



Daily Compliance Activity Report

Trade Date: 02/04/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	S	50,000	22.32	11-Jan	4-Feb	2,000.00	4.0
COUGAR TRADING	044	AEO	B	5,000	21.84	11-Jan	4-Feb	250.00	5.0
COUGAR TRADING	044	AEO	SS	5,000	23.17	11-Jan	4-Feb	250.00	5.0
IVORY CAPITAL	034	ALU	B	702,300	6.55	n/a	n/a	3,511.50	0.5
CAPITAL GROWTH MGMT.	241	AMX	B	50,000	60.80	n/a	n/a	2,500.00	5.0
SAB CAPITAL	034	ANF	B	35,000	79.47	10-Jan	4-Feb	1,750.00	5.0
CATTANI	041	APA	B	100	99.67	14-Jan	28-Jan	0.00	0.0
SAB CAPITAL	034	ARO	B	75,000	27.70	29-Nov	4-Feb	3,750.00	5.0
CATTANI	041	AVP	S	300	36.00	23-Jan	23-Jan	0.00	0.0
NATIONAL BK OF CAN	031	BAC	B	22,200	44.55	13-Nov	23-Jan	888.00	4.0
IRIDIAN ASSET MGMT.	036	BAX	S	88,850	62.26	n/a	22-Apr	4,442.50	5.0
BALYASNY ASSET MGMT	044	BJ	B	10,000	32.41	n/a	27-Jul	500.00	5.0
MTB INV ADV	034	BKC	B	15,170	26.37	n/a	24-Apr	758.50	5.0
CROWLEY	061	BNJ	S	600	18.02	n/a	n/a	0.00	0.0
SUTERA	160	BQI	B	1,500	3.48	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BACKUS	005	BTU	S	5,000	56.03	n/a	n/a	0.00	0.0
N STRATTON	014	CADA	B	100	41.50	n/a	n/a	0.00	0.0
BUCK	015	CAH	S	1,250	60.46	n/a	n/a	0.00	0.0
SUTERA	160	CHP	S	2,500	6.28	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	CNX	B	100,000	76.87	n/a	n/a	5,000.00	5.0
PECONIC PARTNERS	036	COF	C	5,000	52.90	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	COH	SS	20,000	31.62	24-Oct	24-Jan	800.00	4.0
MTB INV ADV	034	CRI	B	21,600	18.89	n/a	n/a	1,080.00	5.0
ROYCE TRADING	216	CRR	B	54,600	35.47	25-Oct	28-Jan	2,730.00	5.0
BACKUS	005	CVS	S	1,000	39.66	n/a	n/a	0.00	0.0
BUCK	015	DD	B	500	45.67	n/a	22-Jan	0.00	0.0
SHAREVEST CAPITAL MGMT.	038	DKS	B	10,000	31.97	n/a	27-Nov	500.00	5.0
WHEELER	008	DWSN	B	1,000	59.39	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	FIG	C	82,840	14.72	n/a	n/a	4,142.00	5.0
MTB INV ADV	034	FOSL	B	11,855	33.82	13-Nov	29-Jan	582.75	3.3

