



## Daily Compliance Activity Report

Trade Date: 02/25/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LEDDY</b>	<b>035</b>	<b>AAPL</b>	<b>B</b>	<b>75</b>	<b>117.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	ABB	B	1,300	23.90	n/a	n/a	52.00	4.0
COUGAR TRADING	044	AEO	S	15,000	22.71	5-Feb	8-Feb	750.00	5.0
EPOCH INV MGMT	030	AET	S	600	51.32	n/a	n/a	24.00	4.0
ROTHSCHILD ASSET	040	AFG	B	29,630	26.70	n/a	n/a	1,333.35	4.5
COUGAR TRADING	044	ANF	SS	5,000	77.76	10-Jan	15-Feb	250.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>ANF</b>	<b>S</b>	<b>300</b>	<b>78.88</b>	<b>10-Jan</b>	<b>15-Feb</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	APA	S	120	112.40	14-Jan	11-Feb	6.00	5.0
TRELLUS PARTNERS LP	028	ARGN	B	10,000	17.87	n/a	25-Feb	500.00	5.0
BALYASNY ASSET MGMT	044	AXP	S	25,000	44.16	n/a	n/a	1,250.00	5.0
EPOCH INV MGMT	030	BA	S	1,100	83.52	n/a	n/a	44.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	20,000	97.88	25-Sep	21-Feb	1,000.00	5.0
UBS OCONNOR	031	BLK	SS	16,000	190.39	21-Nov	21-Feb	480.00	3.0
EPOCH INV MGMT	030	BPL	S	600	49.66	n/a	n/a	24.00	4.0
EPOCH INV MGMT	030	BSX	B	6,300	12.76	n/a	22-Apr	252.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	BUD	B	1,100	47.45	n/a	n/a	44.00	4.0
FORWARD MGMT	033	CDE	B	20,500	4.83	n/a	n/a	1,025.00	5.0
<b>BUCK</b>	<b>015</b>	<b>CELG</b>	<b>C</b>	<b>500</b>	<b>56.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	CHRS	S	46,350	5.96	n/a	22-Mar	1,854.00	4.0
MANNING & NAPIER	034	CHTR	B	554,700	1.02	n/a	n/a	16,641.00	3.0
CD50	034	CHTR	B	350	1.02	n/a	n/a	10.50	3.0
GR56	034	CHTR	B	4,120	1.02	n/a	n/a	123.60	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>SS</b>	<b>50,000</b>	<b>30.96</b>	<b>24-Oct</b>	<b>24-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>CPHI</b>	<b>S</b>	<b>2,400</b>	<b>2.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>CPN</b>	<b>S</b>	<b>884</b>	<b>18.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RHO CAPITAL MGMT	041	CPST	S	11,000	1.76	n/a	n/a	440.00	4.0
FORWARD MGMT	033	CSCO	B	650	23.59	n/a	22-Mar	32.50	5.0
<b>BUCK</b>	<b>015</b>	<b>DDR</b>	<b>S</b>	<b>500</b>	<b>39.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	DD	B	2,600	46.36	n/a	22-Jan	104.00	4.0
PRINCIPLE CAPITAL	040	DKS	SS	20,000	28.96	n/a	25-Feb	600.00	3.0
EPOCH INV MGMT	030	DVA	B	100	50.96	n/a	n/a	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DVA	S	700	50.94	n/a	n/a	28.00	4.0
EPOCH INV MGMT	030	ENDP	S	9,750	27.33	17-Dec	25-Feb	390.00	4.0
BUCK	015	FRB	S	900	14.86	n/a	n/a	0.00	0.0
BUCK	015	FXE	S	500	148.63	n/a	n/a	0.00	0.0
LEDDY	035	F	SS	2,000	6.39	n/a	4-Feb	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	GB	B	4,000	21.44	n/a	n/a	150.00	3.8
AVESTA CAP	229	GE	B	100,000	33.93	n/a	n/a	5,000.00	5.0
DAVIDSON TRUST CO	028	GE	B	1,000	34.04	n/a	n/a	90.00	9.0
DELTEC ASSET MGMT.	040	GLW	S	5,000	24.21	n/a	11-Feb	250.00	5.0
LEDDY	035	GOOG	B	30	492.95	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	HRL	S	30,890	41.99	n/a	n/a	1,544.50	5.0
AMBER CAPITAL	046	HSY	B	120,000	37.27	n/a	n/a	4,800.00	4.0
FORWARD MGMT	033	HSY	B	1,500	37.63	n/a	n/a	75.00	5.0
LEDDY	035	ICON	S	800	22.07	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	IFF	S	1,300	42.70	14-Dec	30-Jan	52.00	4.0
EPOCH INV MGMT	030	IGT	S	1,300	48.63	n/a	18-Jan	52.00	4.0
DAVID J GREEN & CO	040	IKAN	B	25,100	4.65	n/a	n/a	1,004.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	IVZ	S	5,000	26.02	20-Dec	21-Feb	250.00	5.0
CAXTON PART	040	IVZ	B	100,000	25.52	20-Dec	21-Feb	3,500.00	3.5
<b>LEDDY</b>	<b>035</b>	<b>JADE</b>	<b>S</b>	<b>1,500</b>	<b>3.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARIENCE CAPITAL	036	JNS	C	54,800	24.60	9-Jan	21-Feb	2,740.00	5.0
PHILADELPHIA FINANCIAL	033	JPM	SS	23,609	43.93	17-Jan	21-Feb	1,180.45	5.0
SANDLER O'NEILL ASSET	031	JPM	B	50,000	43.40	17-Jan	21-Feb	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>SS</b>	<b>20,000</b>	<b>36.12</b>	<b>14-Feb</b>	<b>14-Feb</b>	<b>800.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	KO	B	250	58.48	n/a	n/a	12.50	5.0
