



## Daily Compliance Activity Report

Trade Date: 10/30/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 2**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	21,900	18.21	n/a	26-Oct	1,095.00	5.0
MORTAR ROCK	033	ABG	B	13,000	18.21	n/a	26-Oct	650.00	5.0
SOMERSET ADV	044	AEM	B	4,000	54.79	n/a	n/a	160.00	4.0
COUGAR TRADING	044	AEO	B	10,000	23.94	12-Oct	12-Oct	500.00	5.0
CHARTER OAK	033	AFFY	S	22,705	28.54	n/a	n/a	1,135.25	5.0
COUGAR TRADING	044	ANF	B	5,000	79.54	2-Oct	25-Oct	250.00	5.0
NEW JERSEY DIV OF INV.	220	AOI	B	34,500	6.48	n/a	n/a	1,035.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>32,700</b>	<b>22.43</b>	<b>n/a</b>	<b>12-Oct</b>	<b>1,308.00</b>	<b>4.0</b>
RAINIER INV MGMT	035	BAC	S	128,400	48.13	19-Oct	19-Oct	6,420.00	5.0
SUNOVA CAPITAL	031	BEN	S	20,000	126.51	25-Sep	25-Oct	1,000.00	5.0
S.A.C. CAPITAL MGMT.	044	BGC	B	50,000	70.87	n/a	n/a	2,500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>BONT</b>	<b>B</b>	<b>900</b>	<b>16.89</b>	<b>17-Oct</b>	<b>17-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>CBK</b>	<b>B</b>	<b>700</b>	<b>13.45</b>	<b>n/a</b>	<b>12-Oct</b>	<b>0.00</b>	<b>0.0</b>
TPG-AXON	040	CBS	SS	245,000	28.52	n/a	n/a	12,250.00	5.0
THE BOSTON COMPANY	214	CCL	B	43,300	48.00	n/a	26-Jan	2,165.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	CCU	B	10,000	37.78	n/a	n/a	500.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CENT</b>	<b>B</b>	<b>100</b>	<b>8.00</b>	<b>n/a</b>	<b>18-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>PAKLER</b>	<b>N22</b>	<b>CMG</b>	<b>B</b>	<b>15</b>	<b>135.50</b>	<b>n/a</b>	<b>24-Apr</b>	<b>0.00</b>	<b>0.0</b>
J.W. SELIGMAN	041	COH	B	172,600	36.31	24-Oct	24-Oct	6,904.00	4.0
<b>PAKLER</b>	<b>N22</b>	<b>CROX</b>	<b>B</b>	<b>28</b>	<b>71.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAB CAPITAL	034	CWTR	S	250,000	8.88	n/a	n/a	12,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>SS</b>	<b>30,000</b>	<b>23.11</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>MADIGAN</b>	<b>031</b>	<b>DEEP</b>	<b>B</b>	<b>300</b>	<b>10.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>DRYS</b>	<b>B</b>	<b>75</b>	<b>123.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	ELY	S	22,400	16.96	n/a	n/a	840.00	3.8
BARABOO GROWTH	031	ENG	B	15,000	13.45	n/a	n/a	600.00	4.0
NORTHPOINT	030	ENG	S	6,649	13.78	n/a	n/a	265.96	4.0
MERRILL ASSET	032	EQ	S	13,800	54.68	n/a	n/a	621.00	4.5
THE BOSTON COMPANY	214	FDRY	S	34,000	20.80	n/a	22-Mar	1,360.00	4.0
HIGHBRIDGE CAPITAL	038	FL	SS	108,570	14.76	22-Aug	4-Sep	5,428.50	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>GES</b>	<b>SS</b>	<b>35,000</b>	<b>50.05</b>	<b>n/a</b>	<b>n/a</b>	<b>1,750.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAXON WOODS ADVISORS	038	GE	S	20,000	40.50	n/a	n/a	1,000.00	5.0
SECOND CURVE	031	GHL	B	46,500	73.46	n/a	n/a	2,325.00	5.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	38.43	n/a	26-Oct	1,250.00	5.0
