



## Daily Compliance Activity Report

Trade Date: 05/29/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WYPER CAPITAL	044	AA	S	80,000	40.34	n/a	n/a	3,200.00	4.0
TRIVIUM CAP MGMT	251	ADCT	S	100,000	15.58	n/a	n/a	4,000.00	4.0
NEUBERGER BERMAN	036	AKR	S	26,900	24.48	n/a	n/a	1,210.50	4.5
<b>OGORMAN</b>	<b>046</b>	<b>ALVR</b>	<b>B</b>	<b>1,000</b>	<b>7.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUNOVA CAPITAL	031	AMG	B	45,000	100.58	7-Apr	22-May	2,250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>AN</b>	<b>SS</b>	<b>1,000</b>	<b>15.98</b>	<b>n/a</b>	<b>25-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCUTMA</b>	<b>031</b>	<b>APA</b>	<b>B</b>	<b>10</b>	<b>137.43</b>	<b>7-May</b>	<b>29-May</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	BAM	S	34,100	36.89	n/a	n/a	1,534.50	4.5
<b>KORMAN</b>	<b>003</b>	<b>BBBY</b>	<b>SS</b>	<b>3,000</b>	<b>32.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUNOVA CAPITAL	031	BEN	B	20,000	99.68	24-Mar	22-May	1,000.00	5.0
LATEFF MGMT	035	BRL	S	2,000	44.02	28-Feb	28-May	460.00	23.0
SCOPUS FUND	041	BWA	B	25,000	50.65	5-May	5-May	1,250.00	5.0
<b>LUCHANSKY</b>	<b>036</b>	<b>BX</b>	<b>B</b>	<b>200</b>	<b>19.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	CAB	B	10,000	13.80	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BARR</b>	<b>096</b>	<b>CAMD</b>	<b>B</b>	<b>3,400</b>	<b>3.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	CBM	B	10,000	5.96	n/a	n/a	500.00	5.0
SUFFOLK CAPITAL MGMT	040	CB	B	189,800	53.43	n/a	n/a	7,592.00	4.0
<b>MILLER</b>	<b>025</b>	<b>CFC</b>	<b>B</b>	<b>200</b>	<b>5.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>CHP</b>	<b>B</b>	<b>8,400</b>	<b>6.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>CHS</b>	<b>SS</b>	<b>1,500</b>	<b>7.58</b>	<b>11-Apr</b>	<b>28-May</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	CMCSK	S	2,000	21.88	n/a	n/a	260.00	13.0
RBC CAPITAL MARKETS	034	COST	SS	2,500	73.49	n/a	27-Jul	100.00	4.0
PRIMECAP MGMT	048	DD	S	92,648	47.86	n/a	14-May	3,705.92	4.0
<b>CATTANI</b>	<b>041</b>	<b>DECK</b>	<b>S</b>	<b>50</b>	<b>140.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	DEI	B	41,200	24.01	n/a	n/a	1,854.00	4.5
NEUBERGER BERMAN	036	DLR	B	7,400	42.01	n/a	n/a	333.00	4.5
WASHINGTON ASSET	048	DLTR	S	10,000	38.02	n/a	29-May	500.00	5.0
AAD CAPITAL	048	DSW	S	4,800	14.66	8-May	9-May	144.00	3.0
<b>BUCK</b>	<b>015</b>	<b>DVN</b>	<b>B</b>	<b>200</b>	<b>117.65</b>	<b>7-May</b>	<b>29-May</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>SINCUTMA</b>	<b>031</b>	<b>DVN</b>	<b>B</b>	<b>10</b>	<b>117.94</b>	<b>7-May</b>	<b>29-May</b>	<b>0.00</b>	<b>0.0</b>
TRIVIUM CAP MGMT	251	EBAY	S	100,000	29.94	n/a	n/a	4,000.00	4.0
<b>CATTANI</b>	<b>041</b>	<b>EPG</b>	<b>B</b>	<b>1,500</b>	<b>5.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	EQY	S	22,000	23.14	n/a	n/a	990.00	4.5
