

## **Daily Compliance Activity Report** Trade Date: 03/13/2008

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BUCK CAPITAL MGMT	001	AEO	s	5,000	17.06	6-Mar	13-Mar	200.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	5,000	72.83	10-Jan	10-Mar	200.00	4.0
BEAR STEARNS ASSET MGMT	. 033	ANN	С	120,500	23.97	11-Jan	7-Mar	4,820.00	4.0
EFSTATHIOU	044	APVCE	S	5	5.90	n/a	n/a	0.00	0.0
WAGONHOUND	048	ARGN	В	1,625	16.10	n/a	25-Feb	65.00	4.0
BLUE HARBOR	036	AXE	В	50,000	61.88	29-Jan	3-Mar	2,000.00	4.0
SINCLAIR	031	BAC	S	150	37.17	13-Nov	10-Mar	0.00	0.0
PROSPECTOR PARTNERS LLC	036	BEN	В	17 <b>,</b> 500	91.41	n/a	13-Mar	700.00	4.0
PILOT ROCK	028	ВНІ	В	24,900	65.84	n/a	n/a	996.00	4.0
BUCK CAPITAL MGMT	001	BIG	SS	10,000	20.62	6-Mar	10-Mar	400.00	4.0
MATTHES CAPITAL MGMT	033	BIG	SS	25,000	21.02	6-Mar	10-Mar	1,000.00	4.0
LEVIN CAPITAL STRATEGIE:	S 012	BX	S	30,000	15.83	n/a	n/a	1,200.00	4.0
MFP INVESTORS	032	CBT	В	7,000	26.43	n/a	30-Jan	350.00	5.0
ROTHSCHILD ASSET	040	СНК	В	20,120	46.95	n/a	n/a	905.40	4.5
RHO CAPITAL MGMT	041	CHTP	В	860	5.43	n/a	n/a	34.40	4.0

