



## Daily Compliance Activity Report

Trade Date: 03/28/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol       | B/S      | Shares        | Price        | MRI           | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|--------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| TRUSTCO/SUNTRUST         | 040        | ABG          | B        | 30,300        | 13.81        | 25-Jan        | 22-Feb        | 969.60          | 3.2        |
| THIRD COAST CAPITAL      | 035        | ACN          | SS       | 15,000        | 36.53        | n/a           | n/a           | 750.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ANF</b>   | <b>B</b> | <b>80,000</b> | <b>73.25</b> | <b>10-Jan</b> | <b>10-Mar</b> | <b>3,200.00</b> | <b>4.0</b> |
| COUGAR TRADING           | 044        | ANF          | B        | 20,000        | 72.66        | 10-Jan        | 10-Mar        | 1,000.00        | 5.0        |
| COUGAR TRADING           | 044        | AN           | SS       | 10,000        | 15.21        | n/a           | 8-Feb         | 500.00          | 5.0        |
| COLUMBUS CIRCLE          | 036        | APOL         | S        | 60,000        | 42.03        | n/a           | n/a           | 2,084.32        | 3.0        |
| PRINCIPLE CAPITAL        | 040        | APOL         | SS       | 55,200        | 41.90        | n/a           | n/a           | 2,208.00        | 4.0        |
| TRELLUS PARTNERS LP      | 028        | ARGN         | B        | 10,000        | 14.70        | n/a           | 25-Feb        | 500.00          | 5.0        |
| <b>LEDDY</b>             | <b>035</b> | <b>ARGN</b>  | <b>B</b> | <b>1,000</b>  | <b>14.45</b> | <b>n/a</b>    | <b>25-Feb</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>MAGUIRE</b>           | <b>039</b> | <b>AXE</b>   | <b>B</b> | <b>100</b>    | <b>63.72</b> | <b>28-Mar</b> | <b>28-Mar</b> | <b>0.00</b>     | <b>0.0</b> |
| PRINCIPLE CAPITAL        | 040        | BID          | S        | 39,800        | 28.24        | n/a           | n/a           | 1,194.00        | 3.0        |
| <b>GLICK</b>             | <b>059</b> | <b>BSC</b>   | <b>S</b> | <b>200</b>    | <b>10.77</b> | <b>17-Mar</b> | <b>17-Mar</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>BUCK</b>              | <b>015</b> | <b>BVDSZ</b> | <b>B</b> | <b>20</b>     | <b>1.35</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| PRINCIPLE CAPITAL        | 040        | CBS          | SS       | 130,000       | 22.04        | n/a           | n/a           | 3,900.00        | 3.0        |
| <b>WHEELER</b>           | <b>008</b> | <b>CHP</b>   | <b>B</b> | <b>10,000</b> | <b>5.00</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>LEDDY</b>             | <b>035</b> | <b>CLMS</b>  | <b>C</b> | <b>500</b>    | <b>15.92</b> | <b>13-Feb</b> | <b>24-Mar</b> | <b>0.00</b>     | <b>0.0</b> |

