



## Daily Compliance Activity Report

Trade Date: 02/11/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>ZOLIDIS</b>	<b>011</b>	<b>AAPL</b>	<b>B</b>	<b>50</b>	<b>128.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	AAP	B	6,900	34.51	n/a	n/a	276.00	4.0
CAPITAL GROWTH MGMT.	241	ABX	B	100,000	50.15	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	AEO	B	20,000	22.00	5-Feb	8-Feb	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	AGU	B	27,200	61.93	n/a	n/a	1,360.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>AGU</b>	<b>B</b>	<b>2,700</b>	<b>63.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>AGU</b>	<b>S</b>	<b>2,700</b>	<b>62.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AELTUS/ING INVESTMENT MGT	044	AIG	S	99,976	44.85	n/a	n/a	3,999.04	4.0
REINHART & MAHONEY	031	AIG	S	15,235	45.09	n/a	n/a	761.75	5.0
GRANITE CAPITAL	045	ANAD	B	16,700	10.13	n/a	n/a	835.00	5.0
COUGAR TRADING	044	ARGN	B	20,000	18.25	n/a	11-Feb	1,000.00	5.0
MILLRACE FUND LP	028	ARGN	B	10,000	18.04	n/a	11-Feb	400.00	4.0
COUGAR TRADING	044	ARO	B	5,000	26.58	29-Nov	8-Feb	250.00	5.0
BULL PATH CAPITAL	044	BC	B	25,000	17.57	n/a	n/a	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	BJ	S	40,400	32.06	n/a	27-Jul	1,515.00	3.8
GRACIE CAPITAL	028	BLK	B	25,600	202.60	21-Nov	11-Feb	1,280.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	BONT	B	1,000	7.08	4-Jan	8-Feb	50.00	5.0
PRINCIPLE CAPITAL	040	BRL	B	39,600	50.37	n/a	8-Feb	1,584.00	4.0
CAPITAL GROWTH MGMT.	241	BTU	B	100,000	54.29	n/a	n/a	5,000.00	5.0
MS PRINCIPAL STRATEGIES	041	BXS	SS	15,000	24.05	n/a	n/a	750.00	5.0
SOCIETY GENERALE	040	CAKE	S	700	21.06	n/a	24-Apr	28.00	4.0
ADAGE CAPITAL MGMT	030	CHS	B	150,000	10.08	31-Jan	8-Feb	6,000.00	4.0
COUGAR TRADING	044	CHS	B	20,000	9.69	31-Jan	8-Feb	1,000.00	5.0
MERRILL ASSET	032	CNB	B	31,100	13.78	n/a	n/a	1,399.50	4.5
DSG CAPITAL	225	CSCO	B	5,000	23.45	n/a	22-Mar	250.00	5.0
CAPITAL GROWTH MGMT.	241	C	B	10,500	25.60	16-Jan	22-Jan	525.00	5.0
UBS OCONNOR	031	EV	C	47,767	34.48	9-Jan	11-Feb	1,433.01	3.0
PATTEN & PATTEN	067	FCX	B	100	93.30	n/a	n/a	5.00	5.0
<b>BARR</b>	<b>096</b>	<b>FMCN</b>	<b>SS</b>	<b>1,500</b>	<b>45.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	FRED	B	25,000	9.01	11-Feb	11-Feb	1,250.00	5.0
COUGAR TRADING	044	FRED	S	25,000	9.25	11-Feb	11-Feb	1,250.00	5.0
KACELA CAPITAL	034	FRED	B	1,700	9.04	11-Feb	11-Feb	85.00	5.0
THIRD COAST CAPITAL	035	FRED	B	20,000	9.26	11-Feb	11-Feb	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND	048	FRED	B	4,700	9.04	11-Feb	11-Feb	188.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>F</b>	<b>C</b>	<b>1,700</b>	<b>6.24</b>	<b>n/a</b>	<b>4-Feb</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	GFI	B	20,000	13.47	n/a	n/a	800.00	4.0
