



## Daily Compliance Activity Report

Trade Date: 06/02/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	10,000	18.10	6-Mar	2-Jun	500.00	5.0
J L F ASSET MGMT	039	AEO	SS	100,000	17.88	6-Mar	2-Jun	4,000.00	4.0
JP MORGAN VENTURES	046	AEO	S	35,000	17.90	6-Mar	2-Jun	1,750.00	5.0
PRIMECAP MGMT	048	AMGN	B	36,400	43.71	n/a	26-Jan	1,456.00	4.0
COUGAR TRADING	044	ANF	B	7,500	70.37	10-Apr	2-Jun	375.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>ANN</b>	<b>SS</b>	<b>10,000</b>	<b>26.89</b>	<b>14-Mar</b>	<b>22-May</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>ANN</b>	<b>SS</b>	<b>1,000</b>	<b>26.50</b>	<b>14-Mar</b>	<b>22-May</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	ARGN	B	600	11.89	n/a	20-May	30.00	5.0
COUGAR TRADING	044	ARO	B	5,000	34.05	28-Apr	2-Jun	250.00	5.0
J L F ASSET MGMT	039	ARO	B	47,600	34.31	28-Apr	2-Jun	1,904.00	4.0
SIGMA CAPITAL ASSOCIATES	237	ARO	SS	25,000	34.66	28-Apr	2-Jun	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>ARRS</b>	<b>S</b>	<b>1,500</b>	<b>9.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WILLIAM BLAIR	031	AVP	S	19,400	38.46	4-Mar	29-Apr	776.00	4.0
TROUBH PART	067	AXP	B	10,000	45.34	n/a	n/a	400.00	4.0
TRELLUS PARTNERS LP	028	BIG	SS	10,000	30.74	29-May	29-May	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>SS</b>	<b>10,000</b>	<b>40.22</b>	<b>n/a</b>	<b>27-Jul</b>	<b>400.00</b>	<b>4.0</b>
<b>BARR</b>	<b>096</b>	<b>BVSN</b>	<b>S</b>	<b>5,000</b>	<b>1.02</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.	
ROYCE TRADING	216	CBM	B	10,000	5.79	n/a	n/a	500.00	5.0
SUFFOLK CAPITAL MGMT	040	CB	B	96,600	53.63	n/a	n/a	3,864.00	4.0
LISTED ERR	099	CB	B	150,000	53.63	n/a	n/a	0.00	0.0
LISTED ERR	099	CB	S	150,000	53.63	n/a	n/a	0.00	0.0
BARR	096	CDNS	SS	2,000	11.34	n/a	n/a	0.00	0.0
BUCK	015	COF	C	1,000	46.99	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	CORS	B	14,600	5.44	n/a	n/a	730.00	5.0
BUCK	015	CPD	B	1,500	16.52	n/a	n/a	0.00	0.0
COUGAR TRADING	044	DKS	SS	10,000	22.53	n/a	23-May	500.00	5.0
HOOVER INV. MGMT	033	ENS	B	47,500	31.60	n/a	n/a	2,375.00	5.0
BARR	096	EXAR	S	2,000	7.78	n/a	n/a	0.00	0.0
WILLIAM BLAIR	031	FAST	S	15,700	47.70	n/a	n/a	628.00	4.0
WILLIAM BLAIR	031	FLIR	S	10,700	38.53	n/a	n/a	428.00	4.0
GEORGE WEISS	034	GD	B	30,000	91.17	n/a	n/a	1,200.00	4.0
LEVIN CAPITAL STRATEGIES	012	GES	S	10,000	39.84	n/a	n/a	400.00	4.0
LISTED ERR	099	GES	B	2,500	39.75	n/a	n/a	0.00	0.0
LISTED ERR	099	GES	S	2,500	39.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLIAM BLAIR	031	GILD	S	25,400	54.48	n/a	n/a	1,016.00	4.0
WAGONHOUND	048	GM	SS	11,100	17.66	29-Apr	2-Jun	444.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>GM</b>	<b>SS</b>	<b>5,000</b>	<b>17.31</b>	<b>29-Apr</b>	<b>2-Jun</b>	<b>0.00</b>	<b>0.0</b>
LEHMAN PROPRIETARY TRAD	041	GPS	SS	100,000	17.96	n/a	2-Jun	4,000.00	4.0
MFP INVESTORS	032	IACI	B	20,000	21.90	n/a	n/a	1,000.00	5.0
WILLIAM BLAIR	031	IGT	S	14,200	34.54	n/a	18-Apr	568.00	4.0
