



## Daily Compliance Activity Report

Trade Date: 03/20/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	036	ADI	B	2,300	27.65	n/a	n/a	92.00	4.0
LEDDY	035	AER	B	600	18.17	n/a	n/a	0.00	0.0
LEDDY	035	AN	SS	1,200	15.75	n/a	8-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	APP	B	10,000	8.82	n/a	n/a	400.00	4.0
TRELLUS PARTNERS LP	028	ARGN	B	10,000	15.30	n/a	25-Feb	500.00	5.0
CENTURION GLOBAL MGMT LL	041	AUO	B	24,000	18.50	n/a	n/a	720.00	3.0
BASIX	033	BGC	S	21,700	53.12	n/a	n/a	868.00	4.0
BUCK CAPITAL MGMT	001	BJ	B	30,000	35.45	n/a	27-Jul	1,200.00	4.0
WHEELER	008	BMV	B	5,000	21.58	n/a	n/a	0.00	0.0
SCOPUS FUND	041	BWA	B	30,000	43.02	14-Jan	8-Feb	1,500.00	5.0
TRELLUS PARTNERS LP	028	CASY	C	50,000	22.53	n/a	n/a	2,500.00	5.0
MFP INVESTORS	032	CBT	B	100	26.25	n/a	30-Jan	5.00	5.0
LEDDY	035	CHCG	B	7,000	1.39	n/a	n/a	0.00	0.0
WELLS/STRONG LEDDY	035	CHRS	B	131,200	4.90	n/a	22-Mar	3,936.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	CLMS	B	25,000	15.03	13-Feb	13-Mar	1,250.00	5.0
HOOVER INV. MGMT	033	CLR	S	53,600	26.48	n/a	n/a	2,680.00	5.0
COUGAR TRADING	044	COH	B	5,000	28.40	24-Oct	14-Mar	250.00	5.0
POST ROAD CAP	045	CVS	S	20,000	39.65	n/a	n/a	600.00	3.0
NOMURA CAPITAL	045	DAL	S	700	10.50	n/a	n/a	35.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>SS</b>	<b>10,000</b>	<b>18.25</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
WEISS PECK	040	DSW	B	10,830	17.17	26-Oct	20-Mar	541.50	5.0
GRISANTI BROWN & PARTNER	048	DYN	S	44,100	7.62	n/a	n/a	1,764.00	4.0
NOMURA CAPITAL	045	FEMO	S	2,000	19.85	n/a	n/a	100.00	5.0
<b>BARR</b>	<b>096</b>	<b>FMCN</b>	<b>C</b>	<b>600</b>	<b>33.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>J COHEN</b>	<b>N27</b>	<b>FXEOY</b>	<b>S</b>	<b>1</b>	<b>0.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>FXP</b>	<b>S</b>	<b>1,000</b>	<b>112.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>70,000</b>	<b>34.61</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	237	GES	SS	100,000	34.64	n/a	n/a	5,000.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	41.33	n/a	13-Mar	250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>HAL</b>	<b>S</b>	<b>400</b>	<b>35.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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NOMURA CAPITAL	045	HAYZ	S	10,000	3.01	n/a	n/a	500.00	5.0
AMBER CAPITAL	046	HBAN	SS	175,000	10.74	n/a	n/a	7,000.00	4.0
MAGUIRE	090	HDB	C	1,000	93.90	n/a	n/a	0.00	0.0
N STRATTON	014	IYR	SS	100	66.78	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	B	5,000	41.97	28-Nov	12-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	KMX	SS	10,000	20.12	n/a	10-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	19.46	n/a	17-Mar	400.00	4.0
LUCHANSKY1	036	LLL	C	200	106.22	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	ME	S	55,000	25.93	n/a	n/a	2,750.00	5.0
HART	056	MSJJ	S	10	4.80	n/a	n/a	0.00	0.0
WHEELER	008	MTRX	B	4,600	16.80	n/a	n/a	0.00	0.0
ZOLIDIS	011	NFLX	S	200	36.09	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	251	NTAP	B	100,000	19.48	n/a	n/a	4,000.00	4.0
NOMURA CAPITAL	045	NWA	S	2,108	10.50	n/a	n/a	105.40	5.0
WELLS/STRONG LEDDY	035	NWY	S	1,500	5.69	n/a	20-Mar	45.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	NYT	S	50,000	19.50	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>SS</b>	<b>5,000</b>	<b>23.00</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>PBR</b>	<b>B</b>	<b>100</b>	<b>94.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	PSS	B	31,030	12.31	n/a	n/a	1,551.50	5.0
COUGAR TRADING	044	PSUN	SS	5,000	12.75	n/a	14-Mar	250.00	5.0
CATAPULT	040	PVH	SS	7,000	34.79	13-Mar	13-Mar	280.00	4.0
JP MORGAN VENTURES	046	PVH	S	25,000	34.64	13-Mar	13-Mar	1,250.00	5.0
HIGHLINE ADV	044	QCOM	B	190,000	37.74	n/a	n/a	9,500.00	5.0
MS PRINCIPAL STRATEGIES	041	QMAR	S	88,975	21.38	n/a	n/a	4,448.75	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RCL</b>	<b>B</b>	<b>10,000</b>	<b>32.08</b>	<b>n/a</b>	<b>31-Jan</b>	<b>400.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	RCL	B	149,500	34.06	n/a	31-Jan	4,485.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>59.70</b>	<b>7-Feb</b>	<b>15-Feb</b>	<b>400.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>RL</b>	<b>SS</b>	<b>300</b>	<b>59.97</b>	<b>7-Feb</b>	<b>15-Feb</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	ROST	S	20,000	30.75	n/a	n/a	1,000.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SCVL</b>	<b>SS</b>	<b>500</b>	<b>14.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>B</b>	<b>300</b>	<b>65.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HOOVER INV. MGMT	033	SD	S	40,300	36.85	n/a	n/a	2,015.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>GAULT</b>	<b>063</b>	<b>SKF</b>	<b>B</b>	<b>3,000</b>	<b>109.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>SKF</b>	<b>S</b>	<b>3,000</b>	<b>105.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LAGRANGE CAP ADV	048	SLM	B	15,000	15.25	n/a	n/a	750.00	5.0
CENTURION GLOBAL MGMT LL	041	SLX	S	2,100	80.35	n/a	n/a	63.00	3.0
AMBER CAPITAL	046	TCB	SS	125,000	19.71	n/a	n/a	5,000.00	4.0
JP MORGAN VENTURES	046	TJX	SS	10,000	33.86	n/a	10-Mar	500.00	5.0
MILLENIUM PARTNERS	028	TJX	B	15,000	33.89	n/a	10-Mar	750.00	5.0
LAGRANGE CAP ADV	048	TWX	B	20,000	14.18	n/a	n/a	1,000.00	5.0
<b>BARR</b>	<b>096</b>	<b>ULBI</b>	<b>C</b>	<b>1,200</b>	<b>11.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	UNFI	C	15,000	16.05	n/a	n/a	750.00	5.0
PROSPECTOR PARTNERS LLC	036	UNH	B	18,000	35.05	n/a	n/a	720.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>B</b>	<b>10,000</b>	<b>78.03</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
HIGHLINE ADV	044	WM	B	28,700	10.23	n/a	n/a	1,435.00	5.0
BENCHMARK	028	XLE	B	2,500	71.19	n/a	n/a	125.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>ZUMZ</b>	<b>SS</b>	<b>500</b>	<b>17.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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**TOTAL (Trade Date):**

