



## Daily Compliance Activity Report

Trade Date: 07/19/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol       | B/S      | Shares        | Price        | MRI           | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|--------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| AMBER CAPITAL            | 046        | AAP          | S        | 188,147       | 39.12        | n/a           | n/a           | 9,407.35        | 5.0        |
| COUGAR TRADING           | 044        | AEO          | S        | 5,000         | 27.50        | 10-Jul        | 13-Jul        | 250.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ANF</b>   | <b>B</b> | <b>25,000</b> | <b>72.92</b> | <b>12-Jul</b> | <b>13-Jul</b> | <b>1,000.00</b> | <b>4.0</b> |
| <b>ZOLIDIS</b>           | <b>011</b> | <b>ANF</b>   | <b>B</b> | <b>150</b>    | <b>73.37</b> | <b>12-Jul</b> | <b>13-Jul</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>MKT MAKER</b>         | <b>099</b> | <b>ASPM</b>  | <b>S</b> | <b>34</b>     | <b>15.17</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| CARLYLE BLUE WAVE PR MG  | 224        | AVP          | S        | 12,890        | 40.00        | 2-May         | 17-Jul        | 644.50          | 5.0        |
| INDEPENDENCE INV         | 039        | AYE          | S        | 13,300        | 56.25        | n/a           | n/a           | 532.00          | 4.0        |
| <b>BUCK</b>              | <b>015</b> | <b>BBW</b>   | <b>B</b> | <b>1,450</b>  | <b>24.93</b> | <b>15-Jun</b> | <b>15-Jun</b> | <b>0.00</b>     | <b>0.0</b> |
| CAPITAL GROWTH MGMT.     | 241        | BHI          | B        | 50,000        | 82.74        | n/a           | n/a           | 2,500.00        | 5.0        |
| HIGHBRIDGE CAPITAL       | 038        | BNI          | B        | 2,000         | 92.07        | n/a           | n/a           | 100.00          | 5.0        |
| COUGAR TRADING           | 044        | BONT         | S        | 5,000         | 32.92        | 6-Jul         | 13-Jul        | 250.00          | 5.0        |
| JENNISON                 | 032        | BRCM         | B        | 500,600       | 33.14        | n/a           | n/a           | 20,024.00       | 4.0        |
| <b>JACOB</b>             | <b>068</b> | <b>BRNC</b>  | <b>S</b> | <b>1,200</b>  | <b>15.75</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>SINCLAIR</b>          | <b>031</b> | <b>BSCAK</b> | <b>B</b> | <b>14</b>     | <b>7.40</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| ARIENCE CAPITAL          | 036        | BYD          | B        | 7,052         | 51.58        | n/a           | 27-Apr        | 352.60          | 5.0        |