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Account	RR #	Symbol	в/	s	Shares	Price	MRI	Research	Comm.	Shr.	
SINCLAIR	031	СМО	В		1,200	10.75	n/a	n/a	0.00	0.0	
LEVIN CAPITAL STRATEGIES	012	COF		S	15,000	46.25	n/a	n/a	600.00	4.0	
SYSTEMATIC FINANCIAL MGT	035	COF	В		129,000	46.28	n/a	n/a	4,837.50	3.8	
BALYASNY ASSET MGMT	044	СОН	В		35,000	27.45	24-0ct	24-Jan	1,750.00	5.0	
BUCK CAPITAL MGMT	001	СОН		S	3,900	27.48	24-0ct	24-Jan	156.00	4.0	
GALT INVESTMENT	041	СОН	В		25,000	28.14	24-Oct	24-Jan	1,000.00	4.0	
GALT INVESTMENT	041	СОН		S	5,000	28.50	24-Oct	24-Jan	200.00	4.0	
LUCHANSKY1	036	COST	С		200	61.48	n/a	27-Jul	0.00	0.0	
DSG CAPITAL	225	С	В		10,000	20.65	16-Jan	10-Mar	500.00	5.0	
BARR	096	DAL		S	300	9.69	n/a	n/a	0.00	0.0	
MS PRINCIPAL STRATEGIES	041	DRYS	В		15,400	59.53	n/a	n/a	770.00	5.0	
BUCK CAPITAL MGMT	001	DSW		S	15,000	14.91	26-0ct	8-Feb	600.00	4.0	
GALLEON MGMT LP	033	EAT		SS	20,000	16.64	n/a	24-Apr	1,000.00	5.0	
LUCHANSKY1	036	ECL	С		300	43.30	4-Jan	27-Feb	0.00	0.0	
PHILADELPHIA FINANCIAL	033	EV		SS	68,164	30.13	9-Jan	10-Mar	3,408.20	5.0	
PATTEN & PATTEN	067	EWJ		S	1,075	12.27	n/a	n/a	53.75	5.0	
PHILADELPHIA FINANCIAL	033	GBL		SS	4,000	53.33	n/a	6-Mar	200.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BUCK CAPITAL MGMT	001	GES	s	10,000	35.86	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GIL	s	15,000	34.13	22-Jan	10-Mar	600.00	4.0
BARR	096	GLD	S	300	98.45	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	S	25,000	20.15	n/a	7-Mar	1,250.00	5.0
DAVIDSON TRUST CO	028	HD	В	2,135	25.75	n/a	27-Jul	128.10	6.0
ROTHSCHILD ASSET	040	HUM	S	6,510	46.11	n/a	n/a	292.95	4.5
RHO CAPITAL MGMT	041	INP	S	1,000	66.51	n/a	n/a	50.00	5.0
BULL PATH CAPITAL	044	INTU	В	41,500	26.53	n/a	n/a	2,075.00	5.0
SINCLAIR	031	IPPF	В	50	0.70	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	IR	S	15,000	42.81	n/a	n/a	600.00	4.0
BARR	096	ITCD	S	3,251	3.40	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	IVZ	В	31,922	22.41	10-Mar	13-Mar	1,596.10	5.0
SYSTEMATIC FINANCIAL MGT	035	IVZ	В	20,000	22.41	10-Mar	13-Mar	750.00	3.8
DUCK CADIMAL MOM	001	T2.11	В	47 500	21.89	- /-	- /-	1 000 00	4.0
BUCK CAPITAL MGMT BUCK CAPITAL MGMT	001	JAH JAH	BS	47,500 15,600	20.81	n/a n/a	n/a n/a	1,900.00 624.00	4.0 4.0
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GLG PARTNERS	034	JAKK	S	25,000	27.24	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
COUGAR TRADING	044	JCG	В	5,000	42.65	28-Nov	12-Mar	250.00	5.0
LOOMIS SALES/BOSTON	036	JCP	S	102,210	38.65	4-Jan	7-Mar	4,088.40	4.0
BUCK CAPITAL MGMT	001	JNY	s	10,900	13.12	n/a	15-Feb	436.00	4.0
SINCLAIR	031	KEG	S	50	12.92	14-Feb	4-Mar	0.00	0.0
MS PRINCIPAL STRATEGIES	041	KLAC	В	15,000	37.30	n/a	n/a	750.00	5.0
VIKING GLOBAL	030	KR	В	408,000	24.47	n/a	n/a	20,400.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	120,000	41.20	4-Jan	7-Mar	4,800.00	4.0
LEDDY	035	LEH	В	500	46.07	n/a	10-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	В	20,000	16.89	n/a	15-Feb	800.00	4.0
BUCK CAPITAL MGMT	001	LTM	В	20,000	27.58	n/a	n/a	800.00	4.0
N STRATTON	014	LTRE	s	300	14.86	n/a	n/a	0.00	0.0
BARR	096	LUV	s	520	11.41	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MAT	SS	120,000	19.95	n/a	n/a	4,800.00	4.0
LEDDY	035	MER	S	500	46.16	18-Jan	10-Mar	0.00	0.0
LUCHANSKY1	036	MMAB	S	400	5.45	n/a	n/a	0.00	0.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
