



Daily Compliance Activity Report

Trade Date: 10/15/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVID J GREEN & CO	040	ACCL	S	7,500	7.03	n/a	n/a	300.00	4.0
J L F ASSET MGMT	039	ADSK	S	20,000	50.16	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	24.03	12-Oct	12-Oct	800.00	4.0
TRUST CO/COWEN/CALF.	040	ALU	S	250,000	9.73	n/a	n/a	10,000.00	4.0
NATIONAL BK OF CAN	031	AMG	B	8,000	131.14	25-Jul	12-Oct	320.00	4.0
COUGAR TRADING	044	ANF	B	5,000	81.25	2-Oct	12-Oct	250.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	81.75	2-Oct	12-Oct	250.00	5.0
JP MORGAN VENTURES	046	AW	B	100,000	13.06	n/a	n/a	5,000.00	5.0
DIAMONDBACK CAP MGMT	232	BGP	SS	10,000	15.69	n/a	n/a	500.00	5.0
LEDY	035	BJ	B	400	35.59	n/a	27-Jul	0.00	0.0
NATIONAL BK OF CAN	031	BK	B	15,000	44.33	n/a	5-Oct	600.00	4.0
LUCHANSKY2	036	BONT	S	500	20.63	12-Oct	12-Oct	0.00	0.0
NORTHPOINT	030	BRLI	S	185	33.45	n/a	n/a	7.40	4.0
BEAR STEARNS ASSET MGMT.	033	CCL	SS	30,000	49.45	n/a	26-Jan	1,200.00	4.0
NATIONAL BK OF CAN	031	CLMS	B	15,000	30.40	29-May	15-Oct	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	CLMS	B	32,500	30.41	29-May	15-Oct	1,625.00	5.0
CHILTON CAPITAL MGMT.	036	CMS	SS	102,476	16.28	n/a	n/a	4,099.04	4.0
DAVID J GREEN & CO	040	CNST	S	3,400	3.51	n/a	n/a	102.00	3.0
BUCK CAPITAL MGMT	001	COH	S	841,100	42.13	15-Oct	15-Oct	33,644.00	4.0
COUGAR TRADING	044	COH	SS	25,000	42.20	15-Oct	15-Oct	1,250.00	5.0
COUGAR TRADING	044	COH	S	25,000	42.36	15-Oct	15-Oct	1,250.00	5.0
DENVER INST. ADV	046	COH	S	82,900	41.63	15-Oct	15-Oct	3,316.00	4.0
CAPITAL GROWTH MGMT.	241	COP	B	15,000	86.80	n/a	n/a	750.00	5.0
WHITE PINE CAPITAL	030	CRI	S	16,825	20.44	n/a	n/a	841.25	5.0
PAKLER	N22	DRYS	B	31	126.30	n/a	n/a	0.00	0.0
LEDDY	035	EDA	S	1,500	12.03	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	EMC	B	26,000	22.45	n/a	n/a	1,300.00	5.0
BALYASNY ASSET MGMT	044	FII	S	40,000	40.73	n/a	12-Oct	2,000.00	5.0
NORTHPOINT	030	FLOW	S	1,300	9.17	n/a	n/a	39.00	3.0
REINHART & MAHONEY	031	FRPT	S	43,800	21.55	n/a	n/a	2,190.00	5.0
LEDDY	035	F	SS	1,500	9.07	n/a	10-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	10,000	54.22	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	GFIG	S	9,990	82.13	n/a	n/a	399.60	4.0
FRIESS MGMT	042	GME	S	194,600	57.64	n/a	n/a	8,757.00	4.5
BALYASNY ASSET MGMT	044	GM	SS	10,000	42.21	n/a	3-Oct	500.00	5.0
NORTHPOINT	030	GWR	S	220	28.72	n/a	n/a	8.80	4.0
PRINCIPLE CAPITAL	040	IAR	B	28,800	31.16	n/a	n/a	864.00	3.0
DAVIDSON KEMPNER ADVISOR	217	IBB	B	50,000	88.69	n/a	n/a	2,500.00	5.0
NORTHPOINT	030	ICE	B	8,320	157.56	n/a	n/a	332.80	4.0
XYLEM GLOBAL	091	IP	SS	100,000	35.34	n/a	10-Oct	5,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	B	10,500	29.24	8-Oct	12-Oct	420.00	4.0
PRINCIPLE CAPITAL	040	IVZ	S	34,700	29.06	8-Oct	12-Oct	1,041.00	3.0
ROARING BLUE LION MGMT	012	IVZ	S	10,000	29.15	8-Oct	12-Oct	400.00	4.0
COUGAR TRADING	044	JCG	B	10,000	43.45	22-Jun	6-Sep	500.00	5.0
COUGAR TRADING	044	JCG	SS	10,000	43.76	22-Jun	6-Sep	500.00	5.0
WOOSTER CAPITAL	035	JCG	B	25,000	43.08	22-Jun	6-Sep	1,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	JCP	S	70,000	61.48	12-Oct	12-Oct	2,800.00	4.0
