



Daily Compliance Activity Report

Trade Date: 05/16/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MS PRINCIPAL STRATEGIES	041	AA	SS	10,000	43.00	n/a	n/a	500.00	5.0
SINCLAIR	031	ADWJJ	S	5	12.00	n/a	n/a	0.00	0.0
COUGAR TRADING	044	AEO	B	10,000	18.12	6-Mar	9-May	500.00	5.0
CR INTRINIC INVESTMENT	044	AFFX	S	23,100	11.92	n/a	n/a	0.00	0.0
TYEE/TYGH	035	AMG	B	41,050	103.50	7-Apr	14-May	1,642.00	4.0
HUNTER GLOBAL INVESTOR	067	AMX	B	108,100	57.29	n/a	n/a	5,405.00	5.0
COUGAR TRADING	044	ANF	SS	15,000	76.38	10-Apr	16-May	750.00	5.0
XYLEM GLOBAL	091	ARA	S	40,000	86.55	n/a	n/a	2,000.00	5.0
RAINIER INV MGMT	035	ARD	B	26,000	49.58	n/a	n/a	1,300.00	5.0
DSG CAPITAL	225	ARGN	B	6,000	12.95	n/a	1-May	300.00	5.0
MILLRACE FUND LP	028	ARGN	B	20,000	13.04	n/a	1-May	800.00	4.0
TRELLUS PARTNERS LP	028	ARGN	B	3,533	12.83	n/a	1-May	176.65	5.0
KACELA CAPITAL	034	AVP	S	20,000	39.04	4-Mar	29-Apr	800.00	4.0
WAGONHOUND	048	AXE	S	19,000	64.77	28-Mar	22-Apr	760.00	4.0
HUNTER GLOBAL INVESTOR	067	BEN	B	50,000	102.89	24-Mar	8-May	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	BJ	SS	45,000	38.65	n/a	27-Jul	1,800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	BJ	B	22,700	38.66	n/a	27-Jul	851.25	3.8
ROYCE TRADING	216	CAB	B	5,000	14.98	n/a	n/a	250.00	5.0
HUNTER GLOBAL INVESTOR	067	CCI	B	56,700	42.41	n/a	n/a	2,835.00	5.0
ROTHSCHILD ASSET	040	CIR	B	7,350	50.82	n/a	n/a	330.75	4.5
MATLIN PATTERSON	046	CLNE	S	100,000	14.58	n/a	n/a	3,000.00	3.0
COUGAR TRADING	044	COH	B	10,000	36.33	4-Apr	23-Apr	500.00	5.0
COUGAR TRADING	044	COH	SS	5,000	36.47	4-Apr	23-Apr	250.00	5.0
HUNTER GLOBAL INVESTOR	067	CSX	B	52,100	65.43	n/a	n/a	2,605.00	5.0
JPMSI/TOM LEDDY	035	C	B	50,000	23.13	16-Jan	15-May	2,500.00	5.0
CHILTON CAPITAL MGMT.	036	DLTR	SS	52,084	34.64	n/a	9-May	2,083.36	4.0
BRUNNER	012	DUG	S	500	27.70	n/a	n/a	0.00	0.0
BUCK	015	DVN	S	150	120.13	7-May	14-May	0.00	0.0
EFSTATHIOU	044	EFR	B	800	15.00	n/a	n/a	0.00	0.0
CENTURION PARTNERS	255	EMKR	S	55,000	7.89	n/a	n/a	2,750.00	5.0
SUTERA	160	ETFC	S	5,000	4.45	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLER	025	EWZ	S	25	98.32	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	FBC	B	8,093	4.75	n/a	n/a	404.65	5.0
REICH AND TANG	067	FLEX	S	200,000	10.64	n/a	n/a	10,000.00	5.0
LEHMAN PROPRIETARY TRAD	041	FOSL	S	50,000	33.39	n/a	14-May	2,000.00	4.0
MCCARTAN	028	F	SS	800	8.09	25-Apr	2-May	0.00	0.0
NEUBERGER BERMAN	036	GE	S	766,925	32.03	n/a	n/a	34,511.68	4.5
BUCK CAPITAL MGMT	001	GIL	B	10,000	29.12	30-Apr	8-May	400.00	4.0
1798 CAPITAL MGMT	040	GME	SS	5,000	52.49	n/a	n/a	250.00	5.0
DSG CAPITAL	225	GNTX	SS	11,000	18.95	7-Apr	23-Apr	550.00	5.0
BUCK	015	GPM	B	625	17.86	n/a	n/a	0.00	0.0
BUCK	015	GS	B	100	187.60	19-Mar	15-May	0.00	0.0
LED DY	035	HCGI	B	4,556	0.54	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	HIG	B	142,000	70.45	n/a	n/a	7,100.00	5.0
MCCARTAN	028	HSTX	B	200	10.81	n/a	n/a	0.00	0.0
NOLAN	067	HSTX	B	100	10.58	n/a	n/a	0.00	0.0
GAULT	063	ICON	B	1,900	14.49	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAPITAL MGMT	040	IGT	B	25,000	36.55	n/a	18-Apr	1,250.00	5.0
TURETSKY	038	IMB	B	4,000	1.90	n/a	n/a	0.00	0.0
AVESTA CAP	229	INTC	B	50,000	24.80	n/a	n/a	2,500.00	5.0
