



Daily Compliance Activity Report

Trade Date: 04/18/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	AAWW	S	29,395	59.57	n/a	n/a	1,175.80	4.0
BUCK	015	ABQL	S	3	2.25	n/a	n/a	0.00	0.0
BUCK	015	AB	B	300	60.53	9-Apr	16-Apr	0.00	0.0
ROYCE TRADING	216	AEL	S	5,000	9.76	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	434,300	16.57	6-Mar	11-Apr	17,372.00	4.0
COUGAR TRADING	044	AEO	B	4,600	16.34	6-Mar	11-Apr	230.00	5.0
CHARTER OAK	033	AFFY	S	3,651	13.49	n/a	n/a	182.55	5.0
MERRILL ASSET	032	ANN	S	37,300	23.90	14-Mar	14-Mar	1,678.50	4.5
COUGAR TRADING	044	AN	B	10,000	15.80	n/a	8-Feb	500.00	5.0
J L F ASSET MGMT	039	ARO	B	37,600	30.12	29-Nov	11-Apr	1,504.00	4.0
NATIONAL BK OF CAN	031	BAC	SS	35,000	38.67	n/a	14-Apr	1,400.00	4.0
CHILTON CAPITAL MGMT.	036	BBY	C	50,000	43.19	n/a	27-Jul	2,000.00	4.0
PRINCIPLE CAPITAL	040	BECN	S	3,700	10.33	n/a	n/a	111.00	3.0
SANDLER O'NEILL ASSET	031	BEN	B	10,700	101.00	24-Mar	16-Apr	535.00	5.0
COLUMBIA PARTNERS	028	BGG	C	107,891	14.97	n/a	n/a	4,315.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JCK PARTNERS	067	BKC	B	20,000	28.75	n/a	15-Apr	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	BWA	S	20,300	47.08	14-Jan	7-Apr	812.00	4.0
CAXTON PART	040	CAT	C	25,000	84.05	n/a	n/a	875.01	3.5
WHEELER	008	CHP	S	28,400	5.53	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CHS	S	40,000	6.07	11-Apr	11-Apr	2,000.00	5.0
SANDLER O'NEILL ASSET	031	CLMS	S	25,000	17.63	13-Feb	15-Apr	1,250.00	5.0
EFSTATHIOU	044	CMG	S	100	115.21	n/a	18-Apr	0.00	0.0
MAGUIRE	039	CMO	B	500	13.59	n/a	n/a	0.00	0.0
BUCK	015	COF	SS	1,000	48.42	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	25,000	32.77	4-Apr	17-Apr	1,000.00	4.0
COUGAR TRADING	044	COH	S	5,000	32.69	4-Apr	17-Apr	250.00	5.0
MILLER	025	C	S	25	25.95	16-Jan	14-Apr	0.00	0.0
TRIVIMUM CAP MGMT	251	DELL	B	100,000	19.60	n/a	n/a	4,000.00	4.0
MILLER	025	DELL	S	25	19.49	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	B	30,000	25.66	n/a	14-Mar	1,200.00	4.0
BULL PATH CAPITAL	044	DPZ	S	50,000	12.85	n/a	24-Apr	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EFSTATHIOU	044	DUG	S	300	30.72	n/a	n/a	0.00	0.0
MAGUIRE	039	EFT	B	500	14.95	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	EL	SS	3,600	45.01	4-Jan	1-Apr	180.00	5.0
BARON ASSET MGMT*	012	EV	B	10,000	34.71	9-Jan	16-Apr	500.00	5.0
PHILADELPHIA FINANCIAL	033	EV	B	35,400	34.46	9-Jan	16-Apr	1,770.00	5.0
N STRATTON	014	FARO	S	100	33.75	n/a	n/a	0.00	0.0
LEDDY	035	FIG	B	700	13.75	n/a	n/a	0.00	0.0
LUCHANSKY	036	FTK	B	500	16.74	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	F	SS	30,000	7.45	18-Mar	2-Apr	900.00	3.0
BUCK CAPITAL MGMT	001	GES	B	20,000	39.11	n/a	n/a	800.00	4.0
MATTHES CAPITAL MGMT	033	GES	SS	25,000	39.33	n/a	n/a	1,000.00	4.0
CHILTON CAPITAL MGMT.	036	GE	B	500,000	32.39	n/a	n/a	20,000.00	4.0
