



Daily Compliance Activity Report

Trade Date: 05/27/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J L F ASSET MGMT	039	AAP	B	22,400	38.06	n/a	n/a	896.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	100	17.13	6-Mar	9-May	4.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	179,900	17.13	6-Mar	9-May	7,196.00	4.0
THE JAY GOLDMAN	034	AET	SS	18,500	45.31	n/a	n/a	925.00	5.0
DAVIDSON TRUST CO	028	AIG	S	5,000	37.03	n/a	n/a	250.00	5.0
MORGAN LEWIS/MLH	046	ALVR	B	10,000	8.17	n/a	n/a	500.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	72.42	10-Apr	16-May	250.00	5.0
J L F ASSET MGMT	039	ANF	B	12,000	72.95	10-Apr	16-May	480.00	4.0
BUCK CAPITAL MGMT	001	ANR	S	2,500	72.47	n/a	n/a	100.00	4.0
LEDDY	035	AN	SS	1,000	15.72	n/a	25-Apr	0.00	0.0
LUCHANSKY1	036	ARGN	B	500	14.10	n/a	20-May	0.00	0.0
KACELA CAPITAL	034	ARO	B	20,000	33.21	28-Apr	23-May	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	ARO	B	28,419	33.44	28-Apr	23-May	1,420.95	5.0
FIRST NY SEC/CHRIS	041	AXL	B	25,000	19.10	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	BC	SS	82,100	14.47	n/a	n/a	2,463.00	3.0
PRIMECAP MGMT	048	BSX	B	15,000	13.16	n/a	22-Apr	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MFP INVESTORS	032	BYD	B	5,000	15.24	30-Apr	30-Apr	250.00	5.0
LISTED ERR	099	BYD	B	4,800	15.23	30-Apr	30-Apr	0.00	0.0
LISTED ERR	099	BYD	S	4,800	15.22	30-Apr	30-Apr	0.00	0.0
EIDELMAN,FINGER & CO	045	CAL	B	15,000	13.71	n/a	n/a	750.00	5.0
BARR	096	CATT	B	400	7.20	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	034	CBS	B	30,000	22.54	n/a	n/a	1,500.00	5.0
SUTTONBROOK CAPITAL	067	CCU	S	150,000	34.90	n/a	n/a	7,500.00	5.0
KACELA CAPITAL	034	CF	S	4,000	123.61	n/a	n/a	160.00	4.0
THE JAY GOLDMAN	034	CI	B	20,500	40.42	n/a	n/a	1,025.00	5.0
COUGAR TRADING	044	COH	B	10,000	34.32	4-Apr	23-Apr	500.00	5.0
COUGAR TRADING	044	COH	SS	5,000	34.82	4-Apr	23-Apr	250.00	5.0
BUCK	015	COPRQ	B	7	1.14	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CPKI	SS	5,000	13.95	n/a	9-May	250.00	5.0
Õ Doug Rogers		CPN	B	359	22.9800	n/a	n/a	0.00	0.0
PRIMECAP MGMT	048	CREE	B	100	23.73	n/a	n/a	4.00	4.0
MORGAN BANK /JPM	012	CX	S	3,100	30.61	n/a	n/a	93.00	3.0
MORGAN BANK /JPM	012	DOV	S	2,500	52.11	n/a	n/a	75.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	DSW	S	25,000	13.47	8-May	9-May	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	ENR	B	3,500	79.08	30-Apr	30-Apr	140.00	4.0
LEDDY	035	FIG	B	100	13.79	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	FL	B	94,600	13.97	2-Apr	23-May	3,784.00	4.0
BARR	096	FNM	SS	1,600	27.59	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GCO	B	5,000	24.61	n/a	10-Jan	250.00	5.0
GENERAL ELECTIC CO	033	GD	S	102,001	90.50	n/a	n/a	4,080.04	4.0
MORGAN BANK /JPM	012	GE	S	6,800	30.61	n/a	n/a	204.00	3.0
BARON ASSET MGMT*	012	GIL	B	125,000	27.73	30-Apr	8-May	6,250.00	5.0
COUGAR TRADING	044	GIL	B	5,000	27.69	30-Apr	8-May	250.00	5.0
HIGHLINE ADV	044	GIL	B	200,000	27.72	30-Apr	8-May	10,000.00	5.0
COUGAR TRADING	044	GPS	SS	10,000	18.05	n/a	23-May	500.00	5.0
BUCK	015	GS	S	600	171.55	19-Mar	22-May	0.00	0.0
CROWLEY	061	HCGI	S	2,000	0.75	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	HD	B	100,000	27.41	n/a	27-Jul	4,000.00	4.0
BUCK	015	HOT	S	1,000	48.80	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	INTC	C	200,000	23.67	n/a	n/a	10,000.00	5.0
THE JAY GOLDMAN	034	INTC	B	50,000	23.55	n/a	n/a	2,500.00	5.0
PRIMECAP MGMT	048	IP	B	900	26.07	8-Feb	27-May	36.00	4.0
THE JAY GOLDMAN	034	ISIL	B	15,000	27.55	n/a	n/a	750.00	5.0
ARIENCE CAPITAL	036	IVZ	S	35,000	26.75	10-Apr	22-May	1,750.00	5.0
KERN	050	IYSRA	S	10	5.10	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	SS	25,000	46.20	n/a	27-May	1,250.00	5.0
COUGAR TRADING	044	JCG	S	5,000	46.15	n/a	27-May	250.00	5.0
S.A.C. CAPITAL MGMT.	044	JCG	S	15,000	46.30	n/a	27-May	750.00	5.0
