

## **Daily Compliance Activity Report** Trade Date: 09/28/2007

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
NICHOLAS ADVISORS	034	AAPL	S	2,500	153.76	n/a	n/a	125.00	5.0
BALYASNY ASSET MGMT	044	ABG	S	6,200	19.72	18-Jun	27-Jul	310.00	5.0
BULL PATH CAPITAL	044	AGP	S	25,000	34.55	n/a	n/a	1,250.00	5.0
LISTED ERR	099	AKS	S	63	44.86	n/a	n/a	0.00	0.0
JPMSI/TOM LEDDY	035	ASCA	В	10,000	27.96	n/a	2-Aug	500.00	5.0
PATTEN & PATTEN	067	AVY	S	250	57.35	13-Aug	11-Sep	12.50	5.0
BALYASNY ASSET MGMT	044	AXL	SS	10,000	25.12	n/a	n/a	500.00	5.0
BUCK	015	BAC	S	1,800	50.28	20-Apr	20-Sep	0.00	0.0
MAGNETAR FINANCIAL	247	BGFV	SS	20,000	19.04	n/a	n/a	800.00	4.0
BUCK	015	BG	S	400	107.24	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	ВМҮ	В	35,000	28.84	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	BWS	В	5,000	19.97	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	CBS	S	600	31.35	n/a	n/a	30.00	5.0
WHEELER	800	ccc	S	3,000	14.44	n/a	n/a	0.00	0.0

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LEDDY	035	CHCG	В	1,500	3.80	n/a	n/a	0.00	0.
RAMIUS CAP	040	СНКР	В	30,500	25.06	n/a	3-Apr	1,525.00	5.
DIAMONDBACK CAP MGMT	232	DOW	В	45,000	42.97	n/a	4-Sep	2,250.00	5.
KAICHER	064	DVN	В	500	83.71	19-Sep	26-Sep	0.00	0.
PRINCIPLE CAPITAL	040	EL		SS 100,000	42.39	16-Aug	16-Aug	4,000.00	4.
BUCK	015	EMS		s 300	29.77	n/a	n/a	0.00	0.
KAICHER	064	ENER		2,000	22.62	n/a	n/a	0.00	0.
DIAMONDBACK CAP MGMT	232	ETN		10,000	99.69	16-Jul	19-Sep	500.00	5.
BARON ASSET MGMT*	012	EXP		65,000	35.95	n/a	n/a	3,250.00	5.
NICHOLAS ADVISORS	034	FLR		2,700	144.50	n/a	n/a	135.00	5.
HIGHBRIDGE CAPITAL	038	FLY		s 132,880	22.66	n/a	n/a	6,644.00	5.
DIAMONDBACK CAP MGMT	232	GM	В	25,000	36.52	4-May	13-Sep	1,250.00	5.
DIAMONDBACK CAP MGMT	232	GM		S 25,000	37.58	4-May	13-Sep	1,250.00	5
MORGAN LEWIS/MLH	046	GM		ss 30,000	36.58	4-May	13-Sep	1,500.00	5
LEDDY	035	GM		SS 700	37.27	4-May	13-Sep	0.00	0
BUCK CAPITAL MGMT	001	JCG	В	20,000	41.53	22-Jun	6-Sep	800.00	4
NEEDHAM CAP	067	JCG	В	10,000	42.22	22-Jun	6-Sep	400.00	4

