



## Daily Compliance Activity Report

Trade Date: 04/09/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGENS WATERFALL	040	ADBE	S	20,000	36.27	n/a	n/a	600.00	3.0
ROYCE TRADING	216	AEL	S	10,000	9.80	n/a	n/a	500.00	5.0
WEISS PECK	040	AEO	S	10,800	16.89	6-Mar	7-Apr	540.00	5.0
ROYCE TRADING	216	ALY	B	5,000	13.64	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>200,000</b>	<b>74.06</b>	<b>10-Jan</b>	<b>7-Apr</b>	<b>8,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	SS	5,000	72.92	10-Jan	7-Apr	250.00	5.0
THOMSON HORSTMAN BRYANT	040	ANN	S	14,800	22.77	14-Mar	14-Mar	740.00	5.0
FIRST NEW YORK LEDDY	035	AN	SS	10,000	15.07	n/a	8-Feb	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>80,000</b>	<b>26.12</b>	<b>29-Nov</b>	<b>7-Apr</b>	<b>3,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	B	5,000	26.20	29-Nov	7-Apr	250.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>ARO</b>	<b>B</b>	<b>5,500</b>	<b>26.02</b>	<b>29-Nov</b>	<b>7-Apr</b>	<b>330.00</b>	<b>6.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>20,000</b>	<b>41.12</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>
SOUTH POINT CAP	067	BIG	SS	100,000	21.20	6-Mar	8-Apr	5,000.00	5.0
CATAPULT	040	BJ	B	30,000	35.55	n/a	27-Jul	1,200.00	4.0
WHALE ROCK CAP	030	BRCD	S	426,100	7.24	n/a	n/a	17,044.00	4.0
<b>N STRATTON</b>	<b>014</b>	<b>CENTA</b>	<b>B</b>	<b>200</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>S CAST</b>	<b>001</b>	<b>CHCG</b>	<b>B</b>	<b>700</b>	<b>1.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>AMATURO</b>	<b>018</b>	<b>CHCG</b>	<b>B</b>	<b>5,000</b>	<b>1.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>CHCG</b>	<b>B</b>	<b>2,900</b>	<b>1.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HART</b>	<b>056</b>	<b>CHCG</b>	<b>B</b>	<b>250</b>	<b>1.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRONTPOINT	044	CHK	B	146,000	48.67	n/a	n/a	5,110.00	3.5
PEREGRINE	030	CHS	B	150,000	6.46	31-Jan	7-Apr	7,500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>CMA</b>	<b>SS</b>	<b>800</b>	<b>35.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SOUTH POINT CAP	067	CNB	B	50,000	9.37	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>31.12</b>	<b>4-Apr</b>	<b>4-Apr</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	COH	B	5,000	30.80	4-Apr	4-Apr	250.00	5.0
SAC TRADING HOWARD	038	COST	S	66,000	65.75	n/a	27-Jul	3,300.00	5.0
DSG CAPITAL	225	CPN	S	11,700	18.50	n/a	n/a	585.00	5.0
COBALT	041	CSX	S	50,000	56.55	n/a	n/a	2,500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>DVN</b>	<b>B</b>	<b>300</b>	<b>112.09</b>	<b>20-Mar</b>	<b>1-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>DXD</b>	<b>S</b>	<b>1,200</b>	<b>53.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	EBAY	B	30,000	31.39	n/a	n/a	1,500.00	5.0
CHILTON CAPITAL MGMT.	036	FDG	S	119,100	62.65	n/a	n/a	4,764.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	FMCN	S	46,750	34.76	n/a	n/a	1,870.00	4.0
DSG CAPITAL	225	FOR	B	200	24.00	n/a	n/a	10.00	5.0
<b>BUCK</b>	<b>015</b>	<b>FXB</b>	<b>B</b>	<b>300</b>	<b>197.86</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>GIL</b>	<b>B</b>	<b>10,000</b>	<b>35.89</b>	<b>22-Jan</b>	<b>10-Mar</b>	<b>400.00</b>	<b>4.0</b>
RAMIUS CAP	040	GNTX	SS	100,000	16.74	7-Apr	7-Apr	5,000.00	5.0
COUGAR TRADING	044	GPS	B	15,000	18.79	n/a	7-Apr	750.00	5.0
BEAR STEARNS ASSET MGMT.	033	GS	B	20,000	176.85	19-Mar	19-Mar	800.00	4.0
COUGAR TRADING	044	GYMB	B	5,000	40.37	2-Apr	7-Apr	250.00	5.0
ROYCE TRADING	216	HMN	S	10,000	18.10	n/a	n/a	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	HON	S	176,700	58.34	n/a	28-Mar	7,068.00	4.0
ROTHSCHILD ASSET	040	HON	B	31,770	58.51	n/a	28-Mar	1,429.65	4.5
