



Daily Compliance Activity Report

Trade Date: 11/23/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	5,000	21.98	9-Nov	20-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	40,000	75.78	2-Oct	21-Nov	1,600.00	4.0
COUGAR TRADING	044	ANF	B	5,000	77.16	2-Oct	21-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	100,000	31.99	6-Aug	16-Nov	4,000.00	4.0
COUGAR TRADING	044	ARO	B	5,000	25.87	9-Nov	20-Nov	250.00	5.0
OPTIMUM INV ADV	030	BG	B	3,500	105.88	n/a	n/a	140.00	4.0
WELLS/STRONG LEDDY	035	BONT	S	7,000	12.53	9-Nov	21-Nov	280.00	4.0
CSFB GLOBAL PROPRIETARY	035	CFC	B	143,200	9.99	n/a	n/a	7,160.00	5.0
COUGAR TRADING	044	CHIC	B	5,000	15.30	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	CMCSA	S	1,580	19.25	26-Oct	19-Nov	79.00	5.0
COUGAR TRADING	044	COH	B	5,000	35.93	24-Oct	24-Oct	250.00	5.0
NATIONAL BK OF CAN	031	C	B	25,000	31.55	5-Nov	20-Nov	1,000.00	4.0
OGORMAN	046	DXD	B	200	53.64	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	10,000	42.14	n/a	n/a	400.00	4.0
NATIONAL BK OF CAN	031	GS	B	5,000	212.95	21-Sep	20-Nov	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OPTIMUM INV ADV	030	INTU	B	17,000	29.05	n/a	n/a	680.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	100,000	37.61	24-Oct	24-Oct	4,000.00	4.0
COUGAR TRADING	044	JCG	B	5,000	37.58	24-Oct	24-Oct	250.00	5.0
COUGAR TRADING	044	JWN	B	5,000	35.91	20-Nov	20-Nov	250.00	5.0
COUGAR TRADING	044	KSS	B	5,000	48.66	9-Nov	16-Nov	250.00	5.0
WOOSTER CAPITAL	035	KSS	B	125,000	48.59	9-Nov	16-Nov	6,250.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	20,000	16.24	n/a	n/a	800.00	4.0
COUGAR TRADING	044	M	B	5,000	29.94	9-Nov	15-Nov	250.00	5.0
WOOSTER CAPITAL	035	M	B	150,000	29.64	9-Nov	15-Nov	7,500.00	5.0
BARR	096	M	S	1,400	28.88	9-Nov	15-Nov	0.00	0.0
CAPITAL GROWTH MGMT.	241	NUE	B	150,000	52.96	n/a	n/a	7,500.00	5.0
LISTED ERR	099	NU	B	71,900	32.05	n/a	n/a	0.00	0.0
LISTED ERR	099	NU	S	71,900	31.90	n/a	n/a	0.00	0.0
BARR	096	PDFS	B	2,200	7.70	n/a	n/a	0.00	0.0
PZENA INV ADV	044	PDX	S	17,025	63.00	n/a	n/a	681.00	4.0
PENZ	044	PDX	S	75	63.00	n/a	n/a	3.00	4.0
COUGAR TRADING	044	PSUN	SS	5,000	15.13	n/a	21-Nov	250.00	5.0
ASCEND PARTNERS	033	PVH	B	25,000	40.42	21-Nov	21-Nov	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	50,000	65.50	8-Nov	8-Nov	2,000.00	4.0
OGORMAN	046	SDS	B	200	57.45	n/a	n/a	0.00	0.0
IRONBOUND CAPITAL	012	TIN	B	3,000	42.60	9-Nov	9-Nov	150.00	5.0
SCOPUS FUND	041	TIN	B	28,800	42.52	9-Nov	9-Nov	1,440.00	5.0
XYLEM GLOBAL	091	TIN	S	50,000	42.57	9-Nov	9-Nov	2,500.00	5.0
ASCEND PARTNERS	033	TJX	B	25,000	28.41	21-Sep	14-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	50,000	28.57	21-Sep	14-Nov	2,000.00	4.0
REICH AND TANG	067	TMO	S	10,000	56.99	n/a	n/a	500.00	5.0
ELM RIDGE ADVISORS	044	VC	B	75,000	3.93	n/a	19-Nov	2,250.00	3.0
STRATTON	N21	VWTAG	S	1	13.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WMT	B	50,000	45.29	20-Nov	20-Nov	2,000.00	4.0
OPTIMUM INV ADV	030	ZBRA	B	5,000	36.78	n/a	n/a	200.00	4.0
TOTAL (Trade Date) :								60,313.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/21	ROCKEFELLER & CO. (ROCK9931)	045	CMCSA	B	8,300	19.25	26-Oct	19-Nov	415.00 5.0