TRIVIUM CAP MGMT	251	IMMR	B	25,000	8.27	n/a	n/a	1,000.00	4.0
MORGAN LEWIS/MLH	046	INTV	B	15,000	6.35	n/a	n/a	750.00	5.0
COUGAR TRADING	044	JCG	SS	15,000	36.69	n/a	30-May	750.00	5.0
ADAGE CAPITAL MGMT	030	JCP	SS	50,000	39.53	n/a	2-Jun	2,000.00	4.0
SANDLER O'NEILL ASSET	031	JPM	B	25,000	42.35	8-May	15-May	1,250.00	5.0
COUGAR TRADING	044	KSS	B	10,000	44.17	n/a	2-Jun	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>LEH</b>	<b>SS</b>	<b>700</b>	<b>35.70</b>	<b>1-Apr</b>	<b>22-May</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>LEH</b>	<b>SS</b>	<b>1,000</b>	<b>34.00</b>	<b>1-Apr</b>	<b>22-May</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	048	LLY	B	77,200	47.86	n/a	n/a	3,088.00	4.0
MS PRINCIPAL STRATEGIES	041	MTB	B	2,967	84.69	n/a	n/a	148.35	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	MTW	B	3,000	39.90	n/a	23-May	150.00	5.0
COUGAR TRADING	044	M	B	10,000	23.04	7-Feb	2-Jun	500.00	5.0
DIAMONDBACK CAP MGMT	232	NOK	C	50,000	27.80	n/a	n/a	2,500.00	5.0
MS PRINCIPAL STRATEGIES	041	NTRS	B	13,249	74.14	16-Apr	29-May	662.45	5.0
<b>BARR</b>	<b>096</b>	<b>NVTL</b>	<b>S</b>	<b>2,820</b>	<b>10.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STELLIAM INV ADV	040	OXY	SS	5,000	93.34	n/a	n/a	250.00	5.0
ROYCE TRADING	216	PAG	B	5,000	20.05	22-Apr	30-Apr	250.00	5.0
<b>NOLAN</b>	<b>067</b>	<b>PDRT</b>	<b>S</b>	<b>250</b>	<b>3.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	PKG	B	18,300	25.50	7-Apr	22-Apr	915.00	5.0
GALLEON MGMT LP	033	PSPT	S	25,000	9.13	n/a	n/a	1,250.00	5.0
MS PRINCIPAL STRATEGIES	041	RJF	B	25,000	28.77	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	RL	SS	5,000	69.10	7-Feb	29-May	250.00	5.0
OPPENHEIMER MGMT.	036	RL	S	60,020	68.57	7-Feb	29-May	2,400.80	4.0
GALLEON MGMT LP	033	ROC	S	10,000	35.26	n/a	n/a	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>RYN</b>	<b>B</b>	<b>700</b>	<b>46.73</b>	<b>23-Apr</b>	<b>23-Apr</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	SDS	SS	5,000	57.49	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAXON WOODS ADVISORS	038	SHO	S	30,000	19.46	n/a	n/a	1,200.00	4.0
COUGAR TRADING	044	SKF	SS	10,000	115.27	n/a	n/a	500.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>SNCR</b>	<b>B</b>	<b>2,000</b>	<b>13.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>SPWR</b>	<b>S</b>	<b>267</b>	<b>78.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	STT	B	3,600	70.00	n/a	n/a	180.00	5.0
IRONBOUND CAPITAL	012	TIN	B	40,800	14.28	29-Apr	29-Apr	2,040.00	5.0
TROUBH PART	067	UBS	B	10,000	23.48	n/a	n/a	400.00	4.0
COUGAR TRADING	044	URBN	SS	5,000	31.03	15-May	15-May	250.00	5.0
KACELA CAPITAL	034	URBN	B	10,000	31.39	15-May	15-May	400.00	4.0