| Account                  | RR #       | Symbol       | B/S       | Shares         | Price        | MRI        | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|--------------|-----------|----------------|--------------|------------|---------------|-----------------|------------|
| COUGAR TRADING           | 044        | COH          | B         | 5,000          | 29.73        | 24-Oct     | 14-Mar        | 250.00          | 5.0        |
| <b>BUCK</b>              | <b>015</b> | <b>COP</b>   | <b>B</b>  | <b>500</b>     | <b>75.77</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| MERRILL ASSET            | 032        | CRR          | B         | 16,700         | 39.06        | 13-Feb     | 26-Mar        | 751.50          | 4.5        |
| STRAUSS ASSET MGMT       | 040        | CSGP         | B         | 5,000          | 42.89        | n/a        | n/a           | 200.00          | 4.0        |
| ARIENCE CAPITAL          | 036        | DKS          | SS        | 60,800         | 26.32        | n/a        | 14-Mar        | 3,040.00        | 5.0        |
| METROPOLITAN CAPITAL     | 044        | DSW          | B         | 51,300         | 13.64        | 28-Mar     | 28-Mar        | 2,052.00        | 4.0        |
| <b>BUCK</b>              | <b>015</b> | <b>DVNQT</b> | <b>S</b>  | <b>5</b>       | <b>4.40</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| MILLENIUUM PARTNERS      | 028        | EBAY         | B         | 20,000         | 30.69        | n/a        | n/a           | 1,000.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>FL</b>    | <b>B</b>  | <b>100,000</b> | <b>11.30</b> | <b>n/a</b> | <b>12-Mar</b> | <b>4,000.00</b> | <b>4.0</b> |
| <b>MAGUIRE</b>           | <b>039</b> | <b>FXEUT</b> | <b>B</b>  | <b>10</b>      | <b>2.90</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| BENCHMARK                | 028        | GM           | SS        | 5,000          | 18.68        | 3-Jan      | 20-Mar        | 250.00          | 5.0        |
| COLONIAL FUND LLC        | 036        | GM           | SS        | 25,000         | 18.97        | 3-Jan      | 20-Mar        | 1,250.00        | 5.0        |
| ACK ASSET                | 028        | GNTX         | SS        | 12,000         | 17.16        | 25-Jan     | 29-Jan        | 500.00          | 4.5        |
| COUGAR TRADING           | 044        | GPS          | SS        | 15,000         | 19.63        | n/a        | 7-Mar         | 750.00          | 5.0        |
| <b>BUCK</b>              | <b>015</b> | <b>HD</b>    | <b>SS</b> | <b>500</b>     | <b>27.79</b> | <b>n/a</b> | <b>27-Jul</b> | <b>0.00</b>     | <b>0.0</b> |
| CROWN ADVISORS           | 045        | IFLO         | B         | 2,000          | 14.02        | n/a        | n/a           | 100.00          | 5.0        |

