



Daily Compliance Activity Report

Trade Date: 09/13/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	AB	S	300	80.11	9-Aug	13-Sep	0.00	0.0
ZOLIDIS	011	AEO	B	200	25.25	10-Jul	7-Sep	0.00	0.0
RBC CAPITAL MARKETS	034	AGII	B	5,000	40.67	n/a	n/a	200.00	4.0
TRUST CO/COWEN/CALF.	040	ALU	B	704,070	9.19	n/a	n/a	28,162.80	4.0
BUCK CAPITAL MGMT	001	ANN	B	10,000	32.54	6-Aug	7-Sep	400.00	4.0
HIGHBRIDGE CAPITAL	038	APC	B	2,000	50.54	22-Jun	4-Sep	100.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	18.94	n/a	7-Sep	800.00	4.0
HBK FUNDS	031	ARO	B	40,200	18.38	n/a	7-Sep	2,010.00	5.0
ROTHSCHILD ASSET	040	ARW	B	23,180	41.05	n/a	n/a	1,043.10	4.5
RBC CAPITAL MARKETS	034	AXP	SS	33,000	59.81	n/a	n/a	1,320.00	4.0
TOKIO MARINE ASSET MGMT	044	BAC	B	36,000	49.99	20-Apr	16-Aug	1,800.00	5.0
MATTHES CAPITAL MGMT	033	BBBY	SS	5,000	32.90	n/a	n/a	200.00	4.0
ZOLIDIS	011	BBI	B	2,000	5.26	n/a	n/a	0.00	0.0
EFSTATHIOU	044	BBI	B	600	5.42	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	BBW	S	35,000	18.57	11-Sep	13-Sep	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY HOWARD	038	BBW	S	10,000	18.10	11-Sep	13-Sep	500.00	5.0
EFSTATHIOU	044	BBW	B	200	17.56	11-Sep	13-Sep	0.00	0.0
BALYASNY ASSET MGMT	044	BEZ	SS	10,000	38.31	n/a	n/a	500.00	5.0
SERENGETI MGMT	030	BID	SS	25,000	42.62	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	034	BKUNA	B	9,000	15.93	n/a	n/a	360.00	4.0
RBC CAPITAL MARKETS	034	BK	SS	10,000	42.70	20-Jul	20-Jul	400.00	4.0
MKT MAKER	099	BONT	B	3,624	24.72	3-Aug	7-Sep	0.00	0.0
MKT MAKER	099	BONT	S	3,700	25.07	3-Aug	7-Sep	0.00	0.0
GALLEON MGMT LP	033	BUD	B	10,000	50.60	n/a	n/a	500.00	5.0
LISTED ERR	099	BUD	B	10	50.53	n/a	n/a	0.00	0.0
LISTED ERR	099	BUD	S	10	50.50	n/a	n/a	0.00	0.0
BUCK	015	CAH	B	500	68.39	n/a	n/a	0.00	0.0
KORMAN	003	CAKE	S	4,000	23.85	24-Apr	24-Apr	0.00	0.0
MAGUIRE	090	CALPINE CORP	B	100,000	102.50	n/a	n/a	0.00	0.0
MORRISON & FRASIER	040	CERS	S	25,000	7.48	n/a	n/a	1,000.00	4.0
KORMAN	003	CEUC	S	3,000	4.98	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	CGX	S	16,750	62.64	n/a	n/a	753.75	4.5
LEDDY	035	CHCG	B	2,200	3.32	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BONANZA PARTNERS	031	CHUX	S	109,100	15.26	n/a	n/a	5,455.00	5.0
OGORMAN	146	CLMS	B	200	23.09	29-May	12-Sep	0.00	0.0
FRIESS MGMT	042	COH	B	376,900	47.28	n/a	10-Sep	16,960.50	4.5
KORMAN	003	CSCA	S	10,000	8.15	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CSX	B	300	45.0000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CSX	SS	3	5.5000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CSX	S	300	39.3000	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	CTV	S	15,000	54.30	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	DDS	B	10,000	20.11	n/a	n/a	400.00	4.0