WHITE PINE CAPITAL	030	GGG	B	625	34.84	n/a	n/a	31.25	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>GIYCC</b>	<b>S</b>	<b>2</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	GLW	B	5,000	23.12	n/a	11-Feb	250.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>GMRX</b>	<b>B</b>	<b>25</b>	<b>1.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>GM</b>	<b>C</b>	<b>200</b>	<b>26.77</b>	<b>3-Jan</b>	<b>6-Feb</b>	<b>0.00</b>	<b>0.0</b>
CENTURION GLOBAL MGMT LL	041	GRMN	B	4,600	66.95	n/a	n/a	138.00	3.0
SANDELL ADV	040	HIG	SS	170,000	70.94	n/a	n/a	10,200.00	6.0
COUGAR TRADING	044	HOTT	B	5,000	5.54	n/a	8-Feb	250.00	5.0
WHITE PINE CAPITAL	030	IFF	B	575	42.33	14-Dec	30-Jan	28.75	5.0
HIGHBRIDGE CAPITAL	038	IP	B	143,099	32.04	8-Feb	8-Feb	7,154.95	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	B	12,600	25.31	20-Dec	11-Feb	504.00	4.0
WHITE PINE CAPITAL	030	IWC	SS	2,000	48.04	n/a	n/a	100.00	5.0
GALLEON MGMT LP	033	IWF	C	15,000	54.69	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JAH</b>	<b>S</b>	<b>10,000</b>	<b>22.13</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	JCP	B	50,000	47.62	4-Jan	8-Feb	2,500.00	5.0
WHITE PINE CAPITAL	030	KEG	B	1,675	12.26	29-Oct	28-Jan	83.75	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>KMX</b>	<b>B</b>	<b>250</b>	<b>19.58</b>	<b>n/a</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	KSS	S	5,000	46.45	4-Jan	8-Feb	250.00	5.0
CAPITAL GROWTH MGMT.	241	LEN	B	30,000	20.10	n/a	n/a	1,500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	LIZ	B	15,000	21.00	n/a	28-Jan	750.00	5.0
SIGMA CAPITAL ASSOCIATES	237	LTD	B	15,000	18.14	n/a	8-Feb	750.00	5.0
MERRILL ASSET	032	MAT	S	1,396,643	20.70	n/a	n/a	62,848.94	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MCD</b>	<b>SS</b>	<b>10,000</b>	<b>55.52</b>	<b>n/a</b>	<b>24-Apr</b>	<b>400.00</b>	<b>4.0</b>
CAPITAL GROWTH MGMT.	241	MDC	B	80,000	45.22	n/a	n/a	4,000.00	5.0
PATTEN & PATTEN	067	MRK	B	1,405	45.34	n/a	n/a	70.25	5.0
GRACIE CAPITAL	028	NMX	S	50,000	97.97	n/a	n/a	2,500.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>NOK</b>	<b>B</b>	<b>100</b>	<b>35.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	NWY	B	2,650	5.29	n/a	8-Feb	132.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	NYB	B	80,000	17.36	n/a	n/a	4,000.00	5.0
GOLDMAN SACHS ASSET MGMT	044	OXY	S	163,089	67.16	n/a	n/a	2,446.34	1.5
<b>COHE &amp; STEERS</b>	<b>091</b>	<b>PCL</b>	<b>B</b>	<b>125,000</b>	<b>39.64</b>	<b>8-Jan</b>	<b>30-Jan</b>	<b>6,250.00</b>	<b>5.0</b>
WHITE PINE CAPITAL	030	PERY	B	1,275	16.65	n/a	n/a	63.75	5.0
ELM RIDGE ADVISORS	044	PKG	B	69,705	23.76	23-Jan	23-Jan	2,788.20	4.0
THE JAY GOLDMAN	034	PVH	SS	25,000	41.54	5-Feb	5-Feb	1,000.00	4.0
NEW JERSEY DIV OF INV.	220	PWR	B	83,200	21.39	n/a	n/a	3,328.00	4.0
FIRST NEW YORK LEDDY	035	Q	B	10,000	5.12	n/a	n/a	600.00	6.0