| Account                  | RR #       | Symbol       | B/S      | Shares        | Price         | MRI           | Research      | Comm. ¢/Shr.  |            |
|--------------------------|------------|--------------|----------|---------------|---------------|---------------|---------------|---------------|------------|
| MILLENIUM PARTNERS       | 028        | CBS          | B        | 30,000        | 34.88         | n/a           | n/a           | 1,500.00      | 5.0        |
| <b>LEDDY</b>             | <b>035</b> | <b>CHCG</b>  | <b>B</b> | <b>1,500</b>  | <b>7.20</b>   | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| PALMYRA CAPITAL          | 048        | CHTR         | S        | 240,000       | 4.80          | n/a           | n/a           | 4,800.00      | 2.0        |
| INDEPENDENCE INV         | 039        | CPWR         | S        | 17,400        | 10.64         | n/a           | n/a           | 696.00        | 4.0        |
| <b>CROWLEY</b>           | <b>061</b> | <b>CRMMX</b> | <b>S</b> | <b>829</b>    | <b>34.09</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| COLUMBIA PARTNERS        | 028        | CWTR         | B        | 30,533        | 22.01         | n/a           | n/a           | 1,221.32      | 4.0        |
| <b>CROWLEY</b>           | <b>061</b> | <b>CXE</b>   | <b>B</b> | <b>10,000</b> | <b>6.29</b>   | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| <b>BUCK</b>              | <b>015</b> | <b>DDR</b>   | <b>B</b> | <b>300</b>    | <b>53.75</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| INDEPENDENCE INV         | 039        | DFS          | S        | 12,850        | 26.49         | n/a           | n/a           | 514.00        | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>DSW</b>   | <b>B</b> | <b>5,000</b>  | <b>37.68</b>  | <b>7-May</b>  | <b>7-Jun</b>  | <b>200.00</b> | <b>4.0</b> |
| Õ <b>Glenn Redemann</b>  |            | <b>DSW</b>   | <b>B</b> | <b>3</b>      | <b>0.4900</b> | <b>7-May</b>  | <b>7-Jun</b>  | <b>0.00</b>   | <b>0.0</b> |
| Õ <b>Glenn Redemann</b>  |            | <b>DSW</b>   | <b>B</b> | <b>3</b>      | <b>0.6600</b> | <b>7-May</b>  | <b>7-Jun</b>  | <b>0.00</b>   | <b>0.0</b> |
| <b>BUCK</b>              | <b>015</b> | <b>DVN</b>   | <b>B</b> | <b>500</b>    | <b>82.75</b>  | <b>18-Jul</b> | <b>18-Jul</b> | <b>0.00</b>   | <b>0.0</b> |
| <b>BUCK</b>              | <b>015</b> | <b>EPP</b>   | <b>S</b> | <b>600</b>    | <b>155.00</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| <b>JACOB</b>             | <b>068</b> | <b>ETN</b>   | <b>S</b> | <b>100</b>    | <b>102.35</b> | <b>16-Jul</b> | <b>16-Jul</b> | <b>0.00</b>   | <b>0.0</b> |
| <b>LEDDY</b>             | <b>035</b> | <b>EVST</b>  | <b>S</b> | <b>100</b>    | <b>33.07</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.     |            |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| <b>MKT MAKER</b>         | <b>099</b> | <b>EVST</b> | <b>B</b> | <b>100</b>    | <b>32.90</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| CAXTON PART              | 040        | EXC         | SS       | 32,498        | 82.08        | n/a           | n/a           | 1,299.92        | 4.0        |
| CAXTON PART              | 040        | EXC         | S        | 17,502        | 82.02        | n/a           | n/a           | 700.08          | 4.0        |
| CAPITAL GROWTH MGMT.     | 241        | HANS        | B        | 3,000         | 43.56        | n/a           | n/a           | 150.00          | 5.0        |
| <b>LEDDY</b>             | <b>035</b> | <b>HBI</b>  | <b>C</b> | <b>1,000</b>  | <b>26.05</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>MKT MAKER</b>         | <b>099</b> | <b>HOFF</b> | <b>B</b> | <b>60</b>     | <b>19.80</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| U.S.TRUST COMPANY        | 012        | INTC        | B        | 9,000         | 25.25        | n/a           | n/a           | 405.00          | 4.5        |
| GARX                     | 030        | IVZ         | B        | 14,900        | 26.84        | 10-Jul        | 18-Jul        | 596.00          | 4.0        |
| <b>LEDDY</b>             | <b>035</b> | <b>JADE</b> | <b>B</b> | <b>1,500</b>  | <b>9.21</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| TRELLUS PARTNERS LP      | 028        | JCI         | B        | 50,000        | 120.07       | 19-Jul        | 19-Jul        | 2,500.00        | 5.0        |
| NEUBERGER BERMAN         | 036        | JEF         | B        | 31,900        | 30.01        | n/a           | n/a           | 1,595.00        | 5.0        |
| AVESTA CAP               | 229        | KR          | S        | 50,000        | 28.95        | n/a           | n/a           | 2,500.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>KSS</b>  | <b>B</b> | <b>40,000</b> | <b>66.56</b> | <b>14-Jun</b> | <b>12-Jul</b> | <b>1,600.00</b> | <b>4.0</b> |
| COUGAR TRADING           | 044        | KSS         | B        | 10,000        | 66.52        | 14-Jun        | 12-Jul        | 500.00          | 5.0        |
| HIGHBRIDGE CAPITAL       | 038        | KSS         | SS       | 14,000        | 66.43        | 14-Jun        | 12-Jul        | 700.00          | 5.0        |
| <b>KORMAN</b>            | <b>003</b> | <b>KVA</b>  | <b>B</b> | <b>2,300</b>  | <b>28.56</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>SCHWARZWAL</b>        | <b>N18</b> | <b>KVA</b>  | <b>B</b> | <b>500</b>    | <b>28.50</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| BALYASNY ASSET MGMT      | 044        | LH          | SS       | 10,000        | 80.35        | n/a           | n/a           | 500.00          | 5.0        |

