



## Daily Compliance Activity Report

Trade Date: 02/29/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ADBE	S	700	33.57	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	ADSK	S	600	30.96	n/a	n/a	30.00	5.0
COUGAR TRADING	044	AEO	B	10,000	22.05	5-Feb	29-Feb	500.00	5.0
SAGE ASSET MGMT	012	AGO	B	302,200	25.72	n/a	n/a	15,110.00	5.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	94.05	9-Jan	29-Feb	500.00	5.0
TYEE/TYGH	035	AMG	S	77,005	95.09	9-Jan	29-Feb	3,080.20	4.0
SANDLER O'NEILL ASSET	031	BAC	B	2,100	40.54	13-Nov	21-Feb	105.00	5.0
BUCK CAPITAL MGMT	001	BDK	B	10,000	68.84	n/a	n/a	400.00	4.0
HARTIRRL	056	BWA	B	25	43.11	14-Jan	8-Feb	0.00	0.0
BUCK	015	CAH	B	1,000	59.20	n/a	n/a	0.00	0.0
MFP INVESTORS	032	CBT	B	5,000	27.44	n/a	30-Jan	250.00	5.0
JPMSI/TOM LEDDY	035	COH	SS	20,000	30.91	24-Oct	24-Jan	1,000.00	5.0
MAGUIRE	039	COH	SS	200	30.94	24-Oct	24-Jan	0.00	0.0
ZOLIDIS	011	DECK	B	200	118.72	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	DKS	SS	33,200	28.10	n/a	25-Feb	996.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	DNN	S	4,500	9.17	n/a	n/a	225.00	5.0
<b>GAULT</b>	<b>063</b>	<b>DUG</b>	<b>S</b>	<b>1,500</b>	<b>37.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION GLOBAL MGMT LL	041	ERTS	B	7,800	46.17	n/a	n/a	234.00	3.0
PATTEN & PATTEN	067	EWZ	S	500	83.54	n/a	n/a	25.00	5.0
<b>COLE</b>	<b>N24</b>	<b>FBR</b>	<b>B</b>	<b>200</b>	<b>2.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SERENGETI MGMT	030	FHN	SS	100,000	17.10	n/a	n/a	5,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>FITB</b>	<b>C</b>	<b>1,000</b>	<b>23.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PORTER-ORLIN-FELDMAN	044	GE	SS	100,000	33.37	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	GLW	S	2,000	23.24	n/a	11-Feb	100.00	5.0
COUGAR TRADING	044	GPS	B	5,000	20.13	n/a	29-Feb	250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>GPYOL</b>	<b>S</b>	<b>3</b>	<b>3.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>GS</b>	<b>B</b>	<b>250</b>	<b>173.40</b>	<b>n/a</b>	<b>21-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>039</b>	<b>HDB</b>	<b>SS</b>	<b>100</b>	<b>111.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EIDELMAN,FINGER & CO	046	ICTG	B	10,000	8.24	n/a	n/a	400.00	4.0
<b>WHEELER</b>	<b>008</b>	<b>IMMC</b>	<b>B</b>	<b>10,000</b>	<b>1.01</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.	
