



Daily Compliance Activity Report

Trade Date: 04/14/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	30,000	16.16	6-Mar	11-Apr	1,500.00	5.0
DECADE CAPITAL PARTNERS	040	AER	S	100	18.00	n/a	n/a	5.00	5.0
BALYASNY ASSET MGMT	044	ARGN	B	10,000	12.83	n/a	8-Apr	500.00	5.0
LEDDY	035	ARGN	B	600	12.76	n/a	8-Apr	0.00	0.0
MERRILL ASSET	032	BC	B	26,000	15.95	n/a	n/a	1,170.00	4.5
COLUMBIA PARTNERS	028	BID	B	36,091	24.48	n/a	n/a	1,443.64	4.0
COLUMBIA PARTNERS	028	BID	B	5,437	24.48	n/a	n/a	217.48	4.0
BUCK	015	CAH	S	1,000	50.95	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	401	CBE	B	17,000	41.63	24-Jan	28-Mar	680.00	4.0
ARIENCE CAPITAL	036	CBS	SS	211,000	21.08	n/a	n/a	10,550.00	5.0
WHEELER	008	CHP	S	6,600	5.65	n/a	n/a	0.00	0.0
COMMISSUM CAPITAL	067	CLMS	SS	10,000	15.94	13-Feb	14-Apr	500.00	5.0
BUCK	015	CMA	C	800	33.26	n/a	n/a	0.00	0.0
BUCK	015	COF	SS	700	46.81	n/a	n/a	0.00	0.0
BARR	096	COF	SS	600	47.41	n/a	n/a	0.00	0.0
MERRILL ASSET	032	CRR	B	7,400	43.80	13-Feb	1-Apr	370.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLER	025	C	B	100	22.27	16-Jan	14-Apr	0.00	0.0
MORRISON&FRASIER/BUTLER	040	DRYS	S	15,000	66.58	n/a	n/a	750.00	5.0
RHO CAPITAL MGMT	041	EEM	S	400	138.56	n/a	n/a	16.00	4.0
CATAPULT	040	EMN	SS	21,100	68.69	n/a	n/a	1,055.00	5.0
RHO CAPITAL MGMT	041	EWI	S	1,100	18.15	n/a	n/a	44.00	4.0
MCCARTAN	028	FELE	B	200	33.29	n/a	n/a	0.00	0.0
LUCHANSKY	036	FELE	B	200	33.07	n/a	n/a	0.00	0.0
BARR	096	FLDR	SS	4,692	6.78	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GNTX	B	5,000	16.37	7-Apr	7-Apr	250.00	5.0
COUGAR TRADING	044	GYMB	B	10,000	39.68	2-Apr	11-Apr	500.00	5.0
DECADE CAPITAL PARTNERS	040	HTH	B	25,000	10.38	n/a	n/a	1,250.00	5.0
BUCK	015	HUM	B	1,000	42.40	n/a	n/a	0.00	0.0
S.A.C. CAPITAL MGMT.	044	HUN	B	50,000	22.15	n/a	n/a	2,500.00	5.0
DECADE CAPITAL PARTNERS	040	IBOC	B	20,000	21.71	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	JCG	B	10,000	42.28	28-Nov	12-Mar	500.00	5.0
J.W. SELIGMAN	041	JNJ	S	47,500	66.04	n/a	22-Apr	1,900.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JNY	S	250,000	13.14	n/a	15-Feb	10,000.00	4.0
COUGAR TRADING	044	KSS	B	5,000	43.34	4-Jan	11-Apr	250.00	5.0
BARR	096	LEN	SS	1,000	17.60	n/a	n/a	0.00	0.0
WAGONHOUND	048	LPX	B	4,630	9.83	7-Apr	7-Apr	138.90	3.0
UBS OCONNOR	031	MER	C	70,000	42.70	18-Jan	14-Apr	2,100.00	3.0
BUCK	015	MER	SS	800	42.84	18-Jan	14-Apr	0.00	0.0
FIRST NY SEC/CHRIS	041	MOT	S	20,000	8.99	n/a	n/a	1,200.00	6.0
COUGAR TRADING	044	M	SS	15,000	22.99	7-Feb	11-Apr	750.00	5.0
SANDLER O'NEILL ASSET	031	NTRS	B	15,000	66.13	n/a	14-Apr	750.00	5.0
MAGUIRE	039	PDC	S	300	17.19	n/a	n/a	0.00	0.0
LATEFF MGMT	035	PKG	B	10,000	21.15	7-Apr	7-Apr	1,000.00	10.0
NWQ INVESTMENT MGMT CO	048	PKG	B	4,500	21.05	7-Apr	7-Apr	180.00	4.0
NWQ INVESTMENT MGMT CO	048	PKG	B	60,600	21.05	7-Apr	7-Apr	2,424.00	4.0
HIGHBRIDGE CAPITAL	038	PPG	B	10,000	62.94	n/a	26-Feb	500.00	5.0
PERRY PARTNERS	041	PRU	B	20,000	76.05	n/a	n/a	600.00	3.0
CATAPULT	040	ROH	SS	27,900	56.01	n/a	28-Jan	1,395.00	5.0
HIGHBRIDGE CAPITAL	038	ROH	B	12,000	56.12	n/a	28-Jan	600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KNOTT PARTNERS	044	RVI	S	150,000	3.98	n/a	n/a	3,000.00	2.0
DECADE CAPITAL PARTNERS	040	SAF	SS	10,000	44.85	n/a	n/a	500.00	5.0
GREENLIGHT CAPITAL	041	SAI	S	49,100	18.69	n/a	n/a	2,455.00	5.0
CATAPULT	040	SCHW	B	25,000	18.38	n/a	n/a	1,250.00	5.0
PAKLER	029	SKF	B	17	116.48	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								55,794.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	04/11	WHEELER (WHEELER)	008	COVJI	S	10	3.80	n/a	n/a	0.00	0.0
AO,CXL	04/11	WHEELER (WHEELER)	008	COVJI	S	10	3.80	n/a	n/a	0.00	0.0
AO,	04/10	NORTHPOINT (NORP1294T)	030	EMKR	B	22,635	7.40	n/a	n/a	679.05	3.0
AO,CXL	04/10	NORTHPOINT (NORP1290T)	030	EMKR	B	22,635	7.40	n/a	n/a	679.05	3.0