NOMURA CAPITAL	045	IPHS	S	5,700	25.05	n/a	n/a	285.00	5.0
HUNTER GLOBAL INVESTOR	067	IPI	B	31,200	47.96	n/a	n/a	1,560.00	5.0
BMO NESBITT BURNS	041	IP	SS	50,000	27.85	8-Feb	7-Apr	2,500.00	5.0
HIGHBRIDGE/MS OLDS	041	JBHT	B	28,000	35.00	n/a	n/a	1,120.00	4.0
TRUGENT CAPITAL	031	JBHT	SS	39,000	35.02	n/a	n/a	1,560.00	4.0
OTC ERROR	099	JBHT	B	28,000	35.03	n/a	n/a	0.00	0.0
OTC ERROR	099	JBHT	S	28,000	35.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	48.18	n/a	12-Mar	800.00	4.0
COUGAR TRADING	044	JCG	B	10,000	48.49	n/a	12-Mar	500.00	5.0
COUGAR TRADING	044	KSS	SS	20,000	48.83	n/a	16-May	1,000.00	5.0
CR INTRINIC INVESTMENT	044	KVA	S	50,000	25.08	n/a	n/a	0.00	0.0
COUGAR TRADING	044	LM	B	5,000	57.03	7-May	15-May	250.00	5.0
BUCK	015	LVS	S	400	76.05	n/a	n/a	0.00	0.0
CATTANI	041	LVS	S	200	76.09	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	LXP	S	50,000	15.10	n/a	n/a	2,250.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
N STRATTON	014	MCO	SS	100	45.00	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	MFE	B	30,000	36.16	n/a	3-Apr	1,200.00	4.0
PRINCIPLE CAPITAL	040	MOH	SS	47,600	25.79	n/a	n/a	1,428.00	3.0
HUNTER GLOBAL INVESTOR	067	MON	B	50,000	124.07	n/a	2-Apr	2,500.00	5.0
PRIMECAP MGMT	048	MOT	B	600,000	10.01	n/a	n/a	24,000.00	4.0
COUGAR TRADING	044	M	SS	5,000	24.74	7-Feb	15-May	250.00	5.0
CATTANI	041	M	SS	200	25.00	7-Feb	15-May	0.00	0.0
WHEELER	008	NLCIE	S	100	2.25	n/a	n/a	0.00	0.0
WANGER FUNDS/GREENWICH	031	NR	S	50,000	6.72	n/a	n/a	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	NYB	SS	257,000	19.52	n/a	n/a	12,850.00	5.0
MATRIX ASSET ADV.	036	ODP	B	10,000	13.40	n/a	27-Jul	300.00	3.0
SOMERSET ADV	044	PDS	B	40,000	26.95	n/a	n/a	1,600.00	4.0
BUCK	015	PENN	B	300	43.32	n/a	n/a	0.00	0.0
DAVIDSON TRUST CO	028	PFE	S	800	19.96	n/a	31-Mar	72.00	9.0
N STRATTON	014	PNWIF	B	400	3.65	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PSUN	B	5,000	10.90	n/a	9-May	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PVH	S	10,000	45.91	5-May	5-May	500.00	5.0
FIRST NEW YORK NICK	029	Q	S	5,000	4.73	n/a	n/a	250.00	5.0
HARVEST MGMT	039	ROST	S	20,000	35.77	n/a	n/a	1,000.00	5.0
ROTHSCHILD ASSET	040	SFY	S	4,100	60.90	n/a	n/a	184.50	4.5
ZOLIDIS	011	SHOE	SS	500	0.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	1,500	23.02	n/a	13-Mar	60.00	4.0
DSG CAPITAL	225	SPLS	B	13,000	23.70	n/a	27-Jul	650.00	5.0
HUNTER GLOBAL INVESTOR	067	SPY	B	71,000	142.17	n/a	n/a	2,130.00	3.0
CATAPULT	040	SSCC	S	73,560	5.93	7-Apr	23-Apr	3,678.00	5.0
LISTED ERR	099	SSI	B	900	13.96	n/a	9-May	0.00	0.0
DSG CAPITAL	225	TIN	B	2,500	14.80	29-Apr	29-Apr	125.00	5.0
HUNTER GLOBAL INVESTOR	067	TROW	SS	161,000	61.94	9-Jan	2-May	6,440.00	4.0
ZOLIDIS	011	TWM	B	700	70.61	n/a	n/a	0.00	0.0
BUCK	015	VISTEON CORP	B	60,000	91.13	n/a	n/a	0.00	0.0
BENNETT LAWRENCE	045	WAB	B	9,000	44.83	n/a	n/a	405.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	WB	S	172,000	27.20	n/a	n/a	8,600.00	5.0
TRUGENT CAPITAL	031	WERN	B	72,500	18.55	n/a	n/a	2,900.00	4.0
KORMAN	003	WFMI	C	3,000	28.57	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	WINN	B	10,000	17.51	n/a	n/a	500.00	5.0
CANTILLON CAPITAL	040	WLP	S	352,100	50.94	n/a	n/a	1,852.55	3.3