EPOCH INV MGMT	030	IRIS	S	1,850	10.35	n/a	n/a	74.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>ITCD</b>	<b>S</b>	<b>2,000</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	IVZ	B	30,000	25.81	20-Dec	29-Feb	1,500.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	B	40,000	25.81	20-Dec	29-Feb	2,000.00	5.0
WILLIAMS TRAD/MANHASSET	041	IVZ	B	18,000	26.05	20-Dec	29-Feb	630.00	3.5
PORTER-ORLIN-FELDMAN	044	JAVA	S	100,000	16.89	n/a	n/a	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>20,000</b>	<b>47.51</b>	<b>4-Jan</b>	<b>29-Feb</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>SS</b>	<b>30,000</b>	<b>38.26</b>	<b>26-Feb</b>	<b>29-Feb</b>	<b>1,200.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	KMT	S	1,150	30.48	n/a	n/a	46.00	4.0
STANDARD PACIFIC CAPITAL	040	KO	B	207,800	58.60	n/a	n/a	10,390.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>30,000</b>	<b>45.15</b>	<b>4-Jan</b>	<b>29-Feb</b>	<b>1,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	10,000	45.58	4-Jan	29-Feb	500.00	5.0
EPOCH INV MGMT	030	LDR	S	350	47.89	n/a	n/a	14.00	4.0
<b>BUCK</b>	<b>015</b>	<b>LEH</b>	<b>SS</b>	<b>800</b>	<b>52.95</b>	<b>n/a</b>	<b>27-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>LESCK</b>	<b>B</b>	<b>50</b>	<b>1.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SARAS CAPITAL	038	LTD	B	89,000	15.85	n/a	29-Feb	4,450.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTM</b>	<b>B</b>	<b>10,000</b>	<b>29.31</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	MEOH	S	800	28.80	n/a	n/a	32.00	4.0
<b>BUCK</b>	<b>015</b>	<b>MER</b>	<b>SS</b>	<b>500</b>	<b>50.71</b>	<b>18-Jan</b>	<b>21-Feb</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	MS	S	1,000	42.07	20-Dec	21-Feb	50.00	5.0
EPOCH INV MGMT	030	MVSN	S	1,950	15.56	n/a	n/a	78.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>40,000</b>	<b>23.72</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>50,000</b>	<b>25.16</b>	<b>7-Feb</b>	<b>29-Feb</b>	<b>2,000.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	NLC	S	1,150	22.03	n/a	n/a	46.00	4.0
EPOCH INV MGMT	030	NRF	S	5,450	9.19	n/a	n/a	218.00	4.0
EPOCH INV MGMT	030	NSSC	S	4,100	5.22	n/a	n/a	164.00	4.0
EPOCH INV MGMT	030	PDX	S	450	66.27	n/a	n/a	18.00	4.0
ROYCE TRADING	216	PENX	B	10,000	21.99	n/a	n/a	500.00	5.0
<b>COLE</b>	<b>N24</b>	<b>PNCL</b>	<b>B</b>	<b>200</b>	<b>11.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	PWAV	S	9,050	2.93	n/a	n/a	362.00	4.0
<b>GAULT</b>	<b>063</b>	<b>QLD</b>	<b>B</b>	<b>500</b>	<b>69.44</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>RL</b>	<b>B</b>	<b>40,000</b>	<b>63.25</b>	<b>7-Feb</b>	<b>15-Feb</b>	<b>1,600.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	035	RL	B	40,000	62.86	7-Feb	15-Feb	1,600.00	4.0
BUCK CAPITAL MGMT	001	RVI	S	20,000	6.90	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	SBNY	S	1,100	26.95	n/a	n/a	44.00	4.0
SUTERA	060	SDS	S	500	64.17	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKF	S	44,000	115.80	n/a	n/a	1,760.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	21.75	n/a	13-Mar	800.00	4.0
MERRILL ASSET	032	STC	B	14,100	29.70	n/a	n/a	634.50	4.5
N STRATTON	014	TECUA	C	200	22.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	52.55	n/a	27-Jul	800.00	4.0