AO,CRT	11/21	ROCKEFELLER & CO. (ROCK9931)	045	CMCSA	B	8,300	19.25	26-Oct	19-Nov	332.00 4.0
AO,CXL	11/21	ROCKEFELLER & CO. (ROCKRFSNOM)	045	CMCSA	B	49,630	19.25	26-Oct	19-Nov	2481.50 5.0
AO,CRT	11/21	ROCKEFELLER & CO. (ROCKRFSNOM)	045	CMCSA	B	49,630	19.25	26-Oct	19-Nov	1985.20 4.0
AO,CXL	11/21	ROCKEFELLER & CO. (ROCKRCOBLO)	045	CMCSA	B	580	19.25	26-Oct	19-Nov	29.00 5.0
AO,CRT	11/21	ROCKEFELLER & CO. (ROCKRCOBLO)	045	CMCSA	B	580	19.25	26-Oct	19-Nov	23.20 4.0
AO,CRT	11/21	CARLYLE BLUE WAVE PR MG (CBLUCITI)	224	SSCC	B	40,000	9.80	n/a	26-Oct	1600.00 4.0
AO,CXL	11/21	CARLYLE BLUE WAVE PR MG (CBLUMS/USE)	224	SSCC	B	40,000	9.80	n/a	26-Oct	1600.00 4.0
AO,CXL	11/21	COOKBIELER (COOK30577)	033	WSM	S	3,600	28.01	n/a	n/a	1.44 0.0
AO,	11/21	COOKBIELER (COOK30577)	033	WSM	S	3,600	28.01	n/a	n/a	144.00 4.0
AO,CXL	11/21	COOKBIELER (COOK20095)	033	WSM	S	5,400	28.01	n/a	n/a	2.16 0.0
AO,	11/21	COOKBIELER (COOK20095)	033	WSM	S	5,400	28.01	n/a	n/a	216.00 4.0
AO,CXL	11/21	COOKBIELER (COOK30190)	033	WSM	S	150	28.01	n/a	n/a	0.06 0.0
AO,	11/21	COOKBIELER (COOK30190)	033	WSM	S	150	28.01	n/a	n/a	6.00 4.0
AO,CXL	11/21	COOKBIELER (COOK20903)	033	WSM	S	3,100	28.01	n/a	n/a	1.24 0.0
AO,	11/21	COOKBIELER (COOK20903)	033	WSM	S	3,100	28.01	n/a	n/a	124.00 4.0
AO,CXL	11/21	COOKBIELER (COOK20025)	033	WSM	S	2,920	28.01	n/a	n/a	1.17 0.0
AO,	11/21	COOKBIELER (COOK20025)	033	WSM	S	2,920	28.01	n/a	n/a	116.80 4.0
AO,CXL	11/21	COOKBIELER (COOK20023)	033	WSM	S	1,400	28.01	n/a	n/a	0.56 0.0
AO,	11/21	COOKBIELER (COOK20023)	033	WSM	S	1,400	28.01	n/a	n/a	56.00 4.0
AO,CXL	11/21	COOKBIELER (COOK14022)	033	WSM	S	200	28.01	n/a	n/a	0.08 0.0
AO,	11/21	COOKBIELER (COOK14022)	033	WSM	S	200	28.01	n/a	n/a	8.00 4.0
AO,CXL	11/21	COOKBIELER (COOK14020)	033	WSM	S	600	28.01	n/a	n/a	0.24 0.0
AO,	11/21	COOKBIELER (COOK14020)	033	WSM	S	600	28.01	n/a	n/a	24.00 4.0
AO,CXL	11/21	COOKBIELER (COOK30223)	033	WSM	S	1,300	28.01	n/a	n/a	0.52 0.0
AO,	11/21	COOKBIELER (COOK30223)	033	WSM	S	1,300	28.01	n/a	n/a	52.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/21	COOKBIELER (COOK20958)	033	WSM	S	520	28.01	n/a	n/a	0.21 0.0
AO,	11/21	COOKBIELER (COOK20958)	033	WSM	S	520	28.01	n/a	n/a	20.80 4.0
AO,CXL	11/21	COOKBIELER (COOK20291)	033	WSM	S	4,110	28.01	n/a	n/a	1.64 0.0
AO,	11/21	COOKBIELER (COOK20291)	033	WSM	S	4,110	28.01	n/a	n/a	164.40 4.0
AO,CXL	11/21	COOKBIELER (COOK20918)	033	WSM	S	6,100	28.01	n/a	n/a	2.44 0.0
AO,	11/21	COOKBIELER (COOK20918)	033	WSM	S	6,100	28.01	n/a	n/a	244.00 4.0
AO,CXL	11/21	COOKBIELER (COOK20559)	033	WSM	S	2,700	28.01	n/a	n/a	1.08 0.0
AO,	11/21	COOKBIELER (COOK20559)	033	WSM	S	2,700	28.01	n/a	n/a	108.00 4.0
AO,CXL	11/21	COOKBIELER (COOK20410)	033	WSM	S	18,000	28.01	n/a	n/a	7.20 0.0
AO,	11/21	COOKBIELER (COOK20410)	033	WSM	S	18,000	28.01	n/a	n/a	720.00 4.0

TOTAL (AO, CXL, CRT) : **1,398.86**

TOTAL (Trade Date): 60,313.00

TOTAL (AO, CXL, CRT): 1,398.86

TOTAL (RUN DATE) / NFS: **61,711.86**

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