WILLOW CREEK	033	XHB	SS	20,000	21.86	n/a	n/a	800.00	4.0
TOTAL (Trade Date) :								185,005.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	05/15	WAGONHOUND (WAGO)	048	BKC	S	8,050	29.52	1-May	2-May	322.00	4.0
AO,CXL	05/15	WHALE ROCK CAP (WHAL4CENTS)	030	BKC	S	8,050	29.52	1-May	2-May	322.00	4.0
AO,	05/15	ROTHSCHILD ASSET (ROTH500130)	040	CIR	B	60	50.73	n/a	n/a	2.70	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH500110)	040	CIR	B	40	50.73	n/a	n/a	1.80	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH500100)	040	CIR	B	30	50.73	n/a	n/a	1.35	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH344)	040	CIR	B	20	50.73	n/a	n/a	0.90	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH000331)	040	CIR	B	70	50.73	n/a	n/a	3.15	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH346)	040	CIR	B	20	50.73	n/a	n/a	0.90	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH309)	040	CIR	B	500	50.73	n/a	n/a	22.50	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH306)	040	CIR	B	20	50.73	n/a	n/a	0.90	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH396)	040	CIR	B	260	50.73	n/a	n/a	11.70	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH304)	040	CIR	B	170	50.73	n/a	n/a	7.65	4.5
AO,	05/15	ROTHSCHILD ASSET (ROTH500140)	040	CIR	B	10	50.73	n/a	n/a	0.45	4.5
AO,	05/15	RAMIUS CAP (RAMIGS)	040	DRS	S	33,500	78.55	n/a	n/a	1675.00	5.0
AO,	05/15	RAMIUS CAP (RAMIMS)	040	DRS	S	16,500	78.55	n/a	n/a	825.00	5.0
AO,CXL	05/15	NEWLAND CAPITAL MGT (NEWLGS)	067	HRS	B	5,000	59.83	12-May	15-May	250.00	5.0
AO,CRT	05/15	NEWLAND CAPITAL MGT (NEWLGS)	067	HRS	B	5,000	59.83	12-May	15-May	200.00	4.0
CRT	05/16	OTC ERROR (OTC ERROR)	099	JBHT	S	28,000	35.00	n/a	n/a	0.00	0.0
CRT	05/16	HIGHBRIDGE/MS OLDS (HIBCMAN)	041	JBHT	B	28,000	35.00	n/a	n/a	1120.00	4.0
CRT	05/16	TRUGENT CAPITAL (TRUGGS)	031	JBHT	SS	17,065	35.02	n/a	n/a	682.60	4.0
AO,CRT	05/15	WAGONHOUND (WAGO)	048	LM	S	410	56.50	7-May	15-May	16.40	4.0
AO,CXL	05/15	WHALE ROCK CAP (WHAL4CENTS)	030	LM	S	410	56.50	7-May	15-May	16.40	4.0
AO,CXL	05/15	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	031	MER	S	4,400	49.37	18-Jan	15-May	220.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/15	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	031	MER	S	11,300	49.37	18-Jan	15-May	565.00 5.0
AO,CXL	05/15	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	031	MER	S	11,300	49.37	18-Jan	15-May	565.00 5.0
AO,CRT	05/15	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	031	MER	S	4,400	49.37	18-Jan	15-May	220.00 5.0
AO,CXL	05/15	LISTED ERR (LISTED ERR)	033	SSI	S	900	13.96	n/a	9-May	45.00 5.0
AO,	05/15	LISTED ERR (LISTED ERR)	033	SSI	S	900	13.96	n/a	9-May	0.00 0.0
AO,CRT	05/15	WAGONHOUND (WAGO)	048	TJX	S	4,350	31.12	n/a	14-May	174.00 4.0
AO,CXL	05/15	WHALE ROCK CAP (WHALE4CENTS)	030	TJX	S	4,350	31.12	n/a	14-May	174.00 4.0

TOTAL (AO, CXL, CRT) :	4,261.60
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TOTAL (Trade Date) :	185,005.39
TOTAL (AO, CXL, CRT) :	4,261.60

TOTAL (RUN DATE) / NFS :	189,266.99
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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