



Daily Compliance Activity Report

Trade Date: 01/02/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	S	75,000	20.79	9-Nov	7-Dec	3,000.00	4.0
BENCHMARK	028	AIQ	S	10,000	9.30	n/a	n/a	500.00	5.0
STRAUSS ASSET MGMT	040	ALY	S	21,200	14.62	n/a	n/a	1,060.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	60,000	79.25	2-Oct	7-Dec	2,400.00	4.0
COUGAR TRADING	044	ANF	B	5,000	78.99	2-Oct	7-Dec	250.00	5.0
KAICHER	064	ARTG	S	400	4.20	n/a	n/a	0.00	0.0
GRUBER MACBAINE	033	BLK	S	6,000	215.48	21-Nov	24-Dec	240.00	4.0
NATIONAL BK OF CAN	031	BSC	B	20,000	85.09	21-Dec	21-Dec	800.00	4.0
CATAPULT	040	CBSH	SS	10,000	44.13	n/a	n/a	500.00	5.0
RHO CAPITAL MGMT	041	CGDE	S	20,000	0.11	n/a	n/a	300.00	1.5
MERRILL ASSET	032	CNC	S	17,400	27.56	n/a	n/a	783.00	4.5
BUCK CAPITAL MGMT	001	COH	SS	30,000	30.99	24-Oct	24-Oct	1,200.00	4.0
HOFFMAN	014	CPNLQ	S	13,000	0.37	n/a	29-Jun	0.00	0.0
RHO CAPITAL MGMT	041	CPST	S	4,000	1.62	n/a	n/a	160.00	4.0
FIRST NY SEC/CHRIS	041	CVS	SS	15,000	39.50	n/a	n/a	900.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DDS	SS	20,000	18.63	n/a	n/a	800.00	4.0
PRINCIPLE CAPITAL	040	DSW	S	150,000	17.75	26-Oct	14-Dec	4,500.00	3.0
POST ROAD CAP	045	DTV	B	14,400	22.71	15-Nov	19-Nov	576.00	4.0
BACKUS	005	FDRXX	B	10,000	1.00	n/a	n/a	0.00	0.0
BENCHMARK	028	FNF	S	10,000	14.31	n/a	n/a	500.00	5.0
GRUSS CAPITAL	045	FOR	B	7,000	23.45	n/a	n/a	280.00	4.0
IRONBOUND CAPITAL	012	FOR	B	113,634	23.45	n/a	n/a	5,681.70	5.0
XYLEM GLOBAL	091	FOR	B	10,000	22.50	n/a	n/a	500.00	5.0
BARR	096	GM	SS	1,350	24.60	n/a	2-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	HD	SS	30,000	27.04	n/a	27-Jul	1,200.00	4.0
ROYCE TRADING	216	HZO	B	5,000	14.87	n/a	n/a	250.00	5.0
ROYCE TRADING	216	IN	B	5,000	19.84	n/a	n/a	250.00	5.0
HIGHBRIDGE CAPITAL	038	IP	SS	62,500	31.89	n/a	5-Nov	3,125.00	5.0
BALYASNY ASSET MGMT	044	IVZ	S	20,000	30.55	20-Dec	24-Dec	1,000.00	5.0
COMMISSUM CAPITAL	067	IVZ	S	20,000	31.03	20-Dec	24-Dec	1,000.00	5.0
SUNOVA CAPITAL	031	IVZ	B	20,000	30.75	20-Dec	24-Dec	1,000.00	5.0
BUCK CAPITAL MGMT	001	JAH	B	15,000	22.90	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	S	60,000	47.00	28-Nov	30-Nov	2,400.00	4.0
COUGAR TRADING	044	JCG	B	5,000	46.81	28-Nov	30-Nov	250.00	5.0
FORD FDN.	032	JCI	B	25,000	35.78	6-Nov	6-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	10,000	17.93	n/a	n/a	400.00	4.0
NATIONAL BK OF CAN	031	LEH	B	20,000	62.82	n/a	19-Dec	800.00	4.0
RHO CAPITAL MGMT	041	LNVG	SS	1,000	18.50	n/a	n/a	40.00	4.0
MERRILL ASSET	032	MA	B	6,300	214.34	n/a	n/a	283.50	4.5
UNITED STATES PENSION	032	MHS	S	75,000	102.06	n/a	n/a	3,750.00	5.0
PRINCIPLE CAPITAL	040	MW	B	60,000	26.80	n/a	n/a	1,800.00	3.0
THE JAY GOLDMAN	034	M	B	10,000	25.02	9-Nov	7-Dec	400.00	4.0
RHO CAPITAL MGMT	041	NETL	S	25,200	31.01	n/a	n/a	1,008.00	4.0