**82,615.15**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/20	SIGMA CAPITAL ASSOCIATES (SIGMGS-USE)	237	GES	SS	100,000	34.64	n/a	n/a	5000.00 5.0
AO,	03/19	ROYCE TRADING (ROYC59)	216	RNWK	S	25,000	5.74	n/a	n/a	1250.00 5.0
AO,	03/19	ROYCE TRADING (ROYC142)	216	TQNT	S	1,300	5.17	n/a	n/a	65.00 5.0
AO,	03/19	ROYCE TRADING (ROYC59)	216	TQNT	S	6,500	5.17	n/a	n/a	325.00 5.0
AO,	03/19	ROYCE TRADING (ROYC33)	216	TQNT	S	2,200	5.17	n/a	n/a	110.00 5.0
AO,	03/19	ROYCE TRADING (ROYC59)	216	TTMI	S	10,000	11.06	n/a	n/a	500.00 5.0
AO,	03/19	ROYCE TRADING (ROYC59)	216	WRNC	S	4,000	36.34	14-Jan	10-Mar	200.00 5.0
AO,	03/19	ROYCE TRADING (ROYC33)	216	WRNC	S	1,000	36.34	14-Jan	10-Mar	50.00 5.0

**TOTAL (AO, CXL, CRT) :****7,500.00**

TOTAL (Trade Date) :

82,615.15

TOTAL (AO, CXL, CRT) :

7,500.00

**TOTAL (RUN DATE) / NFS :****90,115.15**

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