



## Daily Compliance Activity Report

Trade Date: 05/14/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SATELLITE ASSET MGMT	012	ABG	B	20,000	17.24	n/a	25-Apr	800.00	4.0
<b>BARR</b>	<b>096</b>	<b>ACFN</b>	<b>B</b>	<b>8,000</b>	<b>5.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>ADWJJ</b>	<b>B</b>	<b>5</b>	<b>9.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	AEO	SS	50,000	18.89	6-Mar	9-May	2,000.00	4.0
COUGAR TRADING	044	AEO	B	10,000	18.82	6-Mar	9-May	500.00	5.0
J L F ASSET MGMT	039	AEO	B	131,700	18.90	6-Mar	9-May	5,268.00	4.0
ROYCE TRADING	216	AEO	B	29,100	18.86	6-Mar	9-May	1,455.00	5.0
BECK MACK & OLIVER LLC	045	AIG	B	3,100	39.50	n/a	n/a	155.00	5.0
NEUBERGER BERMAN	036	AIG	S	343,020	39.29	n/a	n/a	15,435.90	4.5
TYEE/TYGH	035	AMG	B	17,301	102.00	7-Apr	14-May	692.04	4.0
WYPER CAPITAL	044	AMX	B	90,000	58.71	n/a	n/a	3,600.00	4.0
ARIENCE CAPITAL	036	ANF	C	17,700	75.65	10-Apr	9-May	885.00	5.0
J L F ASSET MGMT	039	ANF	B	29,200	76.01	10-Apr	9-May	1,168.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>SS</b>	<b>20,000</b>	<b>29.09</b>	<b>14-Mar</b>	<b>12-May</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	AN	B	5,000	16.85	n/a	25-Apr	250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>ARGN</b>	<b>B</b>	<b>600</b>	<b>12.65</b>	<b>n/a</b>	<b>1-May</b>	<b>0.00</b>	<b>0.0</b>
PILOT ROCK	028	AXP	SS	25,000	49.86	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BECK MACK & OLIVER LLC	045	BAM	B	1,400	35.17	n/a	n/a	70.00	5.0
HOLDEN CAPITAL MGMT	035	BIG	SS	7,500	29.08	6-Mar	9-May	375.00	5.0
LEVIN CAPITAL STRATEGIES	012	BKC	B	30,000	29.91	1-May	2-May	1,200.00	4.0
LAGRANGE CAP ADV	048	BLC	B	4,600	10.11	n/a	n/a	230.00	5.0
BECK MACK & OLIVER LLC	045	BSX	B	7,500	13.35	n/a	22-Apr	375.00	5.0
NEUBERGER BERMAN	036	CMCSK	S	59,300	21.97	n/a	n/a	2,668.53	4.5
COUGAR TRADING	044	CPKI	SS	10,000	16.40	n/a	9-May	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>CPN</b>	<b>S</b>	<b>1,475</b>	<b>20.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GRONET</b>	<b>030</b>	<b>CPN</b>	<b>S</b>	<b>2,000</b>	<b>20.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	CVS	B	35,000	42.05	n/a	n/a	1,400.00	4.0
RHO CAPITAL MGMT	041	CYBX	B	1,700	16.55	n/a	n/a	68.00	4.0
NEUBERGER BERMAN	036	DPL	S	142,900	27.89	n/a	n/a	6,430.50	4.5
<b>WHEELER</b>	<b>008</b>	<b>DW</b>	<b>B</b>	<b>4,000</b>	<b>24.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>S CAST</b>	<b>016</b>	<b>EPG</b>	<b>B</b>	<b>500</b>	<b>4.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>EXHKL</b>	<b>S</b>	<b>5</b>	<b>16.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SERENGETI MGMT	030	FED	B	75,000	15.20	n/a	n/a	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	FII	S	5,000	36.00	14-Apr	9-May	250.00	5.0
MS PRINCIPAL STRATEGIES	041	FITB	B	14,094	20.94	n/a	n/a	704.70	5.0
BARON ASSET MGMT*	012	FOSL	B	25,000	34.36	n/a	14-May	1,250.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>FOSL</b>	<b>B</b>	<b>4,500</b>	<b>34.26</b>	<b>n/a</b>	<b>14-May</b>	<b>270.00</b>	<b>6.0</b>
LEHMAN PROPRIETARY TRAD	041	FOSL	S	100,000	33.64	n/a	14-May	4,000.00	4.0
LAGRANGE CAP ADV	048	F	SS	20,000	8.30	25-Apr	2-May	1,000.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>HEMGF</b>	<b>B</b>	<b>600</b>	<b>4.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	ICON	B	265,200	14.98	n/a	n/a	10,608.00	4.0
BMO NESBITT BURNS	041	IP	B	50,000	27.09	8-Feb	7-Apr	2,000.00	4.0
FIRST NY SEC/CHRIS	041	IP	B	10,000	27.18	8-Feb	7-Apr	600.00	6.0
GRUBER MACBAINE	033	JPM	B	25,000	45.95	8-May	8-May	1,000.00	4.0
CENTURION GLOBAL MGMT LL	041	LLTC	B	13,500	36.89	n/a	n/a	405.00	3.0
FIRST NY SEC/CHRIS	041	LPX	B	35,000	11.10	7-Apr	7-May	2,100.00	6.0
<b>ZOLIDIS</b>	<b>011</b>	<b>LVS</b>	<b>S</b>	<b>15</b>	<b>72.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>LVS</b>	<b>B</b>	<b>400</b>	<b>72.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BECK MACK & OLIVER LLC	045	MBLX	B	600	10.55	n/a	n/a	30.00	5.0
