



Daily Compliance Activity Report

Trade Date: 06/05/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BLUE HARBOR	036	ACM	B	8,300	32.09	n/a	n/a	415.00	5.0
SUNOVA CAPITAL	031	AMG	B	10,000	102.84	7-Apr	2-Jun	500.00	5.0
LISTED ERR	099	AMP	S	4,766	46.81	n/a	n/a	0.00	0.0
BLACKSTONE KAILIX ASS.	048	ANF	SS	100,000	70.44	10-Apr	2-Jun	5,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	25,000	70.99	10-Apr	2-Jun	1,000.00	4.0
COUGAR TRADING	044	ANF	B	15,000	70.58	10-Apr	2-Jun	750.00	5.0
KORMAN	003	ANN	SS	5,000	26.62	14-Mar	22-May	0.00	0.0
BUCK	015	ANN	C	2,000	26.30	14-Mar	22-May	0.00	0.0
GEORGE WEISS	034	APA	C	5,000	134.67	7-May	4-Jun	200.00	4.0
GEORGE WEISS	034	APC	C	10,000	77.26	20-Mar	4-Jun	400.00	4.0
COUGAR TRADING	044	ARO	SS	25,000	32.89	28-Apr	2-Jun	1,250.00	5.0
RBC CAPITAL MARKETS	034	BBY	SS	5,000	47.54	n/a	27-Jul	200.00	4.0
BUCK CAPITAL MGMT	001	BJ	B	20,000	40.66	n/a	27-Jul	800.00	4.0
EPOCH INV MGMT	030	BMY	B	1,400	21.56	n/a	n/a	56.00	4.0
EPOCH INV MGMT	030	BSX	B	2,050	13.54	n/a	22-Apr	82.00	4.0
YORK CAPITAL	036	BUD	B	500,000	57.60	n/a	n/a	25,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	CAB	B	10,000	13.65	n/a	n/a	500.00	5.0
REINHART & MAHONEY	031	CAG	B	8,525	23.94	n/a	n/a	426.25	5.0
MKT MAKER	099	CELG	S	49	63.70	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	CHTT	B	100,000	61.13	2-Jun	2-Jun	4,000.00	4.0
REINHART & MAHONEY	031	CIEN	S	29,530	29.02	n/a	22-Mar	1,476.50	5.0
KAICHER	064	CLR	S	500	68.32	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CMCSK	B	2,800	22.28	n/a	n/a	112.00	4.0
COUGAR TRADING	044	COH	B	5,000	36.56	4-Apr	23-Apr	250.00	5.0
SOROS	036	COP	B	83,000	92.32	n/a	n/a	3,320.00	4.0
COUGAR TRADING	044	CPKI	SS	10,000	14.08	n/a	9-May	500.00	5.0
RHO CAPITAL MGMT	041	CSIQ	S	2,200	40.14	n/a	n/a	88.00	4.0
HUNTER GLOBAL INVESTOR	067	CSX	B	45,500	66.54	n/a	n/a	1,820.00	4.0
BANK OF NEW YORK	046	CTRN	B	18,460	24.29	n/a	n/a	738.40	4.0
MAIRS AND POWER INV	030	DCI	S	20,000	51.59	n/a	n/a	1,000.00	5.0
AMBER CAPITAL	046	DFS	SS	300,000	16.69	n/a	n/a	12,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	DFS	B	51,544	16.74	n/a	n/a	0.00	0.0
LISTED ERR	099	DFS	S	51,544	16.70	n/a	n/a	0.00	0.0
CASTLE ARK	031	DKS	S	98,180	23.51	n/a	23-May	5,890.80	6.0
THIRD POINT MGMT	044	DPS	S	100,000	25.76	n/a	n/a	4,000.00	4.0
WYPER CAPITAL	044	DPS	B	282,400	25.68	n/a	n/a	11,296.00	4.0
AAD CAPITAL	048	DSW	S	50,000	14.60	8-May	30-May	1,500.00	3.0
PRIMECAP MGMT	048	EMC	B	10,000	17.48	n/a	n/a	400.00	4.0
BLUE HARBOR	036	EME	B	8,100	29.63	n/a	n/a	405.00	5.0
BUCK	015	FNM	C	1,000	26.81	n/a	n/a	0.00	0.0
ZOLIDIS	011	FRED	SS	500	13.20	27-Mar	27-Mar	0.00	0.0
PRYLUCKI	092	GIL	S	125	29.48	30-Apr	28-May	0.00	0.0
HEALY CIRCLE	044	GM	SS	10,000	17.06	29-Apr	5-Jun	500.00	5.0
PILOT ROCK	028	GM	SS	93,800	17.00	29-Apr	5-Jun	3,752.00	4.0
BLUE HARBOR	036	GVA	S	27,554	36.69	n/a	n/a	1,377.70	5.0
