



Daily Compliance Activity Report

Trade Date: 11/15/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRIVIUM CAP MGMT	251	ACN	B	20,200	35.52	n/a	n/a	808.00	4.0
BENNETT LAWRENCE	045	AGO	SS	31,600	20.88	n/a	n/a	1,422.00	4.5
SINCLAIR	031	AMGAH	B	30	3.19	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	AMZN	B	10,000	78.40	n/a	n/a	600.00	6.0
COUGAR TRADING	044	ANF	B	10,000	75.64	2-Oct	12-Nov	500.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	75.96	2-Oct	12-Nov	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	APH	S	4,100	41.65	n/a	n/a	164.00	4.0
INDEPENDENCE INV	039	ARJ	B	8,000	41.24	n/a	n/a	320.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	25.68	9-Nov	12-Nov	1,600.00	4.0
COUGAR TRADING	044	ARO	S	10,000	25.76	9-Nov	12-Nov	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ASD	S	10,800	36.51	31-Oct	31-Oct	432.00	4.0
MERRILL LYNCH STRATEGICI	034	AVR	B	25,000	9.42	n/a	n/a	750.00	3.0
MERRILL LYNCH STRATEGICI	034	BEE	S	34,000	18.73	n/a	n/a	1,360.00	4.0
MERRILL LYNCH STRATEGICI	034	BJS	B	25,000	25.01	n/a	n/a	1,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	BK	S	4,000	46.57	19-Oct	19-Oct	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BWA	SS	3,000	101.52	26-Oct	5-Nov	150.00	5.0
BUCK CAPITAL MGMT	001	CAB	B	50,000	17.11	n/a	n/a	2,000.00	4.0
STRAUSS ASSET MGMT	040	CADA	B	1,400	40.39	n/a	n/a	70.00	5.0
INDEPENDENCE INV	039	CBK	B	27,200	15.77	n/a	12-Nov	1,088.00	4.0
SUTERA	160	CHP	B	2,500	4.59	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	CHS	B	580,345	10.99	9-Nov	12-Nov	23,213.80	4.0
ARTX	031	CHS	S	475,000	10.99	9-Nov	12-Nov	23,750.00	5.0
LISTED ERR	099	CHS	B	300	10.85	9-Nov	12-Nov	0.00	0.0
LISTED ERR	099	CHS	S	300	10.89	9-Nov	12-Nov	0.00	0.0
MKT MAKER	099	CMCSK	S	200	19.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	190,000	34.25	24-Oct	24-Oct	7,600.00	4.0
FIRST INV MGMT CORP	036	COH	B	41,900	34.49	24-Oct	24-Oct	2,095.00	5.0
LOCUS WOOD CAPITAL MGMT	044	CPLP	S	10,000	22.59	n/a	n/a	400.00	4.0
INDEPENDENCE INV	039	DAKT	B	14,100	20.10	n/a	n/a	564.00	4.0
WHALE ROCK CAP	030	DDS	S	222,928	18.21	n/a	n/a	8,917.12	4.0
MADIGAN	031	DEEP	S	600	8.54	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	DISH	SS	3,800	40.30	15-Nov	15-Nov	190.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	DKS	SS	72,400	29.03	n/a	26-Oct	2,172.00	3.0
CRAMER ROSENTHAL/SCOTT	012	DOW	C	25,000	40.36	n/a	25-Oct	1,000.00	4.0
MERRILL LYNCH STRATEGICI	034	DRQ	SS	20,000	57.16	n/a	n/a	1,000.00	5.0
WHEELER	008	DUG	S	3,000	44.86	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	DVR	S	5,300	12.97	n/a	n/a	159.00	3.0
BUCK	015	EFA	B	500	80.92	n/a	n/a	0.00	0.0
MENCKE	055	ETFC	B	100	5.42	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	EXH	S	10,745	84.64	n/a	15-Nov	429.80	4.0