NORTHPOINT	030	GPX	B	2,420	10.98	n/a	n/a	96.80	4.0
<b>LEDDY</b>	<b>035</b>	<b>GSI</b>	<b>B</b>	<b>800</b>	<b>12.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	GT	S	12,500	29.26	n/a	n/a	625.00	5.0
HIGHBRIDGE CAPITAL	038	GXDX	S	48,000	25.65	n/a	n/a	2,400.00	5.0
ROARING BLUE LION MGMT	012	GYMB	B	900	33.98	10-Aug	18-Oct	36.00	4.0
<b>CROWLEY</b>	<b>061</b>	<b>HCGI</b>	<b>S</b>	<b>3,500</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PHILADELPHIA FINANCIAL	033	IVZ	S	24,736	30.15	8-Oct	22-Oct	1,236.80	5.0
ROARING BLUE LION MGMT	012	IVZ	S	10,000	30.08	8-Oct	22-Oct	400.00	4.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>JCG</b>	<b>B</b>	<b>40,000</b>	<b>35.23</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>2,000.00</b>	<b>5.0</b>
THE BOSTON COMPANY	214	JNS	B	21,000	33.80	19-Oct	25-Oct	1,050.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>SS</b>	<b>10,000</b>	<b>20.00</b>	<b>n/a</b>	<b>23-Oct</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>70,000</b>	<b>39.64</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>2,800.00</b>	<b>4.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>KEG</b>	<b>B</b>	<b>540</b>	<b>13.34</b>	<b>29-Oct</b>	<b>29-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WASHINGTON ASSET	048	KFT	S	8,000	32.63	n/a	n/a	400.00	5.0
BELMONT GLOBAL ADV	248	KMX	SS	6,000	20.16	n/a	10-Jan	300.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	56.83	27-Sep	12-Oct	250.00	5.0
ROBX	033	LCAV	S	60,000	19.94	n/a	n/a	1,800.00	3.0
PILOT ADV	038	LEH	SS	12,000	62.30	12-Jun	16-Oct	480.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>LESAM</b>	<b>B</b>	<b>20</b>	<b>3.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	LIZ	SS	10,000	29.09	n/a	23-Oct	400.00	4.0
THIRD POINT MGMT	044	LIZ	SS	100,000	29.14	n/a	23-Oct	4,000.00	4.0
SUNOVA CAPITAL	031	LM	S	20,000	81.22	12-Oct	24-Oct	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	035	LPX	B	50,000	16.71	30-Oct	30-Oct	2,500.00	5.0
SCOPUS FUND	041	LPX	S	18,000	16.80	30-Oct	30-Oct	900.00	5.0
COUGAR TRADING	044	LTD	B	10,000	21.96	n/a	17-Oct	500.00	5.0
<b>PAKLER</b>	<b>N22</b>	<b>LULU</b>	<b>S</b>	<b>83</b>	<b>48.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	MDTH	B	5,850	28.13	n/a	n/a	292.50	5.0
<b>BUCK</b>	<b>015</b>	<b>MERXL</b>	<b>B</b>	<b>15</b>	<b>2.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	MS	SS	5,000	66.00	2-Jul	16-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	046	MUR	SS	45,000	72.38	n/a	n/a	1,800.00	4.0
COUGAR TRADING	044	M	S	10,000	32.55	24-Sep	12-Oct	500.00	5.0
NORTHPOINT	030	NAVG	B	23,370	60.27	n/a	n/a	934.80	4.0
HEALY CIRCLE	044	NCR	B	25,000	25.93	n/a	n/a	1,250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>NEXC</b>	<b>S</b>	<b>3,819</b>	<b>6.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>NGI</b>	<b>B</b>	<b>5,750</b>	<b>5.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>NMXWF</b>	<b>B</b>	<b>8</b>	<b>4.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE BOSTON COMPANY	214	NSM	S	28,000	25.21	n/a	n/a	1,120.00	4.0