MILLENIUM PARTNERS	028	GYMB	B	1,600	45.07	3-Jun	3-Jun	80.00	5.0
N STRATTON	014	HEMGF	B	200	4.40	n/a	n/a	0.00	0.0
KAICHER	064	HK	S	1,000	33.75	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	IGT	B	1,250	35.24	n/a	18-Apr	50.00	4.0
MERRILL ASSET	032	ITG	B	20,400	40.72	n/a	n/a	1,020.00	5.0
REINHART & MAHONEY	031	JBX	B	23,310	24.48	n/a	24-Apr	1,165.50	5.0
RBC CAPITAL MARKETS	034	JCP	SS	7,500	40.32	n/a	2-Jun	300.00	4.0
BUCK	015	JJG	S	1,000	65.45	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	JNS	B	25,000	29.95	25-Apr	2-Jun	1,250.00	5.0
MTB INV ADV	034	JOSB	B	17,200	31.45	n/a	n/a	860.00	5.0
COUGAR TRADING	044	JWN	SS	15,000	35.48	16-May	2-Jun	750.00	5.0
MTB INV ADV	034	JWN	B	31,100	36.01	16-May	2-Jun	1,555.00	5.0
RBC CAPITAL MARKETS	034	JWN	S	15,000	35.73	16-May	2-Jun	600.00	4.0
RBC CAPITAL MARKETS	034	KSS	S	5,000	46.20	n/a	2-Jun	200.00	4.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	17.20	n/a	14-May	400.00	4.0
EPOCH INV MGMT	030	LM DIA	B	1,050	26.52	n/a	n/a	42.00	4.0
COUGAR TRADING	044	LTD	S	5,000	18.82	n/a	2-Jun	250.00	5.0
BLUE HARBOR	036	MAS	B	23,600	17.93	n/a	n/a	1,180.00	5.0
JP MORGAN VENTURES	046	MCD	SS	15,000	57.94	n/a	2-Jun	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	MER	SS	25,000	40.62	18-Jan	22-May	1,250.00	5.0
EPOCH INV MGMT	030	MSFT	B	2,450	27.75	n/a	3-Apr	98.00	4.0
DEMARTINI	065	MSO	S	800	8.99	n/a	n/a	0.00	0.0
OGORMAN	046	MS	B	500	44.20	n/a	22-May	0.00	0.0
RBC CAPITAL MARKETS	034	M	S	5,000	22.71	7-Feb	2-Jun	200.00	4.0
HARVEST MGMT	039	NKE	B	50,000	69.84	n/a	n/a	2,500.00	5.0
KAICHER	064	NOG	S	2,000	12.76	n/a	n/a	0.00	0.0
Õ Ted Wheeler		NPO	S	3000	40.1500	n/a	n/a	0.00	0.0
Õ Ted Wheeler		NPO	S	896	40.1500	n/a	n/a	0.00	0.0
WANGER FUNDS/GREENWICH	031	NR	S	22,100	8.12	n/a	n/a	1,105.00	5.0
JP MORGAN VENTURES	046	NTRI	S	20,000	19.58	n/a	n/a	1,000.00	5.0
DEMARTINI	065	NWY	S	5,000	8.68	n/a	22-May	0.00	0.0
BLUE HARBOR	036	OSK	B	5,500	40.59	n/a	n/a	275.00	5.0
BANK OF NEW YORK	046	OTTR	B	11,540	38.44	n/a	n/a	461.60	4.0
SCOPUS FUND	041	PAG	SS	42,500	19.42	22-Apr	30-Apr	2,125.00	5.0
CHILTON CAPITAL MGMT.	036	PBCT	S	40,000	16.73	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	PII	B	11,300	49.12	n/a	n/a	565.00	5.0
ELM RIDGE ADVISORS	044	PKG	S	60,000	25.73	7-Apr	22-Apr	2,400.00	4.0
JP MORGAN VENTURES	046	PLCE	S	25,000	36.00	3-Jun	3-Jun	1,250.00	5.0
RBC CAPITAL MARKETS	034	PLCE	S	5,000	36.50	3-Jun	3-Jun	200.00	4.0
EPOCH INV MGMT	030	PM	B	10,200	52.14	n/a	n/a	408.00	4.0
MTB INV ADV	034	PSS	B	22,500	12.89	n/a	n/a	1,125.00	5.0
EPOCH INV MGMT	030	RE	B	1,050	87.33	n/a	n/a	42.00	4.0
RBC CAPITAL MARKETS	034	ROST	S	5,000	36.95	n/a	n/a	200.00	4.0
BLUE HARBOR	036	RRR	B	10,500	11.12	n/a	23-May	525.00	5.0
ROYCE TRADING	216	RSC	B	5,000	14.89	n/a	n/a	250.00	5.0
COHE & STEERS	091	RYN	B	50,000	47.13	23-Apr	23-Apr	2,000.00	4.0