THE JAY GOLDMAN	034	М	В	30,000	21.79	7-Feb	7-Mar	1,200.00	4.0	
CRAMER ROSENTHAL/SCOTT	012	NDN	SS	51,500	9.20	27-Feb	7-Mar	1,802.50	3.5	
CATAPULT	040	NLY	S	10,000	15.41	n/a	n/a	500.00	5.0	
RHO CAPITAL MGMT	041	NOK	В	2,000	32.62	n/a	n/a	100.00	5.0	
PROSPECTOR PARTNERS LLC	036	NP	В	10,000	23.87	8-Jan	23-Jan	400.00	4.0	
BARR	096	OESX	SS	1,000	9.21	n/a	n/a	0.00	0.0	
ROTHSCHILD ASSET	040	PDX	S	7,720	64.46	n/a	n/a	347.40	4.5	
CATAPULT	040	PSS	В	25,000	12.68	n/a	n/a	1,000.00	4.0	
COUGAR TRADING	044	PSUN	S	40,000	11.64	n/a	7-Mar	2,000.00	5.0	
BUCK CAPITAL MGMT	001	PVH	S	10,000	32.42	13-Mar	13-Mar	400.00	4.0	
EGS ASSOCIATES LP	091	PVH	В	3,000	32.66	13-Mar	13-Mar	180.00	6.0	
GALT INVESTMENT	041	QMAR	S	80,300	22.67	n/a	n/a	4,015.00	5.0	
FORWARD MGMT	033	RDC	В	1,500	40.70	n/a	n/a	75.00	5.0	
FORWARD MGMT	033	RDN	В	4,000	5.36	n/a	n/a	200.00	5.0	
BUCK CAPITAL MGMT	001	RL	SS	20,000	57.84	7-Feb	15-Feb	800.00	4.0	
BUCK CAPITAL MGMT	001	RVI	s	10,000	5.94	n/a	n/a	400.00	4.0	
	THE JAY GOLDMAN  CRAMER ROSENTHAL/SCOTT  CATAPULT  RHO CAPITAL MGMT  PROSPECTOR PARTNERS LLC  BARR  ROTHSCHILD ASSET  CATAPULT  COUGAR TRADING  BUCK CAPITAL MGMT  EGS ASSOCIATES LP  GALT INVESTMENT  FORWARD MGMT  BUCK CAPITAL MGMT  FORWARD MGMT  BUCK CAPITAL MGMT	THE JAY GOLDMAN 034  CRAMER ROSENTHAL/SCOTT 012  CATAPULT 040  RHO CAPITAL MGMT 041  PROSPECTOR PARTNERS LLC 036  BARR 096  ROTHSCHILD ASSET 040  CATAPULT 040  CATAPULT 040  COUGAR TRADING 044  BUCK CAPITAL MGMT 001  EGS ASSOCIATES LP 091  GALT INVESTMENT 041  FORWARD MGMT 033  BUCK CAPITAL MGMT 033  BUCK CAPITAL MGMT 033	THE JAY GOLDMAN 034 M  CRAMER ROSENTHAL/SCOTT 012 NDN  CATAPULT 040 NLY  RHO CAPITAL MGMT 041 NOK  PROSPECTOR PARTNERS LLC 036 NP  BARR 096 OESX  ROTHSCHILD ASSET 040 PDX  CATAPULT 040 PSS  COUGAR TRADING 044 PSUN  BUCK CAPITAL MGMT 001 PVH EGS ASSOCIATES LP 091 PVH  GALT INVESTMENT 041 QMAR  FORWARD MGMT 033 RDC  FORWARD MGMT 033 RDN  BUCK CAPITAL MGMT 033 RDN	THE JAY GOLDMAN 034 M B  CRAMER ROSENTHAL/SCOTT 012 NDN SS  CATAPULT 040 NLY S  RHO CAPITAL MGMT 041 NOK B  PROSPECTOR PARTNERS LLC 036 NP B  BARR 096 OESX SS  ROTHSCHILD ASSET 040 PDX S  CATAPULT 040 PSS B  CATAPULT 040 PSS B  COUGAR TRADING 044 PSUN S  BUCK CAPITAL MGMT 001 PVH S  EGS ASSOCIATES LP 091 PVH B  GALT INVESTMENT 041 QMAR S  FORWARD MGMT 033 RDC B  FORWARD MGMT 033 RDN B  BUCK CAPITAL MGMT 033 RDN B  BUCK CAPITAL MGMT 033 RDN B	THE JAY GOLDMAN 034 M B 30,000  CRAMER ROSENTHAL/SCOTT 012 NDN SS 51,500  CATAPULT 040 NLY S 10,000  RHO CAPITAL MGMT 041 NOK B 2,000  PROSPECTOR PARTNERS LLC 036 NP B 10,000  BARR 096 OESX SS 1,000  ROTHSCHILD ASSET 040 PDX S 7,720  CATAPULT 040 PSS B 25,000  COUGAR TRADING 044 PSUN S 40,000  BUCK CAPITAL MGMT 001 PVH S 10,000  EGS ASSOCIATES LP 091 PVH B 3,000  GALT INVESTMENT 041 QMAR S 80,300  FORWARD MGMT 033 RDC B 1,500  BUCK CAPITAL MGMT 033 RDC B 1,500  FORWARD MGMT 033 RDN B 4,000	THE JAY GOLDMAN 034 M B 30,000 21.79  CRAMER ROSENTHAL/SCOTT 012 NDN SS 51,500 9.20  CATAPULT 040 NLY S 10,000 15.41  RHO CAPITAL MGMT 041 NOK B 2,000 32.62  PROSPECTOR PARTNERS LLC 036 NP B 10,000 23.87  BARR 096 OESX SS 1,000 9.21  ROTHSCHILD ASSET 040 PDX S 7,720 64.46  CATAPULT 040 PSS B 25,000 12.68  COUGAR TRADING 044 PSUN S 40,000 11.64  BUCK CAPITAL MGMT 001 PVH S 10,000 32.42  EGS ASSOCIATES LP 091 PVH B 