



## Daily Compliance Activity Report

Trade Date: 01/11/2008

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>EFSTATHIOU</b>	<b>044</b>	<b>AAPL</b>	<b>B</b>	<b>100</b>	<b>172.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	AB	S	15,000	71.05	11-Jan	11-Jan	750.00	5.0
STONERIDGE INV PART	028	AB	S	9,055	69.30	11-Jan	11-Jan	452.75	5.0
HARVEST MGMT	039	ACN	SS	150,000	32.86	n/a	n/a	7,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>20,000</b>	<b>18.49</b>	<b>11-Jan</b>	<b>11-Jan</b>	<b>800.00</b>	<b>4.0</b>
J L F ASSET MGMT	039	AEO	SS	156,800	17.76	11-Jan	11-Jan	6,272.00	4.0
CRAMER ROSENTHAL/SCOTT	012	AMG	B	25,300	101.89	9-Jan	11-Jan	1,012.00	4.0
COUGAR TRADING	044	ANN	B	5,000	18.82	11-Jan	11-Jan	250.00	5.0
CHARTER OAK	033	AN	B	75,000	13.13	n/a	25-Oct	3,750.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>APP</b>	<b>S</b>	<b>1,700</b>	<b>12.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>APP</b>	<b>B</b>	<b>500</b>	<b>12.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ARO	B	5,000	25.34	29-Nov	11-Jan	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>SS</b>	<b>75,000</b>	<b>45.47</b>	<b>n/a</b>	<b>27-Jul</b>	<b>3,000.00</b>	<b>4.0</b>
RAMIUS CAP	040	BIG	SS	110,000	12.68	7-Jan	11-Jan	5,500.00	5.0
<b>BARR</b>	<b>096</b>	<b>CAMD</b>	<b>B</b>	<b>10,000</b>	<b>4.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>CFC</b>	<b>C</b>	<b>850</b>	<b>6.59</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.	
GALLEON MGMT LP	033	COF	SS	10,000	41.00	n/a	n/a	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>COF</b>	<b>C</b>	<b>1,500</b>	<b>40.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	COH	B	20,000	26.80	24-Oct	24-Oct	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>26.74</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>400.00</b>	<b>4.0</b>
TRUST CO/COWEN/CALF.	040	CSX	S	93,400	42.86	n/a	n/a	4,670.00	5.0
CARLSON CAPITAL	031	C	SS	104,300	28.82	5-Nov	8-Jan	4,172.00	4.0
<b>GAULT</b>	<b>063</b>	<b>C</b>	<b>B</b>	<b>1,000</b>	<b>28.83</b>	<b>5-Nov</b>	<b>8-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>C</b>	<b>S</b>	<b>500</b>	<b>28.71</b>	<b>5-Nov</b>	<b>8-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>DLTR</b>	<b>S</b>	<b>300</b>	<b>22.10</b>	<b>9-Nov</b>	<b>11-Jan</b>	<b>0.00</b>	<b>0.0</b>
STONERIDGE INV PART	028	FII	B	14,730	42.25	n/a	9-Jan	736.50	5.0
GEORGE WEISS	034	FOR	B	10,000	20.25	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>20,000</b>	<b>35.75</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
GEORGE WEISS	034	GFG	B	10,000	12.27	n/a	n/a	400.00	4.0
COUGAR TRADING	044	GYMB	B	5,000	31.33	10-Aug	11-Jan	250.00	5.0
CARLSON CAPITAL	031	HBC	B	37,500	79.83	n/a	n/a	1,500.00	4.0
<b>LEDY</b>	<b>035</b>	<b>HCGI</b>	<b>B</b>	<b>1,050</b>	<b>0.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRAUSS ASSET MGMT	040	ININ	S	17,600	13.70	n/a	n/a	880.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>CROWLEY</b>	<b>061</b>	<b>ISLN</b>	<b>S</b>	<b>1,500</b>	<b>4.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRIGHTPOINT CAP	067	JCG	SS	25,000	40.86	28-Nov	30-Nov	1,000.00	4.0