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KERN	050	JCG	S	250	42.53	22-Jun	6-Sep	0.00	0.0
BALYASNY ASSET MGMT	044	JCI	SS	3,000	118.20	19-Jul	19-Jul	150.00	5.0
BUCK	015	КВН	SS	1,000	24.65	n/a	n/a	0.00	0.0
THIRD POINT MGMT	044	KSS	SS	175,000	57.31	27-Sep	27-Sep	7,000.00	4.0
BUCK	015	LEH	В	650	62.16	12-Jun	20-Sep	0.00	0.0
WASHINGTON ASSET	048	LM	В	2,600	83.60	19-Sep	28-Sep	130.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	S	25,000	43.75	n/a	n/a	1,250.00	5.0
STERLING JOHNSTON	035	MCCC	S	50,000	7.13	21-Sep	21-Sep	2,000.00	4.0
BUCK	015	MER	S	300	71.58	18-Jul	20-Sep	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	MWV	В	30,000	29.45	31-Jul	21-Sep	1,500.00	5.0
PAW PARTNERS	041	MWV	В	12,500	29.92	31-Jul	21-Sep	625.00	5.0
RHO CAPITAL MGMT	041	MWV	В	500	29.96	31-Jul	21-Sep	25.00	5.0
SCOPUS FUND	041	MWV	В	50,000	29.91	31-Jul	21-Sep	2,500.00	5.0
LEDDY	035	MZZ	В	500	52.00	n/a	n/a	0.00	0.0
JACOB	068	OII	S	125	75.80	n/a	n/a	0.00	0.0
IRON HORSE CAPITAL MGMT	038	OXPS	S	40,000	26.00	n/a	n/a	2,000.00	5.0
EGS ASSOCIATES LP	091	PLCE	В	7,500	24.29	26-Sep	26-Sep	450.00	6.0