<b>BUCK</b>	<b>015</b>	<b>VRP</b>	<b>B</b>	<b>10</b>	<b>1.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WASHINGTON ASSET	048	WBC	B	6,000	52.24	30-Apr	30-Apr	300.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>WHT</b>	<b>S</b>	<b>1,500</b>	<b>5.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>WIND</b>	<b>S</b>	<b>1,000</b>	<b>11.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>WSMSZ</b>	<b>B</b>	<b>50</b>	<b>8.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	WSM	SS	25,900	24.51	n/a	n/a	1,036.00	4.0
FINANCIAL STOCK LP	028	WY	S	21,115	61.33	7-Apr	27-May	844.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	WY	S	800	61.54	7-Apr	27-May	0.00	0.0
TOTAL (Trade Date):								59,009.20	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/30	PZENA INV ADV (PZEN1242)	044	ALU	S	3,700	7.56	n/a	n/a	148.00 4.0
AO,	05/30	PZENA INV ADV (PZEN1561)	044	ALU	S	13,725	7.56	n/a	n/a	549.00 4.0
AO,	05/30	PZENA INV ADV (PZEN707)	044	ALU	S	14,325	7.56	n/a	n/a	573.00 4.0
AO,CRT	05/30	PZENA INV ADV (PZEN1391)	044	ALU	S	300	7.56	n/a	n/a	12.00 4.0
AO,CRT	05/30	PZENA INV ADV (PZEN1418)	044	ALU	S	875	7.56	n/a	n/a	35.00 4.0
AO,	05/30	PZENA INV ADV (PZEN1449)	044	ALU	S	10,325	7.56	n/a	n/a	413.00 4.0
AO,	05/30	PZENA INV ADV (PZEN1450)	044	ALU	S	23,975	7.56	n/a	n/a	959.00 4.0
AO,	05/30	PZENA INV ADV (PZEN1520)	044	ALU	S	675	7.56	n/a	n/a	27.00 4.0
AO,CRT	05/30	PZENA INV ADV (PZEN687)	044	ALU	S	18,475	7.56	n/a	n/a	739.00 4.0
AO,CRT	05/30	PZENA INV ADV (PZEN1341)	044	ALU	S	525	7.56	n/a	n/a	21.00 4.0
AO,	05/30	PZENA INV ADV (PZEN620)	044	ALU	S	57,690	7.56	n/a	n/a	2307.60 4.0
AO,	05/29	TRELLUS PARTNERS LP (TRELMAIN)	028	ARGN	B	10,000	14.05	n/a	20-May	500.00 5.0
AO,CXL	05/30	LISTED ERR (LISTED ERR)	099	CBRL	B	10,000	29.62	n/a	n/a	0.00 0.0
AO,	05/30	LISTED ERR (LISTED ERR)	099	CBRL	B	35,000	29.56	n/a	n/a	0.00 0.0
AO,CXL	05/30	LISTED ERR (LISTED ERR)	099	CBRL	S	10,000	29.58	n/a	n/a	0.00 0.0
AO,	05/30	LISTED ERR (LISTED ERR)	099	CBRL	S	35,000	29.55	n/a	n/a	0.00 0.0
AO,CXL	05/30	TROUBH PART (TROUGOLD)	067	CHK	B	25,000	54.61	n/a	n/a	1000.00 4.0
AO,CRT	05/30	TROUBH PART (TROUGOLD)	067	CHK	B	25,000	54.61	n/a	n/a	1250.00 5.0
AO,	05/30	NEUBERGER BERMAN (NBER9W10)	036	SU	S	5,200	68.00	n/a	n/a	234.00 4.5
AO,CXL	05/30	CARLYLE BLUE WAVE PR MG (CBLUMSUSE)	224	TIN	B	10,000	14.49	29-Apr	29-Apr	500.00 5.0
AO,CRT	05/30	CARLYLE BLUE WAVE PR MG (CBLUCITI)	224	TIN	B	10,000	14.49	29-Apr	29-Apr	500.00 5.0
AO,CXL	05/30	IRONBOUND CAPITAL (IROBGs)	012	TIN	B	19,200	14.48	29-Apr	29-Apr	960.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/30	IRONBOUND CAPITAL (IROBGS)	012	TIN	B	19,200	14.48	29-Apr	29-Apr	576.00 3.0
AO,CXL	05/30	SATELITE/BOBBY (SATBCITI)	044	XRT	B	10,000	33.22	n/a	n/a	400.00 4.0
AO,CRT	05/30	SATELITE/BOBBY (SATBCITI)	044	XRT	B	10,000	33.22	n/a	n/a	300.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>6,283.60</b>
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TOTAL (Trade Date):	59,009.20
TOTAL (AO, CXL, CRT):	6,283.60

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>65,292.80</b>
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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