WYPER CAPITAL	044	MCD	S	90,000	60.63	n/a	8-May	3,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>WHEELER</b>	<b>008</b>	<b>MNC</b>	<b>B</b>	<b>15,000</b>	<b>5.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN LEWIS/MLH	046	MO	S	90,000	22.01	n/a	n/a	4,500.00	5.0
<b>GRONET</b>	<b>030</b>	<b>MSFT</b>	<b>S</b>	<b>200</b>	<b>30.07</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>CHIARMONTE</b>	<b>N10</b>	<b>MSFT</b>	<b>B</b>	<b>25</b>	<b>30.08</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>REALBUTO</b>	<b>N10</b>	<b>MSFT</b>	<b>S</b>	<b>25</b>	<b>30.00</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	M	SS	20,000	25.23	7-Feb	9-May	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	M	SS	15,000	25.04	7-Feb	9-May	750.00	5.0
<b>OTC ERROR</b>	<b>099</b>	<b>NUVA</b>	<b>B</b>	<b>195</b>	<b>40.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	OXM	S	10,100	29.64	n/a	n/a	378.75	3.8
HOLDEN CAPITAL MGMT	035	PAG	SS	10,500	20.71	22-Apr	30-Apr	525.00	5.0
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>3,100</b>	<b>5.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>PENN</b>	<b>B</b>	<b>700</b>	<b>46.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRIVIMUM CAP MGMT	251	PKG	B	15,000	23.63	7-Apr	22-Apr	600.00	4.0
HOLDEN CAPITAL MGMT	035	POOL	SS	10,000	21.74	n/a	n/a	500.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>PRX</b>	<b>S</b>	<b>400</b>	<b>17.49</b>	<b>n/a</b>	<b>13-May</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	PVH	S	15,000	46.62	5-May	5-May	600.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>QHHIE</b>	<b>S</b>	<b>20</b>	<b>3.30</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.	
BUCK CAPITAL MGMT	001	RL	B	40,000	63.64	7-Feb	6-May	1,600.00	4.0
HOLDEN CAPITAL MGMT	035	RSH	SS	14,000	15.54	n/a	n/a	700.00	5.0
HIGHBRIDGE CAPITAL	038	RVBD	SS	12,000	16.85	n/a	n/a	600.00	5.0
BARR	096	SLV	B	100	166.18	n/a	n/a	0.00	0.0
BARR	096	SOAP	C	5,144	6.56	n/a	n/a	0.00	0.0
BUCK	015	SPY	B	200	141.62	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	SSCC	B	100,000	5.58	7-Apr	23-Apr	3,000.00	3.0
FIRST NY SEC/CHRIS	041	SSCC	B	20,000	5.59	7-Apr	23-Apr	1,200.00	6.0
SCOPUS FUND	041	SSCC	B	25,000	5.56	7-Apr	23-Apr	1,250.00	5.0
PRINCIPLE CAPITAL	040	THI	SS	91,500	32.99	n/a	24-Apr	2,745.00	3.0
SANDLER O'NEILL ASSET	031	TROW	B	5,000	61.64	9-Jan	2-May	250.00	5.0
BUCK	015	UBS	B	500	30.94	n/a	n/a	0.00	0.0
S CAST	016	UQM	B	400	2.48	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	VC	S	18,800	4.85	n/a	1-May	564.00	3.0
BUCK	015	VNO	S	250	97.69	n/a	n/a	0.00	0.0
SOROS	036	WDC	B	500,000	34.00	n/a	n/a	20,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	WFMI	C	300	29.47	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	WMT	S	20,000	57.47	13-May	13-May	1,000.00	5.0
SNYDER CAPITAL	038	WRNC	S	6,475	50.25	13-May	13-May	259.00	4.0
HOLDEN CAPITAL MGMT	035	WTW	SS	5,000	44.30	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	X	B	124,590	172.39	n/a	n/a	5,606.58	4.5
BUCK CAPITAL MGMT	001	ZQK	B	49,200	9.73	5-Feb	7-Mar	1,968.00	4.0
TOTAL (Trade Date):							128,740.00		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/14	ADAGE CAPITAL MGMT (ADAGESHORT)	030	AEO	SS	50,000	18.89	6-Mar	9-May	2000.00 4.0
AO,CRT	05/12	BARROW HANLEY MEWHINNEY (BARR)	096	EXAR	B	2,400	9.05	n/a	n/a	0.00 0.0
AO,CXL	05/12	BARROW HANLEY MEWHINNEY (BARR)	096	EXAR	B	2,400	9.05	n/a	n/a	0.00 0.0
CRT	05/14	BMO NESBITT BURNS (BMONFLIP)	041	IP	B	50,000	27.09	8-Feb	7-Apr	2000.00 4.0
CRT	05/14	CHIARMONTE (CHIARMONTE)	N10	MSFT	B	25	30.08	n/a	3-Apr	0.00 0.0
AO,	05/13	NOMURA CAPITAL (NOMUSTRATE)	045	SUP	SS	1,800	21.94	n/a	n/a	90.00 5.0
AO,	05/13	NOMURA CAPITAL (NOMUBATT2)	045	SUP	SS	2,000	21.94	n/a	n/a	100.00 5.0
AO,	05/13	NOMURA CAPITAL (NOMUBSMAIN)	045	SUP	SS	2,700	21.94	n/a	n/a	135.00 5.0
TOTAL (AO, CXL, CRT) :									4,325.00	
TOTAL (Trade Date) :									128,740.00	
TOTAL (AO, CXL, CRT) :									4,325.00	
TOTAL (RUN DATE) / NFS :									133,065.00	

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