CAVU CAP ADV	028	ETN	S	30,000	93.55	14-Apr	20-May	1,500.00	5.0
<b>BARR</b>	<b>096</b>	<b>EXAR</b>	<b>S</b>	<b>2,000</b>	<b>7.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PORTER-ORLIN-FELDMAN	044	FIS	B	100,000	40.48	n/a	n/a	5,000.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>FOSL</b>	<b>B</b>	<b>200</b>	<b>32.37</b>	<b>n/a</b>	<b>14-May</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>FRED</b>	<b>SS</b>	<b>1,000</b>	<b>12.10</b>	<b>27-Mar</b>	<b>27-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>F</b>	<b>SS</b>	<b>5,000</b>	<b>6.77</b>	<b>25-Apr</b>	<b>2-May</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	GCO	S	10,000	28.63	n/a	10-Jan	500.00	5.0
DIAMONDBACK CAP MGMT	232	GE	SS	150,000	30.86	n/a	n/a	7,500.00	5.0
FIRST NY SEC/CHRIS	041	GE	B	25,000	30.68	n/a	n/a	1,250.00	5.0
LATEFF MGMT	035	GE	B	2,000	30.84	n/a	n/a	340.00	17.0
WASHINGTON ASSET	048	GE	B	6,000	30.73	n/a	n/a	300.00	5.0
<b>LUCHANSKY</b>	<b>036</b>	<b>GE</b>	<b>S</b>	<b>200</b>	<b>30.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>GIL</b>	<b>B</b>	<b>600</b>	<b>29.92</b>	<b>30-Apr</b>	<b>28-May</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>GIL</b>	<b>B</b>	<b>1,400</b>	<b>30.17</b>	<b>30-Apr</b>	<b>28-May</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	GM	B	5,000	17.27	29-Apr	19-May	250.00	5.0
COUGAR TRADING	044	GYMB	B	5,000	46.60	22-May	22-May	250.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>HAYN</b>	<b>S</b>	<b>1,000</b>	<b>67.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>HEES</b>	<b>B</b>	<b>3,500</b>	<b>13.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>NOLAN</b>	<b>067</b>	<b>HEES</b>	<b>B</b>	<b>200</b>	<b>13.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MISSOURI VALLEY PART	046	HK	S	19,615	26.09	n/a	n/a	980.75	5.0
<b>WHEELER</b>	<b>008</b>	<b>HQRLN</b>	<b>S</b>	<b>20</b>	<b>6.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>ITT</b>	<b>B</b>	<b>1,100</b>	<b>65.00</b>	<b>n/a</b>	<b>25-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCUTMA</b>	<b>031</b>	<b>JBLU</b>	<b>S</b>	<b>1,000</b>	<b>4.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JCG	SS	5,000	47.09	n/a	27-May	250.00	5.0
COUGAR TRADING	044	JCP	SS	800	41.11	n/a	16-May	40.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>JCP</b>	<b>B</b>	<b>800</b>	<b>41.25</b>	<b>n/a</b>	<b>16-May</b>	<b>0.00</b>	<b>0.0</b>
JPMSI/TOM LEDDY	035	KSS	B	25,000	45.36	n/a	16-May	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>LAVA</b>	<b>B</b>	<b>8,000</b>	<b>7.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	LEH	S	25,000	38.45	1-Apr	22-May	1,250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>LEH</b>	<b>SS</b>	<b>600</b>	<b>38.23</b>	<b>1-Apr</b>	<b>22-May</b>	<b>0.00</b>	<b>0.0</b>