MAIRS AND POWER INV	030	GIS	S	10,000	62.24	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	GPI	B	13,600	24.47	25-Jan	7-Apr	680.00	5.0
COUGAR TRADING	044	GPS	B	4,572	18.86	n/a	11-Apr	228.60	5.0
NUMERIC	060	GPS	B	69,300	18.90	n/a	11-Apr	2,079.00	3.0
LUCHANSKY	036	GR	B	200	61.18	28-Mar	28-Mar	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	GS	B	109,610	178.18	19-Mar	14-Apr	6,576.60	6.0
COUGAR TRADING	044	GYMB	B	3,900	40.97	2-Apr	11-Apr	195.00	5.0
LEDDY	035	HCGI	B	5,000	0.69	n/a	n/a	0.00	0.0
CROWLEY	061	HCGI	S	7,500	0.69	n/a	n/a	0.00	0.0
PAW PARTNERS	041	HPQ	B	35,400	48.05	n/a	n/a	1,770.00	5.0
CASTLE ARK	031	HRS	S	82,150	51.07	28-Mar	28-Mar	4,929.00	6.0
MAGUIRE	039	HSTX	S	400	9.65	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	IAR	B	138,000	3.91	n/a	n/a	4,140.00	3.0
NORTHPOINT	030	IFF	S	8,500	45.47	14-Dec	24-Mar	340.00	4.0
RHO CAPITAL MGMT	041	INP	S	300	71.66	n/a	n/a	9.00	3.0
RHO CAPITAL MGMT	041	INTC	S	500	22.54	n/a	n/a	15.00	3.0
MERRILL ASSET	032	ITG	S	19,500	50.34	n/a	n/a	975.00	5.0
CATTANI	041	ITT	S	200	57.94	n/a	28-Mar	0.00	0.0
RHO CAPITAL MGMT	041	IWM	S	1,000	71.62	n/a	n/a	30.00	3.0
BARROW HANLEY MEWHINNEY	031	JNJ	B	54,800	66.21	n/a	22-Apr	2,192.00	4.0
COUGAR TRADING	044	JWN	S	5,000	35.71	31-Mar	11-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	KBW	SS	21,500	22.39	n/a	n/a	860.00	4.0
COUGAR TRADING	044	KSS	B	5,000	45.68	4-Jan	11-Apr	250.00	5.0
NATIONAL BK OF CAN	031	LEH	SS	11,000	46.13	1-Apr	14-Apr	440.00	4.0
EFSTATHIOU	044	LEH	B	200	45.51	1-Apr	14-Apr	0.00	0.0
BUCK	015	LYHVD	B	40	1.05	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	MER	B	21,000	47.09	18-Jan	17-Apr	840.00	4.0
GALLEON MGMT LP	033	MHS	B	10,000	47.56	n/a	n/a	500.00	5.0
BARROW HANLEY MEWHINNEY	031	MO	B	296,400	21.87	n/a	n/a	11,856.00	4.0
CHILTON CAPITAL MGMT.	036	PBCT	S	65,000	17.35	n/a	n/a	2,600.00	4.0
XYLEM GLOBAL	091	PCH	S	20,000	46.02	18-Apr	18-Apr	1,000.00	5.0
MAGUIRE	039	PDC	S	200	17.31	n/a	n/a	0.00	0.0
EATON VANCE MGMT	039	PFE	S	79,199	20.33	n/a	31-Mar	2,375.97	3.0
EATON VANCE MGMT	039	PG	S	22,513	67.23	11-Dec	27-Mar	675.39	3.0
NORTHPOINT	030	PLCM	B	10,455	20.02	n/a	22-Mar	418.20	4.0
CHILTON CAPITAL MGMT.	036	PPC	S	22,800	23.45	n/a	n/a	912.00	4.0
CATAPULT	040	PVH	SS	33,000	35.89	13-Mar	26-Mar	1,320.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	PVH	SS	6,500	36.91	13-Mar	26-Mar	390.00	6.0
FIRST NEW YORK LEDDY	035	Q	B	40,000	4.72	n/a	n/a	2,400.00	6.0
STELLIAM INV ADV	040	RIO	B	50,000	37.74	n/a	n/a	2,500.00	5.0
ROYAL CAPITAL	039	RRGB	SS	13,845	38.36	n/a	n/a	692.25	5.0
WHEELER	008	RUSHA	B	5,000	15.85	n/a	n/a	0.00	0.0
KNOTT PARTNERS	044	RVI	S	20,000	4.12	n/a	n/a	400.00	2.0
EFSTATHIOU	044	SDS	S	200	58.12	n/a	n/a	0.00	0.0
