



## Daily Compliance Activity Report

Trade Date: 09/04/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WYCKOFF	013	AEO	B	500	25.77	10-Jul	31-Aug	0.00	0.0
MATLIN PATTERSON	046	AES	B	20,000	18.43	n/a	n/a	800.00	4.0
CHARTER OAK	033	AG	S	94,441	44.01	n/a	n/a	4,722.05	5.0
BARR	096	AMD	C	800	13.17	n/a	n/a	0.00	0.0
BARR	096	AMR	B	1,500	25.00	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ANF	B	10,000	78.76	23-Aug	31-Aug	500.00	5.0
BALYASNY ASSET MGMT	044	ANN	SS	40,000	30.94	6-Aug	31-Aug	2,000.00	5.0
BALYASNY ASSET MGMT	044	ARO	SS	20,000	20.52	n/a	31-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	20.37	n/a	31-Aug	800.00	4.0
ZOLIDIS	011	ARO	B	500	20.52	n/a	31-Aug	0.00	0.0
RIVER RUN MGMT	031	BBI	SS	100,000	5.10	n/a	n/a	4,000.00	4.0
LEDDY	035	BBW	B	700	16.30	15-Jun	27-Jul	0.00	0.0
BARR	096	BQI	S	1,500	5.08	n/a	n/a	0.00	0.0
TRIBECA	038	BUD	S	21,100	48.97	n/a	n/a	844.00	4.0
BUCK CAPITAL MGMT	001	BWS	S	10,000	22.61	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WYCKOFF	013	BWS	S	200	22.59	n/a	n/a	0.00	0.0
MTB INV ADV	034	CBI	S	18,385	37.94	n/a	n/a	735.40	4.0
Õ Glenn Redemann		CBK	B	100	17.5000	7-Jun	31-Aug	0.00	0.0
Õ Glenn Redemann		CBK	SS	1	5.2000	7-Jun	31-Aug	0.00	0.0
Õ Glenn Redemann		CBK	S	100	12.2600	7-Jun	31-Aug	0.00	0.0
BARR	096	CEVA	S	1,000	8.74	n/a	n/a	0.00	0.0
LEDDY	035	CHCG	B	1,800	5.19	n/a	n/a	0.00	0.0
ZOLIDIS	011	CHS	C	1,000	16.18	30-Aug	31-Aug	0.00	0.0
Õ Glenn Redemann		CMCSA	B	1	0.5100	5-Apr	4-Sep	0.00	0.0
Õ Glenn Redemann		CMCSA	B	1	0.6100	5-Apr	4-Sep	0.00	0.0
HIGHBRIDGE CAPITAL	038	COG	B	2,000	33.98	n/a	n/a	100.00	5.0
HUNTER GLOBAL INVESTOR	067	COH	S	10,000	44.33	n/a	29-Aug	500.00	5.0
WYCKOFF	013	CPHI	B	1,000	1.60	n/a	n/a	0.00	0.0
BARR	096	DAL	B	1,500	17.10	n/a	n/a	0.00	0.0
WYCKOFF	013	DLIA	S	300	4.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DSW	S	60,000	31.08	2-Aug	4-Sep	2,400.00	4.0
LOOMIS SALES/BOSTON	036	DW	S	7,400	39.50	n/a	n/a	296.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	F	B	25,000	7.96	n/a	31-Aug	750.00	3.0
JENNISON	032	GMST	S	639,900	6.49	n/a	n/a	25,596.00	4.0
LEVIN CAPITAL STRATEGIES	012	GM	S	10,000	31.53	4-May	31-Aug	400.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>GS</b>	<b>B</b>	<b>500</b>	<b>179.86</b>	<b>15-Jun</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
TYEE/TYGH	035	IVZ	B	45,000	25.14	8-Aug	22-Aug	1,800.00	4.0
<b>WYCKOFF</b>	<b>013</b>	<b>JCP</b>	<b>B</b>	<b>300</b>	<b>67.31</b>	<b>21-Jun</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JWN	S	15,000	47.08	12-Jul	31-Aug	750.00	5.0
CUMBERLAND	038	JWN	SS	25,000	47.62	12-Jul	31-Aug	1,000.00	4.0
TRIBECA	038	KO	S	12,000	54.38	n/a	n/a	480.00	4.0
DELTEC ASSET MGMT.	040	KSS	B	5,000	57.88	14-Jun	27-Jul	250.00	5.0
<b>WYCKOFF</b>	<b>013</b>	<b>KSS</b>	<b>B</b>	<b>300</b>	<b>57.60</b>	<b>14-Jun</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>LEH</b>	<b>B</b>	<b>1,000</b>	<b>55.72</b>	<b>12-Jun</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	LOW	S	51,200	30.97	n/a	27-Jul	2,048.00	4.0