SUNOVA CAPITAL	031	LM	B	10,000	54.76	7-May	22-May	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND	048	LPX	S	21,020	12.26	7-Apr	7-May	840.80	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	6,400	19.32	n/a	23-May	320.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>LTRE</b>	<b>C</b>	<b>300</b>	<b>17.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DISCIPLINED GROWTH INV.	030	LVLTT	S	21,600	3.47	n/a	4-Jan	648.00	3.0
CASTLEROCK	040	MA	B	35,500	301.11	n/a	n/a	1,420.00	4.0
UBS OCONNOR	031	MA	SS	75,000	311.14	n/a	n/a	2,250.00	3.0
BULL PATH CAPITAL	044	MGLN	S	18,000	40.37	n/a	n/a	900.00	5.0
<b>BARR</b>	<b>096</b>	<b>MIPS</b>	<b>SS</b>	<b>2,600</b>	<b>3.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RHO CAPITAL MGMT	041	MTE	S	2,000	4.50	n/a	n/a	80.00	4.0
NUMERIC	060	M	B	75,900	24.00	7-Feb	27-May	2,277.00	3.0
SANDLER O'NEILL ASSET	031	NFP	SS	50,000	23.17	n/a	n/a	2,500.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>NPRTX</b>	<b>B</b>	<b>150</b>	<b>33.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAVU CAP ADV	028	NVTLL	B	50,000	10.26	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	OFC	B	36,400	38.06	n/a	n/a	1,638.00	4.5
WILLIAM BLAIR	031	ORLY	S	105,200	26.39	n/a	n/a	2,104.00	2.0
<b>LEDDY</b>	<b>035</b>	<b>PCL</b>	<b>S</b>	<b>750</b>	<b>44.98</b>	<b>29-Apr</b>	<b>29-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LUCHANSKY</b>	<b>036</b>	<b>PG</b>	<b>B</b>	<b>200</b>	<b>65.61</b>	<b>n/a</b>	<b>29-May</b>	<b>0.00</b>	<b>0.0</b>
PAW PARTNERS	041	PLCE	S	11,800	35.16	23-May	23-May	590.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>PNWIF</b>	<b>B</b>	<b>200</b>	<b>4.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	PSUN	B	137,744	9.74	n/a	23-May	5,509.76	4.0
THE JAY GOLDMAN	034	PSUN	SS	50,000	9.73	n/a	23-May	2,000.00	4.0
CAVU CAP ADV	028	PWR	S	10,548	30.98	n/a	n/a	527.40	5.0
FIRST NEW YORK NICK	029	Q	S	5,000	4.79	n/a	n/a	250.00	5.0
<b>AMATURO</b>	<b>018</b>	<b>RAD</b>	<b>B</b>	<b>5,000</b>	<b>2.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DISCIPLINED GROWTH INV.	030	RCL	S	3,800	29.73	25-Apr	25-Apr	190.00	5.0
COUGAR TRADING	044	RL	SS	5,000	69.34	7-Feb	29-May	250.00	5.0
<b>KERN</b>	<b>050</b>	<b>SDS</b>	<b>S</b>	<b>300</b>	<b>56.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUGENT CAPITAL	031	SEE	B	50,000	24.42	n/a	n/a	2,000.00	4.0
NEUBERGER BERMAN	036	SKT	S	4,700	37.95	n/a	n/a	211.50	4.5
TRIVIUM CAP MGMT	251	SPY	C	465,500	140.16	n/a	n/a	13,965.00	3.0
FIRST NY SEC/CHRIS	041	SSCC	S	100,000	6.98	7-Apr	23-Apr	5,000.00	5.0
WESTLANE CAPITAL	044	SSCC	S	5,000	6.87	7-Apr	23-Apr	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	STI	SS	15,000	51.50	n/a	n/a	750.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>TEN</b>	<b>SS</b>	<b>4,000</b>	<b>24.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LOCUS WOOD CAPITAL MGMT	044	TGT	B	37,500	53.25	n/a	29-May	1,500.00	4.0
J L F ASSET MGMT	039	TIF	S	16,300	47.91	14-Jan	16-May	652.00	4.0
