



Daily Compliance Activity Report

Trade Date: 09/10/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROARING BLUE LION MGMT	012	AB	S	1,550	79.42	9-Aug	22-Aug	62.00	4.0
J L F ASSET MGMT	039	AEO	B	53,100	23.35	10-Jul	7-Sep	2,124.00	4.0
POST ROAD CAP	068	AEO	B	2,800	23.28	10-Jul	7-Sep	112.00	4.0
ROARING BLUE LION MGMT	012	AEO	B	3,000	23.24	10-Jul	7-Sep	120.00	4.0
CASTLE ARK	031	AKAM	S	16,900	29.91	n/a	n/a	1,014.00	6.0
SINCLAIR	031	AMGAH	B	20	1.80	n/a	n/a	0.00	0.0
PRIME CAPITAL	048	AMGN	B	75,000	51.12	n/a	26-Jan	3,750.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	76.28	23-Aug	7-Sep	250.00	5.0
COUGAR TRADING	044	ARO	B	10,000	18.60	n/a	7-Sep	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	36,900	18.57	n/a	7-Sep	1,383.75	3.8
HIGHBRIDGE CAPITAL	038	BHP	SS	50,000	63.12	n/a	n/a	2,500.00	5.0
THIRD COAST CAPITAL	035	BIG	B	20,000	28.39	n/a	7-Sep	1,000.00	5.0
SINCLAIR	031	BSCAG	B	20	4.10	n/a	n/a	0.00	0.0
SINCLAIR	031	BSCAK	S	59	1.20	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	BUD	B	284,100	49.75	n/a	n/a	14,205.00	5.0
GALLEON MGMT LP	033	CHD	SS	10,000	42.91	10-Sep	10-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	CHS	C	500	14.45	30-Aug	7-Sep	0.00	0.0
COUGAR TRADING	044	COH	S	10,000	43.94	n/a	10-Sep	500.00	5.0
BUCK	015	CTX	SS	800	26.10	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	217	DAL	SS	100,000	17.59	n/a	n/a	5,000.00	5.0
WHITE PINE CAPITAL	030	DSGX	B	3,675	4.06	n/a	n/a	147.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	25,000	26.72	5-Sep	5-Sep	1,000.00	4.0
WHITE PINE CAPITAL	030	DXCM	B	3,325	9.58	n/a	n/a	166.25	5.0
TRELLUS PARTNERS LP	028	ELON	B	20,000	27.34	n/a	n/a	1,000.00	5.0
WHITE PINE CAPITAL	030	EPIQ	B	3,225	17.99	n/a	n/a	161.25	5.0
THIRD COAST CAPITAL	035	EXBD	B	10,000	67.25	n/a	n/a	500.00	5.0
PORTER-ORLIN-FELDMAN	044	FDO	SS	50,000	27.55	9-Aug	7-Sep	2,500.00	5.0
LISTED ERR	099	FDO	B	90	27.81	9-Aug	7-Sep	0.00	0.0
HIGHBRIDGE CAPITAL	038	FIS	SS	25,000	44.78	n/a	n/a	1,250.00	5.0
BARR	096	FLDR	SS	2,000	4.60	n/a	n/a	0.00	0.0
POST ROAD CAP	068	FMX	B	1,800	34.67	n/a	n/a	72.00	4.0
WHITE PINE CAPITAL	030	GGG	B	1,675	38.81	n/a	n/a	83.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	GLD	B	200	69.54	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	GLF	B	1,400	46.05	n/a	n/a	70.00	5.0
HIGHBRIDGE CAPITAL	038	GRP	SS	75,000	51.88	n/a	n/a	3,750.00	5.0
WHEELER	008	GYIJJ	B	50	0.05	n/a	n/a	0.00	0.0
WHEELER	008	GYI	S	5,000	30.39	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	HPY	S	24,000	28.14	n/a	n/a	960.00	4.0
BUCK	015	IBN	B	300	43.66	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	IFF	B	3,300	48.22	26-Jul	4-Sep	165.00	5.0
CHILTON CAPITAL MGMT.	036	IGT	B	35,000	38.64	n/a	20-Jul	1,400.00	4.0
KAICHER	064	ISAC	S	5,000	1.01	n/a	n/a	0.00	0.0
CASTLE ARK	031	ISRG	S	800	220.52	n/a	n/a	48.00	6.0
BALYASNY ASSET MGMT	044	IVZ	B	30,000	23.23	8-Aug	22-Aug	1,500.00	5.0
RAINIER INV MGMT	035	IVZ	B	58,447	23.13	8-Aug	22-Aug	2,922.35	5.0
TYEE/TYGH	035	IVZ	B	30,291	23.13	8-Aug	22-Aug	1,211.64	4.0
WHITE PINE CAPITAL	030	IXYS	B	5,850	10.46	n/a	n/a	292.50	5.0
KORMAN	003	JADE	S	8,000	6.19	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JAH	SS	20,000	30.97	n/a	n/a	800.00	4.0
PORTER-ORLIN-FELDMAN	044	JAVA	S	300,000	5.37	n/a	n/a	15,000.00	5.0
WHITE PINE CAPITAL	030	KEGS	B	1,700	15.00	23-Jul	4-Sep	85.00	5.0
SINCLAIR	031	KEGS	S	250	14.95	23-Jul	4-Sep	0.00	0.0
BUCK	015	KFT	S	1,000	32.89	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KNL	SS	20,000	18.20	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	LM	B	10,000	79.31	24-Jul	22-Aug	500.00	5.0
