



Daily Compliance Activity Report

Trade Date: 01/03/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SLS CAPITAL LLC	224	AA	S	31,900	36.02	n/a	n/a	1,276.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	40,000	20.51	9-Nov	7-Dec	1,600.00	4.0
THE JAY GOLDMAN	034	AEO	B	75,000	19.88	9-Nov	7-Dec	3,000.00	4.0
CAPITAL GROWTH MGMT.	241	AIG	B	40,000	56.68	n/a	n/a	2,000.00	5.0
SUNOVA CAPITAL	031	AMG	S	35,000	112.04	11-Dec	24-Dec	1,750.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	76.79	2-Oct	7-Dec	400.00	4.0
COUGAR TRADING	044	ANF	B	5,000	77.26	2-Oct	7-Dec	250.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	78.30	2-Oct	7-Dec	250.00	5.0
JP MORGAN VENTURES	046	ANF	SS	5,000	78.52	2-Oct	7-Dec	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	S	140,000	24.68	6-Aug	7-Dec	5,600.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	26.74	29-Nov	7-Dec	800.00	4.0
BULL PATH CAPITAL	044	ARO	S	30,000	26.58	29-Nov	7-Dec	1,500.00	5.0
JP MORGAN VENTURES	046	ASCA	B	10,000	26.56	n/a	6-Nov	500.00	5.0
LAGRANGE CAP ADV	048	BBW	S	4,900	12.98	19-Dec	19-Dec	245.00	5.0
WHITTIER CAP	048	BDC	B	4,395	43.89	n/a	n/a	175.80	4.0
LISTED ERR	099	BGS	S	180	10.05	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	BRCM	B	81,560	26.16	n/a	n/a	3,262.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WASHINGTON ASSET	048	BWA	S	5,000	46.42	16-Nov	16-Nov	250.00	5.0
ARIENCE CAPITAL	036	BYD	B	21,000	32.94	n/a	1-Nov	1,050.00	5.0
SATELLITE ASSET MGMT	012	BYI	S	2,900	50.26	n/a	n/a	116.00	4.0
TRUSTCO/SUNTRUST	040	CBK	B	45,026	11.00	n/a	28-Dec	1,350.78	3.0
SINCLAIR	031	CFU	B	10	0.67	n/a	n/a	0.00	0.0
RHO CAPITAL MGMT	041	CGDE	S	40,000	0.10	n/a	n/a	200.00	0.5
MKT MAKER	099	CMCSK	B	100	17.00	n/a	n/a	0.00	0.0
CASTLE ARK	031	CME	S	43,260	644.04	n/a	13-Dec	2,595.60	6.0
ZOLIDIS	011	CMG	S	400	143.56	n/a	24-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	COH	SS	15,000	30.82	24-Oct	24-Oct	600.00	4.0
BARR	096	CPNLQ	SS	80,000	0.36	n/a	29-Jun	0.00	0.0
STADIA CAPITAL	035	DECK	B	1,600	149.99	n/a	n/a	64.00	4.0
WEINTRAUB CAPITAL MGT.	040	DLTR	SS	25,000	24.74	9-Nov	7-Dec	1,000.00	4.0
SOMERSET ADV	044	DRS	SS	7,000	53.96	n/a	n/a	280.00	4.0
MAIRS AND POWER INV	030	ECL	S	10,000	50.58	4-Oct	22-Oct	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STADIA CAPITAL	035	EL	SS	132,900	43.30	25-Oct	17-Dec	5,316.00	4.0
WEINTRAUB CAPITAL MGT.	040	FDO	SS	25,000	17.90	7-Dec	7-Dec	1,000.00	4.0
BALYASNY ASSET MGMT	044	FII	B	50,000	40.54	n/a	24-Dec	2,500.00	5.0
GRUSS CAPITAL	045	FOR	B	5,000	22.51	n/a	n/a	200.00	4.0
IRONBOUND CAPITAL	012	FOR	B	84,300	22.57	n/a	n/a	4,215.00	5.0
LUCHANSKY	036	FRE	S	100	32.24	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	217	FRT	S	5,700	81.44	n/a	n/a	285.00	5.0
WEINTRAUB	024	GFG	B	300	15.29	n/a	n/a	0.00	0.0
STRATTON	N21	GF	B	99	17.10	n/a	n/a	0.00	0.0
BENCHMARK	028	GM	SS	5,000	24.25	3-Jan	3-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	GM	SS	40,000	24.27	3-Jan	3-Jan	1,600.00	4.0
COLONIAL FUND LLC	036	GM	SS	25,000	23.39	3-Jan	3-Jan	1,250.00	5.0
DSG CAPITAL	225	GM	SS	9,800	24.25	3-Jan	3-Jan	490.00	5.0
