



Daily Compliance Activity Report

Trade Date: 06/04/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AB	B	3,550	63.21	9-Apr	2-Jun	177.50	5.0
PATTEN & PATTEN	067	ACL	S	475	157.63	29-Apr	3-Jun	23.75	5.0
BLUE HARBOR	036	ACM	B	6,150	31.50	n/a	n/a	307.50	5.0
TRIVIUM CAP MGMT	251	ADCT	B	50,000	15.73	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	ADP	S	300	43.27	n/a	n/a	15.00	5.0
SATELITE/BOBBY	044	ADP	B	25,000	43.31	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	AEO	S	30,000	17.22	6-Mar	2-Jun	1,500.00	5.0
PATTEN & PATTEN	067	AGN	B	6,900	57.71	31-Jan	3-Jun	345.00	5.0
PATTEN & PATTEN	067	AIG	S	3,750	36.62	n/a	n/a	187.50	5.0
MAZAMA CAPITAL MGMT.	035	ALB	B	96,050	44.49	n/a	n/a	3,842.00	4.0
SUNOVA CAPITAL	031	AMG	B	10,000	101.24	7-Apr	2-Jun	500.00	5.0
CATAPULT	040	AMP	S	10,000	46.70	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	AMP	S	448	46.47	n/a	n/a	22.40	5.0
LISTED ERR	099	AMP	B	10,000	46.79	n/a	n/a	0.00	0.0
LISTED ERR	099	AMP	S	5,434	46.80	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ANF	B	15,000	68.31	10-Apr	2-Jun	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ANF	S	25,000	67.69	10-Apr	2-Jun	1,250.00	5.0
BUCK CAPITAL MGMT	015	ANN	SS	3,000	25.99	14-Mar	22-May	80.00	2.0
HARRIS ASSOCIATES	031	APA	S	20,000	131.71	7-May	4-Jun	600.00	3.0
PATTEN & PATTEN	067	APA	S	200	131.24	7-May	4-Jun	10.00	5.0
TRELLUS PARTNERS LP	028	ARGN	B	10,000	11.01	n/a	20-May	500.00	5.0
COUGAR TRADING	044	ARO	B	20,000	33.98	28-Apr	2-Jun	1,000.00	5.0
ZOLIDIS	011	ARO	B	500	33.71	28-Apr	2-Jun	0.00	0.0
WYCKOFF	013	ARO	S	300	34.20	28-Apr	2-Jun	0.00	0.0
TRIVIUM CAP MGMT	251	ARW	SS	50,000	31.58	n/a	n/a	2,000.00	4.0
LUCHANSKY1	036	ATDPF	B	10,000	0.17	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	ATVI	S	36,745	34.02	n/a	n/a	1,837.25	5.0
HEALY CIRCLE	044	AXP	S	35,000	45.29	n/a	n/a	1,750.00	5.0
PATTEN & PATTEN	067	BAC	S	600	32.41	n/a	15-May	30.00	5.0
SUNOVA CAPITAL	031	BLK	B	10,000	218.24	n/a	2-Jun	500.00	5.0
PATTEN & PATTEN	067	BMJ	S	2,780	21.60	n/a	n/a	139.00	5.0
PATTEN & PATTEN	067	CAG	S	2,600	23.53	n/a	n/a	130.00	5.0
SCOPUS FUND	041	CAKE	S	27,884	19.01	n/a	24-Apr	1,394.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAICHER	064	CBI	S	500	45.98	n/a	n/a	0.00	0.0
HBK FUNDS	031	CELG	B	3,100	61.40	n/a	n/a	155.00	5.0
MKT MAKER	099	CELG	B	49	61.40	n/a	n/a	0.00	0.0
LEDDY	035	CHCG	S	1,100	1.63	n/a	n/a	0.00	0.0
ZOLIDIS	011	CHS	SS	1,000	7.66	11-Apr	2-Jun	0.00	0.0
LEDDY	035	CPKI	C	500	13.67	n/a	9-May	0.00	0.0
PATTEN & PATTEN	067	DFS	S	100	15.80	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	DIS	S	950	33.51	n/a	n/a	47.50	5.0
PATTEN & PATTEN	067	DOV	S	500	53.44	n/a	n/a	25.00	5.0
JMP ASSET MGMT	210	DPS	S	7,500	23.90	n/a	n/a	375.00	5.0