| Account             | RR #       | Symbol       | B/S      | Shares       | Price        | MRI           | Research      | Comm. ¢/Shr. |            |
|---------------------|------------|--------------|----------|--------------|--------------|---------------|---------------|--------------|------------|
| STRAUSS ASSET MGMT  | 040        | IWO          | S        | 5,000        | 72.87        | n/a           | n/a           | 200.00       | 4.0        |
| <b>N STRATTON</b>   | <b>014</b> | <b>IYR</b>   | <b>C</b> | <b>100</b>   | <b>64.80</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>  | <b>0.0</b> |
| COUGAR TRADING      | 044        | JCP          | SS       | 10,000       | 37.00        | 4-Jan         | 7-Mar         | 500.00       | 5.0        |
| WOOSTER CAPITAL     | 035        | JCP          | S        | 75,000       | 35.90        | 4-Jan         | 7-Mar         | 3,750.00     | 5.0        |
| <b>BUCK</b>         | <b>015</b> | <b>JWN</b>   | <b>C</b> | <b>1,000</b> | <b>33.14</b> | <b>26-Feb</b> | <b>10-Mar</b> | <b>0.00</b>  | <b>0.0</b> |
| BENNETT LAWRENCE    | 045        | KSS          | B        | 10,300       | 42.88        | 4-Jan         | 7-Mar         | 463.50       | 4.5        |
| COUGAR TRADING      | 044        | KSS          | B        | 5,000        | 42.26        | 4-Jan         | 7-Mar         | 250.00       | 5.0        |
| COUGAR TRADING      | 044        | KSS          | SS       | 10,000       | 42.00        | 4-Jan         | 7-Mar         | 500.00       | 5.0        |
| THIRD COAST CAPITAL | 035        | KSS          | B        | 5,000        | 42.71        | 4-Jan         | 7-Mar         | 250.00       | 5.0        |
| TYEE/TYGH           | 035        | KVA          | S        | 50,000       | 25.25        | n/a           | n/a           | 2,000.00     | 4.0        |
| GENERAL ELECTIC CO  | 033        | LCAPA        | S        | 20,247       | 15.85        | n/a           | n/a           | 404.94       | 2.0        |
| <b>LUCHANSKY3</b>   | <b>036</b> | <b>LEH</b>   | <b>B</b> | <b>300</b>   | <b>37.91</b> | <b>19-Mar</b> | <b>19-Mar</b> | <b>0.00</b>  | <b>0.0</b> |
| COUGAR TRADING      | 044        | LM           | B        | 15,000       | 55.31        | 24-Mar        | 28-Mar        | 750.00       | 5.0        |
| COUGAR TRADING      | 044        | LM           | S        | 15,000       | 54.51        | 24-Mar        | 28-Mar        | 750.00       | 5.0        |
| <b>BUCK</b>         | <b>015</b> | <b>LYHPD</b> | <b>B</b> | <b>30</b>    | <b>0.80</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>  | <b>0.0</b> |
| <b>BUCK</b>         | <b>015</b> | <b>LYHPF</b> | <b>S</b> | <b>30</b>    | <b>2.16</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>  | <b>0.0</b> |
| HIGHBRIDGE/MS OLDS  | 041        | MDR          | S        | 40,011       | 55.56        | n/a           | n/a           | 1,600.44     | 4.0        |
| <b>PAKLER</b>       | <b>029</b> | <b>MERSA</b> | <b>B</b> | <b>5</b>     | <b>3.85</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.     |            |
|--------------------------|------------|--------------|-----------|---------------|---------------|--------------|--------------|-----------------|------------|
| <b>HART</b>              | <b>056</b> | <b>MERSA</b> | <b>B</b>  | <b>5</b>      | <b>3.90</b>   | <b>n/a</b>   | <b>n/a</b>   | <b>0.00</b>     | <b>0.0</b> |
| NATIONAL BK OF CAN       | 031        | MER          | B         | 20,000        | 40.40         | 18-Jan       | 17-Mar       | 800.00          | 4.0        |
| NATIONAL BK OF CAN       | 031        | MER          | SS        | 20,000        | 40.34         | 18-Jan       | 17-Mar       | 800.00          | 4.0        |
| MATRIX ASSET ADV.        | 036        | MNST         | B         | 18,200        | 24.50         | n/a          | n/a          | 728.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>M</b>     | <b>S</b>  | <b>70,000</b> | <b>22.60</b>  | <b>7-Feb</b> | <b>7-Mar</b> | <b>2,800.00</b> | <b>4.0</b> |
| GLOBAL 56 LLC            | 060        | NLC          | B         | 2,500         | 21.35         | n/a          | n/a          | 100.00          | 4.0        |
| PERRY PARTNERS           | 041        | NVT          | S         | 25,000        | 70.33         | n/a          | n/a          | 750.00          | 3.0        |
| COUGAR TRADING           | 044        | NWY          | B         | 10,000        | 5.49          | n/a          | 20-Mar       | 500.00          | 5.0        |
| COUGAR TRADING           | 044        | PAG          | SS        | 5,000         | 19.43         | 6-Feb        | 20-Mar       | 250.00          | 5.0        |
| HOLLIS CAPITAL           | 033        | PCL          | S         | 6,000         | 40.50         | 8-Jan        | 30-Jan       | 300.00          | 5.0        |
| COUGAR TRADING           | 044        | PSUN         | SS        | 5,000         | 12.35         | n/a          | 14-Mar       | 250.00          | 5.0        |
| MERRILL ASSET            | 032        | RL           | S         | 12,000        | 57.88         | 7-Feb        | 15-Feb       | 540.00          | 4.5        |
| TRELLUS PARTNERS LP      | 028        | RL           | SS        | 5,000         | 59.00         | 7-Feb        | 15-Feb       | 250.00          | 5.0        |
| WAGONHOUND               | 048        | RL           | B         | 1,800         | 57.86         | 7-Feb        | 15-Feb       | 72.00           | 4.0        |
| WAGONHOUND               | 048        | RL           | SS        | 1,800         | 59.00         | 7-Feb        | 15-Feb       | 72.00           | 4.0        |
| <b>ZOLIDIS</b>           | <b>011</b> | <b>SHOE</b>  | <b>SS</b> | <b>975</b>    | <b>1.25</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>700</b>    | <b>119.19</b> | <b>n/a</b>   | <b>n/a</b>   | <b>0.00</b>     | <b>0.0</b> |
| <b>BARR</b>              | <b>096</b> | <b>SYNP</b>  | <b>S</b>  | <b>11,840</b> | <b>7.82</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  | VFC    | B   | 20,000 | 76.36 | n/a    | n/a      | 800.00       | 4.0 |
| GRANAHAN INV         | 039  | WBC    | B   | 7,800  | 46.00 | 28-Mar | 28-Mar   | 312.00       | 4.0 |
| DAVIDSON TRUST CO    | 028  | WFC    | B   | 1,500  | 29.97 | n/a    | n/a      | 135.00       | 9.0 |
| DIAMONDBACK CAP MGMT | 232  | YHOO   | B   | 50,000 | 28.52 | n/a    | n/a      | 2,500.00     | 5.0 |
| COUGAR TRADING       | 044  | ZQK    | B   | 15,000 | 9.91  | 5-Feb  | 7-Mar    | 750.00       | 5.0 |
| ZOLIDIS              | 011  | ZUMZ   | SS  | 500    | 15.41 | n/a    | n/a      | 0.00         | 0.0 |
| TOTAL (Trade Date):  |      |        |     |        |       |        |          | 54,577.30    |     |

