



Daily Compliance Activity Report

Trade Date: 06/09/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	AB	B	300	63.94	9-Apr	2-Jun	0.00	0.0
MORRISON&FRASIER/BUTLER	040	ALL	S	10,000	50.04	n/a	n/a	500.00	5.0
MERRILL LYNCH STRATEGICI	034	AMZN	B	5,000	78.54	n/a	n/a	300.00	6.0
ROTHSCHILD ASSET	040	ANR	S	110	90.72	n/a	n/a	4.95	4.5
MTB INV ADV	034	AN	S	43,175	14.35	n/a	25-Apr	2,158.75	5.0
SINCLAIR	031	APAFY	B	10	4.60	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	ARGN	B	10,000	10.61	n/a	9-Jun	500.00	5.0
GAULT	063	AXE	S	700	65.61	28-Mar	22-Apr	0.00	0.0
BUCK	015	BACPRL	B	30	981.00	n/a	n/a	0.00	0.0
AVESTA CAP	229	BAC	B	50,000	30.37	n/a	15-May	2,500.00	5.0
BUCK	015	BBBY	SS	2,000	30.28	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	BBY	B	5,000	43.79	n/a	27-Jul	250.00	5.0
PRINCIPLE CAPITAL	040	BC	SS	81,700	13.17	n/a	n/a	2,451.00	3.0
SANDLER O'NEILL ASSET	031	BEN	B	10,000	99.59	24-Mar	9-Jun	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD POINT MGMT	044	BIG	SS	100,000	30.98	29-May	5-Jun	4,000.00	4.0
WASHINGTON ASSET	048	BKC	S	6,000	27.88	1-May	2-May	300.00	5.0
BUCK	015	BUDGL	S	20	1.90	n/a	n/a	0.00	0.0
MFP INVESTORS	032	BYD	B	5,000	15.00	30-Apr	30-Apr	250.00	5.0
XYLEM GLOBAL	091	CCK	S	130,000	28.14	n/a	n/a	6,500.00	5.0
BANK OF NEW YORK	046	CEPH	B	16,430	69.35	29-May	6-Jun	657.20	4.0
KORMAN	003	CHCG	S	1,000	1.56	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	COH	SS	20,000	34.90	4-Apr	23-Apr	1,000.00	5.0
MERRILL LYNCH STRATEGICI	034	COH	B	40,000	34.50	4-Apr	23-Apr	1,600.00	4.0
BUCK	015	CPKI	C	1,000	13.53	n/a	9-May	0.00	0.0
MS PRINCIPAL STRATEGIES	041	CVBF	B	16,732	10.71	n/a	n/a	836.60	5.0
BUCK	015	DIS	B	500	33.11	n/a	n/a	0.00	0.0
COUGAR TRADING	044	DKS	SS	5,000	22.11	n/a	23-May	250.00	5.0
BUCK CAPITAL MGMT	001	DRI	SS	2,000	32.56	n/a	15-Apr	80.00	4.0
ENTRUST CAPITAL	040	DRI	B	88,800	31.96	n/a	15-Apr	4,440.00	5.0
BUCK	015	DVNGF	S	7	2.45	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	EAT	SS	4,000	19.89	n/a	24-Apr	160.00	4.0
KORMAN	003	ELSJ	B	50	4.05	n/a	n/a	0.00	0.0
CROWLEY	061	EPG	B	1,500	5.16	n/a	n/a	0.00	0.0
CASTLE ARK	031	FDO	SS	2,800	21.29	8-Jan	5-Jun	168.00	6.0
VISIUM/BALY HOWARD	038	FL	B	15,000	13.54	2-Apr	23-May	750.00	5.0
ROYCE TRADING	216	FNF	B	25,000	15.63	n/a	n/a	1,250.00	5.0
ROYAL CAPITAL	039	FSLR	B	5,000	238.50	n/a	n/a	250.00	5.0
MCCARTAN	028	F	C	400	6.15	25-Apr	9-Jun	0.00	0.0
WANGER FUNDS/GREENWICH	031	GASS	S	2,500	16.07	n/a	n/a	125.00	5.0
GAULT	063	GIL	S	1,400	28.52	30-Apr	28-May	0.00	0.0
GOLD SACHS SPECIAL SIT	030	GNTX	B	350,000	16.01	7-Apr	9-Jun	17,500.00	5.0
SCOPUS FUND	041	GPI	B	20,000	24.05	n/a	30-Apr	1,000.00	5.0
BUCK	015	GPI	SS	1,000	24.15	n/a	30-Apr	0.00	0.0
BUCK	015	GPYML	B	6	18.25	n/a	n/a	0.00	0.0
EMP ERROR	099	GS	S	100	165.50	19-Mar	6-Jun	0.00	0.0
GAULT	063	HEES	S	3,500	14.01	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MFP INVESTORS	032	IACI	B	5,000	21.00	n/a	n/a	250.00	5.0
LUCHANSKY1	036	IR	S	100	39.36	n/a	n/a	0.00	0.0
KERN	050	IYSRC	B	20	2.65	n/a	n/a	0.00	0.0
