



Daily Compliance Activity Report

Trade Date: 01/15/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	AB	S	5,000	64.84	11-Jan	15-Jan	250.00	5.0
KEEFE BRUYETTE WOODS A	031	AB	B	8,300	66.25	11-Jan	15-Jan	415.00	5.0
STRONG/WELL HOWARD	038	AKAM	B	50,000	27.06	n/a	n/a	2,000.00	4.0
INDEPENDENCE INV	039	AMAT	S	193,600	16.93	n/a	n/a	7,744.00	4.0
CATAPULT	040	AMG	B	10,000	95.36	9-Jan	15-Jan	500.00	5.0
MCERLEAN	RR2	AMR	B	500	13.18	n/a	n/a	0.00	0.0
BUCK	015	ANF	C	400	70.05	10-Jan	11-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	AN	SS	50,000	12.53	n/a	15-Jan	2,000.00	4.0
COUGAR TRADING	044	ARO	S	5,000	22.40	29-Nov	11-Jan	250.00	5.0
THE JAY GOLDMAN	034	ARO	B	33,802	22.53	29-Nov	11-Jan	1,352.08	4.0
GREENLIGHT CAPITAL	041	ARTC	SS	1,300	48.00	n/a	n/a	65.00	5.0
BUCK CAPITAL MGMT	001	BBY	SS	50,000	43.72	n/a	27-Jul	2,000.00	4.0
RAINIER INV MGMT	035	BFAM	S	79,500	44.85	n/a	n/a	3,975.00	5.0
STADIA CAPITAL	035	BID	SS	50,000	32.21	n/a	n/a	2,000.00	4.0
OSS CAPITAL/KEVIN DANN	067	BIG	B	350,000	13.99	7-Jan	11-Jan	10,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	BONT	S	1,000	5.35	4-Jan	11-Jan	0.00	0.0
MATLIN PATTERSON	046	BTU	B	10,000	56.79	n/a	n/a	500.00	5.0
WASHINGTON ASSET	048	CAL	S	5,000	25.21	n/a	n/a	250.00	5.0
LUCHANSKY1	036	CHL	S	100	77.51	n/a	n/a	0.00	0.0
ACK ASSET	028	CLMS	SS	5,000	25.75	15-Jan	15-Jan	250.00	5.0
AVESTA CAP	229	CLMS	SS	25,000	23.20	15-Jan	15-Jan	1,250.00	5.0
COUGAR TRADING	044	CLMS	SS	17,500	25.84	15-Jan	15-Jan	875.00	5.0
DSG CAPITAL	225	CLMS	B	15,000	23.26	15-Jan	15-Jan	750.00	5.0
MKT MAKER	099	CMCSA	S	100	17.45	26-Oct	4-Jan	0.00	0.0
MKT MAKER	099	CMCSK	S	100	17.31	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	CNQ	S	10,000	71.17	n/a	n/a	400.00	4.0
MATLIN PATTERSON	046	CNX	B	10,000	68.57	n/a	n/a	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	COF	S	15,000	41.43	n/a	n/a	600.00	4.0
ATLAS CAPITAL	012	COH	SS	50,000	24.69	24-Oct	14-Jan	2,500.00	5.0
ZOLIDIS	011	COH	SS	400	24.80	24-Oct	14-Jan	0.00	0.0
MATRIX ASSET ADV.	036	COV	S	11,500	44.69	n/a	n/a	460.00	4.0
AMBER CAPITAL	046	CVBF	B	103,200	9.05	n/a	n/a	4,128.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	C	S	50,000	27.04	5-Nov	14-Jan	2,500.00	5.0
WASHINGTON ASSET	048	C	S	10,000	27.08	5-Nov	14-Jan	500.00	5.0
TPG-AXON	040	DD	SS	200,000	45.30	n/a	9-Jan	10,000.00	5.0
CGLO	041	DECK	B	2,781	129.51	n/a	n/a	83.43	3.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	27.07	n/a	27-Nov	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	DKS	S	10,000	26.40	n/a	27-Nov	400.00	4.0
PRINCIPLE CAPITAL	040	DKS	B	42,600	26.46	n/a	27-Nov	1,278.00	3.0
CAPITAL GROWTH MGMT.	241	DVN	S	185,000	87.21	14-Jan	14-Jan	9,250.00	5.0
LUCHANSKY1	036	ECL	SS	300	49.51	4-Jan	4-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	EL	SS	60,000	37.52	4-Jan	4-Jan	2,400.00	4.0
BUCK CAPITAL MGMT	001	ETH	SS	15,000	23.54	n/a	n/a	600.00	4.0
UBS OCONNOR	031	EV	SS	110,000	37.28	9-Jan	15-Jan	3,300.00	3.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	20,001	19.00	n/a	n/a	1,000.05	5.0
IRONBOUND CAPITAL	012	FOR	B	23,900	18.50	n/a	n/a	956.00	4.0
T. ROWE PRICE	033	FO	B	57,300	67.41	n/a	n/a	2,292.00	4.0
Õ Alice Longley		FSLR	S	100218.1900		n/a	n/a	0.00	0.0
BUCK	015	FXE	S	800	148.71	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCUTMA	031	GS	S	10	193.85	21-Sep	14-Jan	0.00	0.0
SAGE ASSET MGMT	012	HBAN	B	20,000	12.16	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	HOG	SS	20,000	39.71	n/a	n/a	800.00	4.0
WAGONHOUND	048	HSC	B	16,225	54.18	10-Dec	10-Dec	649.00	4.0
WAGONHOUND	048	HSC	S	17,740	54.06	10-Dec	10-Dec	709.60	4.0