INDEPENDENCE INV	039	FCBP	B	5,200	44.33	n/a	n/a	208.00	4.0
SERENGETI MGMT	030	FII	SS	100,000	40.17	n/a	6-Nov	4,000.00	4.0
MERRILL LYNCH STRATEGICI	034	FSLR	S	5,000	191.64	n/a	n/a	300.00	6.0
INDEPENDENCE INV	039	FUL	B	11,200	27.58	n/a	n/a	448.00	4.0
MERRILL LYNCH STRATEGICI	034	FWLT	B	5,000	142.15	n/a	n/a	300.00	6.0
FIRST NY SEC/CHRIS	041	F	S	15,000	7.98	n/a	9-Nov	750.00	5.0
MAGNETAR FINANCIAL	247	F	SS	75,000	7.78	n/a	9-Nov	2,250.00	3.0
CASTLE ARK	031	GIL	S	23,020	41.29	5-Nov	5-Nov	1,381.20	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY1	036	GLD	S	200	78.59	n/a	n/a	0.00	0.0
OGORMAN	046	GLD	S	300	78.57	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	GLF	S	400	43.60	n/a	n/a	20.00	5.0
AMATURO	018	GMO	B	2,500	8.60	n/a	n/a	0.00	0.0
MORTAR ROCK	033	HAR	B	3,500	72.58	n/a	26-Oct	175.00	5.0
BENNETT LAWRENCE	045	HBC	SS	7,300	87.37	n/a	n/a	328.50	4.5
MATTHES CAPITAL MGMT	033	HBI	SS	10,000	31.46	n/a	n/a	400.00	4.0
BUCK	015	HOLX	B	300	65.24	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	HST	SS	40,000	18.90	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	IHP	SS	30,000	56.60	n/a	n/a	1,200.00	4.0
INDEPENDENCE INV	039	IMA	B	9,000	61.59	n/a	n/a	360.00	4.0
GALLEON MGMT LP	033	INTC	S	10,000	25.53	n/a	n/a	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	2,300	26.42	8-Oct	15-Nov	92.00	4.0
PHILADELPHIA FINANCIAL	033	IVZ	B	23,308	26.68	8-Oct	15-Nov	1,165.40	5.0
LEDDY	035	JADE	S	2,000	2.42	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	85,000	39.25	24-Oct	24-Oct	3,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	091	JCP	B	10,000	45.31	15-Nov	15-Nov	500.00	5.0
BALYASNY ASSET MGMT	044	JCP	S	20,000	43.55	15-Nov	15-Nov	1,000.00	5.0
BUCK CAPITAL MGMT	001	JCP	S	68,200	44.59	15-Nov	15-Nov	2,728.00	4.0
MERRILL LYNCH STRATEGICI	034	JCP	B	60,000	44.24	15-Nov	15-Nov	3,600.00	6.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	34.04	12-Oct	15-Nov	800.00	4.0
HIGHBRIDGE CAPITAL	038	JWN	B	7,000	33.52	12-Oct	15-Nov	350.00	5.0
THE JAY GOLDMAN	034	JWN	B	10,000	34.00	12-Oct	15-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	KMX	B	100,000	23.55	n/a	10-Jan	4,000.00	4.0
RAMIUS CAP	040	KMX	C	100,000	22.91	n/a	10-Jan	5,000.00	5.0
ZOLIDIS	011	KMX	S	1,600	23.73	n/a	10-Jan	0.00	0.0
MERRILL LYNCH STRATEGICI	034	KO	S	9,000	62.13	n/a	n/a	540.00	6.0
BUCK CAPITAL MGMT	001	KSS	S	450,000	48.69	9-Nov	12-Nov	18,000.00	4.0
COUGAR TRADING	044	KSS	B	15,000	49.00	9-Nov	12-Nov	750.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	48.62	9-Nov	12-Nov	250.00	5.0
ENTRUST CAPITAL	040	KSS	S	139,700	48.65	9-Nov	12-Nov	6,985.00	5.0
HIGHBRIDGE CAPITAL	038	KSS	B	15,000	48.88	9-Nov	12-Nov	750.00	5.0
MATTHES CAPITAL MGMT	033	KSS	SS	27,500	48.97	9-Nov	12-Nov	1,100.00	4.0