ZOLIDIS	011	DFZ	S	1,000	8.58	n/a	n/a	0.00	0.0
WALKER SMITH	031	DSW	B	30,000	26.94	5-Sep	5-Sep	1,500.00	5.0
NATIONAL BK OF CAN	031	FHN	B	35,000	29.75	n/a	n/a	1,400.00	4.0
RBC CAPITAL MARKETS	034	FHN	B	30,000	29.44	n/a	n/a	1,200.00	4.0
MS PRINCIPAL STRATEGIES	040	FIF	B	50,000	28.22	n/a	n/a	2,500.00	5.0
SERENGETI MGMT	030	FIS	B	25,000	45.69	n/a	n/a	1,000.00	4.0
KORMAN	003	FSIN	S	6,540	11.45	n/a	n/a	0.00	0.0
TROOB CAPITAL	067	F	S	100,000	7.69	n/a	13-Sep	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHILTON CAPITAL MGMT.	036	GG	S	25,000	26.96	n/a	n/a	1,000.00	4.0
STADIA CAPITAL	035	GIL	B	8,000	31.83	21-Jun	29-Aug	320.00	4.0
KORMAN	003	GIL	S	7,000	32.31	21-Jun	29-Aug	0.00	0.0
IMPALA ASSET MMT	012	GLW	S	400,000	24.36	n/a	4-Sep	12,000.00	3.0
BALYASNY ASSET MGMT	044	GM	SS	5,000	32.51	4-May	13-Sep	250.00	5.0
GALLEON MGMT LP	033	GM	S	10,000	32.17	4-May	13-Sep	500.00	5.0
TRELLUS PARTNERS LP	028	GM	SS	79,300	32.19	4-May	13-Sep	3,965.00	5.0
ZOLIDIS	011	HLYS	S	500	8.20	n/a	n/a	0.00	0.0
WYCKOFF	013	HLYS	S	300	8.10	n/a	n/a	0.00	0.0
LEDDY	035	HLYS	S	340	8.02	n/a	n/a	0.00	0.0
KORMAN	003	HRBN	S	10,000	13.29	n/a	n/a	0.00	0.0
BUCK	015	HUM	B	500	66.14	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	IP	SS	10,000	35.00	4-May	20-Aug	500.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	B	18,902	24.27	8-Aug	11-Sep	945.10	5.0
BUCK CAPITAL MGMT	001	JAH	B	20,000	29.47	n/a	n/a	800.00	4.0
STRONG/MARK GRONET	030	JAH	S	130,000	29.48	n/a	n/a	5,200.00	4.0
IMPALA ASSET MMT	012	JBHT	S	100,000	27.31	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	JCP	B	20,000	64.37	21-Jun	7-Sep	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	JWN	B	20,000	47.79	12-Jul	7-Sep	800.00	4.0
CUMBERLAND	038	JWN	SS	5,000	48.43	12-Jul	7-Sep	200.00	4.0
BULL PATH CAPITAL	044	KSS	B	50,000	54.06	14-Jun	27-Jul	2,500.00	5.0
J L F ASSET MGMT	039	KSS	B	111,000	56.68	14-Jun	27-Jul	4,440.00	4.0
PILOT ROCK	028	LEH	B	100,000	58.63	12-Jun	4-Sep	4,000.00	4.0
OGORMAN	146	LEH	B	1,000	59.12	12-Jun	4-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	22.48	16-May	7-Sep	800.00	4.0
CAISSE DEPOT PLACEMENT Q	031	LVLTT	B	165,000	4.59	6-Sep	6-Sep	6,600.00	4.0
SENTINAL CAPITAL	067	MCD	B	5,000	53.87	24-Apr	24-Apr	250.00	5.0
BUCK	015	MCO	SS	300	45.03	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	MIR	B	10,000	39.97	n/a	n/a	500.00	5.0
BUCK	015	MON	S	200	73.07	n/a	4-Sep	0.00	0.0