KERN	050	IYSRC	S	20	1.80	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	B	20,000	33.95	n/a	30-May	1,000.00	5.0
GAULT	063	JCI	S	500	32.45	23-Jan	16-Apr	0.00	0.0
BRIGADE CAPITAL MGMT	029	JCP	B	50,000	37.76	n/a	6-Jun	1,500.00	3.0
MTB INV ADV	034	JOSB	S	17,200	28.02	n/a	n/a	860.00	5.0
BUCK	015	JPM	C	600	39.80	8-May	15-May	0.00	0.0
JMP ASSET MGMT	210	JRJC	B	3,000	18.95	n/a	n/a	150.00	5.0
KORMAN	003	JWUSK	B	50	11.00	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	KSS	S	50,000	44.56	n/a	6-Jun	2,000.00	4.0
THE JAY GOLDMAN	034	KSS	B	10,000	43.35	n/a	6-Jun	400.00	4.0
BUCK	015	LEH	C	1,000	29.64	9-Jun	9-Jun	0.00	0.0
LUCHANSKY3	036	LEH	S	500	28.61	9-Jun	9-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	SS	30,000	16.43	n/a	14-May	1,200.00	4.0
HOOVER INV. MGMT	033	LULU	S	25,100	28.18	n/a	n/a	1,255.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITTIER CAP	048	LYV	S	8,140	13.18	n/a	n/a	325.60	4.0
COUGAR TRADING	044	MCD	S	5,000	59.04	9-Jun	9-Jun	250.00	5.0
BUCK	015	MER	SS	800	38.48	18-Jan	22-May	0.00	0.0
BARR	096	MER	SS	1,600	38.53	18-Jan	22-May	0.00	0.0
ROYAL CAPITAL	039	MGM	B	158,500	44.42	n/a	7-May	7,925.00	5.0
CATAPULT	040	MON	S	8,500	140.03	n/a	2-Apr	340.00	4.0
EMP ERROR	099	MS	S	500	39.68	n/a	6-Jun	0.00	0.0
BLUE HARBOR	036	MTN	B	50,000	43.70	n/a	n/a	2,500.00	5.0
SINCLAIR	031	MWATB	B	20	1.20	n/a	n/a	0.00	0.0
DE SHAW	040	MYL	B	74,700	12.58	30-May	6-Jun	2,241.00	3.0
WHITTIER CAP	048	NDN	B	13,130	7.76	27-Feb	5-Jun	525.20	4.0
BARR	096	NEM	B	300	48.72	n/a	n/a	0.00	0.0
BARR	096	NVTL	B	2,000	11.96	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	OI	S	50,000	52.81	n/a	n/a	2,500.00	5.0
COOKBIELER	028	ORI	B	100,000	14.70	n/a	n/a	4,000.00	4.0
MS PRINCIPAL STRATEGIES	041	PACW	B	2,382	20.25	n/a	n/a	119.10	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	PAG	B	25,000	18.25	22-Apr	30-Apr	1,250.00	5.0
SCOPUS FUND	041	PAG	B	20,000	18.27	22-Apr	30-Apr	1,000.00	5.0
KAICHER	064	PDE	B	1,000	45.15	n/a	n/a	0.00	0.0
MTB INV ADV	034	PII	S	23,145	46.40	n/a	n/a	1,157.25	5.0
BARR	096	PMTI	B	2,000	10.99	n/a	n/a	0.00	0.0
BARR	096	PMTI	S	2,000	10.76	n/a	n/a	0.00	0.0
SINCLAIR	031	PUHAA	S	50	1.85	n/a	n/a	0.00	0.0
BLUE HARBOR	036	PVH	B	50,000	41.86	5-May	22-May	2,500.00	5.0
SINCLAIR	031	PXDIQ	B	15	4.60	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	251	QLGC	B	25,000	14.99	n/a	n/a	1,000.00	4.0
BUCK	015	RF	B	2,000	14.29	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	RL	B	20,000	65.79	7-Feb	29-May	800.00	4.0
COUGAR TRADING	044	SDS	B	5,000	59.64	n/a	n/a	250.00	5.0
COUGAR TRADING	044	SDS	SS	10,000	59.26	n/a	n/a	500.00	5.0
SUTERA	160	SDS	S	1,000	60.32	n/a	n/a	0.00	0.0
CASTLE ARK	031	SGR	B	129,780	64.98	n/a	n/a	7,786.80	6.0
COUGAR TRADING	044	SKF	B	5,000	123.51	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	SKF	SS	5,000	120.86	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	SLB	S	278	105.19	n/a	n/a	13.90	5.0
ENTRUST CAPITAL	040	SONC	B	116,200	18.44	n/a	n/a	5,810.00	5.0
FIRST NY SEC/CHRIS	041	SSCC	B	100,000	5.90	7-Apr	23-Apr	4,000.00	4.0
GRISANTTI BROWN & PARTNER	048	SSCC	S	105,000	5.90	7-Apr	23-Apr	4,200.00	4.0