DISIPLINED GROWTH INV.	030	TJX	S	7,600	32.06	n/a	14-May	380.00	5.0
WAGONHOUND	048	TJX	S	5,830	32.00	n/a	14-May	233.20	4.0
CAVU CAP ADV	028	TRA	S	19,900	40.74	n/a	n/a	995.00	5.0
PAW PARTNERS	041	TRID	B	25,000	4.60	n/a	n/a	750.00	3.0
COUGAR TRADING	044	TWB	B	5,000	20.55	17-Mar	22-May	250.00	5.0
J L F ASSET MGMT	039	TWB	B	25,700	20.68	17-Mar	22-May	1,028.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>TXRH</b>	<b>B</b>	<b>500</b>	<b>11.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAVU CAP ADV	028	TXT	S	25,000	61.88	n/a	n/a	1,250.00	5.0
CATAPULT	040	UPS	B	83,801	71.15	n/a	n/a	4,190.05	5.0
COUGAR TRADING	044	URBN	SS	5,000	32.66	15-May	15-May	250.00	5.0
S.A.C. CAPITAL MGMT.	044	USB	SS	100,000	33.28	n/a	n/a	5,000.00	5.0
<b>CHAPPELL</b>	<b>073</b>	<b>VFORX</b>	<b>B</b>	<b>86</b>	<b>23.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	VNO	B	4,200	96.79	n/a	n/a	189.00	4.5
TRIVIUM CAP MGMT	251	VRSN	SS	25,000	40.10	n/a	n/a	1,000.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>VYOAA</b>	<b>S</b>	<b>100</b>	<b>0.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAVU CAP ADV	028	WBSN	S	60,000	17.57	n/a	3-Apr	3,000.00	5.0
CAVU CAP ADV	028	WDC	B	18,000	36.80	n/a	n/a	900.00	5.0
SUNOVA CAPITAL	031	WDR	B	20,000	35.08	22-Apr	22-May	1,000.00	5.0
CARLSON CAPITAL	031	WFC	B	71,200	28.01	n/a	n/a	3,560.00	5.0
<b>BUCK</b>	<b>015</b>	<b>WY</b>	<b>B</b>	<b>800</b>	<b>67.39</b>	<b>7-Apr</b>	<b>27-May</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>ZYTAG</b>	<b>S</b>	<b>10</b>	<b>4.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>131,593.38</b>	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	05/28	LISTED ERR (LISTED ERR)	099	ITT	S	550	65.07	n/a	25-Apr	0.00	0.0
AO,	05/28	LISTED ERR (LISTED ERR)	099	ITT	S	550	65.07	n/a	25-Apr	0.00	0.0
AO,	05/28	PATTEN & PATTEN (PATTBERSHI)	067	ITT	B	550	65.07	n/a	25-Apr	27.50	5.0
AO,CXL	05/28	PATTEN & PATTEN (PATTBERSHI)	067	ITT	S	550	65.07	n/a	25-Apr	27.50	5.0
AO,CRT	05/28	REINHART & MAHONEY (REINDBSC)	031	JOSB	S	1,600	27.46	n/a	n/a	80.00	5.0
AO,CXL	05/28	REINHART & MAHONEY (REINREINDB)	031	JOSB	S	1,600	27.46	n/a	n/a	80.00	5.0
CRT	05/29	RHO CAPITAL MGMT (RHOCBSDRAK)	041	MTE	S	2,000	4.50	n/a	n/a	80.00	4.0
AO,CRT	05/16	N STRATTON (N STRATTON)	014	PNWIF	B	400	3.65	n/a	n/a	0.00	0.0
AO,CXL	05/16	N STRATTON (N STRATTON)	014	PNWIF	B	400	3.65	n/a	n/a	0.00	0.0
AO,CRT	05/28	JMP ASSET MGMT (JMPAGS)	210	PNWIF	B	12,575	4.05	n/a	n/a	377.25	3.0
AO,CXL	05/28	JMP ASSET MGMT (JMPABOABA)	210	PNWIF	B	12,575	4.05	n/a	n/a	377.25	3.0
AO,CXL	05/27	N STRATTON (N STRATTON)	014	PSFC	B	400	12.55	n/a	n/a	0.00	0.0
AO,CRT	05/27	N STRATTON (N STRATTON)	014	PSFC	B	400	12.55	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										80.00	
TOTAL (Trade Date) :									131,593.38		
TOTAL (AO, CXL, CRT) :									80.00		
TOTAL (RUN DATE) / NFS:									131,673.38		



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