BUCK	015	KMB	B	800	63.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	43.81	n/a	16-May	400.00	4.0
COUGAR TRADING	044	KSS	B	5,000	44.10	n/a	16-May	250.00	5.0
COUGAR TRADING	044	KSS	SS	10,000	44.42	n/a	16-May	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	11,200	11.30	7-Apr	7-May	560.00	5.0
BUCK CAPITAL MGMT	001	MEE	S	4,000	61.70	n/a	n/a	160.00	4.0
PRIMECAP MGMT	048	MSFT	B	10,000	28.29	n/a	3-Apr	500.00	5.0
BUCK	015	MS	C	1,000	41.59	20-Dec	22-May	0.00	0.0
J L F ASSET MGMT	039	MW	B	4,100	23.20	n/a	n/a	164.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	M	S	10,000	22.75	7-Feb	27-May	400.00	4.0
COUGAR TRADING	044	M	B	5,000	22.88	7-Feb	27-May	250.00	5.0
BARR	096	NEM	B	500	47.60	n/a	n/a	0.00	0.0
PRIMECAP MGMT	048	NUAN	B	200	18.80	n/a	n/a	10.00	5.0
LEDDY	035	PBR	S	200	70.47	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PCX	S	200	94.42	n/a	n/a	8.00	4.0
BARR	096	PDFS	B	2,500	5.36	n/a	n/a	0.00	0.0
N STRATTON	014	PSFC	B	900	12.55	n/a	n/a	0.00	0.0
COUGAR TRADING	044	RL	B	10,000	61.00	7-Feb	6-May	500.00	5.0
MORGAN BANK /JPM	012	ROH	S	2,200	52.71	n/a	22-Apr	66.00	3.0
MORGAN BANK /JPM	012	RTN	S	2,100	62.60	n/a	n/a	63.00	3.0
BUCK	015	RYN	B	800	43.77	23-Apr	23-Apr	0.00	0.0
REINHART & MAHONEY	031	SHPGY	B	7,005	51.78	21-May	21-May	350.25	5.0
KACELA CAPITAL	034	SKF	B	5,000	112.47	n/a	n/a	200.00	4.0
PERRY PARTNERS	041	SKS	B	50,000	12.55	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	23.08	n/a	13-Mar	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	048	SNDK	B	3,000	28.05	n/a	n/a	120.00	4.0
BARR	096	SYNA	B	200	42.15	n/a	n/a	0.00	0.0
IRONBOUND CAPITAL	012	TIN	B	50,300	14.21	29-Apr	29-Apr	1,509.00	3.0
WAGONHOUND	048	TJX	S	13,630	31.34	n/a	14-May	545.20	4.0
THE JAY GOLDMAN	034	TXN	S	40,000	32.25	n/a	n/a	2,000.00	5.0
MILLRACE FUND LP	028	UA	B	12,000	34.08	n/a	n/a	480.00	4.0
EMP ERROR	099	UA	S	200	33.84	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	UBS	B	125,000	25.34	n/a	n/a	6,250.00	5.0
PRIMECAP MGMT	048	UPS	B	1,000	67.55	n/a	n/a	40.00	4.0
MORGAN BANK /JPM	012	UTX	S	3,800	70.26	n/a	n/a	114.00	3.0
DAVIDSON TRUST CO	028	WFC	B	5,000	27.84	n/a	n/a	250.00	5.0
MAIRS AND POWER INV	030	WFC	B	10,000	27.24	n/a	n/a	500.00	5.0
KACELA CAPITAL	034	WMT	B	20,000	56.42	13-May	13-May	800.00	4.0
BALYASNY ASSET MGMT	044	ZQK	B	20,000	8.66	5-Feb	7-Mar	1,000.00	5.0
COUGAR TRADING	044	ZQK	B	10,000	8.75	5-Feb	7-Mar	500.00	5.0
TOTAL (Trade Date) :								98,875.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/23	ROTHSCHILD ASSET (ROTH355)	040	ACS	B	650	53.31	n/a	n/a	29.25 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH000479)	040	ACS	B	520	53.31	n/a	n/a	23.40 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH476)	040	ACS	B	450	53.31	n/a	n/a	20.25 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH359)	040	ACS	B	11,140	53.31	n/a	n/a	501.30 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH362)	040	ACS	B	1,370	53.31	n/a	n/a	61.65 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH356)	040	ACS	B	570	53.31	n/a	n/a	25.65 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH351)	040	ACS	B	100	53.31	n/a	n/a	4.50 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH4712)	040	ACS	B	460	53.31	n/a	n/a	20.70 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH3631)	040	ACS	B	680	53.31	n/a	n/a	30.60 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH332)	040	ACS	B	240	53.31	n/a	n/a	10.80 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH315)	040	ACS	B	590	53.31	n/a	n/a	26.55 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH310)	040	ACS	B	480	53.31	n/a	n/a	21.60 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH4711)	040	ACS	B	1,240	53.31	n/a	n/a	55.80 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH467)	040	ACS	B	260	53.31	n/a	n/a	11.70 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH471)	040	ACS	B	2,300	53.31	n/a	n/a	103.50 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH464)	