MKT MAKER	099	NETL	B	23	31.01	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	NVLS	B	15,000	26.81	n/a	n/a	600.00	4.0
MERRILL ASSET	032	ONB	S	47,200	14.33	n/a	n/a	2,124.00	4.5
BUCK CAPITAL MGMT	001	OXM	SS	20,000	25.60	n/a	n/a	800.00	4.0
BARR	096	PDFS	B	1,357	8.89	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	PKG	S	102,000	28.21	18-Oct	8-Nov	5,100.00	5.0
PROSPECTOR PARTNERS LLC	036	PPS	B	10,000	34.58	n/a	n/a	400.00	4.0
JP MORGAN VENTURES	046	PVH	B	15,000	36.31	5-Dec	21-Dec	750.00	5.0
TRUST CO/COWEN/CALF.	040	Q	B	1,225,100	6.97	n/a	n/a	49,004.00	4.0
WHEELER	008	SCI	S	15,000	13.83	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	SHPGY	S	110,000	66.47	2-Nov	2-Jan	4,400.00	4.0
MCCARTAN	028	SMBL	S	700	11.06	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SMBL	S	500	10.89	n/a	n/a	0.00	0.0
AVESTA CAP	229	TJX	B	25,000	28.33	21-Sep	7-Dec	1,250.00	5.0
MERRILL ASSET	032	TMO	B	30,000	56.92	n/a	n/a	1,350.00	4.5
ROYCE TRADING	216	TWP	B	15,000	8.03	n/a	n/a	750.00	5.0
CSFB GLOBAL PROPRIETARY	035	UFS	B	12,000	7.58	n/a	n/a	600.00	5.0
COLONIAL FUND LLC	036	URBN	B	25,000	27.50	9-Nov	2-Jan	1,250.00	5.0
WAGONHOUND	048	URBN	B	10,000	27.34	9-Nov	2-Jan	400.00	4.0
BACKUS	005	UTVG	B	40,000	3.78	n/a	n/a	0.00	0.0
OGORMAN	046	VC	B	2,000	4.08	n/a	13-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	VFC	B	10,000	68.79	n/a	n/a	400.00	4.0
TRUSTCO/SUNTRUST	040	WRE	B	78,000	31.10	n/a	n/a	2,340.00	3.0
LISTED ERR	099	WRE	B	9,398	31.30	n/a	n/a	0.00	0.0
LISTED ERR	099	WRE	S	9,398	31.37	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	WY	B	10,000	71.61	1-Nov	1-Nov	500.00	5.0
RHO CAPITAL MGMT	041	XSI	S	1,000	2.85	n/a	n/a	15.00	1.5
TOTAL (Trade Date):							117,770.20		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/31	PROSPECTOR PARTNERS LLC (PROSFAREKO)	036	LM	B	9,900	73.37	17-Dec	31-Dec	495.00 5.0
AO,	12/31	PROSPECTOR PARTNERS LLC (PROSOPPORT)	036	LM	B	800	73.37	17-Dec	31-Dec	40.00 5.0
AO,	12/31	PROSPECTOR PARTNERS LLC (PROSDELOS)	036	LM	B	5,700	73.37	17-Dec	31-Dec	285.00 5.0
AO,	12/31	PROSPECTOR PARTNERS LLC (PROSMORGAN)	036	LM	B	91,700	73.37	17-Dec	31-Dec	4585.00 5.0
AO,	12/31	PROSPECTOR PARTNERS LLC (PROSMSA)	036	LM	B	6,400	73.37	17-Dec	31-Dec	320.00 5.0
AO,	12/31	PROSPECTOR PARTNERS LLC (PROSNGM)	036	LM	B	5,300	73.37	17-Dec	31-Dec	265.00 5.0
CRT	01/02	RHO CAPITAL MGMT (RHOCBSPB)	041	LNVG	SS	1,000	18.50	n/a	n/a	40.00 4.0
AO,	12/31	TROOB CAPITAL (TROOBSPB)	067	SIX	S	48,400	2.02	n/a	n/a	1452.00 3.0
AO,	12/31	TROOB CAPITAL (TROOMSPB)	067	SIX	S	26,600	2.02	n/a	n/a	798.00 3.0
CRT	01/02	RHO CAPITAL MGMT (RHOCBSPB)	041	XSI	S	1,000	2.85	n/a	n/a	15.00 1.5
TOTAL (AO, CXL, CRT) :										8,295.00

TOTAL (Trade Date) :	117,770.20
TOTAL (AO, CXL, CRT) :	8,295.00

TOTAL (RUN DATE) / NFS :	126,065.20
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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