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

| Type                            | Date  | Account                        | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr.      |
|---------------------------------|-------|--------------------------------|------|--------|-----|---------|-------|-----|----------|------------------|
| AO,CXL                          | 03/27 | COLUMBUS CIRCLE (COLC5050)     | 036  | AMAT   | B   | 43,994  | 20.13 | n/a | n/a      | 879.88 2.0       |
| AO,CRT                          | 03/27 | COLUMBUS CIRCLE (COLC5050)     | 036  | AMAT   | B   | 43,994  | 20.13 | n/a | n/a      | 1759.76 4.0      |
| AO,CXL                          | 03/27 | COLUMBUS CIRCLE (COLC5060)     | 036  | AMAT   | B   | 29,330  | 20.13 | n/a | n/a      | 586.60 2.0       |
| AO,CRT                          | 03/27 | COLUMBUS CIRCLE (COLC5060)     | 036  | AMAT   | B   | 29,330  | 20.13 | n/a | n/a      | 1173.20 4.0      |
| AO,CXL                          | 03/27 | COLUMBUS CIRCLE (COLC1380)     | 036  | AMAT   | B   | 22,897  | 20.13 | n/a | n/a      | 457.94 2.0       |
| AO,CRT                          | 03/27 | COLUMBUS CIRCLE (COLC1380)     | 036  | AMAT   | B   | 22,897  | 20.13 | n/a | n/a      | 915.88 4.0       |
| AO,CXL                          | 03/27 | FARALLON CAP MGMT (FARABULK F) | 040  | IAI    | B   | 215,000 | 38.96 | n/a | n/a      | 8600.00 4.0      |
| AO,CRT                          | 03/27 | FARALLON CAP MGMT (FARABULK F) | 040  | IAI    | B   | 215,000 | 38.96 | n/a | n/a      | 6450.00 3.0      |
| <b>TOTAL (AO, CXL, CRT) :</b>   |       |                                |      |        |     |         |       |     |          | <b>-225.58</b>   |
| TOTAL (Trade Date) :            |       |                                |      |        |     |         |       |     |          | 54,577.30        |
| TOTAL (AO, CXL, CRT) :          |       |                                |      |        |     |         |       |     |          | -225.58          |
| <b>TOTAL (RUN DATE) / NFS :</b> |       |                                |      |        |     |         |       |     |          | <b>54,351.72</b> |

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