EGS ASSOCIATES LP	091	JCP	B	3,000	61.64	12-Oct	12-Oct	180.00	6.0
BUCK CAPITAL MGMT	001	JWN	B	15,000	42.40	12-Oct	12-Oct	600.00	4.0
DAVID J GREEN & CO	040	KEYN	S	3,600	14.22	n/a	n/a	144.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
XYLEM GLOBAL	091	KMB	SS	20,000	69.44	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	5,000	58.47	27-Sep	12-Oct	200.00	4.0
METROPOLITAN CAPITAL	044	KSS	B	17,000	58.21	27-Sep	12-Oct	850.00	5.0
PZENA INV ADV	044	LEH	B	10,850	62.31	12-Jun	20-Sep	434.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	160,000	22.33	16-May	12-Oct	6,400.00	4.0
PAKLER	N22	LULU	S	95	41.18	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	LVL	SS	2,000,000	4.57	6-Sep	21-Sep	60,000.00	3.0
ALLEN & CO	032	MDT	S	97,500	49.73	n/a	22-Apr	3,900.00	4.0
KERN	050	MHGC	S	500	21.11	n/a	n/a	0.00	0.0
UBS OCONNOR	031	MS	SS	65,000	65.67	2-Jul	20-Sep	1,950.00	3.0
ALLEN & CO	032	MT	S	37,500	78.63	n/a	n/a	1,500.00	4.0
ASCEND PARTNERS	033	MW	C	35,000	42.15	n/a	n/a	1,750.00	5.0
CAPITAL GROWTH MGMT.	241	MW	S	100,000	42.03	n/a	n/a	5,000.00	5.0
DAVID J GREEN & CO	040	MXWL	S	800	11.50	n/a	n/a	32.00	4.0
DAVID J GREEN & CO	040	MZ	S	900	8.19	n/a	n/a	36.00	4.0
BALYASNY ASSET MGMT	044	M	S	10,000	32.10	24-Sep	12-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	NATL	S	100	32.27	n/a	n/a	4.00	4.0
BASIX	033	NDN	B	53,700	10.84	13-Aug	12-Oct	2,148.00	4.0
BACKUS	005	NLS	S	4,000	6.77	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NWY	B	20,000	6.27	25-May	24-Aug	800.00	4.0
NORTHPOINT	030	OMPI	S	410	20.02	n/a	n/a	16.40	4.0
DAVID J GREEN & CO	040	ORCT	S	2,800	7.58	n/a	n/a	112.00	4.0
CARLYLE BLUE WAVE PR MG	224	PBG	SS	8,200	40.12	n/a	n/a	410.00	5.0
DAVID J GREEN & CO	040	PCOP	S	3,900	5.92	n/a	n/a	156.00	4.0
PRINCIPLE CAPITAL	040	PFE	SS	41,700	25.05	n/a	31-Mar	1,251.00	3.0
METROPOLITAN CAPITAL	044	PLCE	B	67,400	25.11	26-Sep	12-Oct	3,370.00	5.0
PENN CAPITAL MGMT	033	PLCE	B	12,200	25.39	26-Sep	12-Oct	488.00	4.0
J L F ASSET MGMT	039	PSUN	S	45,000	16.29	n/a	12-Oct	1,800.00	4.0
EGS ASSOCIATES LP	091	PVH	B	3,000	48.51	13-Aug	29-Aug	180.00	6.0
LEDDY	035	PVH	B	300	48.63	13-Aug	29-Aug	0.00	0.0
NORTHPOINT	030	RBPA	S	400	21.66	n/a	n/a	16.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	40,000	70.12	9-Aug	29-Aug	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J L F ASSET MGMT	039	ROST	S	44,000	28.43	n/a	n/a	1,760.00	4.0
HARVEST MGMT	039	RVI	S	62,600	9.27	n/a	n/a	1,878.00	3.0
J L F ASSET MGMT	039	SHW	S	16,750	63.32	n/a	4-Sep	670.00	4.0
BACKUS	005	SNEN	S	30,000	4.36	n/a	n/a	0.00	0.0
MORGAN LEWIS/MLH	046	SPC	B	20,000	5.40	7-Aug	10-Sep	1,000.00	5.0
CHILTON CAPITAL MGMT.	036	SRP	SS	114,147	15.56	n/a	n/a	4,565.88	4.0
LUCHANSKY	036	S	S	253	18.01	n/a	n/a	0.00	0.0
NORTHPOINT	030	TAXI	S	1,400	10.92	n/a	n/a	56.00	4.0
DAVID J GREEN & CO	040	TECUA	S	3,800	17.34	n/a	n/a	152.00	4.0
TURETSKY	038	TELK	S	4,000	4.70	n/a	n/a	0.00	0.0
STRATTON	N21	TGTDL	B	3	8.60	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	TIF	SS	55,000	54.68	1-Oct	1-Oct	2,200.00	4.0
PRINCIPLE CAPITAL	040	TUP	B	26,700	34.61	n/a	n/a	801.00	3.0
BUCK CAPITAL MGMT	001	TWB	S	40,000	30.23	2-Oct	2-Oct	1,600.00	4.0