COUGAR TRADING	044	LTD	SS	10,000	23.45	16-May	31-Aug	500.00	5.0
J L F ASSET MGMT	039	LTD	B	108,400	23.48	16-May	31-Aug	4,336.00	4.0
LOCUS WOOD CAPITAL MGMT	044	LVLTT	B	25,000	5.25	26-Jul	4-Sep	750.00	3.0
<b>KORMAN</b>	<b>003</b>	<b>MER</b>	<b>B</b>	<b>1,000</b>	<b>74.38</b>	<b>18-Jul</b>	<b>16-Aug</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRIVIUM CAP MGMT	028	MKC	B	50,000	35.91	n/a	n/a	2,000.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	468,900	28.56	n/a	3-Apr	16,411.50	3.5
Õ Glenn Redemann		MS	B	1	2.2100	2-Jul	4-Sep	0.00	0.0
Õ Glenn Redemann		MS	B	1	2.5900	2-Jul	4-Sep	0.00	0.0
KORMAN	003	MS	B	1,000	63.11	2-Jul	4-Sep	0.00	0.0
TRIBECA	038	PEP	S	18,100	68.49	n/a	n/a	724.00	4.0
ROTHSCHILD ASSET	040	PL	S	22,520	42.04	n/a	n/a	1,013.40	4.5
WEISS PECK	040	PSS	B	171,850	23.65	n/a	n/a	8,592.50	5.0
BUCK CAPITAL MGMT	001	PVH	B	50,000	55.97	13-Aug	29-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	RL	B	40,000	75.68	9-Aug	29-Aug	1,600.00	4.0
CUMBERLAND	038	RRGB	B	10,000	39.00	n/a	n/a	400.00	4.0
TRIBECA	038	RTH	B	15,000	101.12	n/a	n/a	600.00	4.0
HIGHBRIDGE CAPITAL	038	SFY	B	2,000	38.02	n/a	n/a	100.00	5.0
FRIESS MGMT	042	SKS	S	19,600	16.14	n/a	n/a	882.00	4.5
THE JAY GOLDMAN	034	TJX	B	35,000	30.58	13-Jul	31-Aug	1,400.00	4.0
TRIBECA	038	TJX	S	39,500	30.40	13-Jul	31-Aug	1,580.00	4.0
LISTED ERR	099	UNT	S	1,200	49.30	n/a	4-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	039	UTX	B	135,417	74.27	n/a	n/a	5,416.68	4.0
EATON VANCE MGMT	039	WAG	B	225,400	45.34	n/a	n/a	9,016.00	4.0
CAPITAL GROWTH MGMT.	241	WFT	B	120,000	60.08	n/a	n/a	6,000.00	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	30,000	14.38	n/a	n/a	1,500.00	5.0
J L F ASSET MGMT	039	YHOO	B	133,500	23.91	n/a	n/a	5,340.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	50,000	13.14	n/a	30-Aug	2,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>124,333.53</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/31	MATTHES CAPITAL MGMT (MATTMSPB)	033	BBBY	SS	4,190	34.43	n/a	n/a	1.67 0.0
AO,CRT	08/31	MATTHES CAPITAL MGMT (MATTMSPB)	033	BBBY	SS	4,190	34.43	n/a	n/a	167.60 4.0
AO,CXL	08/31	MATTHES CAPITAL MGMT (MATTGSPB)	033	BBBY	SS	5,810	34.43	n/a	n/a	2.32 0.0
AO,CRT	08/31	MATTHES CAPITAL MGMT (MATTGSPB)	033	BBBY	SS	5,810	34.43	n/a	n/a	232.40 4.0
AO,	08/31	ARIENCE CAPITAL (ARIEMORGAN)	036	CMC	S	35,400	28.91	n/a	n/a	1770.00 5.0
AO,	08/31	COUGAR TRADING (COUGPB MS)	044	JCG	B	5,000	49.85	22-Jun	28-Aug	250.00 5.0
AO,	08/31	LISTED ERR (LISTED ERR)	099	UNT	B	1,200	49.03	n/a	4-Sep	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,416.01</b>
TOTAL (Trade Date) :										124,333.53
TOTAL (AO, CXL, CRT) :										2,416.01
<b>TOTAL (RUN DATE) / NFS :</b>										<b>126,749.54</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