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DIAMONDBACK CAP MGMT	232	PTV	В	25,000	28.67	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	RL	SS	50,000	77.73	9-Aug	29-Aug	2,000.00	4.0
STRAUSS ASSET MGMT	040	SFLY	S	10,000	32.35	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	SHW	В	20,000	65.89	n/a	4-Sep	1,000.00	5.0
BUCK	015	SNDK	В	1,250	55.15	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	SPF	S	25,000	5.48	n/a	n/a	1,000.00	4.0
GALLEON MGMT LP	033	SSCC	SS	75,000	11.48	4-May	21-Sep	3,750.00	5.0
NORTHPOINT	030	TAXI	S	27,700	11.00	n/a	n/a	1,108.00	4.0
IRONBOUND CAPITAL	012	TIN	В	45,000	52.53	21-Sep	21-Sep	2,250.00	5.0
BARON ASSET MGMT*	012	TOL	S	35,000	20.04	n/a	n/a	1,750.00	5.0
RIVER RUN MGMT	031	TRMP	В	39,800	6.44	n/a	n/a	1,592.00	4.0
PATTEN & PATTEN	067	TWTC	В	200	22.12	4-May	21-Sep	10.00	5.0
DC CAPITAL	044	UAUA	S	49,230	46.51	n/a	n/a	2,461.50	5.0
REINHART & MAHONEY	031	VAR	В	10,820	41.51	n/a	n/a	541.00	5.0
PATTEN & PATTEN	067	VZ	В	200	44.36	21-Sep	26-Sep	10.00	5.0
	DIAMONDBACK CAP MGMT  PRINCIPLE CAPITAL  STRAUSS ASSET MGMT  DIAMONDBACK CAP MGMT  BUCK  BARON ASSET MGMT*  GALLEON MGMT LP  NORTHPOINT  IRONBOUND CAPITAL  BARON ASSET MGMT*  RIVER RUN MGMT  PATTEN & PATTEN  DC CAPITAL  REINHART & MAHONEY	DIAMONDBACK CAP MGMT 232  PRINCIPLE CAPITAL 040  STRAUSS ASSET MGMT 040  DIAMONDBACK CAP MGMT 232  BUCK 015  BARON ASSET MGMT* 012  GALLEON MGMT LP 033  NORTHPOINT 030  IRONBOUND CAPITAL 012  BARON ASSET MGMT* 012  RIVER RUN MGMT 012  RIVER RUN MGMT 031  PATTEN & PATTEN 067  DC CAPITAL 044  REINHART & MAHONEY 031	DIAMONDBACK CAP MGMT 232 PTV  PRINCIPLE CAPITAL 040 RL  STRAUSS ASSET MGMT 040 SFLY  DIAMONDBACK CAP MGMT 232 SHW  BUCK 015 SNDK  BARON ASSET MGMT* 012 SPF  GALLEON MGMT LP 033 SSCC  NORTHPOINT 030 TAXI  IRONBOUND CAPITAL 012 TIN  BARON ASSET MGMT* 012 TOL  RIVER RUN MGMT 031 TRMP  PATTEN & PATTEN 067 TWTC  DC CAPITAL 044 UAUA  REINHART & MAHONEY 031 VAR	DIAMONDBACK CAP MGMT 232 PTV B  PRINCIPLE CAPITAL 040 RL SS  STRAUSS ASSET MGMT 040 SFLY S  DIAMONDBACK CAP MGMT 232 SHW B  BUCK 015 SNDK B  BARON ASSET MGMT* 012 SPF S  GALLEON MGMT LP 033 SSCC SS  NORTHPOINT 030 TAXI S  IRONBOUND CAPITAL 012 TIN B  BARON ASSET MGMT* 012 TOL S  RIVER RUN MGMT 031 TRMP B  PATTEN & PATTEN 067 TWTC B  DC CAPITAL 044 UAUA S  REINHART & MAHONEY 031 VAR B	DIAMONDBACK CAP MGMT 232 PTV B 25,000  PRINCIPLE CAPITAL 040 RL SS 50,000  STRAUSS ASSET MGMT 040 SFLY S 10,000  DIAMONDBACK CAP MGMT 232 SHW B 20,000  BUCK 015 SNDK B 1,250  BARON ASSET MGMT* 012 SPF S 25,000  GALLEON MGMT LP 033 SSCC SS 75,000  NORTHPOINT 030 TAXI S 27,700  IRONBOUND CAPITAL 012 TIN B 45,000  BARON ASSET MGMT* 012 TOL S 35,000  RIVER RUN MGMT 031 TRMP B 39,800  PATTEN & PATTEN 067 TWTC B 200  DC CAPITAL 044 UAUA S 49,230  REINHART & MAHONEY 031 VAR B 10,820	DIAMONDBACK CAP MGMT 232 PTV B 25,000 28.67  PRINCIPLE CAPITAL 040 RL SS 50,000 77.73  STRAUSS ASSET MGMT 040 SFLY S 10,000 32.35  DIAMONDBACK CAP MGMT 232 SHW B 20,000 65.89  BUCK 015 SNDK B 1,250 55.15  BARON ASSET MGMT* 012 SPF S 25,000 5.48  GALLEON MGMT LP 033 SSCC SS 75,000 11.48  NORTHPOINT 030 TAXI S 27,700 11.00  IRONBOUND CAPITAL 012 TIN B 45,000 52.53  BARON ASSET MGMT* 012 TOL S 35,000 20.04  RIVER RUN MGMT 031 TRMP B 39,800 6.44  PATTEN & PATTEN 067 TWTC B 20 22.12  DC CAPITAL 044 UAUA S 49,230 46.51  REINHART & MAHONEY 031 VAR B 10,820 41.51	DIAMONDBACK CAP MGMT	DIAMONDBACK CAP MGMT 232 PTV B 25,000 28.67 n/a n/a  PRINCIPLE CAPITAL 040 RL SS 50,000 77.73 9-Aug 29-Aug  STRAUSS ASSET MGMT 040 SFLY S 10,000 32.35 n/a n/a  DIAMONDBACK CAP MGMT 232 SHW B 20,000 65.89 n/a 4-Sep  BUCK 015 SNDK B 1,250 55.15 n/a n/a  BARON ASSET MGMT* 012 SPF S 25,000 5.48 n/a n/a  GALLEON MGMT LP 033 SSCC SS 75,000 11.48 4-May 21-Sep  NORTHPOINT 030 TAXI S 27,700 11.00 n/a n/a  IRONBOUND CAPITAL 012 TIN B 45,000 52.53 21-Sep 21-Sep  BARON ASSET MGMT* 012 TOL S 35,000 20.04 n/a n/a  RIVER RUN MGMT 031 TRMP B 39,800 6.44 n/a n/a  PATTEN 6 PATTEN 067 TWTC B 200 22.12 4-May 21-Sep  DC CAPITAL 044 UAUA S 49,230 46.51 n/a n/a  REINHART 6 MAHONEY 031 VAR B 10,820 41.51 n/a n/a	DIAMONDBACK CAP MGMT 232 PTV B 25,000 28.67 n/a n/a 1,250.00  PRINCIPLE CAPITAL 040 RL SS 50,000 77.73 9-Aug 29-Aug 2,000.00  STRAUSS ASSET MGMT 040 SFLY S 10,000 32.35 n/a n/a 500.00  DIAMONDBACK CAP MCMT 232 SHW B 20,000 65.89 n/a 4-Sep 1,000.00  BUCK 015 SNDK B 1,250 55.15 n/a n/a 0.00  BARON ASSET MGMT* 012 SPF S 25,000 5.48 n/a n/a 1,000.00  GALLEON MGMT LP 033 SSCC SS 75,000 11.48 4-May 21-Sep 3,750.00  NORTHPOINT 030 TAXI S 27,700 11.00 n/a n/a n/a 1,108.00  IRONBOUND CAPITAL 012 TIN B 45,000 52.53 21-Sep 21-Sep 2,250.00  BARON ASSET MGMT* 012 TOL S 35,000 20.04 n/a n/a n/a 1,750.00  RIVER RUN MGMT 031 TRMP B 39,800 6.44 n/a n/a n/a 1,592.00  PATTEN 6 PATTEN 067 TWTC B 200 22.12 4-May 21-Sep 10.00  DC CAPITAL 044 UAUA S 49,230 46.51 n/a n/a 541.00  REINHART 6 MAHONEY 031 VAR B 10,820 41.51 n/a n/a 541.00