ROTHSCHILD ASSET	040	TNB	S	28,520	40.09	n/a	n/a	1,283.40	4.5
BUCK CAPITAL MGMT	001	TWB	S	12,200	29.63	21-Feb	21-Feb	488.00	4.0
PATTEN & PATTEN	067	TWTC	S	2,500	15.79	9-Nov	4-Jan	125.00	5.0
BUCK CAPITAL MGMT	001	UA	S	10,000	36.41	n/a	n/a	400.00	4.0
BEAR STEARNS ASSET MGMT.	033	WMT	SS	41,800	49.58	n/a	19-Feb	1,672.00	4.0
COUGAR TRADING	044	ZQK	B	25,000	9.39	5-Feb	29-Feb	1,250.00	5.0

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**TOTAL (Trade Date):**

**79,769.10**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	02/28	TRIVIUM CAP MGMT (TRIVDEUTSC)	251	AUXL	S	1,287	33.04	n/a	n/a	51.48	4.0
AO,	02/28	TRIVIUM CAP MGMT (TRIVDEUTSC)	251	AUXL	S	13,713	33.04	n/a	n/a	548.52	4.0
AO,	02/28	TRIVIUM CAP MGMT (TRIVDEUTSC)	251	AUXL	S	3,004	33.01	n/a	n/a	120.16	4.0
AO,	02/28	TRIVIUM CAP MGMT (TRIVDEUTSC)	251	AUXL	S	31,996	33.01	n/a	n/a	1279.84	4.0
AO,CRT	02/28	AMBER CAPITAL (AMBRGS)	046	BKUNA	SS	200,000	4.97	n/a	n/a	8000.00	4.0
AO,CXL	02/28	AMBER CAPITAL (AMBRLEH)	046	BKUNA	SS	200,000	4.97	n/a	n/a	8000.00	4.0
AO,	02/28	ROYCE TRADING (ROYC142)	216	BORL	S	21,400	2.21	n/a	3-Apr	642.00	3.0
AO,	02/28	ROYCE TRADING (ROYC142)	216	BORL	S	3,600	2.09	n/a	3-Apr	108.00	3.0
AO,	02/28	ROYCE TRADING (ROYC28)	216	BORL	S	15,000	2.21	n/a	3-Apr	450.00	3.0
AO,	02/28	ROYCE TRADING (ROYC28)	216	BORL	S	2,500	2.09	n/a	3-Apr	75.00	3.0
AO,	02/28	ROYCE TRADING (ROYC59)	216	BORL	S	82,300	2.21	n/a	3-Apr	2469.00	3.0
AO,	02/28	ROYCE TRADING (ROYC59)	216	BORL	S	13,700	2.09	n/a	3-Apr	411.00	3.0
AO,	02/28	ROYCE TRADING (ROYC33)	216	BORL	S	31,300	2.21	n/a	3-Apr	939.00	3.0
AO,	02/28	ROYCE TRADING (ROYC33)	216	BORL	S	5,200	2.09	n/a	3-Apr	156.00	3.0
AO,CXL	02/28	COLONIAL FUND LLC (COLOUBS)	036	ETN	B	10,000	84.10	29-Feb	29-Feb	500.00	5.0
AO,CRT	02/28	COLONIAL FUND LLC (COLOMAINSL)	036	ETN	B	10,000	84.10	29-Feb	29-Feb	500.00	5.0
AO,	02/28	JENNISON (JENN0880)	032	FNM	B	600	27.11	n/a	n/a	24.00	4.0
AO,	02/28	JENNISON (JENN0878)	032	FNM	B	300	27.11	n/a	n/a	12.00	4.0
AO,	02/28	JENNISON (JENN0848)	032	FNM	B	2,000	27.11	n/a	n/a	80.00	4.0
AO,	02/28	JENNISON (JENN810)	032	FNM	B	14,100	27.11	n/a	n/a	564.00	4.0
AO,	02/28	JENNISON (JENN808)	032	FNM	B	9,300	27.11	n/a	n/a	372.00	4.0
AO,	02/28	JENNISON (JENN1071)	032	FNM	B	300	27.11	n/a	n/a	12.00	4.0
AO,	02/28	JENNISON (JENN686)	032	FNM	B	12,600	27.11	n/a	n/a	504.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/28	JENNISON (JENN685)	032	FNM	B	4,100	27.11	n/a	n/a	164.00 4.0
AO,	02/28	JENNISON (JENN684)	032	FNM	B	6,700	27.11	n/a	n/a	268.00 4.0
AO,	02/28	US BANCORP (USBCFEDSCC)	030	MTZ	B	680	8.77	n/a	n/a	34.00 5.0
AO,	02/28	US BANCORP (USBCFABAXS)	030	MTZ	B	541	8.77	n/a	n/a	27.05 5.0
AO,	02/28	US BANCORP (USBCEMGRX)	030	MTZ	B	37,810	8.77	n/a	n/a	1890.50 5.0
AO,	02/28	US BANCORP (USBCSIMS)	030	MTZ	B	969	8.77	n/a	n/a	48.45 5.0
AO,CXL	02/28	BAYPOINT/PRIMEMOVERS (BAYPSLK)	041	SPY	SS	300,000	137.55	n/a	n/a	15000.00 5.0
AO,	02/28	DOWNTOWN ASSOC (DOWNGS)	028	SPY	S	300,000	137.55	n/a	n/a	10500.00 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>6,750.00</b>
TOTAL (Trade Date) :										79,769.10
TOTAL (AO, CXL, CRT) :										6,750.00
<b>TOTAL (RUN DATE) / NFS :</b>										<b>86,519.10</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