040	ACS	B	890	53.31	n/a	n/a	40.05 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH470)	040	ACS	B	1,770	53.31	n/a	n/a	79.65 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH469)	040	ACS	B	8,060	53.31	n/a	n/a	362.70 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH468)	040	ACS	B	2,350	53.31	n/a	n/a	105.75 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH466)	040	ACS	B	3,390	53.31	n/a	n/a	152.55 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH452)	040	ACS	B	510	53.31	n/a	n/a	22.95 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH000300)	040	ACS	B	1,030	53.31	n/a	n/a	46.35 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH450)	040	ACS	B	4,440	53.31	n/a	n/a	199.80 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH386)	040	ACS	B	310	53.31	n/a	n/a	13.95 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH340)	040	ACS	B	7,870	53.31	n/a	n/a	354.15 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH348)	040	ACS	B	470	53.31	n/a	n/a	21.15 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH345)	040	ACS	B	430	53.31	n/a	n/a	19.35 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/23	ROTHSCHILD ASSET (ROTH3721)	040	ACS	B	460	53.31	n/a	n/a	20.70 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH3021)	040	ACS	B	2,450	53.31	n/a	n/a	110.25 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH333)	040	ACS	B	1,060	53.31	n/a	n/a	47.70 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH369)	040	ACS	B	760	53.31	n/a	n/a	34.20 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH322)	040	ACS	B	1,290	53.31	n/a	n/a	58.05 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH302)	040	ACS	B	1,900	53.31	n/a	n/a	85.50 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH329)	040	ACS	B	580	53.31	n/a	n/a	26.10 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH368)	040	ACS	B	180	53.31	n/a	n/a	8.10 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH367)	040	ACS	B	650	53.31	n/a	n/a	29.25 4.5
AO,	05/23	ROTHSCHILD ASSET (ROTH3602)	040	ACS	B	1,050	53.31	n/a	n/a	47.25 4.5
CRT	05/27	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	AEO	S	179,900	17.13	6-Mar	9-May	7196.00 4.0
AO,CXL	05/23	MORRISON&FRASIER/BUTLER (MORRCONTLB)	040	BID	S	10,000	25.23	n/a	n/a	500.00 5.0
AO,CRT	05/23	MORRISON&FRASIER/BUTLER (MORRCONTLB)	040	BID	S	10,000	25.23	n/a	n/a	400.00 4.0
AO,CXL	05/23	MORRISON&FRASIER/BUTLER (MORRCONTLB)	040	DHT	S	10,000	10.97	n/a	n/a	500.00 5.0
AO,CRT	05/23	MORRISON&FRASIER/BUTLER (MORRCONTLB)	040	DHT	S	10,000	10.97	n/a	n/a	400.00 4.0
AO,	05/23	TRIVIUM CAP MGMT (TRIVGS B)	251	IMMR	B	2,058	8.87	n/a	n/a	82.32 4.0
AO,	05/23	TRIVIUM CAP MGMT (TRIVGS B)	251	IMMR	B	21,960	8.87	n/a	n/a	878.40 4.0
AO,	05/23	TRIVIUM CAP MGMT (TRIVGS B)	251	IMMR	B	982	8.87	n/a	n/a	39.28 4.0
AO,	05/23	TRIVIUM CAP MGMT (TRIVGS B)	251	IMMR	B	4,114	8.84	n/a	n/a	164.56 4.0
AO,	05/23	TRIVIUM CAP MGMT (TRIVGS B)	251	IMMR	B	43,920	8.84	n/a	n/a	1756.80 4.0
AO,	05/23	TRIVIUM CAP MGMT (TRIVGS B)	251	IMMR	B	1,966	8.84	n/a	n/a	78.64 4.0
AO,CXL	05/23	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	LPX	B	32,600	11.45	7-Apr	7-May	5.00 0.0
AO,CRT	05/23	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	LPX	B	32,600	11.45	7-Apr	7-May	1630.00 5.0
AO,CXL	05/23	WESLEY CAPITAL (WESLGS4CEN)	246	SSCC	B	5,000	5.92	7-Apr	23-Apr	200.00 4.0
AO,CRT	05/23	WESTLANE CAPITAL (WLANGS)	044	SSCC	B	5,000	5.92	7-Apr	23-Apr	200.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/23	EMP ERROR (EMP ERROR)	099	UA	B	200	34.01	n/a	n/a	0.00 0.0
AO,CXL	05/23	MCCARTAN (MCCARTAN)	028	UA	B	200	34.01	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :									14,453.75	

TOTAL (Trade Date) :	98,875.44
TOTAL (AO, CXL, CRT) :	14,453.75

TOTAL (RUN DATE) / NFS:	113,329.19
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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