MERRILL LYNCH STRATEGICI	034	KSS	B	10,000	48.54	9-Nov	12-Nov	500.00	5.0
MERRILL LYNCH STRATEGICI	034	KSS	SS	60,000	49.09	9-Nov	12-Nov	3,000.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	20,000	17.84	n/a	n/a	800.00	4.0
BUCK	015	LEH	S	650	64.09	12-Jun	8-Nov	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	LNC	S	3,300	60.73	n/a	n/a	132.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BENNETT LAWRENCE	045	LTM	B	8,600	54.84	n/a	n/a	387.00	4.5
BARR	096	MAG	B	3,600	4.27	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	MAR	B	15,000	35.83	n/a	n/a	750.00	5.0
GALLEON MGMT LP	033	MAS	SS	10,000	23.77	n/a	n/a	500.00	5.0
CAPITAL GROWTH MGMT.	241	MBT	B	70,000	87.48	n/a	n/a	3,500.00	5.0
BUCK	015	MDY	B	150	156.40	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	MEG	SS	10,000	27.78	n/a	n/a	400.00	4.0
BUCK	015	MER	B	1,000	56.00	25-Oct	8-Nov	0.00	0.0
INDEPENDENCE INV	039	ME	B	14,100	22.71	n/a	n/a	564.00	4.0
BUCK	015	MHP	SS	800	46.49	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	MON	B	20,000	92.94	n/a	9-Nov	1,200.00	6.0
MERRILL LYNCH STRATEGICI	034	MOS	B	5,000	61.94	n/a	n/a	300.00	6.0
BENNETT LAWRENCE	045	MW	SS	15,500	41.95	n/a	n/a	697.50	4.5
COUGAR TRADING	044	M	B	25,000	28.41	9-Nov	15-Nov	1,250.00	5.0
THE JAY GOLDMAN	034	M	S	10,000	28.65	9-Nov	15-Nov	400.00	4.0
MERRILL LYNCH STRATEGICI	034	NBR	SS	25,000	27.54	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAZAMA CAPITAL MGMT.	035	NPD	B	11,400	19.91	n/a	n/a	456.00	4.0
CRAMER ROSENTHAL/SCOTT	012	OSK	S	2,700	48.95	n/a	n/a	108.00	4.0
UBS OCONNOR	031	OZM	SS	20,000	29.05	n/a	n/a	600.00	3.0
HIGHBRIDGE CAPITAL	038	PAYX	B	13,000	38.93	n/a	n/a	650.00	5.0
RAINIER INV MGMT	035	PKG	S	36,800	30.33	18-Oct	8-Nov	1,840.00	5.0
MERRILL LYNCH STRATEGICI	034	PLLL	B	10,000	18.55	n/a	n/a	400.00	4.0
MERRILL LYNCH STRATEGICI	034	PNK	S	8,000	28.18	n/a	n/a	320.00	4.0
CRAMER ROSENTHAL/SCOTT	012	PPL	S	1,400	49.01	n/a	n/a	56.00	4.0
MERRILL LYNCH STRATEGICI	034	PPS	S	10,000	38.16	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PSUN	SS	5,000	14.80	n/a	12-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	42.27	13-Aug	29-Aug	400.00	4.0
COUGAR TRADING	044	PVH	SS	10,000	41.44	13-Aug	29-Aug	500.00	5.0
CASTANEDA	001	PVH	B	75	41.90	13-Aug	29-Aug	0.00	0.0
MERRILL LYNCH STRATEGICI	034	PXD	SS	20,000	49.55	n/a	15-Nov	1,000.00	5.0
COUGAR TRADING	044	PZN	SS	15,000	15.33	n/a	15-Nov	750.00	5.0
SCOPUS FUND	041	RIMM	SS	30,000	103.94	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	RL	SS	5,000	66.36	8-Nov	8-Nov	250.00	5.0
NEW JERSEY DIV OF INV.	220	SGP	B	35,900	29.68	n/a	n/a	1,436.00	4.0