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGUIRE	090	FXP	B	3,000	85.63	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	GB	B	30,000	22.79	n/a	n/a	1,125.00	3.8
SINCLAIR	031	GIYCC	B	20	1.65	n/a	n/a	0.00	0.0
BARR	096	GLD	S	300	88.55	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	B	5,000	18.96	n/a	4-Feb	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	GR	S	24,000	63.23	25-Oct	31-Jan	900.00	3.8
COUGAR TRADING	044	GYMB	S	5,000	37.54	n/a	4-Feb	250.00	5.0
BULL PATH CAPITAL	044	HS	S	28,500	22.45	n/a	n/a	1,425.00	5.0
GEORGE WEISS	034	HUN	C	6,000	24.56	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	JAH	S	20,000	24.21	n/a	n/a	800.00	4.0
CAXTON PART	040	JAVA	S	200,000	16.88	n/a	n/a	7,000.00	3.5
BUCK CAPITAL MGMT	001	JCG	S	20,000	44.67	28-Nov	4-Feb	800.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	20,000	46.51	4-Jan	4-Feb	800.00	4.0
COUGAR TRADING	044	JCP	S	5,000	47.27	4-Jan	4-Feb	250.00	5.0
JP MORGAN VENTURES	046	JWN	C	3,100	39.69	20-Nov	4-Feb	155.00	5.0
NATIONAL BK OF CAN	031	KBW	SS	5,000	27.78	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	SS	20,000	44.42	4-Jan	4-Feb	800.00	4.0
COUGAR TRADING	044	KSS	SS	15,000	45.06	4-Jan	4-Feb	750.00	5.0
GEORGE WEISS	034	LAVA	B	10,000	11.55	n/a	n/a	300.00	3.0
CATAPULT	040	LAZ	B	5,000	40.92	n/a	n/a	250.00	5.0
BACKUS	005	LBTYA	S	2,000	40.32	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	LEN	B	50,000	20.04	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	50,000	21.88	n/a	28-Jan	2,000.00	4.0
SAB CAPITAL	034	LTD	B	390,000	18.47	n/a	4-Feb	19,500.00	5.0
NEW JERSEY DIV OF INV.	220	LXP	B	37,300	15.16	n/a	n/a	1,865.00	5.0
BUCK CAPITAL MGMT	001	MAS	SS	50,000	22.46	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	MCD	SS	50,000	53.70	n/a	24-Apr	2,000.00	4.0
SAXON WOODS ADVISORS	038	MCD	B	50,000	53.92	n/a	24-Apr	2,000.00	4.0
BARR	096	MCO	C	500	35.70	n/a	n/a	0.00	0.0
BACKUS	005	MEE	S	5,000	40.68	n/a	n/a	0.00	0.0
IVORY CAPITAL	034	MSFT	B	669,300	30.53	n/a	3-Apr	3,346.50	0.5
BUCK	015	MSFT	SS	1,500	30.56	n/a	3-Apr	0.00	0.0
MAGUIRE	090	MZZ	B	2,000	59.62	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	M	B	5,500	27.05	4-Jan	4-Feb	330.00	6.0
BUCK	015	NCC	C	1,500	17.48	n/a	n/a	0.00	0.0
KARSCH CAPITAL	034	ODP	S	100,000	14.81	n/a	27-Jul	3,000.00	3.0
MERRILL ASSET	032	ONB	S	20,000	16.56	n/a	n/a	900.00	4.5
WOOSTER CAPITAL	035	PAG	B	75,000	17.59	n/a	31-Jan	3,750.00	5.0
XYLEM GLOBAL	091	PCH	B	10,000	42.07	8-Jan	23-Jan	500.00	5.0
BACKUS	005	PCX	S	100	43.72	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	RL	SS	25,000	60.50	14-Jan	1-Feb	1,250.00	5.0
NEUBERGER BERMAN	036	SFD	S	52,800	28.15	n/a	n/a	2,376.00	4.5