REINHART & MAHONEY	031	SFD	S	22,005	28.43	n/a	n/a	1,100.25	5.0
ZOLIDIS	011	SHOE	SS	100	0.89	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SSI	B	45,000	14.33	n/a	2-Jun	1,800.00	4.0
MTB INV ADV	034	SSI	B	43,500	14.40	n/a	2-Jun	2,175.00	5.0
EPOCH INV MGMT	030	SUG	B	1,400	26.95	n/a	n/a	56.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	TGT	SS	10,000	53.72	n/a	5-Jun	400.00	4.0
KEEFE BRUYETTE WOODS A	031	TROW	SS	3,700	60.69	n/a	2-Jun	185.00	5.0
MAGUIRE	039	TUJFF	S	10	3.90	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TWB	S	10,000	19.23	17-Mar	22-May	500.00	5.0
REICH AND TANG	067	TWP	S	74,000	13.41	n/a	n/a	3,700.00	5.0
BLUE HARBOR	036	TXI	B	3,900	74.19	n/a	n/a	195.00	5.0
CASTLEROCK	040	TXN	SS	193,100	31.87	n/a	n/a	7,724.00	4.0
PRIMECAP MGMT	048	TXN	B	10,000	31.73	n/a	n/a	400.00	4.0
BLUE HARBOR	036	URS	B	6,500	48.42	n/a	n/a	325.00	5.0
SOROS	036	VZ	B	287,600	39.12	n/a	4-Jan	11,504.00	4.0
WESLEY CAPITAL	246	WB	B	100,000	21.28	n/a	n/a	4,000.00	4.0
CATAPULT	040	WFC	B	5,000	26.99	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	WMI	B	1,100	37.99	n/a	n/a	44.00	4.0
RBC CAPITAL MARKETS	034	WMT	B	5,000	59.80	13-May	5-Jun	200.00	4.0
RBC CAPITAL MARKETS	034	WMT	S	2,500	59.20	13-May	5-Jun	100.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	47.88	13-May	13-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	WU	B	1,250	23.48	n/a	n/a	50.00	4.0
KAICHER	064	XCO	S	500	28.80	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	XOM	B	206,500	87.21	n/a	n/a	10,325.00	5.0
PRYLUCKI	092	XRT	S	125	33.46	n/a	n/a	0.00	0.0
PERRY PARTNERS	041	YHOO	B	117,600	26.24	n/a	n/a	3,528.00	3.0
COUGAR TRADING	044	ZQK	S	40,000	9.02	5-Feb	30-May	2,000.00	5.0
TOTAL (Trade Date):								172,399.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	06/04	LISTED ERR (LISTED ERR)	099	AMP	B	200	46.79	n/a	n/a	0.00	0.0
AO,CXL	06/04	TRIVIUM CAP MGMT (TRIVGS B)	251	ARW	SS	4,125	31.58	n/a	n/a	165.00	4.0
AO,CXL	06/04	TRIVIUM CAP MGMT (TRIVGS B)	251	ARW	SS	43,720	31.58	n/a	n/a	1748.80	4.0
AO,CXL	06/04	TRIVIUM CAP MGMT (TRIVGS B)	251	ARW	SS	2,155	31.58	n/a	n/a	86.20	4.0
AO,	06/04	TRIVIUM CAP MGMT (TRIVDEUTSC)	251	ARW	SS	4,125	31.58	n/a	n/a	165.00	4.0
AO,	06/04	TRIVIUM CAP MGMT (TRIVDEUTSC)	251	ARW	SS	43,720	31.58	n/a	n/a	1748.80	4.0
AO,	06/04	TRIVIUM CAP MGMT (TRIVDEUTSC)	251	ARW	SS	2,155	31.58	n/a	n/a	86.20	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293246)	048	ESL	S	3,600	59.65	n/a	n/a	144.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293711)	048	ESL	S	200	59.65	n/a	n/a	8.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI294023)	048	ESL	S	1,300	59.65	n/a	n/a	52.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI294113)	048	ESL	S	1,700	59.65	n/a	n/a	68.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI234347)	048	ESL	S	500	59.65	n/a	n/a	20.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI294350)	048	ESL	S	900	59.65	n/a	n/a	36.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI294362)	048	ESL	S	13,400	59.65	n/a	n/a	536.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293633)	048	ESL	S	300	59.65	n/a	n/a	12.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293639)	048	ESL	S	900	59.65	n/a	n/a	36.00	4.0