HEALY CIRCLE	044	GM	SS	50,000	24.26	3-Jan	3-Jan	2,500.00	5.0
MAGNETAR FINANCIAL	247	GM	SS	50,000	23.80	3-Jan	3-Jan	2,000.00	4.0
WASHINGTON ASSET	048	GM	SS	5,000	23.64	3-Jan	3-Jan	250.00	5.0
VENTANA CAPITAL	060	GYMB	SS	7,500	30.02	10-Aug	7-Dec	300.00	4.0
MKT MAKER	099	GYMB	B	500	28.88	10-Aug	7-Dec	0.00	0.0
MKT MAKER	099	GYMB	S	500	30.03	10-Aug	7-Dec	0.00	0.0
STRATTON	N21	HALAE	S	1	14.40	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SATELLITE ASSET MGMT	012	HEW	SS	20,000	37.86	n/a	n/a	800.00	4.0
BRANDWINE	028	HON	B	41,200	60.03	9-Oct	19-Oct	1,854.00	4.5
SAC TRADING HOWARD	038	HOTT	S	20,000	5.11	n/a	7-Dec	1,000.00	5.0
MKT MAKER	099	HOTT	B	100	5.00	n/a	7-Dec	0.00	0.0
MKT MAKER	099	HOTT	S	100	5.03	n/a	7-Dec	0.00	0.0
MKT MAKER	099	HPOL	B	16	4.00	n/a	n/a	0.00	0.0
BRANDWINE	028	HPQ	B	49,400	49.45	n/a	n/a	2,223.00	4.5
LUCHANSKY	036	ICON	S	500	18.45	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	IGT	B	12,200	43.21	n/a	2-Nov	488.00	4.0
CROWLEY	061	ILA	B	10,000	3.71	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	IP	SS	20,000	32.65	n/a	5-Nov	1,000.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	S	20,000	30.85	20-Dec	24-Dec	1,000.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	60,000	46.07	28-Nov	30-Nov	2,400.00	4.0
COUGAR TRADING	044	JCG	SS	5,000	46.19	28-Nov	30-Nov	250.00	5.0
BUCK	015	JWN	C	700	33.90	20-Nov	7-Dec	0.00	0.0
MS PRINCIPAL STRATEGIES	041	KND	B	30,000	24.61	n/a	n/a	1,500.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	44.32	9-Nov	7-Dec	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	LTD	B	9,200	17.55	n/a	7-Dec	460.00	5.0
CATAPULT	040	MTB	SS	10,000	79.40	n/a	n/a	500.00	5.0
CAPITAL GROWTH MGMT.	241	MT	S	250,000	76.22	n/a	n/a	12,500.00	5.0
RHO CAPITAL MGMT	041	NETL	S	3,800	30.90	n/a	n/a	152.00	4.0
SATELLITE ASSET MGMT	012	NTY	S	15,000	26.39	n/a	n/a	600.00	4.0
SAC TRADING HOWARD	038	PLCE	B	10,000	24.54	3-Dec	7-Dec	500.00	5.0
SATELLITE ASSET MGMT	012	PLCE	B	5,000	24.70	3-Dec	7-Dec	200.00	4.0
CATAPULT	040	PNC	SS	10,000	64.15	n/a	n/a	500.00	5.0
STRONG/MARK GRONET	030	PWE	B	10,540	27.32	n/a	n/a	421.60	4.0
STRONG/MARK GRONET	030	PXD	B	21,995	49.70	n/a	30-Nov	879.80	4.0
TRUST CO/COWEN/CALF.	040	Q	B	1,024,900	6.74	n/a	n/a	40,996.00	4.0
BUCK	015	SBUX	B	1,000	18.64	n/a	24-Apr	0.00	0.0
MKT MAKER	099	SBUX	B	100	19.00	n/a	24-Apr	0.00	0.0
DENVER INST. ADV	046	SHPGY	S	97,830	66.59	2-Nov	2-Jan	3,913.20	4.0
BUCK CAPITAL MGMT	001	SKS	S	10,000	19.10	n/a	n/a	400.00	4.0
STADIA CAPITAL	035	SKS	B	4,300	19.29	n/a	n/a	172.00	4.0
WEISS PECK	040	SKX	B	5,000	18.48	n/a	13-Mar	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	SPY	SS	500	144.92	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNAJ	S	10	9.10	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	20,000	20.06	11-Dec	11-Dec	1,000.00	5.0
ROYCE TRADING	216	TWP	B	10,000	8.61	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	UA	B	10,000	44.06	n/a	n/a	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	UFS	B	300,000	7.71	n/a	n/a	15,000.00	5.0
WAGONHOUND	048	URBN	S	10,000	27.81	3-Jan	3-Jan	400.00	4.0