NOMURA CAPITAL	045	NWA	S	6,500	18.15	n/a	n/a	325.00	5.0
MAZAMA CAPITAL MGMT.	035	NZ	B	45,700	13.69	n/a	n/a	1,828.00	4.0
<b>OGORMAN</b>	<b>046</b>	<b>PLCE</b>	<b>B</b>	<b>300</b>	<b>25.25</b>	<b>26-Sep</b>	<b>18-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>STRATTON</b>	<b>N21</b>	<b>PRXI</b>	<b>B</b>	<b>250</b>	<b>10.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	PSUN	B	5,000	16.33	n/a	25-Oct	250.00	5.0
COUGAR TRADING	044	PVH	SS	5,000	46.49	13-Aug	29-Aug	250.00	5.0
WHITTIER CAP	048	PVH	B	3,610	46.49	13-Aug	29-Aug	144.40	4.0
AMBER CAPITAL	046	PXD	SS	60,000	49.65	n/a	11-Oct	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	RADS	B	85,720	15.19	n/a	n/a	3,428.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>170,000</b>	<b>69.19</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>6,800.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	SS	10,000	68.85	9-Aug	29-Aug	500.00	5.0
COUGAR TRADING	044	RL	S	10,000	68.54	9-Aug	29-Aug	500.00	5.0
BALYASNY ASSET MGMT	044	SKS	S	25,000	20.95	n/a	n/a	1,250.00	5.0
MERRILL LYNCH STRATEGICI	034	SLB	S	10,000	99.29	n/a	n/a	600.00	6.0
STONERIDGE INV PART	033	SSI	B	17,200	17.59	3-Aug	12-Oct	860.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>TBL</b>	<b>SS</b>	<b>300</b>	<b>19.79</b>	<b>n/a</b>	<b>13-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>TIF</b>	<b>SS</b>	<b>100</b>	<b>52.85</b>	<b>18-Oct</b>	<b>18-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	TJX	B	10,000	28.35	21-Sep	12-Oct	500.00	5.0
COUGAR TRADING	044	URBN	B	10,000	24.48	23-Oct	23-Oct	500.00	5.0
MATTHES CAPITAL MGMT	033	VFC	SS	10,000	85.72	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	WDR	S	20,000	32.24	23-Oct	23-Oct	1,000.00	5.0
AMBER CAPITAL	046	WFT	B	100,000	64.51	n/a	n/a	4,000.00	4.0
CAPITAL GROWTH MGMT.	241	WFT	S	200,000	64.58	n/a	n/a	10,000.00	5.0
ESSEX CAP MGMT	067	XLE	SS	221,900	75.56	n/a	n/a	11,095.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>YHOO</b>	<b>B</b>	<b>300</b>	<b>31.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	YUM	SS	15,000	40.20	n/a	24-Apr	600.00	4.0
ZOLIDIS	011	ZUMZ	B	250	41.40	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							143,965.81		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/29	FIRST NY SEC/CHRIS (FNYCHRIS)	041	ABG	B	15,000	19.25	n/a	26-Oct	900.00 6.0
AO,CRT	10/29	FIRST NY SEC/CHRIS (FNYCHRIS)	041	ABG	B	15,000	19.25	n/a	26-Oct	750.00 5.0
AO,CRT	06/28	BUCK CAPITAL MGMT (BUCK)	015	BG	B	500	81.05	n/a	n/a	0.00 0.0
AO,CXL	06/28	BUCK CAPITAL MGMT (BUCK)	015	BG	B	500	81.05	n/a	n/a	0.00 0.0
AO,CRT	07/02	BUCK CAPITAL MGMT (BUCK)	015	BG	S	500	85.86	n/a	n/a	0.00 0.0
AO,CXL	07/02	BUCK CAPITAL MGMT (BUCK)	015	BG	S	500	85.86	n/a	n/a	0.00 0.0
CRT	10/30	MKT MAKER (MKT MAKER)	099	CENT	B	100	8.00	n/a	18-Sep	0.00 0.0
AO,	10/29	ROBX (ROBX221)	033	DUK	S	300	19.01	n/a	n/a	9.00 3.0