SIGMA CAPITAL ASSOCIATES	237	RL	B	5,000	65.30	7-Feb	7-Feb	250.00	5.0
STADIA CAPITAL	035	RL	B	50,000	64.93	7-Feb	7-Feb	2,000.00	4.0
SAXON WOODS ADVISORS	038	RMD	S	10,000	42.73	n/a	n/a	500.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>RULCT</b>	<b>S</b>	<b>1</b>	<b>4.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>SBLK</b>	<b>B</b>	<b>500</b>	<b>11.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>B</b>	<b>400</b>	<b>65.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	SMBL	B	1,100	8.44	n/a	n/a	55.00	5.0
SIGMA CAPITAL ASSOCIATES	237	SMRT	S	7,100	6.07	n/a	n/a	355.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	SPY	B	17,000	133.35	n/a	n/a	680.00	4.0
<b>BARR</b>	<b>096</b>	<b>SRS</b>	<b>B</b>	<b>300</b>	<b>117.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MATLIN PATTERSON	046	SWN	S	25,000	58.46	14-Jan	28-Jan	750.00	3.0
SIGMA CAPITAL ASSOCIATES	237	TGT	SS	10,000	53.66	n/a	27-Jul	500.00	5.0
IRONBOUND CAPITAL	012	TIN	S	97,900	16.77	6-Feb	7-Feb	4,895.00	5.0
SIGMA CAPITAL ASSOCIATES	237	TPX	S	10,000	17.50	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>S</b>	<b>30,000</b>	<b>31.83</b>	<b>9-Jan</b>	<b>9-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
U.S.TRUST COMPANY	012	TYC	B	55,000	39.99	9-Nov	5-Feb	1,650.00	3.0
<b>GAULT</b>	<b>063</b>	<b>UYG</b>	<b>B</b>	<b>1,000</b>	<b>33.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	WBS	S	52,100	32.37	n/a	n/a	2,344.50	4.5
COUGAR TRADING	044	WRNC	B	5,000	34.39	14-Jan	29-Jan	250.00	5.0
THE JAY GOLDMAN	034	WRNC	B	35,000	34.34	14-Jan	29-Jan	1,400.00	4.0
PATTEN & PATTEN	067	WYE	S	975	39.35	n/a	31-Mar	48.75	5.0
SCOPUS FUND	041	WY	B	45,100	63.09	8-Jan	11-Feb	2,255.00	5.0
SIGMA CAPITAL ASSOCIATES	237	YUM	S	25,000	34.20	n/a	24-Apr	1,250.00	5.0
COUGAR TRADING	044	ZQK	B	10,000	9.12	5-Feb	5-Feb	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PEREGRINE	030	ZQK	B	8,300	8.87	5-Feb	5-Feb	415.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>178,391.23</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/01	NCM CAPITAL MGMT (NCMCLOC210)	035	BLK	S	2,800	218.84	21-Nov	11-Feb	112.00 4.0
AO,CXL	02/08	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	FDO	B	100,000	19.75	8-Jan	11-Feb	5000.00 5.0
AO,CRT	02/08	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	FDO	B	100,000	19.75	8-Jan	11-Feb	4000.00 4.0
AO,CXL	02/08	GALT INVESTMENT (GALTGS)	041	SCSS	B	50,000	4.89	n/a	n/a	2000.00 4.0
AO,CRT	02/08	GALT INVESTMENT (GALTGS)	041	SCSS	B	50,000	4.89	n/a	n/a	1250.00 2.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,862.00</b>

TOTAL (Trade Date) :	178,391.23
TOTAL (AO, CXL, CRT) :	-1,862.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>176,529.23</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