<b>WHEELER</b>	<b>008</b>	<b>HSTX</b>	<b>B</b>	<b>10,000</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>ICON</b>	<b>B</b>	<b>1,000</b>	<b>17.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>IOM</b>	<b>S</b>	<b>19,980</b>	<b>3.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>N STRATTON</b>	<b>014</b>	<b>ITB</b>	<b>C</b>	<b>300</b>	<b>20.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	IVZ	S	10,000	23.30	10-Mar	9-Apr	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	IVZ	B	26,434	23.30	10-Mar	9-Apr	1,321.70	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	18,600	23.41	10-Mar	9-Apr	930.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>IYR</b>	<b>C</b>	<b>100</b>	<b>66.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JCG	B	10,000	42.60	28-Nov	12-Mar	500.00	5.0
MORGENS WATERFALL	040	JCI	B	60,000	34.49	23-Jan	28-Mar	1,800.00	3.0
COUGAR TRADING	044	JCP	B	10,000	39.07	4-Jan	7-Apr	500.00	5.0
SLS CAPITAL LLC	224	JCP	S	100,000	39.37	4-Jan	7-Apr	4,000.00	4.0
THE JAY GOLDMAN	034	JCP	B	10,000	38.83	4-Jan	7-Apr	400.00	4.0
WHITTIER CAP	048	JCP	B	1,000	39.00	4-Jan	7-Apr	40.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>JNS</b>	<b>SS</b>	<b>200</b>	<b>25.24</b>	<b>24-Mar</b>	<b>4-Apr</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	JWN	SS	50,000	33.26	31-Mar	7-Apr	2,500.00	5.0
WHITTIER CAP	048	JWN	B	1,500	33.07	31-Mar	7-Apr	60.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>JWN</b>	<b>C</b>	<b>200</b>	<b>33.35</b>	<b>31-Mar</b>	<b>7-Apr</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	KSS	B	10,000	42.41	4-Jan	7-Apr	500.00	5.0
JPMSI/TOM LEDDY	035	KSS	B	7,700	43.51	4-Jan	7-Apr	385.00	5.0
THE JAY GOLDMAN	034	KSS	S	10,000	42.31	4-Jan	7-Apr	400.00	4.0
ROYCE TRADING	216	KWR	S	3,000	30.34	n/a	n/a	150.00	5.0
CUMBERLAND	038	LCAPA	S	59,573	16.33	n/a	n/a	2,382.92	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>SS</b>	<b>30,000</b>	<b>17.71</b>	<b>n/a</b>	<b>17-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
<b>N STRATTON</b>	<b>014</b>	<b>LNET</b>	<b>B</b>	<b>100</b>	<b>6.05</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.	
MORGENS WATERFALL	040	LNG	B	50,000	20.48	n/a	n/a	1,500.00	3.0
CHARTER OAK	033	LTM	S	53,626	31.02	n/a	n/a	2,681.30	5.0
BEAR STEARNS ASSET MGMT.	033	MEE	B	100,000	47.95	n/a	n/a	4,000.00	4.0
COBALT	041	MYL	S	50,000	12.50	n/a	8-Apr	2,500.00	5.0
ROSEDALE CAPITAL	046	MYL	B	20,000	12.31	n/a	8-Apr	1,000.00	5.0
COUGAR TRADING	044	M	B	20,000	23.35	7-Feb	7-Apr	1,000.00	5.0
WHITTIER CAP	048	M	B	2,000	23.14	7-Feb	7-Apr	80.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	26.11	7-Apr	7-Apr	400.00	4.0
BEAR STEARNS ASSET MGMT.	033	NUE	SS	46,900	71.23	n/a	n/a	1,876.00	4.0
WAGONHOUND	048	OCN	B	23,000	4.05	n/a	n/a	920.00	4.0
BALYASNY ASSET MGMT	044	PAG	B	6,000	19.51	6-Feb	7-Apr	300.00	5.0
COUGAR TRADING	044	PSUN	B	10,000	12.35	n/a	7-Apr	500.00	5.0
VICTORIA INVESTORS LP	060	PXD	B	5,000	55.75	9-Apr	9-Apr	250.00	5.0
<b>HART</b>	<b>056</b>	<b>OZSEX</b>	<b>B</b>	<b>5</b>	<b>2.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	RL	SS	5,000	58.16	7-Feb	15-Feb	250.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>RL</b>	<b>C</b>	<b>250</b>	<b>58.29</b>	<b>7-Feb</b>	<b>15-Feb</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	RRC	S	104,230	67.03	n/a	n/a	6,253.80	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KNOTT PARTNERS	044	RVI	S	125,000	4.19	n/a	n/a	2,500.00	2.0
J L F ASSET MGMT	039	SBUX	B	119,400	17.50	n/a	24-Apr	4,776.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>S</b>	<b>300</b>	<b>60.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>SFBPB</b>	<b>S</b>	<b>7</b>	<b>0.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>SOAP</b>	<b>SS</b>	<b>21,258</b>	<b>7.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>SPNG</b>	<b>B</b>	<b>500,000</b>	<b>0.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	SWN	S	3,875	36.97	20-Mar	3-Apr	193.75	5.0
FRONTPOINT	044	SWN	SS	326,703	37.09	20-Mar	3-Apr	11,434.61	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TIF</b>	<b>SS</b>	<b>20,000</b>	<b>40.83</b>	<b>14-Jan</b>	<b>25-Mar</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	TJX	S	5,000	31.67	n/a	7-Apr	250.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>TLB</b>	<b>B</b>	<b>200</b>	<b>12.53</b>	<b>2-Apr</b>	<b>2-Apr</b>	<b>0.00</b>	<b>0.0</b>