YORK CAPITAL	036	DTV	S	125,000	28.68	n/a	4-Jan	5,000.00	4.0
COUGAR TRADING	044	EL	B	5,000	46.87	7-May	21-May	250.00	5.0
PRIMECAP MGMT	048	EMC	B	21,500	17.56	n/a	n/a	860.00	4.0
BLUE HARBOR	036	EME	B	6,000	28.90	n/a	n/a	300.00	5.0
HOOVER INV. MGMT	033	ENS	B	26,000	31.50	n/a	n/a	1,300.00	5.0
NEWLAND CAPITAL MGT	067	ETN	S	10,000	94.79	14-Apr	20-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EWC	S	300	34.35	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	EWI	S	250	19.02	n/a	n/a	12.50	5.0
BUCK CAPITAL MGMT	001	FDO	SS	1,500	21.75	8-Jan	4-Jun	60.00	4.0
PATTEN & PATTEN	067	FHN	S	200	10.02	n/a	n/a	10.00	5.0
SATELITE/BOBBY	044	FL	B	25,000	14.69	2-Apr	23-May	1,000.00	4.0
BUCK	015	FNM	SS	1,000	27.05	n/a	n/a	0.00	0.0
SINCLAIR	031	FQGB	B	60	0.80	n/a	n/a	0.00	0.0
KAICHER	064	FTO	S	1,000	29.97	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	GES	B	10,000	43.36	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	GE	B	300	30.55	n/a	n/a	15.00	5.0
COUGAR TRADING	044	GIL	S	5,000	29.01	30-Apr	28-May	250.00	5.0
YORK CAPITAL	036	GM	B	250,000	17.10	29-Apr	4-Jun	12,500.00	5.0
PATTEN & PATTEN	067	GS	S	250	172.55	19-Mar	22-May	12.50	5.0
BLUE HARBOR	036	GVA	S	35,300	36.60	n/a	n/a	1,765.00	5.0
BALYASNY ASSET MGMT	044	GYMB	B	50,000	43.73	3-Jun	3-Jun	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	GYMB	S	40,000	43.11	3-Jun	3-Jun	1,600.00	4.0
COUGAR TRADING	044	GYMB	B	25,000	43.75	3-Jun	3-Jun	1,250.00	5.0
EGS ASSOCIATES LP	091	GYMB	SS	6,000	44.23	3-Jun	3-Jun	360.00	6.0
BUCK CAPITAL MGMT	001	HBI	SS	1,000	32.16	n/a	n/a	40.00	4.0
PATTEN & PATTEN	067	HCF	B	5,200	14.33	n/a	n/a	260.00	5.0
PATTEN & PATTEN	067	HD	S	2,700	27.03	n/a	27-Jul	135.00	5.0
BENCHMARK	028	HIL	S	5,000	15.90	n/a	n/a	250.00	5.0
STELLIAM INV ADV	040	HOV	S	50,000	7.87	n/a	n/a	1,500.00	3.0
PATTEN & PATTEN	067	HST	S	1,900	16.86	n/a	n/a	95.00	5.0
NEWLAND CAPITAL MGT	067	IBI	S	15,000	18.27	n/a	n/a	600.00	4.0
GAULT	063	ICON	S	1,900	12.82	n/a	n/a	0.00	0.0
SUTERA	160	ILA	S	6,000	3.82	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	INTC	C	100,000	23.55	n/a	n/a	5,000.00	5.0
NOMURA CAPITAL	045	IPHS	S	4,800	28.96	n/a	n/a	240.00	5.0
LEDDY	035	IVZ	S	500	27.77	10-Apr	2-Jun	0.00	0.0
KAICHER	064	JASO	B	2,000	20.52	n/a	n/a	0.00	0.0
SCOPUS FUND	041	JBHT	B	15,000	34.97	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCP	B	50,000	39.46	n/a	2-Jun	2,000.00	4.0
THE JAY GOLDMAN	034	JCP	B	10,000	39.36	n/a	2-Jun	400.00	4.0
PATTEN & PATTEN	067	JNJ	S	500	66.50	n/a	22-Apr	25.00	5.0
STG INVESTORS	041	JNPR	SS	50,000	27.03	n/a	22-Mar	2,000.00	4.0
GRUBER MACBAINE	033	JPM	B	15,000	41.80	8-May	15-May	600.00	4.0
EPOCH INV MGMT	030	KMT	B	9,250	37.47	n/a	3-Jun	370.00	4.0