GALLEON MGMT LP	033	IFSIA	S	20,000	15.25	n/a	n/a	1,000.00	5.0
CGLO	041	INTC	B	39,800	22.73	n/a	n/a	1,194.00	3.0
XYLEM GLOBAL	091	IP	B	16,000	30.87	8-Jan	8-Jan	800.00	5.0
GREENLIGHT CAPITAL	041	ITRI	SS	7,600	90.05	n/a	n/a	380.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	39.64	28-Nov	30-Nov	250.00	5.0
J L F ASSET MGMT	039	JCP	SS	207,000	36.92	4-Jan	11-Jan	8,280.00	4.0
BUCK	015	JJG	B	1,000	61.70	n/a	n/a	0.00	0.0
SLS CAPITAL LLC	224	JNS	SS	100,000	26.97	9-Jan	15-Jan	4,000.00	4.0
APEX CAPITAL MGMT.	091	JNY	SS	78,000	12.81	n/a	1-Nov	3,900.00	5.0
GENERAL ELECTIC CO	033	JPM	B	64,000	40.10	19-Oct	14-Jan	1,280.00	2.0
COUGAR TRADING	044	JWN	S	5,000	30.01	20-Nov	11-Jan	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	KMT	S	5,800	30.72	n/a	n/a	261.10	4.5
MS PRINCIPAL STRATEGIES	041	KND	B	3,700	23.09	n/a	n/a	185.00	5.0
MS PRINCIPAL STRATEGIES	041	KND	SS	15,000	24.01	n/a	n/a	750.00	5.0
BALYASNY ASSET MGMT	044	KSS	SS	20,000	38.14	4-Jan	11-Jan	1,000.00	5.0
BENNETT LAWRENCE	045	KSS	SS	41,250	38.06	4-Jan	11-Jan	1,856.25	4.5
COUGAR TRADING	044	KSS	SS	10,000	38.09	4-Jan	11-Jan	500.00	5.0
MERRILL ASSET	032	LEN	B	17,500	14.13	n/a	n/a	787.50	4.5
SINCLAIR	031	LESAM	S	50	0.05	n/a	n/a	0.00	0.0
SINCLAIR	031	LESDM	S	50	2.20	n/a	n/a	0.00	0.0
SINCLAIR	031	LESGL	B	10	5.40	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	LTD	S	100,000	15.14	n/a	11-Jan	5,000.00	5.0
BUCK	015	MDY	B	300	142.68	n/a	n/a	0.00	0.0
CGLO	041	MSFT	B	10,400	34.05	n/a	3-Apr	312.00	3.0
SANDLER O'NEILL ASSET	031	MS	SS	30,000	47.70	20-Dec	14-Jan	1,500.00	5.0
MERRILL ASSET	032	MTG	B	25,700	17.15	n/a	n/a	1,156.50	4.5
LISTED ERR	099	M	S	540	21.25	4-Jan	11-Jan	0.00	0.0
CATAPULT	040	NMX	B	5,000	114.38	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	OPXT	S	4,000	4.66	n/a	n/a	0.00	0.0
CGLO	041	ORCL	B	41,300	21.81	n/a	n/a	1,239.00	3.0
BUCK CAPITAL MGMT	001	OXM	SS	20,000	21.15	n/a	n/a	800.00	4.0
GRUSS CAPITAL	045	PCL	S	10,000	40.79	8-Jan	8-Jan	400.00	4.0
CAPITAL GROWTH MGMT.	241	PLD	B	50,000	55.54	n/a	n/a	2,500.00	5.0
MKT MAKER	099	PSUN	B	100	10.00	n/a	11-Jan	0.00	0.0
CUMBERLAND	038	PXP	B	10,000	51.32	n/a	n/a	400.00	4.0
KEEFE BRUYETTE WOODS A	031	PZN	SS	18,000	10.02	11-Jan	15-Jan	900.00	5.0
BARON ASSET MGMT*	012	RL	B	75,000	51.54	14-Jan	14-Jan	3,750.00	5.0
BUCK CAPITAL MGMT	001	RL	S	20,000	52.01	14-Jan	14-Jan	800.00	4.0
CASTLE ARK	031	RL	S	149,410	51.42	14-Jan	14-Jan	8,964.60	6.0
VIKING GLOBAL	030	RSH	B	212,000	14.31	n/a	n/a	10,600.00	5.0
BUCK CAPITAL MGMT	001	SKS	S	326,100	15.34	n/a	n/a	13,044.00	4.0
ZOLIDIS	011	SKX	SS	1,000	16.27	n/a	13-Mar	0.00	0.0
GALLEON MGMT LP	033	SNY	SS	10,000	46.95	n/a	n/a	500.00	5.0
BUCK	015	STI	SS	1,000	60.08	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	TGT	SS	44,000	49.71	n/a	27-Jul	2,200.00	5.0
J L F ASSET MGMT	039	TGT	SS	154,200	49.70	n/a	27-Jul	6,168.00	4.0
COUGAR TRADING	044	TWB	B	5,000	27.47	9-Jan	9-Jan	250.00	5.0
ZOLIDIS	011	UA	C	300	43.49	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	UB	B	10,000	43.94	n/a	n/a	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	UFS	B	250,000	7.39	n/a	n/a	12,500.00	5.0
BARR	096	UNTD	S	2,600	10.79	n/a	n/a	0.00	0.0
SINCUTMA	031	VC	B	200	3.54	n/a	14-Jan	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	VPRT	B	41,200	31.47	n/a	n/a	1,236.00	3.0
N STRATTON	014	WCRX	S	500	17.51	n/a	14-Jan	0.00	0.0
BUCK	015	WDR	C	1,000	32.00	21-Nov	15-Jan	0.00	0.0
BENCHMARK	028	WMS	SS	10,000	31.65	n/a	n/a	500.00	5.0
MKT MAKER	099	WRNC	S	500	32.55	14-Jan	14-Jan	0.00	0.0
COUGAR TRADING	044	ZQK	SS	20,000	7.46	n/a	18-Dec	1,000.00	5.0
COUGAR TRADING	044	ZQK	S	30,000	7.44	n/a	18-Dec	1,500.00	5.0