NORTHPOINT	030	UAPH	S	60	30.63	n/a	n/a	2.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	UCTT	S	200	15.60	n/a	n/a	8.00	4.0
JP MORGAN VENTURES	046	VFC	C	5,000	77.66	n/a	n/a	250.00	5.0
GALLEON MGMT LP	033	WBC	S	12,500	50.52	n/a	9-Oct	625.00	5.0
CATAPULT	040	WDR	B	5,000	28.45	5-Oct	15-Oct	250.00	5.0
COMMISSUM CAPITAL	067	WDR	SS	8,000	27.93	5-Oct	15-Oct	400.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	125,000	28.40	5-Oct	15-Oct	6,250.00	5.0
LISTED ERR	099	WDR	S	4,200	27.92	5-Oct	15-Oct	0.00	0.0
CATAPULT	040	WFC	SS	5,500	35.76	n/a	n/a	275.00	5.0
PZENA INV ADV	044	WMT	B	44,275	46.28	4-Jun	27-Jul	1,771.00	4.0
NORTHPOINT	030	WRLD	S	205	33.94	n/a	n/a	8.20	4.0
DAVID J GREEN & CO	040	WVCM	S	1,400	28.14	n/a	n/a	56.00	4.0
TOTAL (Trade Date):								220,112.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/12	NICOLAS APPELEGATE (APPL1662)	048	AMG	B	1,700	133.51	25-Jul	12-Oct	68.00 4.0
AO,	10/12	NICOLAS APPELEGATE (APPL1736)	048	AMG	B	100	133.51	25-Jul	12-Oct	4.00 4.0
AO,	10/12	NICOLAS APPELEGATE (APPL1429)	048	AMG	B	1,300	133.51	25-Jul	12-Oct	52.00 4.0
AO,	10/12	NICOLAS APPELEGATE (APPL420)	048	AMG	B	3,500	133.51	25-Jul	12-Oct	140.00 4.0
AO,	10/12	NICOLAS APPELEGATE (APPL1639)	048	AMG	B	6,600	133.51	25-Jul	12-Oct	264.00 4.0
CRT	10/15	COUGAR TRADING (COUGPB MS)	044	ANF	SS	5,000	81.75	2-Oct	12-Oct	250.00 5.0
AO,CXL	10/12	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	S	14,900	44.62	15-Oct	15-Oct	596.00 4.0
AO,CRT	10/12	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	S	15,000	44.62	15-Oct	15-Oct	600.00 4.0
AO,CXL	10/12	BUCK CAPITAL MGMT (BUCKGIL)	001	COH	S	100	44.62	15-Oct	15-Oct	4.00 4.0
CRT	10/15	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	S	840,766	42.13	15-Oct	15-Oct	33630.64 4.0
CRT	10/15	WHITE PINE CAPITAL (WPIN4398)	030	CRI	S	350	20.44	n/a	n/a	17.50 5.0
AO,CRT	10/11	MATRIX ASSET ADV. (MATXVTCO)	036	INTC	S	2,200	26.01	n/a	n/a	88.00 4.0
AO,CXL	10/11	MATRIX ASSET ADV. (MATXVALUE)	036	INTC	S	2,200	26.01	n/a	n/a	88.00 4.0
CRT	10/15	COUGAR TRADING (COUGPB MS)	044	JCG	SS	10,000	43.76	22-Jun	6-Sep	500.00 5.0
AO,CXL	10/12	WHITE PINE CAPITAL (&WPIN)	030	NWY	B	4,600	6.51	25-May	24-Aug	230.00 5.0
AO,	10/12	WHITE PINE CAPITAL (WPIN0002)	030	NWY	B	4,600	6.51	25-May	24-Aug	230.00 5.0
AO,CXL	10/11	CATTANI (CATTANI)	041	PXD	B	250	47.59	n/a	11-Oct	0.00 0.0
AO,CRT	10/11	EMP ERROR (EMP ERROR)	099	PXD	B	250	47.59	n/a	11-Oct	0.00 0.0
AO,CRT	10/12	WHEELER (WHEELER)	008	QXWBF	S	50	2.65	n/a	n/a	0.00 0.0
AO,CXL	10/12	WHEELER (WHEELER)	008	QXWBF	S	50	2.65	n/a	n/a	0.00 0.0
AO,CXL	10/12	WHITE PINE CAPITAL (&WPIN)	030	RCKY	S	500	9.73	n/a	n/a	25.00 5.0
AO,	10/12	WHITE PINE CAPITAL (WPIN0002)	030	RCKY	S	500	9.73	n/a	n/a	25.00 5.0
AO,CRT	10/05	LUCHANSKY1 (LUCHANSKY1)	036	S	B	1,000	19.22	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
AO,CXL	10/05	LUCHANSKY1 (LUCHANSKY1)	036	S	B	1,000	19.22	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :									34,926.14		
TOTAL (Trade Date) :									220,112.77		
TOTAL (AO, CXL, CRT) :									34,926.14		
TOTAL (RUN DATE) / NFS :									255,038.91		

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