WYCKOFF	013	MSI	S	200	2.20	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	MS	S	25,000	66.68	2-Jul	4-Sep	1,000.00	4.0
SANDLER O'NEILL ASSET	031	MS	B	9,400	64.23	2-Jul	4-Sep	470.00	5.0
J L F ASSET MGMT	039	M	B	38,800	29.57	13-Jul	7-Sep	1,552.00	4.0
HART	056	NEXC	B	250	6.05	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	NOV	B	100,000	133.38	n/a	n/a	3,000.00	3.0
FIRST NEW YORK LEDDY	035	ODP	B	15,000	18.93	n/a	27-Jul	900.00	6.0
PZENA INV ADV	044	ORCL	S	100,000	20.50	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	PLCE	B	5,000	25.70	12-Apr	7-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	RVI	B	10,000	10.50	n/a	n/a	400.00	4.0
OGORMAN	146	SDS	S	1,000	54.13	n/a	n/a	0.00	0.0
KORMAN	003	SEED	S	542	7.07	n/a	n/a	0.00	0.0
KORMAN	003	SORL	S	500	6.52	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	SOV	B	45,400	17.08	n/a	n/a	1,816.00	4.0
TOKIO MARINE ASSET MGMT	044	STX	S	56,000	24.59	n/a	n/a	2,800.00	5.0
IMPALA ASSET MMT	012	SU	SS	162,096	96.96	n/a	n/a	4,862.88	3.0
SANDELL ADV	040	TGT	SS	100,000	64.17	n/a	27-Jul	5,000.00	5.0
MATTHES CAPITAL MGMT	033	TLB	SS	25,000	18.58	n/a	23-Aug	1,000.00	4.0
MILLENIUM PARTNERS	028	TWX	B	35,000	19.03	n/a	n/a	1,750.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	22.28	31-Jul	10-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OPTIMUM INV ADV	030	VAR	B	15,000	39.58	n/a	n/a	600.00	4.0
THE JAY GOLDMAN	034	VZ	SS	25,000	42.46	31-Jul	6-Sep	1,250.00	5.0
KORMAN	003	WATG	S	5,000	6.10	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	044	WFC	B	25,000	35.84	n/a	n/a	1,250.00	5.0
WYCKOFF	013	WHT	S	200	3.13	n/a	n/a	0.00	0.0
PILOT ADV	038	WLL	B	58,800	41.07	n/a	n/a	2,352.00	4.0
TOTAL (Trade Date):								160,838.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/13	MATTHES CAPITAL MGMT (MATTMSPB)	033	BBBY	SS	2,060	32.90	n/a	n/a	82.40 4.0
CRT	09/13	MATTHES CAPITAL MGMT (MATTGSPB)	033	BBBY	SS	2,940	32.90	n/a	n/a	117.60 4.0
AO,CXL	09/11	WHITTIER CAP (WHITCALI)	048	DGIT	S	10,000	21.09	n/a	n/a	500.00 5.0
AO,	09/11	WHITTIER CAP (WHITCALI)	048	DGIT	S	10,000	21.09	n/a	n/a	400.00 4.0
AO,	09/12	TRELLUS PARTNERS LP (TRELGS)	028	GM	SS	9,036	30.45	4-May	13-Sep	451.80 5.0
AO,	09/12	TRELLUS PARTNERS LP (TRELMAIN)	028	GM	SS	11,664	30.45	4-May	13-Sep	583.20 5.0

TOTAL (AO, CXL, CRT) :	1,135.00
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TOTAL (Trade Date) :	160,838.13
TOTAL (AO, CXL, CRT) :	1,135.00

TOTAL (RUN DATE) / NFS :	161,973.13
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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