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STADIA CAPITAL	035	WHR	SS	7,000	89.11	n/a	n/a	280.00 4.0	
PRINCIPLE CAPITAL	040	WSM	В	44,700	32.79	n/a	n/a	1,341.00 3.0	
BUCK	015	WY	В	500	72.81	21-Sep	21-Sep	0.00 0.0	

TOTAL (Trade Date): 67,455.00

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm	.¢/Shr.
AO,CXL	09/27	WILLOW CREEK (WILLMAIN)	033	ALU	В	25,000	9.73	n/a	n/a	1250.00	5.0
AO, CRT	09/27	WILLOW CREEK (WILLMAIN)	033	ALU	В	25,000	9.73	n/a	n/a	1000.00	4.0
AO,	09/27	ALLEN & CO (ALLNALLEN)	032	APC	В	37,500	53.20	22-Jun	26-Sep	1500.00	4.0
CRT	09/28	MAGNETAR FINANCIAL (MAGNMERRIL)	247	BGFV	SS	17,411	19.04	n/a	n/a	696.44	4.0
CRT	09/28	MAGNETAR FINANCIAL (MAGN-RAY3)	247	BGFV	SS	2 <b>,</b> 589	19.04	n/a	n/a	103.56	4.0
AO, CRT	09/27	MKT MAKER (MKT MAKER)	099	CENT	В	100	9.00	n/a	18-Sep	0.00	0.0
AO,CXL	09/27	PROSPECTOR PARTNERS LLC (PROSS-93)	036	NWEC	В	600	27.32	n/a	n/a	2400.00	400.0
AO, CRT	09/27	PROSPECTOR PARTNERS LLC (PROSS-93)	036	NWEC	В	600	27.32	n/a	n/a	24.00	4.0
					_		01 00	- / -	12 Mass	762.50	5.0
AO,CXL	09/27	WILLOW CREEK (WILLMAIN)	033	SKX	В	15 <b>,</b> 250	21.22	n/a	13-Mar	762.30	5.0

TOTAL (RUN DATE) / NFS:	66,976.50
TOTAL (AO, CXL, CRT):	-478.50
TOTAL (Trade Date):	67,455.00

## 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