AO,CXL	06/04	PATTEN & PATTEN (PATTBERSHI)	067	EWC	S	300	34.35	n/a	n/a	15.00	5.0
AO,CRT	06/04	PATTEN & PATTEN (PATTSCHWAB)	067	EWC	S	300	34.35	n/a	n/a	15.00	5.0
AO,	06/04	INDEPENDENCE INV (INDE615)	039	GILD	B	11,100	56.35	n/a	n/a	444.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE610)	039	GILD	B	870	56.35	n/a	n/a	34.80	4.0
AO,	06/04	INDEPENDENCE INV (INDE639)	039	GILD	B	14,100	56.35	n/a	n/a	564.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE458)	039	GILD	B	5,000	56.35	n/a	n/a	200.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE660)	039	GILD	B	21,000	56.35	n/a	n/a	840.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/04	INDEPENDENCE INV (INDE580)	039	GILD	B	4,800	56.35	n/a	n/a	192.00 4.0
AO,	06/04	INDEPENDENCE INV (INDE621)	039	GILD	B	6,000	56.35	n/a	n/a	240.00 4.0
AO,	06/04	INDEPENDENCE INV (INDE230)	039	GILD	B	10,000	56.35	n/a	n/a	400.00 4.0
AO,	06/04	INDEPENDENCE INV (INDE297)	039	GILD	B	13,600	56.35	n/a	n/a	544.00 4.0
AO,	06/04	INDEPENDENCE INV (INDE78)	039	GILD	B	22,300	56.35	n/a	n/a	892.00 4.0
AO,	06/04	INDEPENDENCE INV (INDE611)	039	GILD	B	59,700	56.35	n/a	n/a	2388.00 4.0
AO,	06/04	INDEPENDENCE INV (INDE261)	039	GILD	B	64,800	56.35	n/a	n/a	2592.00 4.0
AO,CRT	06/04	STELLIAM INV ADV (STLLGSBULK)	040	HOV	S	50,000	7.87	n/a	n/a	1500.00 3.0
AO,CXL	06/04	STELLIAM INV ADV (STLLMSEXEC)	040	HOV	S	50,000	7.87	n/a	n/a	1500.00 3.0
AO,CRT	06/04	LEDDY (LEDDY)	035	LEH	B	500	31.85	1-Apr	22-May	0.00 0.0
AO,CXL	06/04	LEDDY (LEDDY)	035	LEH	B	500	31.85	1-Apr	22-May	0.00 0.0
AO,	06/04	ROYCE TRADING (ROYC28)	216	NR	S	2,500	7.70	n/a	n/a	125.00 5.0
AO,CXL	06/04	ROYCE TRADING (ROYC59)	216	NR	S	19,300	7.70	n/a	n/a	965.00 5.0
AO,	06/04	ROYCE TRADING (ROYC59)	216	NR	S	17,300	7.70	n/a	n/a	865.00 5.0
AO,CXL	06/04	ROYCE TRADING (ROYC33)	216	NR	S	5,700	7.70	n/a	n/a	285.00 5.0
AO,	06/04	ROYCE TRADING (ROYC33)	216	NR	S	5,200	7.70	n/a	n/a	260.00 5.0
AO,CXL	06/04	PAW PARTNERS (PAWPMORGAN)	041	NVDA	B	29,500	23.64	n/a	n/a	885.00 3.0
AO,	06/04	PAW PARTNERS (PAWPMORGAN)	041	NVDA	B	29,500	23.64	n/a	n/a	1475.00 5.0
AO,	06/04	REINHART & MAHONEY (REINALLNFD)	031	PRGS	B	1,600	30.45	n/a	n/a	80.00 5.0
TOTAL (AO, CXL, CRT) :									10,912.80	

TOTAL (Trade Date):	172,399.00
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TOTAL (AO, CXL, CRT):	10,912.80
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TOTAL (RUN DATE) / NFS:	183,311.80
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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