3,000 32.66  GALT INVESTMENT 041 QMAR S 80,300 22.67  FORWARD MGMT 033 RDC B 1,500 40.70  FORWARD MGMT 033 RDN B 4,000 5.36  BUCK CAPITAL MGMT 033 RDN B 4,000 55.86	THE JAY GOLDMAN 034 M B 30,000 21.79 7-Feb  CRAMER ROSENTHAL/SCOTT 012 NDN SS 51,500 9.20 27-Feb  CATAPULT 040 NLY S 10,000 15.41 n/a  RHO CAPITAL MGMT 041 NOK B 2,000 32.62 n/a  PROSPECTOR PARTNERS LLC 036 NP B 10,000 23.87 8-Jan  BARR 096 OESX SS 1,000 9.21 n/a  ROTHSCHILD ASSET 040 PDX S 7,720 64.46 n/a  CATAPULT 040 PSS B 25,000 12.68 n/a  COUGAR TRADING 044 PSUN S 40,000 11.64 n/a  BUCK CAPITAL MGMT 001 PVH S 10,000 32.42 13-Mar  EGS ASSOCIATES LP 091 PVH B 3,000 32.66 13-Mar  GALT INVESTMENT 041 QMAR S 80,300 22.67 n/a  FORWARD MGMT 033 RDN B 4,000 5.36 n/a  BUCK CAPITAL MGMT 033 RDN B 4,000 5.36 n/a  BUCK CAPITAL MGMT 033 RDN B 4,000 5.36 n/a	THE JAY GOLDMAN 034 M B 30,000 21.79 7-Peb 7-Mar CRAMER ROSENTHAL/SCOTT 012 NDN SS 51,500 9.20 27-Feb 7-Mar CATAPULT 040 NLY S 10,000 15.41 n/a n/a n/a RHO CAPITAL MGMT 041 NOK B 2,000 32.62 n/a n/a n/a PROSPECTOR PARTNERS LLC 036 NP B 10,000 23.87 8-Jan 23-Jan BARR 096 OESX SS 1,000 9.21 n/a n/a n/a ROTHSCHILD ASSET 040 PDX S 7,720 64.46 n/a n/a n/a CATAPULT 040 PSS B 25,000 12.68 n/a n/a n/a COUGAR TRADING 044 PSUN S 40,000 11.64 n/a 7-Mar EGS ASSOCIATES LP 091 PVH B 3,000 32.66 13-Mar 13-Mar EGS ASSOCIATES LP 091 PVH B 3,000 32.66 13-Mar 13-Mar FORWARD MGMT 033 RDC B 1,500 40.70 n/a n/a n/a BUCK CAPITAL MGMT 033 RDC B 1,500 40.70 n/a n/a n/a FORWARD MGMT 033 RDC B 4,000 5.36 n/a n/a BUCK CAPITAL MGMT 033 RDC B 4,000 5.36 n/a n/a BUCK CAPITAL MGMT 033 RDC B 4,000 5.36 n/a n/a BUCK CAPITAL MGMT 033 RDC B 4,000 5.36 n/a n/a	THE JAY GOLDMAN 034 M B 30,000 21.79 7-Feb 7-Mar 1,200.00 CRAMER ROSENTHAL/SCOTT 012 NDN SS 51,500 9.20 27-Feb 7-Mar 1,802.50 CATAPULT 040 NLY S 10,000 15.41 n/a n/a 500.00 RHO CAPITAL MGMT 041 NOK B 2,000 32.62 n/a n/a 100.00 PROSPECTOR PARTNERS LLC 036 NP B 10,000 23.87 8-Jan 23-Jan 400.00 ROTHSCHILD ASSET 040 PDX S 7,720 64.46 n/a n/a 347.40 CATAPULT 040 PSS B 25,000 12.68 n/a n/a 1,000.00 COUGAR TRADING 044 PSUN S 40,000 11.64 n/a 7-Mar 2,000.00 BUCK CAPITAL MGMT 001 PVH S 10,000 32.42 13-Mar 13-Mar 400.00 RGS ASSOCIATES LP 091 PVH B 3,000 32.42 13-Mar 13-Mar 180.00 GALT INVESTMENT 041 QMAR S 80,300 22.67 n/a n/a 1,000.00 FORWARD MGMT 033 RDC B 1,500 40.70 n/a n/a 7-Feb 800.00 BUCK CAPITAL MGMT 033 RDC B 1,500 40.70 n/a n/a 7-Feb 800.00 BUCK CAPITAL MGMT 033 RDN B 4,000 5.36 n/a n/a 7-Feb 800.00	THE JAY GOLDMAN 034 M B 30,000 21.79 7-Feb 7-Mar 1,200.00 4.0  CRAMER ROSENTHAL/SCOTT 012 NDN SS 51,500 9.20 27-Feb 7-Mar 1,802.50 3.5  CATAPULT 040 NLY S 10,000 15.41 n/a n/a 500.00 5.0  RHO CAPITAL MGMT 041 NOK B 2,000 32.62 n/a n/a 100.00 5.0  FROSPECTOR PARTNERS LLC 036 NP B 10,000 23.87 8-Jan 23-Jan 400.00 4.0  BARR 096 OESX SS 1,000 9.21 n/a n/a 0.00 0.0  ROTHSCHILD ASSET 040 PDX S 7,720 64.46 n/a n/a 347.40 4.5  CATAPULT 040 PSS B 25,000 12.68 n/a n/a 1,000.00 4.0  COUGAR TRADING 044 PSUN S 40,000 11.64 n/a 7-Mar 2,000.00 5.0  BUCK CAPITAL MGMT 091 PVH B 3,000 32.42 13-Mar 13-Mar 400.00 4.0  GALT INVESTMENT 041 QMAR S 80,300 32.66 13-Mar 13-Mar 180.00 6.0  FORWARD MGMT 033 RDC B 1,500 40.70 n/a n/a 75.00 5.0  FORWARD MGMT 033 RDN B 4,000 5.36 n/a n/a 200.00 5.0  BUCK CAPITAL MGMT 033 RDN B 4,000 5.36 n/a n/a 200.00 5.0