GOLDMAN SACHS ASSET MGMT	044	SGP	B	632,930	21.00	n/a	n/a	9,493.95	1.5
GAULT	063	SKF	S	500	95.99	n/a	n/a	0.00	0.0
CATTANI	041	SLB	B	100	79.45	n/a	n/a	0.00	0.0
N STRATTON	014	TECUA	C	200	22.83	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	20,000	55.66	n/a	27-Jul	800.00	4.0
COUGAR TRADING	044	TJX	B	15,000	32.04	21-Sep	4-Feb	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHEELER	008	TRMA	B	2,000	32.10	n/a	n/a	0.00	0.0
MAGUIRE	039	TTM	SS	300	19.81	n/a	n/a	0.00	0.0
GAULT	063	TYCNH	B	30	0.85	n/a	n/a	0.00	0.0
GAULT	063	TYC	S	300	40.06	9-Nov	23-Jan	0.00	0.0
UBS OCONNOR	031	WB	C	60,000	35.56	n/a	n/a	1,800.00	3.0
MTB INV ADV	034	WMS	B	10,800	37.18	n/a	n/a	540.00	5.0
IVORY CAPITAL	034	WM	B	852,800	19.93	n/a	n/a	4,264.00	0.5
BUCK CAPITAL MGMT	001	WSM	SS	10,000	26.70	n/a	n/a	400.00	4.0
BUCK	015	YHOO	B	3,500	28.97	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	YUM	SS	10,000	35.94	n/a	24-Apr	400.00	4.0
TOTAL (Trade Date):							117,745.70		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	02/01	NCM CAPITAL MGMT (NCMC210HEA)	035	BLK	S	220	218.84	21-Nov	30-Jan	8.80	4.0
AO,	02/01	NCM CAPITAL MGMT (NCMCASBWOR)	035	BLK	S	2,800	218.84	21-Nov	30-Jan	112.00	4.0
AO,	02/01	NCM CAPITAL MGMT (NCMCLOC210)	035	BLK	S	2,800	218.84	21-Nov	30-Jan	112.00	4.0
AO,	02/01	NCM CAPITAL MGMT (NCMCNBREVA)	035	BLK	S	750	218.84	21-Nov	30-Jan	30.00	4.0
AO,	02/01	NCM CAPITAL MGMT (NCMCWALGRE)	035	BLK	S	3,500	218.84	21-Nov	30-Jan	140.00	4.0
AO,	02/01	NCM CAPITAL MGMT (NCMCPROMID)	035	BLK	S	2,000	218.84	21-Nov	30-Jan	80.00	4.0
AO,	02/01	NCM CAPITAL MGMT (NCMCBRIWTR)	035	BLK	S	750	218.84	21-Nov	30-Jan	30.00	4.0
AO,	02/01	NCM CAPITAL MGMT (NCMCMATTHE)	035	BLK	S	1,160	218.84	21-Nov	30-Jan	46.40	4.0
AO,CXL	01/29	REICH AND TANG (RICHXALFRD)	067	CR	S	1,000	40.75	n/a	n/a	0.00	0.0
AO,	02/01	STG INVESTORS (STGIGOLDMA)	041	IFX	B	1,000	10.85	n/a	n/a	50.00	5.0
AO,	02/01	STG INVESTORS (STGIBANC O)	041	IFX	B	20,900	10.85	n/a	n/a	1045.00	5.0
AO,	02/01	STG INVESTORS (STGIMAIN.)	041	IFX	B	28,100	10.85	n/a	n/a	1405.00	5.0
AO,CXL	02/01	NEW JERSEY DIV OF INV. (NEWJ5140)	220	LXP	B	16,500	15.10	n/a	n/a	825.00	5.0
AO,CRT	02/01	NEW JERSEY DIV OF INV. (NEWJ5140)	220	LXP	B	16,500	15.10	n/a	n/a	660.00	4.0
AO,	02/01	CATTANI (CATTANI)	041	PRUAX	B	535	14.03	n/a	n/a	0.00	0.0
AO,CXL	02/01	THE BOSTON COMPANY (BOST427)	401	RL	S	1,310	60.13	14-Jan	1-Feb	52.40	4.0
AO,	02/01	THE BOSTON COMPANY (BOST546)	401	RL	S	1,310	60.13	14-Jan	1-Feb	52.40	4.0
TOTAL (AO, CXL, CRT) :										2,894.20	

TOTAL (Trade Date) :

117,745.70

TOTAL (AO, CXL, CRT):

2,894.20

TOTAL (RUN DATE) / NFS:

120,639.90

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