



Daily Compliance Activity Report

Trade Date: 01/28/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ANN	SS	5,000	21.08	11-Jan	11-Jan	250.00	5.0
CHILTON CAPITAL MGMT.	036	ARB	SS	10,418	40.64	n/a	n/a	416.72	4.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	99.13	25-Sep	28-Jan	500.00	5.0
BUCK	015	CAHNK	S	7	1.30	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	CHD	S	33,700	51.38	7-Nov	7-Nov	1,516.50	4.5
CATTANI	041	CHTT	B	100	67.85	11-Jan	11-Jan	0.00	0.0
WAGONHOUND	048	CLMS	SS	15,510	21.86	15-Jan	28-Jan	620.40	4.0
ZOLIDIS	011	DECK	B	200	118.89	n/a	n/a	0.00	0.0
CATTANI	041	ETNBQ	B	2	1.60	n/a	n/a	0.00	0.0
GRONET	030	EXH	S	300	68.35	n/a	28-Jan	0.00	0.0
CATAPULT	040	FNF	SS	10,000	17.61	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	34.17	22-Jan	25-Jan	400.00	4.0
BARR	096	GLD	S	400	91.25	n/a	n/a	0.00	0.0
GRISANTTI BROWN & PARTNER	048	GNTX	B	22,000	16.42	25-Jan	25-Jan	1,100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION GLOBAL MGMT LL	041	GPS	B	17,400	18.13	n/a	11-Jan	522.00	3.0
JP MORGAN VENTURES	046	GPS	SS	10,000	18.17	n/a	11-Jan	500.00	5.0
THOMAS WEISEL ASSET MGMT	035	GPX	S	3,425	10.74	n/a	n/a	102.75	3.0
SANDLER O'NEILL ASSET	031	GS	B	10,000	194.14	21-Sep	22-Jan	500.00	5.0
TRUSTCO/SUNTRUST	040	HAR	B	10,100	39.50	14-Jan	14-Jan	303.00	3.0
J L F ASSET MGMT	039	HBAN	B	71,100	12.30	n/a	n/a	2,844.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	30,000	23.48	n/a	n/a	1,200.00	4.0
J L F ASSET MGMT	039	HD	SS	27,500	28.46	n/a	27-Jul	1,100.00	4.0
BUCK CAPITAL MGMT	001	HON	B	10,000	58.75	n/a	25-Jan	400.00	4.0
REINHART & MAHONEY	031	HPQ	B	8,450	43.86	n/a	n/a	422.50	5.0
CATTANI	041	HQTN	S	1	2.60	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	251	IAR	SS	25,000	15.96	n/a	n/a	1,000.00	4.0
MERRILL ASSET	032	ITG	B	19,700	46.58	n/a	n/a	985.00	5.0
GALLEON MGMT LP	033	IWO	C	15,000	74.57	n/a	n/a	750.00	5.0
REINHART & MAHONEY	031	JAVA	S	19,580	16.55	n/a	n/a	979.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	42.06	28-Nov	18-Jan	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	SS	10,000	41.59	28-Nov	18-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	10,000	14.93	n/a	1-Nov	400.00	4.0
BUCK	015	JWN	SS	700	36.53	20-Nov	11-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	SS	60,000	41.60	4-Jan	11-Jan	2,400.00	4.0
SINCLAIR	031	LESGL	S	10	7.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LTM	B	10,000	41.26	n/a	n/a	400.00	4.0
CAXTON PART	040	MCD	B	47,103	51.26	n/a	24-Apr	1,648.61	3.5
EMP ERROR	099	MLI	B	5,000	26.59	9-Oct	24-Jan	0.00	0.0
GRONET	030	MSFT	S	200	32.93	n/a	3-Apr	0.00	0.0
GRISANTI BROWN & PARTNER	048	M	B	24,600	25.47	4-Jan	11-Jan	1,230.00	5.0
JP MORGAN VENTURES	046	M	B	15,000	25.22	4-Jan	11-Jan	750.00	5.0