AO,CXL	04/09	WAGONHOUND (WAGO)	048	OCN	B	23,000	4.05	n/a	n/a	920.00	4.0
AO,CRT	04/09	WAGONHOUND (WAGO)	048	OCN	B	23,000	4.05	n/a	n/a	690.00	3.0
AO,CXL	04/11	IMPALA ASSET MMT (IMPAGOLDMA)	012	PII	S	75,000	41.08	n/a	n/a	2250.00	3.0
AO,	04/11	IMPALA ASSET MMT (IMPAGOLDMA)	012	PII	S	75,000	41.68	n/a	n/a	2250.00	3.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	000	PKG	B	900	21.01	7-Apr	7-Apr	36.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	000	PKG	B	800	21.01	7-Apr	7-Apr	32.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,600	21.01	7-Apr	7-Apr	64.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	2,600	21.01	7-Apr	7-Apr	104.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,800	21.01	7-Apr	7-Apr	72.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,100	21.01	7-Apr	7-Apr	44.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,500	21.01	7-Apr	7-Apr	60.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	800	21.01	7-Apr	7-Apr	32.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	300	21.01	7-Apr	7-Apr	12.00	4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	6,400	21.01	7-Apr	7-Apr	256.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	2,100	21.01	7-Apr	7-Apr	84.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,200	21.01	7-Apr	7-Apr	48.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	800	21.01	7-Apr	7-Apr	32.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,000	21.01	7-Apr	7-Apr	40.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI270096)	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI290297)	048	PKG	B	8,100	21.01	7-Apr	7-Apr	324.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI280005)	048	PKG	B	100	21.01	7-Apr	7-Apr	4.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI290857)	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	6,100	21.01	7-Apr	7-Apr	244.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI280054)	048	PKG	B	1,200	21.01	7-Apr	7-Apr	48.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI280002)	048	PKG	B	100	21.01	7-Apr	7-Apr	4.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI290860)	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	800	21.01	7-Apr	7-Apr	32.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI290625)	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI250228)	048	PKG	B	115,100	21.01	7-Apr	7-Apr	4604.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,100	21.01	7-Apr	7-Apr	44.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO (NWQI250108)	048	PKG	B	900	21.01	7-Apr	7-Apr	36.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	6,500	21.01	7-Apr	7-Apr	260.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,100	21.01	7-Apr	7-Apr	44.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	046	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	100	21.01	7-Apr	7-Apr	4.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,800	21.01	7-Apr	7-Apr	72.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	600	21.01	7-Apr	7-Apr	24.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	800	21.01	7-Apr	7-Apr	32.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	900	21.01	7-Apr	7-Apr	36.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	900	21.01	7-Apr	7-Apr	36.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	600	21.01	7-Apr	7-Apr	24.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	500	21.01	7-Apr	7-Apr	20.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	200	21.01	7-Apr	7-Apr	8.00 4.0
AO,	04/11	NWQ INVESTMENT MGMT CO ()	048	PKG	B	1,100	21.01	7-Apr	7-Apr	44.00 4.0

TOTAL (AO, CXL, CRT) : **6,898.00**

TOTAL (Trade Date) : 55,794.02

TOTAL (AO, CXL, CRT) : 6,898.00

TOTAL (RUN DATE) / NFS: **62,692.02**

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