BALYASNY ASSET MGMT	044	SKS	S	20,000	21.71	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	SKS	B	10,000	21.05	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	21.37	n/a	13-Mar	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	SPLS	B	13,000	21.09	n/a	27-Jul	650.00	5.0
CRAMER ROSENTHAL/SCOTT	012	STT	S	1,600	75.78	n/a	n/a	64.00	4.0
CRAMER ROSENTHAL/SCOTT	012	TEL	B	574,138	32.85	n/a	n/a	22,965.52	4.0
LISTED ERR	099	TIF	S	100	48.34	18-Oct	18-Oct	0.00	0.0
HIGHBRIDGE CAPITAL	038	TIN	SS	54,000	46.18	9-Nov	9-Nov	2,700.00	5.0
HIGHBRIDGE CAPITAL	038	TIN	S	24,000	46.15	9-Nov	9-Nov	1,200.00	5.0
SIGMA CAPITAL ASSOCIATES	237	TJX	B	75,000	29.33	21-Sep	14-Nov	3,750.00	5.0
SUTERA	160	TMM	S	5,000	2.51	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	UBS	S	10,000	47.51	n/a	n/a	500.00	5.0
FIRST NY SEC/CHRIS	041	VC	B	25,000	4.99	n/a	1-Nov	1,050.00	4.0
TRELLUS PARTNERS LP	028	VC	B	100,000	4.93	n/a	1-Nov	3,000.00	3.0
STRATTON	N21	WINN	B	200	18.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	WLP	B	500	81.55	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	WMT	B	12,000	46.25	n/a	27-Jul	600.00	5.0
HUNTER GLOBAL INVESTOR	067	WSM	B	118,993	29.63	n/a	n/a	5,949.65	5.0
BUCK	015	WSM	SS	800	28.39	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	WY	SS	72,000	73.65	1-Nov	1-Nov	3,600.00	5.0
HIGHBRIDGE CAPITAL	038	WY	S	3,000	73.91	1-Nov	1-Nov	150.00	5.0
BEAR STEARNS ASSET MGMT.	033	YUM	SS	27,700	37.61	n/a	24-Apr	1,108.00	4.0
GOLDMAN SACHS ASSET MGMT	044	ZMH	S	325,000	67.52	n/a	n/a	6,500.00	2.0
TOTAL (Trade Date) :								233,229.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	11/15	MKT MAKER (MKT MAKER)	099	CMCSK	S	200	19.61	n/a	n/a	0.00	0.0
AO,CXL	11/14	THE JAY GOLDMAN (GOLDGSBULK)	034	M	B	20,000	29.44	9-Nov	15-Nov	800.00	4.0
AO,CRT	11/14	THE JAY GOLDMAN (GOLDGSBULK)	034	M	B	40,000	29.44	9-Nov	15-Nov	1600.00	4.0
AO,CXL	11/14	NOMURA CAPITAL (NOMUSTRATE)	045	SCT	S	4,753	2.15	n/a	n/a	0.00	0.0
AO,CRT	11/14	NOMURA CAPITAL (NOMUSTRATE)	045	SCT	S	4,753	2.15	n/a	n/a	237.65	5.0
AO,CXL	11/14	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	5,977	2.15	n/a	n/a	0.00	0.0
AO,CRT	11/14	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	5,977	2.15	n/a	n/a	298.85	5.0
AO,CXL	11/14	NOMURA CAPITAL (NOMUBSMAN)	045	SCT	S	8,570	2.15	n/a	n/a	0.00	0.0
AO,CRT	11/14	NOMURA CAPITAL (NOMUBSMAN)	045	SCT	S	8,570	2.15	n/a	n/a	428.50	5.0
AO,	11/12	LISTED ERR (LISTED ERR)	034	TIF	B	100	46.83	18-Oct	18-Oct	0.00	0.0
AO,CXL	11/12	GLG PARTNERS (GLGPMAIN L)	034	TIF	B	102,503	46.83	18-Oct	18-Oct	5125.15	5.0
AO,	11/12	GLG PARTNERS (GLGPMAIN L)	034	TIF	B	102,403	46.83	18-Oct	18-Oct	5120.15	5.0

TOTAL (AO, CXL, CRT) :**1,760.00**

TOTAL (Trade Date):

233,229.49

TOTAL (AO, CXL, CRT):

1,760.00

TOTAL (RUN DATE) / NFS:**234,989.49**

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