GRONET	030	M	S	1,000	25.22	4-Jan	11-Jan	0.00	0.0
BUCK	015	NMXRT	S	10	5.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PEP	B	20,000	70.20	n/a	n/a	800.00	4.0
COUGAR TRADING	044	PLCE	B	5,000	17.19	10-Jan	11-Jan	250.00	5.0
COUGAR TRADING	044	PSUN	B	20,000	10.13	n/a	11-Jan	1,000.00	5.0
EGS ASSOCIATES LP	091	PVH	B	13,000	38.58	16-Jan	16-Jan	780.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	RIG	S	5,974	125.21	n/a	n/a	298.70	5.0
ROTHSCHILD ASSET	040	RLI	B	4,900	52.60	n/a	n/a	220.50	4.5
CENTURION GLOBAL MGMT LL	041	SAP	B	11,900	46.19	n/a	n/a	357.00	3.0
ZOLIDIS	011	SHOE	SS	200	1.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	18.85	n/a	13-Mar	800.00	4.0
ZOLIDIS	011	SKX	C	500	19.04	n/a	13-Mar	0.00	0.0
GALLEON MGMT LP	033	SPY	C	10,000	132.89	n/a	n/a	500.00	5.0
EMP ERROR	099	SSO	B	30	68.75	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNFK	S	18	5.10	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TJX	B	5,000	30.54	21-Sep	11-Jan	250.00	5.0
JACOB	068	TPX	C	400	19.07	n/a	n/a	0.00	0.0
MTB INV ADV	034	UA	B	14,065	34.48	n/a	n/a	703.25	5.0
LEHMAN PROPRIETARY TRAD	041	VMC	B	20,000	73.61	n/a	n/a	800.00	4.0
BUCK	015	WB	B	500	37.08	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	WRNC	B	9,100	34.22	14-Jan	14-Jan	273.00	3.0
MTB INV ADV	034	WRNC	B	14,670	34.71	14-Jan	14-Jan	733.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WSM	SS	20,000	24.64	n/a	n/a	800.00	4.0
FARALLON CAP MGMT	040	XRT	B	285,000	32.36	n/a	n/a	11,400.00	4.0
COUGAR TRADING	044	ZQK	B	15,000	8.63	23-Jan	23-Jan	750.00	5.0
TOTAL (Trade Date) :								45,356.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	01/18	ROSEDALE CAPITAL (ROSENBERG)	034	DUG	B	100	45.84	n/a	n/a	0.00	0.0
AO,CXL	01/18	ROSEDALE CAPITAL (ROSENBERG)	034	DUG	B	100	45.84	n/a	n/a	0.00	0.0
AO,CRT	01/10	ROSEDALE CAPITAL (ROSENBERG)	034	LEH	B	100	55.49	n/a	22-Jan	0.00	0.0
AO,CXL	01/10	ROSEDALE CAPITAL (ROSENBERG)	034	LEH	B	100	55.49	n/a	22-Jan	0.00	0.0
AO,CRT	01/25	EMP ERROR (EMP ERROR)	099	MLI	S	5,000	27.28	9-Oct	24-Jan	0.00	0.0
AO,CXL	01/25	WHEELER (WHEELER)	008	MLI	S	5,000	27.28	9-Oct	24-Jan	0.00	0.0
AO,	01/23	J COHEN (J COHEN)	N27	SSO	B	30	63.20	n/a	n/a	0.00	0.0
AO,	01/23	EMP ERROR (EMP ERROR)	099	SSO	S	30	63.20	n/a	n/a	0.00	0.0
AO,	01/25	AVESTA CAP (AVESGOLDMA)	229	WAG	SS	25,000	35.04	n/a	n/a	1250.00	5.0

TOTAL (AO, CXL, CRT) :	1,250.00
-------------------------------	-----------------

TOTAL (Trade Date) :	45,356.43
----------------------	-----------

TOTAL (AO, CXL, CRT) :	1,250.00
------------------------	----------

TOTAL (RUN DATE) / NFS :	46,606.43
---------------------------------	------------------

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