PATTEN & PATTEN	067	KO	B	2,350	56.91	n/a	n/a	117.50	5.0
BUCK	015	KSS	SS	1,000	45.39	n/a	2-Jun	0.00	0.0
PATTEN & PATTEN	067	LAZ	B	13,500	37.79	n/a	n/a	675.00	5.0
BUCK	015	LEH	C	700	32.28	1-Apr	22-May	0.00	0.0
LEDDY	035	LEH	B	1,300	32.86	1-Apr	22-May	0.00	0.0
HARRIS ASSOCIATES	031	LH	S	25,000	74.60	n/a	n/a	750.00	3.0
PATTEN & PATTEN	067	LLY	S	200	48.89	n/a	n/a	10.00	5.0
LBACCICIND	005	LM	B	2,000	54.06	7-May	2-Jun	0.00	0.0
LBACENTRP	005	LM	B	2,000	54.08	7-May	2-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	B	250,000	18.91	n/a	2-Jun	10,000.00	4.0
SINCLAIR	031	LYHAI	B	40	2.13	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	MAR	S	200	31.69	n/a	n/a	10.00	5.0
BLUE HARBOR	036	MAS	B	16,900	18.31	n/a	n/a	845.00	5.0
PATTEN & PATTEN	067	MBI	S	2,400	6.69	n/a	n/a	120.00	5.0
SATELITE/BOBBY	044	MCD	SS	5,000	58.43	n/a	2-Jun	200.00	4.0
PATTEN & PATTEN	067	MDT	S	200	51.61	n/a	22-Apr	10.00	5.0
LEDDY	035	MER	S	300	41.15	18-Jan	22-May	0.00	0.0
PRIMECAP MGMT	048	MF	B	2,000	13.86	n/a	n/a	80.00	4.0
PATTEN & PATTEN	067	MHP	S	1,000	41.61	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	MIC	B	100	32.94	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	MIC	S	3,400	32.85	n/a	n/a	170.00	5.0
BULL PATH CAPITAL	044	MPEL	B	25,000	11.11	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	MRK	B	300	38.11	n/a	n/a	15.00	5.0
REINHART & MAHONEY	031	MSM	S	8,180	52.99	n/a	n/a	409.00	5.0
PATTEN & PATTEN	067	MS	S	400	43.52	n/a	22-May	20.00	5.0
OGORMAN	046	MS	B	500	43.40	n/a	22-May	0.00	0.0
ROSEDALE CAPITAL	046	MYL	S	10,000	13.44	30-May	3-Jun	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	034	M	S	15,000	22.46	7-Feb	2-Jun	600.00	4.0
ROARING BLUE LION MGMT	012	NLY	S	20,000	17.35	n/a	n/a	800.00	4.0
PERRY PARTNERS	041	NMX	B	5,100	81.79	n/a	n/a	153.00	3.0
PAW PARTNERS	041	NOVL	B	59,000	6.92	n/a	n/a	1,770.00	3.0
ROYCE TRADING	216	NR	S	25,000	7.70	n/a	n/a	1,250.00	5.0
PAW PARTNERS	041	NVDA	B	29,500	23.64	n/a	n/a	885.00	3.0
PRIMECAP MGMT	048	NVDA	B	11,000	23.97	n/a	n/a	440.00	4.0
PRIMECAP MGMT	048	NVS	B	1,000	52.43	n/a	n/a	40.00	4.0
PZENA INV ADV	044	ORCL	S	500,400	23.04	n/a	n/a	20,016.00	4.0
BLUE HARBOR	036	OSK	B	4,150	39.50	n/a	n/a	207.50	5.0
PATTEN & PATTEN	067	OSK	B	400	39.44	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	OSK	S	100	39.23	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	OXY	S	100	89.13	n/a	n/a	5.00	5.0
BMO NESBITT BURNS	041	PAG	SS	50,000	19.27	22-Apr	30-Apr	2,500.00	5.0
ROYCE TRADING	216	PAG	B	10,000	19.56	22-Apr	30-Apr	500.00	5.0
COHE & STEERS	091	PCL	B	106,400	46.38	29-Apr	29-Apr	4,256.00	4.0
PATTEN & PATTEN	067	PCX	S	300	120.41	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	PG	B	50,000	65.72	n/a	29-May	2,500.00	5.0