Account	RR #	Symbol	в/	s	Shares	Price	MRI	Research	Comm.	\$/Shr.
LISTED ERR	099	RVI		S	100	5.94	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX		S	10,000	20.35	n/a	13-Mar	400.00	4.0
STG INVESTORS	041	SNDK	В		40,000	22.81	n/a	n/a	1,600.00	4.0
DAVIDSON TRUST CO	028	SOV		S	1,115	9.96	n/a	n/a	100.35	9.0
MAGUIRE	039	SRS	В		100	118.84	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TEN		SS	20,000	25.37	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	TIF		SS	15,000	38.77	14-Jan	8-Feb	600.00	4.0
COUGAR TRADING	044	TIN		S	15,000	11.94	6-Feb	7-Feb	750.00	5.0
BUCK CAPITAL MGMT	001	TJX		S	5,000	32.51	n/a	10-Mar	200.00	4.0
FORWARD MGMT	033	TSFG	В		5,400	14.80	n/a	n/a	270.00	5.0
BUCK CAPITAL MGMT	001	TWB		S	40,000	25.45	21-Feb	21-Feb	1,600.00	4.0
BARR	096	UAUA		S	500	22.94	n/a	n/a	0.00	0.0
SINCLAIR	031	USB		S	200	32.74	n/a	n/a	0.00	0.0
DSG CAPITAL	225	UYG	В		4,500	28.60	n/a	n/a	1.43	0.0
LEDDY	035	vc	В		3,000	3.47	n/a	15-Feb	0.00	0.0
LEHMAN PROPRIETARY TRAD	041	VMC	В		20,000	64.18	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
SCOPUS FUND	041	WBC	В	25,000	39.98	n/a	7-Feb	1,250.00 5.0
FORWARD MGMT	033	WTNY	В	3,000	24.47	n/a	n/a	150.00 5.0

TOTAL (Trade Date): 98,528.48

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
CRT	03/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	KSS	S	119,800	41.20	4-Jan	7-Mar	4792.00	4.0
AO,CXL	03/12	DAVIDSON TRUST CO (DAVTOMNI)	028	PNC	S	1,384	63.36	n/a	n/a	83.04	6.0
AO,CRT	03/12	DAVIDSON TRUST CO (DAVTOMNI)	028	PNC	S	1,384	63.36	n/a	n/a	124.56	9.0
AO,	03/12	WILLOW CREEK (WILLMAIN)	033	SAY	В	10,000	22.13	n/a	n/a	400.00	4.0
AO,	03/12	WILLOW CREEK (WILLMAIN)	033	WPI	В	10,000	27.69	n/a	13-Mar	400.00	4.0
AO,	03/12	WILLOW CREEK (WILLMAIN)	033	WTSLA	В	25,000	2.70	n/a	n/a	500.00	2.0
TOTAL	(AO, (	CXL, CRT):							6,	133.52	

TOTAL (RUN DATE) / NFS:	104,662.00
TOTAL (AO, CXL, CRT):	6,133.52
TOTAL (Trade Date):	98,528.48

## Legend:

O: 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