COUGAR TRADING	044	JCG	B	5,000	42.11	28-Nov	30-Nov	250.00	5.0
KINGD POINT PARTNERS	067	JNPR	B	200,000	26.90	n/a	22-Mar	10,000.00	5.0
ARIENCE CAPITAL	036	JNS	SS	46,500	28.78	9-Jan	9-Jan	2,325.00	5.0
<b>GAULT</b>	<b>063</b>	<b>JPM</b>	<b>B</b>	<b>500</b>	<b>41.12</b>	<b>19-Oct</b>	<b>8-Jan</b>	<b>0.00</b>	<b>0.0</b>
GLG PARTNERS	034	JWN	B	50,000	32.32	20-Nov	11-Jan	2,500.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>KEG</b>	<b>S</b>	<b>1,000</b>	<b>13.00</b>	<b>29-Oct</b>	<b>10-Dec</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	KO	S	57,186	63.72	n/a	n/a	2,001.53	3.5
COUGAR TRADING	044	KSS	B	20,000	38.65	4-Jan	11-Jan	1,000.00	5.0
<b>GAULT</b>	<b>063</b>	<b>LEH</b>	<b>B</b>	<b>500</b>	<b>58.58</b>	<b>n/a</b>	<b>19-Dec</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	LIZ	SS	5,000	17.63	n/a	31-Oct	250.00	5.0
KEEFE BRUYETTE WOODS A	031	LM	SS	4,800	72.17	17-Dec	11-Jan	240.00	5.0
MS PRINCIPAL STRATEGIES	041	LTD	S	100,000	15.01	n/a	11-Jan	5,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>LTR</b>	<b>S</b>	<b>1,000</b>	<b>48.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	MBFI	B	13,446	29.10	n/a	n/a	672.30	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>GAULT</b>	<b>063</b>	<b>MER</b>	<b>B</b>	<b>500</b>	<b>54.08</b>	<b>11-Jan</b>	<b>11-Jan</b>	<b>0.00</b>	<b>0.0</b>
SSI INVESTORS	048	MHS	S	9,270	102.05	n/a	n/a	370.80	4.0
TRIVIUM CAP MGMT	251	MLNX	SS	15,000	16.39	n/a	n/a	600.00	4.0
MERRILL ASSET	032	MTG	B	40,300	18.47	n/a	n/a	1,813.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>S</b>	<b>70,000</b>	<b>17.93</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>10,000</b>	<b>21.16</b>	<b>4-Jan</b>	<b>11-Jan</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	M	B	25,000	21.20	4-Jan	11-Jan	1,250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>M</b>	<b>B</b>	<b>56</b>	<b>22.32</b>	<b>4-Jan</b>	<b>11-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>MCERLEAN</b>	<b>N16</b>	<b>M</b>	<b>B</b>	<b>500</b>	<b>21.63</b>	<b>4-Jan</b>	<b>11-Jan</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	26.41	8-Jan	8-Jan	400.00	4.0
<b>BUCK</b>	<b>015</b>	<b>ONXX</b>	<b>S</b>	<b>800</b>	<b>53.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>PFE</b>	<b>S</b>	<b>600</b>	<b>24.09</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	PLCE	B	25,000	16.95	10-Jan	11-Jan	1,250.00	5.0
EPOCH INV MGMT	030	PZN	S	100,000	10.09	11-Jan	11-Jan	4,000.00	4.0
SUNOVA CAPITAL	031	PZN	SS	10,000	10.47	11-Jan	11-Jan	500.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>QJPAO</b>	<b>S</b>	<b>50</b>	<b>1.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	RL	SS	10,000	56.62	8-Nov	8-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EMP ERROR	099	RL	C	400	56.04	8-Nov	8-Nov	0.00	0.0
EMP ERROR	099	RL	SS	400	55.90	8-Nov	8-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	S	130,000	16.45	n/a	n/a	5,200.00	4.0
BARR	096	SYNP	B	3,100	5.71	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	TGT	B	50,000	50.50	n/a	27-Jul	2,500.00	5.0