BUCK	015	SFBQC	S	7	1.10	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SHFL	B	20,000	4.87	n/a	n/a	800.00	4.0
SUN AMERICA ASSET MGMT	030	SLB	B	12,700	100.59	n/a	n/a	508.00	4.0
TRUST CO/COWEN/CALF.	040	SLE	B	3,500	13.99	n/a	n/a	140.00	4.0
CUMBERLAND	038	SMG	S	15,000	34.74	11-Feb	14-Apr	600.00	4.0
MAGUIRE	039	SMN	S	100	30.49	n/a	n/a	0.00	0.0
SONAR CAP MGMT	039	SNDK	B	85,000	26.44	n/a	n/a	3,400.00	4.0
RHO CAPITAL MGMT	041	SPY	SS	400	138.78	n/a	n/a	12.00	3.0
MERRILL ASSET	032	STC	B	15,400	31.88	n/a	n/a	693.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TLB	B	10,000	8.09	17-Apr	18-Apr	400.00	4.0
J L F ASSET MGMT	039	TLB	B	108,600	8.34	17-Apr	18-Apr	4,344.00	4.0
FORD FDN.	032	TROW	S	30,000	55.52	9-Jan	16-Apr	1,500.00	5.0
LEDDY	035	TROW	SS	500	55.65	9-Jan	16-Apr	0.00	0.0
NORTHPOINT	030	TSN	B	25,900	19.46	n/a	n/a	1,036.00	4.0
LEHMAN PROPRIETARY TRAD	041	TYC	S	25,000	47.19	n/a	28-Mar	1,000.00	4.0
DEMARTINI	065	TYC	S	200	47.17	n/a	28-Mar	0.00	0.0
BARROW HANLEY MEWHINNEY	031	UNH	B	98,100	37.01	n/a	n/a	3,924.00	4.0
WHEELER	008	UNT	B	1,000	61.18	20-Mar	1-Apr	0.00	0.0
MARK ASSETMGMT (SR)	040	URBN	S	40,000	31.67	3-Apr	9-Apr	1,600.00	4.0
EFSTATHIOU	044	WBC	B	200	44.68	28-Mar	28-Mar	0.00	0.0
WHEELER	008	WB	S	4,000	26.79	n/a	n/a	0.00	0.0
RHO CAPITAL MGMT	041	WDC	SS	500	29.27	n/a	n/a	15.00	3.0
PERFORMANCE PART LP #2	041	WEN	B	10,000	24.71	n/a	24-Apr	500.00	5.0
CROWLEY	061	WHT	S	500	3.62	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	WLP	B	74,100	48.64	n/a	n/a	2,964.00	4.0
HIGHBRIDGE CAPITAL	038	WY	SS	76,201	64.12	7-Apr	7-Apr	3,810.05	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MARK ASSETMGMT (SR)	040	YHOO	B	8,000	28.44	n/a	n/a	320.00	4.0
LISTED ERR	099	YHOO	B	8,000	28.50	n/a	n/a	0.00	0.0
LISTED ERR	099	YHOO	S	8,000	28.44	n/a	n/a	0.00	0.0
BUCK	015	YHQEF	S	20	0.79	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZQK	S	5,000	10.10	5-Feb	7-Mar	250.00	5.0
TOTAL (Trade Date):							154,246.56		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/17	NOMURA CAPITAL (NOMUSTRATE)	045	GT	B	410	26.71	n/a	n/a	20.50 5.0
AO,	04/17	NOMURA CAPITAL (NOMUBATT2)	045	GT	B	390	26.71	n/a	n/a	19.50 5.0
AO,	04/17	NOMURA CAPITAL (NOMUBSMAIN)	045	GT	B	500	26.71	n/a	n/a	25.00 5.0
AO,	04/17	NOMURA CAPITAL (NOMUSTRATE)	045	PTRY	B	1,235	10.65	n/a	n/a	61.75 5.0
AO,	04/17	NOMURA CAPITAL (NOMUBATT2)	045	PTRY	B	1,375	10.65	n/a	n/a	68.75 5.0
AO,	04/17	NOMURA CAPITAL (NOMUBSMAIN)	045	PTRY	B	1,790	10.65	n/a	n/a	89.50 5.0
CRT	04/18	LISTED ERR (LISTED ERR)	099	YHOO	S	8,000	28.44	n/a	n/a	0.00 0.0
CRT	04/18	MARK ASSETMGMT (SR) (MAKAMAMCGS)	040	YHOO	B	8,000	28.44	n/a	n/a	320.00 4.0

TOTAL (AO, CXL, CRT) :**605.00**

TOTAL (Trade Date) :

154,246.56

TOTAL (AO, CXL, CRT) :

605.00

TOTAL (RUN DATE) / NFS :**154,851.56**

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