON (JENN368)	032	NWA	S	100	10.75	n/a	n/a	4.00	4.0
AO,	04/15	JENNISON (JENN367)	032	NWA	S	100	10.75	n/a	n/a	4.00	4.0
AO,	04/15	JENNISON (JENN550)	032	NWA	S	800	10.75	n/a	n/a	32.00	4.0
AO,	04/15	JENNISON (JENN528)	032	NWA	S	200	10.75	n/a	n/a	8.00	4.0
AO,	04/15	JENNISON (JENN555)	032	NWA	S	5,800	10.75	n/a	n/a	232.00	4.0
AO,CXL	04/15	SERENGETI MGMT (SEREMSPB)	030	SCHW	B	100,000	19.37	n/a	n/a	0.97	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/15	SERENGETI MGMT (SEREMSPB)	030	SCHW	B	100,000	19.37	n/a	n/a	5000.00 5.0
AO,	04/15	RHO CAPITAL MGMT (RHOCBSDRAK)	041	SLAB	B	500	31.83	n/a	n/a	15.00 3.0
AO,	04/15	J.W. SELIGMAN (JWSESSFC)	041	WYNN	B	2,600	97.80	n/a	n/a	104.00 4.0
AO,	04/15	J.W. SELIGMAN (JWSE480)	041	WYNN	B	34,800	97.80	n/a	n/a	1392.00 4.0
AO,	04/15	J.W. SELIGMAN (JWSE460)	041	WYNN	B	700	97.80	n/a	n/a	28.00 4.0
AO,	04/15	J.W. SELIGMAN (JWSE431)	041	WYNN	B	50	97.80	n/a	n/a	2.00 4.0
AO,	04/15	J.W. SELIGMAN (JWSE430)	041	WYNN	B	3,000	97.80	n/a	n/a	120.00 4.0
AO,	04/15	RHO CAPITAL MGMT (RHOCBSDRAK)	041	XLE	B	350	79.75	n/a	n/a	10.50 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>7,806.33</b>

TOTAL (Trade Date) :	99,016.04
TOTAL (AO, CXL, CRT) :	7,806.33

<b>TOTAL (RUN DATE) / NFS:</b>	<b>106,822.37</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