BUCK	015	STI	SS	1,000	45.47	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	SWN	S	488	48.56	20-Mar	4-Jun	24.40	5.0
KORMAN	003	TEN	SS	3,000	21.83	n/a	n/a	0.00	0.0
CAXTON PART	040	TIN	S	15,900	13.27	29-Apr	29-Apr	556.50	3.5
ZOLIDIS	011	TWM	B	200	70.75	n/a	n/a	0.00	0.0
COUGAR TRADING	044	URBN	B	10,000	31.53	15-May	15-May	500.00	5.0
CATAPULT	040	USB	B	5,000	31.25	n/a	n/a	250.00	5.0
ZOLIDIS	011	UYG	S	800	26.61	n/a	n/a	0.00	0.0
LEDDY	035	VETS	S	1,000	4.10	n/a	n/a	0.00	0.0
FIRST INV MGMT CORP	029	WBC	S	28,400	53.16	30-Apr	30-Apr	1,420.00	5.0
MS PRINCIPAL STRATEGIES	041	WFC	B	5,474	24.90	n/a	n/a	273.70	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	WFT	S	1,364	46.63	n/a	n/a	68.20	5.0
BARR	096	WM	SS	2,000	7.52	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WSM	SS	70,000	22.32	n/a	n/a	2,800.00	4.0
SCOPUS FUND	041	WY	B	7,000	56.62	7-Apr	27-May	350.00	5.0
WEINTRAUB CAPITAL MGT.	040	ZQK	B	75,000	9.04	5-Feb	6-Jun	3,000.00	4.0
GAULT	063	ZYTAG	S	30	4.50	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								119,633.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/04	ZOLIDIS (ZOLIDIS)	011	ARO	B	500	33.71	28-Apr	6-Jun	0.00 0.0
AO,CXL	06/04	ZOLIDIS (ZOLIDIS)	011	ARO	B	500	33.71	28-Apr	6-Jun	0.00 0.0
AO,	06/06	GENERAL ELECTIC CO (GEICZQ1P)	033	AWK	B	804	22.06	n/a	n/a	16.08 2.0
AO,	06/06	GENERAL ELECTIC CO (GEICZW4P)	033	AWK	B	8,071	22.06	n/a	n/a	161.42 2.0
AO,	06/06	GENERAL ELECTIC CO (GEICZW46)	033	AWK	B	6,388	22.06	n/a	n/a	127.76 2.0
AO,	06/06	GENERAL ELECTIC CO (GEICZQ7J)	033	AWK	B	1,486	22.06	n/a	n/a	29.72 2.0
AO,	06/06	GENERAL ELECTIC CO (GEICZW7P)	033	AWK	B	521	22.06	n/a	n/a	10.42 2.0
AO,	06/06	GENERAL ELECTIC CO (GEICZW3P)	033	AWK	B	1,719	22.06	n/a	n/a	34.38 2.0
AO,	06/06	GENERAL ELECTIC CO (GEICGH14)	033	AWK	B	5,019	22.06	n/a	n/a	100.38 2.0
AO,	06/06	GENERAL ELECTIC CO (GEICGE3N)	033	AWK	B	41,516	22.06	n/a	n/a	830.32 2.0
AO,CXL	06/06	DURANGO INVESTMENTS (DURACREDIT)	031	BHI	S	5,000	90.07	n/a	n/a	200.00 4.0
AO,CRT	06/06	DURANGO INVESTMENTS (DURAMORGAN)	031	BHI	S	5,000	90.07	n/a	n/a	200.00 4.0
AO,	06/06	TRELLUS PARTNERS LP (TRELMERR)	028	BIG	SS	1,256	31.66	29-May	5-Jun	62.80 5.0
AO,	06/06	TRELLUS PARTNERS LP (TRELGS)	028	BIG	SS	1,256	31.66	29-May	5-Jun	62.80 5.0
AO,	06/06	TRELLUS PARTNERS LP (TRELMAIN)	028	BIG	SS	19,388	31.66	29-May	5-Jun	969.40 5.0
AO,	06/06	CARDINAL CAPITAL (CARDPRKARL)	044	CVO	B	3,200	12.78	n/a	n/a	160.00 5.0
AO,CXL	06/06	CARDINAL CAPITAL (CARDMIDCAP)	044	CVO	B	3,200	12.78	n/a	n/a	160.00 5.0
AO,CXL	06/06	OGORMAN (OGORMAN)	046	GS	B	100	171.31	19-Mar	6-Jun	0.00 0.0
AO,CRT	06/06	EMP ERROR (EMP ERROR)	046	GS	B	100	171.31	19-Mar	6-Jun	0.00 0.0
AO,CXL	06/06	OGORMAN (OGORMAN)	046	MS	B	500	41.21	n/a	6-Jun	0.00 0.0
AO,CRT	06/06	EMP ERROR (EMP ERROR)	046	MS	B	500	41.21	n/a	6-Jun	0.00 0.0
TOTAL (AO, CXL, CRT) :										2,405.48

TOTAL (Trade Date):	119,633.15
TOTAL (AO, CXL, CRT):	2,405.48

TOTAL (RUN DATE) / NFS:	122,038.63
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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