| Account           | RR # | Symbol | B/S | Shares | Price  | MRI    | Research | Comm. ¢/Shr. |     |
|-------------------|------|--------|-----|--------|--------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001  | LIZ    | SS  | 10,000 | 37.24  | n/a    | 12-Jul   | 400.00       | 4.0 |
| MKT MAKER         | 099  | MCCC   | S   | 41     | 10.34  | 4-Jun  | 19-Jul   | 0.00         | 0.0 |
| SNYDER CAPITAL    | 038  | MGRC   | B   | 4,700  | 33.40  | n/a    | n/a      | 188.00       | 4.0 |
| BUCK CAPITAL MGMT | 001  | M      | B   | 60,000 | 42.42  | 13-Jul | 13-Jul   | 2,400.00     | 4.0 |
| KENNEDY CAPITAL   | 046  | NHWK   | S   | 25,000 | 20.00  | n/a    | n/a      | 1,000.00     | 4.0 |
| Õ Glenn Redemann  |      | NMX    | B   | 3      | 1.3200 | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann  |      | NMX    | B   | 3      | 2.4700 | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann  |      | NMX    | SS  | 3      | 2.2700 | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann  |      | NMX    | SS  | 3      | 3.5200 | n/a    | n/a      | 0.00         | 0.0 |
| ROTHSCHILD ASSET  | 040  | OMI    | S   | 4,050  | 35.57  | n/a    | n/a      | 182.25       | 4.5 |
| GARX              | 301  | PCH    | B   | 14,103 | 44.63  | 26-Jun | 26-Jun   | 564.12       | 4.0 |
| INDEPENDENCE INV  | 039  | PLD    | S   | 7,400  | 59.82  | n/a    | n/a      | 296.00       | 4.0 |
| INDEPENDENCE INV  | 039  | PNW    | S   | 5,400  | 40.54  | n/a    | n/a      | 216.00       | 4.0 |
| COUGAR TRADING    | 044  | PSUN   | SS  | 10,000 | 21.48  | n/a    | 13-Jul   | 500.00       | 5.0 |
| COUGAR TRADING    | 044  | PSUN   | S   | 15,000 | 21.34  | n/a    | 13-Jul   | 750.00       | 5.0 |
| BUCK              | 015  | RTN    | S   | 400    | 55.20  | n/a    | n/a      | 0.00         | 0.0 |
| OGORMAN           | 146  | SDS    | B   | 300    | 49.67  | n/a    | n/a      | 0.00         | 0.0 |

| Account                  | RR #       | Symbol      | B/S      | Shares         | Price        | MRI        | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|-----------------|------------|
| INDEPENDENCE INV         | 039        | SFI         | S        | 5,300          | 42.73        | n/a        | n/a           | 212.00          | 4.0        |
| INDEPENDENCE INV         | 039        | SGP         | S        | 5,100          | 32.15        | n/a        | n/a           | 204.00          | 4.0        |
| MILLENIUM PARTNERS       | 028        | SIX         | SS       | 30,000         | 5.66         | n/a        | n/a           | 900.00          | 3.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>SKX</b>  | <b>S</b> | <b>100,000</b> | <b>29.47</b> | <b>n/a</b> | <b>13-Mar</b> | <b>4,000.00</b> | <b>4.0</b> |
| COUGAR TRADING           | 044        | SKX         | S        | 10,000         | 29.33        | n/a        | 13-Mar        | 500.00          | 5.0        |
| WILLIAM BLAIR            | 031        | SLAB        | B        | 60,330         | 37.25        | n/a        | n/a           | 2,413.20        | 4.0        |
| PRINCIPLE CAPITAL        | 040        | SMG         | SS       | 70,000         | 43.57        | 9-Jul      | 19-Jul        | 2,800.00        | 4.0        |
| WHITE PINE CAPITAL       | 030        | SMG         | S        | 12,900         | 43.41        | 9-Jul      | 19-Jul        | 645.00          | 5.0        |
| INDEPENDENCE INV         | 039        | SPG         | S        | 7,300          | 94.76        | n/a        | n/a           | 292.00          | 4.0        |
| ROTHSCHILD ASSET         | 040        | STE         | S        | 26,160         | 30.42        | n/a        | 22-Apr        | 1,177.20        | 4.5        |
| INDEPENDENCE INV         | 039        | STI         | S        | 6,200          | 87.23        | n/a        | n/a           | 248.00          | 4.0        |
| BELMONT GLOBAL ADV       | 248        | SYNL        | B        | 5,000          | 28.15        | n/a        | n/a           | 250.00          | 5.0        |
| <b>CROWLEY</b>           | <b>061</b> | <b>TACT</b> | <b>S</b> | <b>3,500</b>   | <b>6.18</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| CAPITAL GROWTH MGMT.     | 241        | TGI         | B        | 40,000         | 71.61        | n/a        | n/a           | 2,000.00        | 5.0        |
| SOCIETY GENERALE         | 040        | TIN         | S        | 5,000          | 65.75        | 14-Jun     | 14-Jun        | 250.00          | 5.0        |
| BEAR STEARNS ASSET MGMT. | 033        | TLB         | C        | 10,000         | 24.44        | n/a        | 17-Jul        | 400.00          | 4.0        |