TOTAL (Trade Date):

188,176.11

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/14	MORGAN BANK /JPM (JPMB865657)	012	GE	S	17,834	35.38	n/a	n/a	535.02	3.0
AO,	01/14	MORGAN BANK /JPM (JPMBUPTOWN)	012	GE	S	2,200	35.38	n/a	n/a	66.00	3.0
AO,	01/08	LISTED ERR (LISTED ERR)	099	M	B	540	22.83	4-Jan	11-Jan	0.00	0.0
AO,CXL	01/08	CAMBIAR CAP (CAMB6)	046	M	B	540	22.83	4-Jan	11-Jan	21.60	4.0
CRT	01/15	MKT MAKER (MKT MAKER)	099	PSUN	B	100	10.00	n/a	11-Jan	0.00	0.0
AO,CRT	01/08	KAICHER (KAICHER)	064	RVI	B	500	4.88	n/a	n/a	0.00	0.0
AO,CXL	01/08	KAICHER (KAICHER)	064	RVI	B	500	4.88	n/a	n/a	0.00	0.0
AO,CXL	01/10	STONERIDGE INV PART (STOR084)	028	WDR	B	90	32.80	21-Nov	15-Jan	0.00	0.0
AO,	01/10	STONERIDGE INV PART (STOR084)	028	WDR	B	90	32.80	21-Nov	15-Jan	4.50	5.0
TOTAL (AO, CXL, CRT) :										583.92	
TOTAL (Trade Date) :									188,176.11		
TOTAL (AO, CXL, CRT) :									583.92		
TOTAL (RUN DATE) / NFS:									188,760.03		

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