



Daily Compliance Activity Report

Trade Date: 05/09/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARIENCE CAPITAL	036	AGN	SS	25,000	53.09	31-Jan	7-May	1,250.00	5.0
TYEE/TYGH	035	AMG	B	22,062	101.88	7-Apr	8-May	882.48	4.0
COUGAR TRADING	044	ANF	B	5,000	73.83	10-Apr	9-May	250.00	5.0
ZOLIDIS	011	APP	SS	1,000	8.45	n/a	n/a	0.00	0.0
MILLRACE FUND LP	028	ARGN	B	7,605	12.27	n/a	1-May	304.20	4.0
MCCARTAN	028	ARGN	B	300	12.05	n/a	1-May	0.00	0.0
EFSTATHIOU	044	ATVI	S	600	29.99	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	BAC	B	25,000	36.95	n/a	22-Apr	1,250.00	5.0
ARIENCE CAPITAL	036	BCR	SS	36,200	91.23	n/a	22-Apr	1,810.00	5.0
PRINCIPLE CAPITAL	040	BC	SS	72,700	16.19	n/a	n/a	2,181.00	3.0
LISTED ERR	099	BJS	B	10,000	29.64	n/a	n/a	0.00	0.0
LISTED ERR	099	BJS	SS	10,000	29.67	n/a	n/a	0.00	0.0
GRUBER MACBAINE	033	BJ	SS	10,000	38.71	n/a	27-Jul	400.00	4.0
COUGAR TRADING	044	BKC	B	5,000	28.18	1-May	2-May	250.00	5.0
JMP ASSET MGMT	210	CHS	B	11,500	6.81	11-Apr	9-May	460.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GENERAL ELECTIC CO	033	CMCSK	B	11,550	21.28	n/a	n/a	462.00	4.0
MERRILL ASSET	032	CMO	B	115,400	13.06	n/a	n/a	5,193.00	4.5
COUGAR TRADING	044	COH	SS	5,000	34.67	4-Apr	23-Apr	250.00	5.0
AVESTA CAP	229	COST	B	50,000	71.88	n/a	27-Jul	2,500.00	5.0
COUGAR TRADING	044	CPKI	SS	15,000	16.06	n/a	9-May	750.00	5.0
MERRILL ASSET	032	CRR	B	11,300	47.11	6-May	6-May	565.00	5.0
MORGAN BANK /JPM	012	DBA	S	145,261	37.41	n/a	n/a	4,357.83	3.0
MORRISON&FRASIER/BUTLER	040	DHT	B	10,000	10.61	n/a	n/a	500.00	5.0
BANK OF NEW YORK	046	DLTR	B	12,900	34.30	n/a	9-May	516.00	4.0
SERENGETI MGMT	030	DSL	B	100,000	11.31	n/a	n/a	5,000.00	5.0
COUGAR TRADING	044	DSW	B	10,000	13.68	8-May	9-May	500.00	5.0
GENERAL ELECTIC CO	033	DVN	S	32,756	115.84	7-May	7-May	1,310.24	4.0
ROTHSCHILD ASSET	040	DVN	S	6,620	114.52	7-May	7-May	297.90	4.5
KNOTT PARTNERS	044	EL	B	50,000	47.87	7-May	7-May	2,500.00	5.0
GRONET	030	EXLP	B	2,000	29.12	n/a	n/a	0.00	0.0
MCCARTAN	028	GMO	B	500	8.16	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GPS	B	5,000	17.84	n/a	9-May	250.00	5.0
BUCK	015	GS	B	200	188.38	19-Mar	14-Apr	0.00	0.0
PATTEN & PATTEN	067	HCF	B	500	14.28	n/a	n/a	25.00	5.0
J L F ASSET MGMT	039	HD	B	131,800	28.22	n/a	27-Jul	5,272.00	4.0
BUCK	015	HD	C	1,000	28.07	n/a	27-Jul	0.00	0.0
PHILADELPHIA FINANCIAL	033	IVZ	S	53,574	27.53	10-Apr	9-May	2,142.96	4.0
WYCKOFF	013	IVZ	B	200	27.36	10-Apr	9-May	0.00	0.0
BANK OF NEW YORK	046	JCG	S	9,510	46.54	n/a	12-Mar	380.40	4.0
COUGAR TRADING	044	JCG	S	5,000	47.09	n/a	12-Mar	250.00	5.0
GRUBER MACBAINE	033	JPM	S	10,000	46.36	8-May	8-May	400.00	4.0
SANDLER O'NEILL ASSET	031	JPM	B	25,000	46.30	8-May	8-May	1,250.00	5.0
BAIRD INVESTMENT	031	KEG	B	80,455	15.46	14-Feb	9-May	4,022.75	5.0
PENN CAPITAL MGMT	028	KEG	B	167,755	15.67	14-Feb	9-May	6,710.20	4.0
PATTEN & PATTEN	067	KO	B	200	55.91	n/a	n/a	10.00	5.0
HOLDEN CAPITAL MGMT	035	LEG	B	87,500	16.44	n/a	n/a	4,375.00	5.0
BARR	096	LEN	SS	1,500	18.46	n/a	n/a	0.00	0.0
COUGAR TRADING	044	LIZ	B	10,000	18.15	n/a	7-May	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	LLY	B	25,000	48.08	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	LOW	B	176,400	24.44	n/a	27-Jul	7,056.00	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	100,000	11.01	7-Apr	7-May	5,000.00	5.0
BARR	096	MBI	SS	3,000	9.85	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MDT	S	200	47.57	n/a	22-Apr	10.00	5.0
SIGMA CAPITAL ASSOCIATES	237	MDT	B	50,000	47.78	n/a	22-Apr	2,500.00	5.0