MAZAMA CAPITAL MGMT.	035	PII	B	22,600	46.80	n/a	n/a	904.00	4.0
ELM RIDGE ADVISORS	044	PKG	S	17,421	25.70	7-Apr	22-Apr	696.84	4.0
CRAMER ROSENTHAL/SCOTT	012	PLCE	S	27,500	32.92	3-Jun	3-Jun	1,100.00	4.0
EGS ASSOCIATES LP	091	PLCE	SS	15,000	34.06	3-Jun	3-Jun	900.00	6.0
REINHART & MAHONEY	031	PRGS	B	10,280	30.45	n/a	n/a	514.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	4,000	44.24	5-May	22-May	160.00	4.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	20,000	43.91	5-May	22-May	800.00	4.0
PATTEN & PATTEN	067	Q	S	2,000	4.76	n/a	n/a	100.00	5.0
SAXON WOODS ADVISORS	038	RAI	B	50,000	55.10	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	RDEN	B	10,000	14.08	2-May	2-May	500.00	5.0
BLUE HARBOR	036	RRR	B	7,500	11.69	n/a	23-May	375.00	5.0
COHE & STEERS	091	RYN	B	50,000	47.17	23-Apr	23-Apr	2,000.00	4.0
ZOLIDIS	011	SHOE	SS	400	0.89	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SLB	S	100	100.30	n/a	n/a	5.00	5.0
LEDDY	035	SLB	S	200	100.11	n/a	n/a	0.00	0.0
HARRIS ASSOCIATES	031	SNA	S	25,000	60.38	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	SSCC	S	50,000	6.68	7-Apr	23-Apr	2,500.00	5.0
PATTEN & PATTEN	067	SWN	S	400	43.76	20-Mar	4-Jun	20.00	5.0
PZENA INV ADV	044	TMK	S	22,400	62.46	n/a	n/a	896.00	4.0
BECK MACK & OLIVER LLC	045	TMM	B	10,000	2.00	n/a	n/a	300.00	3.0
BLUE HARBOR	036	TXI	B	2,800	73.19	n/a	n/a	140.00	5.0
TRUST CO/COWEN/CALF.	040	UNP	S	89,300	79.34	n/a	n/a	4,465.00	5.0
BEAR STEARNS ASSET MGMT.	033	URBN	B	40,000	31.48	15-May	15-May	1,600.00	4.0
GOLD SACHS SPECIAL SIT	030	URBN	SS	150,000	31.36	15-May	15-May	7,500.00	5.0
BLUE HARBOR	036	URS	B	4,850	47.07	n/a	n/a	242.50	5.0
JP MORGAN VENTURES	046	VFC	B	10,000	74.22	n/a	n/a	500.00	5.0
CLOVIS CAPITAL	012	VMC	SS	50,000	73.60	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	V	S	2,480	86.93	n/a	n/a	124.00	5.0
SATELITE/BOBBY	044	WMT	S	25,000	57.90	13-May	4-Jun	1,000.00	4.0
PATTEN & PATTEN	067	XLU	S	200	41.00	n/a	n/a	10.00	5.0
PERRY PARTNERS	041	YHOO	B	82,400	26.78	n/a	n/a	2,472.00	3.0
SATELITE/BOBBY	044	ZQK	B	7,500	8.80	5-Feb	30-May	300.00	4.0

TOTAL (Trade Date):

153,696.94

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/03	STARK ASSET MGMT (STRKCITI)	031	F	B	6,899	6.63	25-Apr	4-Jun	275.96 4.0
AO,CXL	06/03	MILLRACE FUND LP (MILRGS)	028	PLCE	S	16,100	32.64	3-Jun	3-Jun	805.00 5.0
AO,	06/03	MILLRACE FUND LP (MILRGS)	028	PLCE	S	16,100	32.64	3-Jun	3-Jun	644.00 4.0

TOTAL (AO, CXL, CRT) :	114.96
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TOTAL (Trade Date) :	153,696.94
TOTAL (AO, CXL, CRT) :	114.96

TOTAL (RUN DATE) / NFS :	153,811.90
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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