AO,	10/29	ROBX (ROBX220)	033	DUK	S	500	19.01	n/a	n/a	15.00 3.0
AO,	10/29	ROBX (ROBX216)	033	DUK	S	500	19.01	n/a	n/a	15.00 3.0
AO,	10/29	ROBX (ROBX215)	033	DUK	S	200	19.01	n/a	n/a	6.00 3.0
AO,	10/29	ROBX (ROBX217)	033	DUK	S	900	19.01	n/a	n/a	27.00 3.0
AO,	10/29	ROBX (ROBX214)	033	DUK	S	400	19.01	n/a	n/a	12.00 3.0
AO,	10/29	ROBX (ROBX218)	033	DUK	S	400	19.01	n/a	n/a	12.00 3.0
AO,	10/29	ROBX (ROBX350)	033	DUK	S	35,100	19.01	n/a	n/a	1053.00 3.0
AO,	10/29	ROBX (ROBX201)	033	DUK	S	100	19.01	n/a	n/a	3.00 3.0
AO,	10/29	ROBX (ROBX206)	033	DUK	S	400	19.01	n/a	n/a	12.00 3.0
AO,	10/29	ROBX (ROBX203)	033	DUK	S	1,500	19.01	n/a	n/a	45.00 3.0
AO,	10/29	ROBX (ROBX188)	033	DUK	S	200	19.01	n/a	n/a	6.00 3.0
AO,	10/29	ROBX (ROBX181)	033	DUK	S	200	19.01	n/a	n/a	6.00 3.0
AO,	10/29	ROBX (ROBX174)	033	DUK	S	700	19.01	n/a	n/a	21.00 3.0
AO,	10/29	ROBX (ROBX173)	033	DUK	S	2,300	19.01	n/a	n/a	69.00 3.0
AO,	10/29	ROBX (ROBX194)	033	DUK	S	300	19.01	n/a	n/a	9.00 3.0
AO,	10/29	ROBX (ROBX196)	033	DUK	S	400	19.01	n/a	n/a	12.00 3.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/29	ROBX (ROBX197)	033	DUK	S	300	19.01	n/a	n/a	9.00	3.0
AO,	10/29	ROBX (ROBX190)	033	DUK	S	300	19.01	n/a	n/a	9.00	3.0
AO,	10/29	HIGHBRIDGE CAPITAL (HIGBCITI)	038	FL	SS	166,500	14.57	22-Aug	4-Sep	8325.00	5.0
AO,CXL	10/29	HIGHBRIDGE CAPITAL (HIGBNEW)	038	FL	SS	166,500	14.57	22-Aug	4-Sep	8325.00	5.0
AO,CXL	10/26	COUGAR TRADING (COUGPB MS)	044	JCG	S	900	27.60	24-Oct	24-Oct	45.00	5.0
AO,	10/26	COUGAR TRADING (COUGPB MS)	044	JCG	S	900	37.60	24-Oct	24-Oct	45.00	5.0
AO,	10/25	APEX CAPITAL MGMT. (APEXUBS)	091	KSS	B	5,000	56.00	27-Sep	12-Oct	250.00	5.0
AO,CXL	10/29	APEX CAPITAL MGMT. (APEXUBS)	091	KSS	B	5,000	56.00	27-Sep	12-Oct	250.00	5.0
CRT	10/30	COUGAR TRADING (COUGPB MS)	044	PVH	SS	5,000	46.49	13-Aug	29-Aug	250.00	5.0
CRT	10/30	AMBER CAPITAL (AMBRLEH)	046	PXD	SS	60,000	49.65	n/a	11-Oct	2400.00	4.0
AO,CRT	10/25	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	217	TWC	S	12,900	30.97	26-Oct	26-Oct	645.00	5.0
AO,CXL	10/25	DAVIDSON KEMPNER ADVISOR (DAVIGS)	217	TWC	S	12,900	30.97	26-Oct	26-Oct	645.00	5.0
AO,CRT	10/26	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	217	TWC	S	50,000	29.66	26-Oct	26-Oct	2500.00	5.0
AO,CXL	10/26	DAVIDSON KEMPNER ADVISOR (DAVIGS)	217	TWC	S	50,000	29.66	26-Oct	26-Oct	2500.00	5.0
AO,CRT	10/29	LISTED ERR (LISTED ERR)	099	XLF	B	50,000	33.45	n/a	n/a	0.00	0.0
AO,CXL	10/29	LISTED ERR (LISTED ERR)	099	XLF	B	50,000	33.45	n/a	n/a	0.00	0.0
AO,CRT	10/29	LISTED ERR (LISTED ERR)	099	XLF	S	50,000	33.45	n/a	n/a	0.00	0.0
AO,CXL	10/29	LISTED ERR (LISTED ERR)	099	XLF	S	50,000	33.45	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										3,850.00	

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TOTAL (Trade Date):	143,965.81
TOTAL (AO, CXL, CRT):	3,850.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>147,815.81</b>
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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