BUCK	015	MER	SS	1,000	48.38	18-Jan	17-Apr	0.00	0.0
JPMSI/TOM LEDDY	035	MGM	S	20,000	51.10	n/a	7-May	1,000.00	5.0
PATTEN & PATTEN	067	MHP	S	200	40.43	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	MIC	S	800	29.47	n/a	n/a	40.00	5.0
PATTEN & PATTEN	067	MRK	B	400	38.60	n/a	n/a	20.00	5.0
COUGAR TRADING	044	M	B	15,000	23.47	7-Feb	9-May	750.00	5.0
GARW	034	NDAQ	SS	20,000	38.70	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	NSC	S	200	61.67	n/a	n/a	10.00	5.0
COUGAR TRADING	044	NWY	S	10,000	7.01	n/a	9-May	500.00	5.0
GARW	034	NYX	B	10,000	70.96	n/a	n/a	400.00	4.0
TRIVIMUM CAP MGMT	251	ORCL	C	50,000	20.92	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	OSK	S	100	39.31	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	PCX	S	40	79.45	n/a	n/a	2.00	5.0
BANK OF NEW YORK	046	PLCE	B	30,010	29.31	2-May	9-May	1,200.40	4.0
PECONIC PARTNERS	036	PLCE	B	58,900	29.24	2-May	9-May	2,945.00	5.0
LUCHANSKY	036	PNK	B	200	15.01	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PSUN	B	21,695	11.78	n/a	9-May	1,084.75	5.0
MERRILL ASSET	032	PVH	S	37,300	42.43	5-May	5-May	1,678.50	4.5
SINCLAIR	031	QPRGC	S	40	1.00	n/a	n/a	0.00	0.0
COUGAR TRADING	044	RL	B	5,000	59.68	7-Feb	6-May	250.00	5.0
VISIUM/BALY HOWARD	038	RL	B	22,500	59.59	7-Feb	6-May	1,125.00	5.0
EFSTATHIOU	044	SBLK	B	500	13.71	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	SHW	B	75,000	56.19	n/a	22-Apr	3,750.00	5.0
1798 CAPITAL MGMT	040	SKX	SS	5,000	22.44	n/a	13-Mar	250.00	5.0
BUCK	015	SPY	S	300	139.26	n/a	n/a	0.00	0.0
CRAGO	N26	S	B	400	9.24	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	THQI	SS	40,000	18.54	n/a	n/a	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	TIN	S	25,000	12.75	29-Apr	29-Apr	1,250.00	5.0
ZOLIDIS	011	TWM	S	300	75.11	n/a	n/a	0.00	0.0
MCCARTAN	028	UQM	B	2,500	1.80	n/a	n/a	0.00	0.0
EFSTATHIOU	044	UQM	B	5,000	1.84	n/a	n/a	0.00	0.0
ZOLIDIS	011	UYG	B	800	32.80	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	VC	S	150,000	4.44	n/a	1-May	4,500.00	3.0
PATTEN & PATTEN	067	V	S	100	85.57	n/a	n/a	5.00	5.0
LUCHANSKY	036	V	S	100	85.45	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	WBC	B	5,000	48.63	30-Apr	30-Apr	250.00	5.0
LEDDY	035	WFMI	C	300	32.69	n/a	n/a	0.00	0.0
GAULT	063	ZYTAG	B	60	2.40	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :							100,969.61		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	05/08	LISTED ERR (LISTED ERR)	099	KSS	S	5,000	49.53	4-Jan	9-May	0.00	0.0
AO,	05/08	LISTED ERR (LISTED ERR)	099	KSS	S	5,000	49.53	4-Jan	9-May	0.00	0.0
AO,CXL	05/08	COUGAR TRADING (COUGPB MS)	044	KSS	SS	15,000	47.53	4-Jan	9-May	750.00	5.0
AO,CRT	05/08	COUGAR TRADING (COUGPB MS)	044	KSS	SS	20,000	47.53	4-Jan	9-May	1000.00	5.0
AO,	05/08	TRELLUS PARTNERS LP (TRELMMERR)	028	VC	S	12,321	4.46	n/a	1-May	369.63	3.0
AO,	05/08	TRELLUS PARTNERS LP (TRELGS)	028	VC	S	12,320	4.46	n/a	1-May	369.60	3.0
AO,CXL	05/08	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	241,050	4.46	n/a	1-May	7231.50	3.0
AO,	05/08	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	50,000	4.46	n/a	1-May	1500.00	3.0
AO,	05/08	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	166,409	4.46	n/a	1-May	4992.27	3.0
TOTAL (AO, CXL, CRT) :										250.00	

TOTAL (Trade Date):	100,969.61
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TOTAL (RUN DATE) / NFS:	101,219.61
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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