| Account             | RR # | Symbol | B/S | Shares | Price | MRI    | Research  | Comm. ¢/Shr. |     |
|---------------------|------|--------|-----|--------|-------|--------|-----------|--------------|-----|
| BUCK CAPITAL MGMT   | 001  | TWB    | B   | 10,000 | 43.40 | 2-Jul  | 2-Jul     | 400.00       | 4.0 |
| HIGHBRIDGE CAPITAL  | 038  | URS    | B   | 10,000 | 55.66 | n/a    | n/a       | 500.00       | 5.0 |
| MSD CAPITAL         | 036  | USTR   | S   | 8,600  | 71.00 | 23-May | 23-May    | 430.00       | 5.0 |
| MKT MAKER           | 099  | USTR   | S   | 2      | 71.00 | 23-May | 23-May    | 0.00         | 0.0 |
| BUCK                | 015  | WY     | B   | 900    | 83.95 | 13-Jul | 13-Jul    | 0.00         | 0.0 |
| ZOLIDIS             | 011  | ZUMZ   | B   | 250    | 39.80 | n/a    | n/a       | 0.00         | 0.0 |
| TOTAL (Trade Date): |      |        |     |        |       |        | 81,155.54 |              |     |

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

| Type                          | Date  | Account                             | RR # | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm.¢/Shr.     |     |
|-------------------------------|-------|-------------------------------------|------|--------|-----|---------|--------|--------|----------|-----------------|-----|
| AO,                           | 07/18 | YORK CAPITAL (YORKMS)               | 036  | AA     | S   | 400     | 46.38  | n/a    | n/a      | 20.00           | 5.0 |
| AO,CXL                        | 07/18 | YORK CAPITAL (YORK-BS)              | 036  | AA     | S   | 233,300 | 43.38  | n/a    | n/a      | 11665.00        | 5.0 |
| AO,                           | 07/18 | YORK CAPITAL (YORK-BS)              | 036  | AA     | S   | 233,300 | 46.38  | n/a    | n/a      | 11665.00        | 5.0 |
| AO,CXL                        | 07/18 | YORK CAPITAL (YORK-GS)              | 036  | AA     | S   | 166,300 | 43.38  | n/a    | n/a      | 8315.00         | 5.0 |
| AO,                           | 07/18 | YORK CAPITAL (YORK-GS)              | 036  | AA     | S   | 166,300 | 46.38  | n/a    | n/a      | 8315.00         | 5.0 |
| AO,CXL                        | 07/18 | LISTED ERR (LISTED ERR)             | 099  | BLK    | S   | 5,000   | 167.29 | 18-Jul | 18-Jul   | 0.00            | 0.0 |
| AO,                           | 07/18 | LISTED ERR (LISTED ERR)             | 099  | BLK    | S   | 5,000   | 166.80 | 18-Jul | 18-Jul   | 0.00            | 0.0 |
| AO,                           | 07/18 | COUGAR TRADING (COUGPB MS)          | 044  | KSS    | B   | 5,000   | 66.77  | 14-Jun | 12-Jul   | 250.00          | 5.0 |
| CRT                           | 07/19 | BUCK CAPITAL MGMT (BUCKMSMAIN)      | 001  | M      | B   | 59,900  | 42.42  | 13-Jul | 13-Jul   | 2396.00         | 4.0 |
| AO,                           | 07/18 | MKT MAKER (MKT MAKER)               | 099  | PFCB   | SS  | 32      | 36.35  | 24-Apr | 24-Apr   | 0.00            | 0.0 |
| AO,                           | 07/18 | WEINTRAUB CAPITAL MGT. (WEINMAIN A) | 040  | PFCB   | SS  | 500     | 36.35  | 24-Apr | 24-Apr   | 25.00           | 5.0 |
| CRT                           | 07/19 | COUGAR TRADING (COUGPB MS)          | 044  | PSUN   | SS  | 10,000  | 21.48  | n/a    | 13-Jul   | 500.00          | 5.0 |
| CRT                           | 07/19 | MILLENIUUM PARTNERS (MILPMELANI)    | 028  | SIX    | SS  | 30,000  | 5.66   | n/a    | n/a      | 900.00          | 3.0 |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                                     |      |        |     |         |        |        |          | <b>4,091.00</b> |     |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 81,155.54 |
| TOTAL (AO, CXL, CRT) : | 4,091.00  |

|                                 |                  |
|---------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>85,246.54</b> |
|---------------------------------|------------------|





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