PERRY PARTNERS	041	TTWO	B	25,000	25.30	n/a	n/a	750.00	3.0
PRIME LOGIC ADV	039	URBN	B	16,000	30.15	3-Apr	9-Apr	800.00	5.0
LEHMAN PROPRIETARY TRAD	041	VMC	SS	30,000	69.89	n/a	n/a	1,200.00	4.0
BULL PATH CAPITAL	044	WSM	SS	32,500	24.52	n/a	n/a	1,625.00	5.0
WHALE ROCK CAP	030	WSM	SS	150,000	24.43	n/a	n/a	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	XRX	B	10,000	14.81	n/a	n/a	400.00	4.0
BEAR STEARNS ASSET MGMT.	033	X	C	38,400	143.02	n/a	n/a	1,536.00	4.0
ZOLIDIS	011	ZUMZ	C	2,500	16.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZZ	SS	40,000	8.21	n/a	n/a	1,600.00	4.0
TOTAL (Trade Date):							160,536.73		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/08	US BANCORP (USBCFEDMCG)	030	FCL	B	1,740	58.58	n/a	n/a	87.00 5.0
AO,	04/08	US BANCORP (USBCSCHULZ)	030	FCL	B	1,439	58.58	n/a	n/a	71.95 5.0
AO,	04/08	US BANCORP (USBCSIMS)	030	FCL	B	3,266	58.58	n/a	n/a	163.30 5.0
AO,	04/08	US BANCORP (USBCFRSLX)	030	FCL	B	177,378	58.58	n/a	n/a	8868.90 5.0
AO,	04/08	US BANCORP (USBCCTAMCG)	030	FCL	B	3,906	58.58	n/a	n/a	195.30 5.0
AO,CXL	04/08	CR INTRINIC INVESTMENT (CRINUBS)	044	GNA	SS	100,000	15.63	n/a	n/a	5000.00 5.0
AO,	04/08	CR INTRINIC INVESTMENT (CRINGSPB)	044	GNA	SS	100,000	15.63	n/a	n/a	5000.00 5.0
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST41)	035	JBX	S	2,100	27.03	n/a	24-Apr	78.75 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST10)	035	JBX	S	200	27.03	n/a	24-Apr	7.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST54)	035	JBX	S	600	27.03	n/a	24-Apr	22.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST28)	035	JBX	S	100	27.03	n/a	24-Apr	3.75 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST55)	035	JBX	S	400	27.03	n/a	24-Apr	15.00 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST44)	035	JBX	S	200	27.03	n/a	24-Apr	7.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST30)	035	JBX	S	500	27.03	n/a	24-Apr	18.75 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST25)	035	JBX	S	400	27.03	n/a	24-Apr	15.00 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST68)	035	JBX	S	500	27.03	n/a	24-Apr	18.75 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST36)	035	JBX	S	500	27.03	n/a	24-Apr	18.75 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST187)	035	JBX	S	400	27.03	n/a	24-Apr	15.00 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST34)	035	JBX	S	1,000	27.03	n/a	24-Apr	37.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST76)	035	JBX	S	1,400	27.03	n/a	24-Apr	52.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST40)	035	JBX	S	900	27.03	n/a	24-Apr	33.75 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST74)	035	JBX	S	600	27.03	n/a	24-Apr	22.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST164)	035	JBX	S	600	27.03	n/a	24-Apr	22.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST147)	035	JBX	S	200	27.03	n/a	24-Apr	7.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST162)	035	JBX	S	5,600	27.03	n/a	24-Apr	210.00 3.8



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST146)	035	JBX	S	1,400	27.03	n/a	24-Apr	52.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST160)	035	JBX	S	500	27.03	n/a	24-Apr	18.75 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST18)	035	JBX	S	700	27.03	n/a	24-Apr	26.25 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST144)	035	JBX	S	1,100	27.03	n/a	24-Apr	41.25 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST52)	035	JBX	S	200	27.03	n/a	24-Apr	7.50 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST56)	035	JBX	S	800	27.03	n/a	24-Apr	30.00 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST75)	035	JBX	S	5,700	27.03	n/a	24-Apr	213.75 3.8
AO,	04/08	SYSTEMATIC FINANCIAL MGT (SYST32)	035	JBX	S	800	27.03	n/a	24-Apr	30.00 3.8

**TOTAL (AO, CXL, CRT) :** **10,413.95**

TOTAL (Trade Date): 160,536.73  
TOTAL (AO, CXL, CRT): 10,413.95

**TOTAL (RUN DATE) / NFS:** **170,950.68**

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