EPOCH INV MGMT	030	LCAPA	S	300	116.81	n/a	n/a	12.00	4.0
EPOCH INV MGMT	030	LH	S	300	79.27	n/a	n/a	12.00	4.0
CASTLE ARK	031	MA	S	49,710	193.16	n/a	n/a	2,982.60	6.0
<b>BUCK</b>	<b>015</b>	<b>MDY</b>	<b>B</b>	<b>200</b>	<b>146.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>MGRC</b>	<b>S</b>	<b>5,000</b>	<b>19.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	MMM	S	200	79.79	27-Sep	29-Jan	10.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>MON</b>	<b>SS</b>	<b>200</b>	<b>121.05</b>	<b>n/a</b>	<b>12-Feb</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	MRK	B	250	46.24	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	MSFT	B	1,200	27.68	n/a	3-Apr	48.00	4.0
REINHART & MAHONEY	031	MYL	S	87,260	12.92	n/a	19-Feb	4,363.00	5.0
GALLEON MGMT LP	033	M	S	25,000	24.17	7-Feb	15-Feb	1,250.00	5.0
EPOCH INV MGMT	030	NEM	S	2,400	49.29	n/a	n/a	96.00	4.0
EPOCH INV MGMT	030	NWSA	S	3,100	19.19	n/a	n/a	124.00	4.0
<b>CATTANI</b>	<b>041</b>	<b>PAFDX</b>	<b>B</b>	<b>186</b>	<b>26.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	PCAR	B	700	44.26	n/a	n/a	28.00	4.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>PCL</b>	<b>S</b>	<b>20,000</b>	<b>41.00</b>	<b>8-Jan</b>	<b>30-Jan</b>	<b>1,000.00</b>	<b>5.0</b>
<b>BUCK</b>	<b>015</b>	<b>PFE</b>	<b>S</b>	<b>2,000</b>	<b>22.63</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	PKG	SS	85,000	24.70	23-Jan	23-Jan	4,250.00	5.0
COUGAR TRADING	044	PSUN	S	20,000	10.83	n/a	8-Feb	1,000.00	5.0
COUGAR TRADING	044	PVH	B	5,000	36.34	5-Feb	15-Feb	250.00	5.0
EPOCH INV MGMT	030	PX	B	900	82.68	n/a	23-Jan	36.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>RL</b>	<b>SS</b>	<b>100</b>	<b>63.41</b>	<b>7-Feb</b>	<b>15-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>RSHOC</b>	<b>B</b>	<b>5</b>	<b>0.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLOBAL 56 LLC	060	RUS	S	2,600	14.05	n/a	n/a	104.00	4.0
BUCK CAPITAL MGMT	001	RVI	S	20,000	6.96	n/a	n/a	800.00	4.0
ZOLIDIS	011	SDS	B	300	63.05	n/a	n/a	0.00	0.0
SUTERA	060	SDS	B	500	62.97	n/a	n/a	0.00	0.0
BUCK	015	SGPPRB	B	50	205.14	n/a	n/a	0.00	0.0
ZOLIDIS	011	SHOE	SS	5,000	1.40	n/a	n/a	0.00	0.0
GAULT	063	SKF	B	1,000	106.71	n/a	n/a	0.00	0.0
GAULT	063	SKF	S	1,000	112.16	n/a	n/a	0.00	0.0
BUCK	015	SPY	SS	400	135.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SWN	S	9,700	67.39	14-Jan	14-Feb	388.00	4.0
PATTEN & PATTEN	067	SWN	B	200	66.42	14-Jan	14-Feb	10.00	5.0
AMBER CAPITAL	046	TAP	B	65,000	52.61	n/a	n/a	2,600.00	4.0
EPOCH INV MGMT	030	TMO	S	2,000	57.14	n/a	n/a	80.00	4.0
BUCK CAPITAL MGMT	001	UA	S	10,000	40.26	n/a	n/a	400.00	4.0
BUCK	015	VNO	B	250	87.56	n/a	n/a	0.00	0.0
WHEELER	008	WB	B	1,000	33.88	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WMI	S	2,800	34.00	n/a	n/a	112.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEHMAN PROPRIETARY TRAD	041	WM	SS	20,000	16.52	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	WY	B	200	63.71	8-Jan	11-Feb	10.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ZUMZ	SS	47,300	18.79	n/a	n/a	2,365.00	5.0
<b>TOTAL (Trade Date):</b>								<b>76,405.50</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/22	MATLIN PATTERSON (MATLGSPB)	046	LEA	SS	30,000	28.79	n/a	n/a	1500.00 5.0
AO,CRT	02/22	MATLIN PATTERSON (MATLGSPB)	046	LEA	SS	30,000	28.79	n/a	n/a	900.00 3.0
AO,	02/22	BAIRD INVESTMENT (BAIRJB205-)	031	SWN	S	2,325	60.94	14-Jan	14-Feb	116.25 5.0
AO,	02/22	BAIRD INVESTMENT (BAIRJR068M)	031	SWN	S	40	60.94	14-Jan	14-Feb	2.00 5.0
AO,	02/22	BAIRD INVESTMENT (BAIRBMCF-B)	031	SWN	S	4,375	60.94	14-Jan	14-Feb	218.75 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-263.00</b>
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TOTAL (Trade Date) :	76,405.50
TOTAL (AO, CXL, CRT) :	-263.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>76,142.50</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