BUCK	015	USBCZ	B	20	0.90	n/a	n/a	0.00	0.0
SINCLAIR	031	VCFA	B	200	0.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	B	11,200	68.23	n/a	n/a	448.00	4.0
MERRILL ASSET	032	VQ	B	18,300	19.91	n/a	n/a	823.50	4.5
MERRILL ASSET	032	VQ	S	10,200	19.90	n/a	n/a	459.00	4.5
LUCHANSKY4	036	VSL	S	100	36.48	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	WDR	B	58,210	35.17	21-Nov	24-Dec	2,619.45	4.5
BUCK	015	WFMI	C	800	39.78	n/a	n/a	0.00	0.0
CROWLEY	061	WHT	S	1,000	2.88	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	WRE	B	100,352	31.10	n/a	n/a	3,010.56	3.0
XYLEM GLOBAL	091	WY	S	20,000	72.43	1-Nov	1-Nov	1,000.00	5.0
RHO CAPITAL MGMT	041	XSI	S	19,000	2.71	n/a	n/a	285.00	1.5
SATELLITE ASSET MGMT	012	ZQK	B	10,000	8.54	n/a	18-Dec	400.00	4.0
WEISS PECK	040	ZQK	B	13,400	8.20	n/a	18-Dec	268.00	2.0
TOTAL (Trade Date):								154,944.69	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/02	RHO CAPITAL MGMT (RHOCJOSHUA)	041	CGDE	S	3,000	0.11	n/a	n/a	150.00 5.0
AO,CRT	01/02	RHO CAPITAL MGMT (RHOCRIIII)	041	CGDE	S	17,000	0.11	n/a	n/a	85.00 0.5
AO,CXL	01/02	RHO CAPITAL MGMT (RHOCBSPB)	041	CGDE	S	20,000	0.11	n/a	n/a	300.00 1.5
CRT	01/03	MKT MAKER (MKT MAKER)	099	CMCSK	B	100	17.00	n/a	n/a	0.00 0.0
CRT	01/03	BARROW HANLEY MEWHINNEY (BARR)	096	CPNLQ	SS	80,000	0.36	n/a	29-Jun	0.00 0.0
AO,CXL	01/02	RHO CAPITAL MGMT (RHOCBSPB)	041	CPST	S	4,000	1.62	n/a	n/a	160.00 4.0
AO,CRT	01/02	RHO CAPITAL MGMT (RHOCBSPB)	041	CPST	S	4,000	1.62	n/a	n/a	20.00 0.5
CRT	01/03	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	DLTR	SS	25,000	24.74	9-Nov	7-Dec	1000.00 4.0
AO,CXL	01/02	POST ROAD CAP (POSTUBS)	045	DTV	B	14,400	22.71	15-Nov	19-Nov	576.00 4.0
AO,CRT	01/02	POST ROAD CAP (POSTUBS)	045	DTV	B	14,400	22.71	15-Nov	19-Nov	432.00 3.0
CRT	01/03	MKT MAKER (MKT MAKER)	099	GYMB	S	100	30.03	10-Aug	7-Dec	0.00 0.0
CRT	01/03	MKT MAKER (MKT MAKER)	099	GYMB	S	100	30.03	10-Aug	7-Dec	0.00 0.0
CRT	01/03	MKT MAKER (MKT MAKER)	099	GYMB	S	300	29.92	10-Aug	7-Dec	0.00 0.0
AO,	01/02	UBS OCONNOR (UBSOLEHCHA)	031	JPM	SS	29,325	42.35	19-Oct	13-Dec	879.75 3.0
AO,	01/02	UBS OCONNOR (UBSOCSFBCO)	031	JPM	SS	55,675	42.35	19-Oct	13-Dec	1670.25 3.0
AO,	01/02	RHO CAPITAL MGMT (RHOCRI1)	041	NETL	S	4,103	31.01	n/a	n/a	164.12 4.0
AO,	01/02	RHO CAPITAL MGMT (RHOCJOSHUA)	041	NETL	S	3,165	31.01	n/a	n/a	126.60 4.0
AO,CRT	01/02	RHO CAPITAL MGMT (RHOCRIIII)	041	NETL	S	17,932	31.01	n/a	n/a	717.28 4.0
AO,CXL	01/02	RHO CAPITAL MGMT (RHOCBSPB)	041	NETL	S	25,200	31.01	n/a	n/a	1008.00 4.0
CRT	01/03	MKT MAKER (MKT MAKER)	099	SBUX	B	100	19.00	n/a	24-Apr	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/02	RHO CAPITAL MGMT (RHOCJOSHUA)	041	XSI	S	150	2.85	n/a	n/a	0.02	0.0
AO,CRT	01/02	RHO CAPITAL MGMT (RHOCRIII)	041	XSI	S	850	2.85	n/a	n/a	12.75	1.5
AO,CXL	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) :	3,198.77
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TOTAL (Trade Date):	154,944.69
TOTAL (AO, CXL, CRT):	3,198.77

TOTAL (RUN DATE) / NFS:	158,143.46
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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