GALLEON MGMT LP	033	LM	C	25,000	77.30	24-Jul	22-Aug	1,250.00	5.0
LEDDY	035	LULU	S	500	36.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LZB	SS	20,000	9.95	n/a	n/a	800.00	4.0
BUCK	015	MCO	SS	500	44.08	n/a	n/a	0.00	0.0
BARR	096	MCO	SS	500	44.43	n/a	n/a	0.00	0.0
TRIBECA/DOUG	040	MF	S	31,100	26.46	n/a	n/a	1,244.00	4.0
PRINCIPLE CAPITAL	040	MHP	S	47,000	49.07	n/a	n/a	1,880.00	4.0
PRINCIPLE CAPITAL	040	MTG	B	52,900	27.71	n/a	n/a	1,587.00	3.0
WHITE PINE CAPITAL	030	MTSC	B	1,025	40.51	n/a	n/a	51.25	5.0
BUCK CAPITAL MGMT	001	MW	SS	100,000	47.38	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	M	S	38,000	29.02	13-Jul	7-Sep	1,520.00	4.0
SUN AMERICA ASSET MGMT	030	NLY	B	36,000	15.24	n/a	n/a	1,800.00	5.0
WHITE PINE CAPITAL	030	NOBL	B	625	19.65	n/a	n/a	31.25	5.0
LUCID PARTNERS	067	NP	B	9,000	33.40	14-Jun	13-Aug	450.00	5.0
Õ Glenn Redemann		PAYX	B	2	1.1400	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PAYX	B	2	1.1900	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PBI	SS	30,000	45.03	n/a	n/a	1,200.00	4.0
WHITE PINE CAPITAL	030	PERY	B	1,475	26.62	n/a	n/a	73.75	5.0
COUGAR TRADING	044	PSUN	B	5,000	14.23	n/a	7-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	RL	S	50,000	75.51	9-Aug	29-Aug	2,000.00	4.0
HIGHBRIDGE CAPITAL	038	RTI	SS	45,751	65.70	n/a	n/a	2,287.55	5.0
HIGHBRIDGE CAPITAL	038	RTP	SS	23,900	289.79	n/a	n/a	1,195.00	5.0
ZOLIDIS	011	SDS	S	300	56.68	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	18.54	n/a	13-Mar	1,200.00	4.0
WHITE PINE CAPITAL	030	SMBL	B	850	11.11	n/a	n/a	42.50	5.0
BUCK CAPITAL MGMT	001	SPG	S	20,000	91.14	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENECA CAPITAL LP NY	028	SPY	S	104,000	145.78	n/a	n/a	5,200.00	5.0
GLG PARTNERS	034	SSI	B	100,000	16.86	3-Aug	7-Sep	5,000.00	5.0
TRELLUS PARTNERS LP	028	STST	B	28,000	17.30	n/a	n/a	1,400.00	5.0
BUCK	015	TGT	B	600	60.04	n/a	27-Jul	0.00	0.0
RIVER RUN MGMT	031	TPX	SS	30,000	31.27	n/a	n/a	1,500.00	5.0
XYLEM GLOBAL	091	UFS	B	15,100	7.80	n/a	n/a	604.00	4.0
WHITE PINE CAPITAL	030	UNT	B	27,725	47.72	n/a	4-Sep	1,386.25	5.0
TRELLUS PARTNERS LP	028	VC	B	107,700	4.99	n/a	n/a	3,231.00	3.0
BALYASNY ASSET MGMT	044	WDR	B	20,000	23.84	13-Jul	22-Aug	1,000.00	5.0
WHITE PINE CAPITAL	030	WDR	B	3,550	23.41	13-Jul	22-Aug	177.50	5.0
BUCK	015	WFC	S	1,000	34.80	n/a	n/a	0.00	0.0
BENNETT LAWRENCE	045	WRNC	S	14,700	31.91	18-Jul	29-Aug	661.50	4.5
XYLEM GLOBAL	091	WY	S	5,300	67.44	13-Jul	20-Aug	265.00	5.0
POST ROAD CAP	068	YUM	B	1,200	31.47	n/a	24-Apr	48.00	4.0
TOTAL (Trade Date):								113,541.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/07	SOROS (SOROGOLDMA)	036	AEO	S	150,000	24.01	10-Jul	7-Sep	7500.00 5.0
AO,CRT	09/07	SOROS (SOROGOLDMA)	036	AEO	S	150,000	24.01	10-Jul	7-Sep	6000.00 4.0
AO,	09/07	LISTED ERR (LISTED ERR)	099	FDO	SS	90	27.52	9-Aug	7-Sep	0.00 0.0
AO,CXL	09/07	WAGONHOUND (WAGO)	048	FDO	SS	23,320	27.52	9-Aug	7-Sep	932.80 4.0
AO,CRT	09/07	WAGONHOUND (WAGO)	048	FDO	SS	23,230	27.52	9-Aug	7-Sep	929.20 4.0
AO,	09/06	BENNETT LAWRENCE (BENLPERSHI)	045	HWAY	B	15,250	50.53	n/a	n/a	686.25 4.5
AO,CXL	09/06	BENNETT LAWRENCE (&BENLNEUBE)	045	HWAY	B	15,250	50.53	n/a	n/a	686.25 4.5
CRT	09/10	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	S	49,900	75.51	9-Aug	29-Aug	1996.00 4.0
TOTAL (AO, CXL, CRT) :										492.40
TOTAL (Trade Date) :										113,541.04
TOTAL (AO, CXL, CRT) :										492.40
TOTAL (RUN DATE) / NFS :										114,033.44

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