GEORGE WEISS	034	TIN	B	10,000	17.32	8-Jan	8-Jan	400.00	4.0
SSI INVESTORS	048	TJX	B	42,910	28.54	21-Sep	11-Jan	1,716.40	4.0
BALYASNY ASSET MGMT	044	TLB	B	15,000	7.01	n/a	7-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	20,000	28.31	9-Jan	9-Jan	800.00	4.0
COUGAR TRADING	044	TWB	B	10,000	28.69	9-Jan	9-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	UA	S	10,000	42.78	n/a	n/a	400.00	4.0
DAVIDSON TRUST CO	028	USB	S	7,850	30.28	n/a	n/a	392.50	5.0
SINCLAIR	031	VCFA	B	100	0.30	n/a	n/a	0.00	0.0
LEDDY	035	VC	B	2,800	3.27	n/a	13-Dec	0.00	0.0
EFSTATHIOU	044	VC	B	1,000	3.30	n/a	13-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	S	20,000	70.69	n/a	n/a	800.00	4.0
SERENGETI MGMT	030	VMC	B	25,000	68.42	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHARTER OAK	033	VR	S	32,089	26.11	n/a	n/a	1,604.45	5.0
OGORMAN	046	WAHCU	B	400	32.50	n/a	n/a	0.00	0.0
BUCK	015	WDR	SS	1,000	32.44	21-Nov	9-Jan	0.00	0.0
COUGAR TRADING	044	WRNC	B	10,000	31.27	6-Nov	12-Nov	500.00	5.0
MKT MAKER	099	WRNC	B	500	31.27	6-Nov	12-Nov	0.00	0.0
PROSPECTOR PARTNERS LLC	036	XRX	B	10,000	14.38	n/a	n/a	400.00	4.0
COUGAR TRADING	044	ZQK	B	30,000	7.68	n/a	18-Dec	1,500.00	5.0
<b>TOTAL (Trade Date):</b>								<b>103,081.73</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/07	SINCLAIR (SINCLAIR)	031	CFU	B	30	0.47	n/a	n/a	0.00	0.0
AO,CRT	01/07	SINCLAIR (SINCLAIR)	031	CFU	B	30	0.47	n/a	n/a	0.00	0.0
AO,CRT	01/03	BARROW HANLEY MEWHINNEY (BARR)	096	CPNLQ	SS	80,000	0.36	n/a	29-Jun	0.00	0.0
AO,CXL	01/03	BARROW HANLEY MEWHINNEY (BARR)	096	CPNLQ	SS	80,000	0.36	n/a	29-Jun	0.00	0.0
AO,CXL	01/10	LISTED ERR (LISTED ERR)	099	CSX	B	200	43.55	n/a	n/a	0.00	0.0
CRT	01/11	MKT MAKER (MKT MAKER)	099	DLTR	S	100	22.10	9-Nov	11-Jan	0.00	0.0
CRT	01/11	MKT MAKER (MKT MAKER)	099	DLTR	S	100	22.10	9-Nov	11-Jan	0.00	0.0
CRT	01/11	MKT MAKER (MKT MAKER)	099	DLTR	S	100	22.10	9-Nov	11-Jan	0.00	0.0
AO,CXL	01/09	GEORGE WEISS (WEISUBS)	034	EWBC	SS	5,000	20.95	n/a	n/a	150.00	3.0
AO,CRT	01/09	GEORGE WEISS (WEISDEUTSC)	034	EWBC	SS	5,000	20.95	n/a	n/a	150.00	3.0
CRT	01/11	SUNOVA CAPITAL (SUNOMORGAN)	031	PZN	SS	10,000	10.47	11-Jan	11-Jan	500.00	5.0
CRT	01/11	EMP ERROR (EMP ERROR)	099	RL	C	400	56.04	8-Nov	8-Nov	0.00	0.0
CRT	01/11	EMP ERROR (EMP ERROR)	099	RL	SS	100	55.90	8-Nov	8-Nov	0.00	0.0
CRT	01/11	EMP ERROR (EMP ERROR)	099	RL	SS	300	55.90	8-Nov	8-Nov	0.00	0.0
AO,CXL	01/04	SINCLAIR (SINCLAIR)	031	VCFA	B	65	0.40	n/a	n/a	0.00	0.0
AO,CRT	01/04	SINCLAIR (SINCLAIR)	031	VCFA	B	65	0.40	n/a	n/a	0.00	0.0
AO,	01/10	STONERIDGE INV PART (STOR084)	028	WDR	B	90	32.80	21-Nov	9-Jan	0.00	0.0
AO,CXL	01/10	STONERIDGE INV PART (STOR086)	028	WDR	B	90	32.80	21-Nov	9-Jan	0.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>500.00</b>	

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TOTAL (Trade Date):	103,081.73
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TOTAL (AO, CXL, CRT):	500.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>103,581.73</b>
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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