



Daily Compliance Activity Report

Trade Date: 10/03/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	ABG	B	6,000	20.34	18-Jun	3-Oct	360.00	6.0
WOOSTER CAPITAL	035	ABG	B	25,000	20.54	18-Jun	3-Oct	1,250.00	5.0
KORMAN	003	ABG	B	3,000	20.60	18-Jun	3-Oct	0.00	0.0
EMP ERROR	099	ABG	B	800	20.55	18-Jun	3-Oct	0.00	0.0
DSG CAPITAL	225	ADM	B	30,000	32.82	n/a	1-Oct	1,500.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	50,000	24.99	10-Jul	7-Sep	2,000.00	4.0
FRIESS MGMT	042	AEO	S	484,200	25.12	10-Jul	7-Sep	21,789.00	4.5
J L F ASSET MGMT	039	AEO	SS	146,400	24.94	10-Jul	7-Sep	5,856.00	4.0
MORGAN LEWIS/MLH	046	AMR	B	10,000	24.91	n/a	n/a	500.00	5.0
AVESTA CAP	229	ANN	B	25,000	34.39	6-Aug	7-Sep	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ARO	S	2,500	20.62	n/a	7-Sep	100.00	4.0
THE JAY GOLDMAN	034	ARO	SS	25,000	20.54	n/a	7-Sep	1,000.00	4.0
SAXON WOODS ADVISORS	038	AVD	S	10,000	19.04	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	AXS	B	27,120	39.09	n/a	n/a	1,220.40	4.5
NEW JERSEY DIV OF INV.	220	A	S	200,000	36.91	n/a	n/a	8,000.00	4.0
RHO CAPITAL MGMT	041	BBW	B	1,000	19.62	11-Sep	13-Sep	50.00	5.0
SCOPUS FUND	041	BBW	B	25,000	19.68	11-Sep	13-Sep	1,250.00	5.0
HIGHBRIDGE/MS OLDS	041	BDK	SS	5,800	84.00	n/a	n/a	232.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	BGP	B	196,400	14.90	n/a	n/a	5,892.00	3.0
BRIGHTPOINT CAP	067	BIG	SS	20,000	30.14	n/a	7-Sep	800.00	4.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	30.39	n/a	7-Sep	800.00	4.0
SUTERA	160	BQI	B	5,000	4.18	n/a	n/a	0.00	0.0
KERN	050	BSCJF	B	10	3.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	B	10,000	20.44	n/a	n/a	400.00	4.0
METROPOLITAN CAPITAL	044	BWS	B	23,000	20.61	n/a	n/a	935.00	4.5
STERLING JOHNSTON	035	BWS	B	100,000	20.70	n/a	n/a	5,000.00	5.0
MORGAN LEWIS/MLH	046	CAL	B	5,000	35.70	n/a	n/a	250.00	5.0
HEALY CIRCLE	044	CAT	SS	15,000	79.11	n/a	n/a	750.00	5.0
WHEELER	008	CCCJU	B	100	7.30	n/a	n/a	0.00	0.0
WHEELER	008	CCC	S	3,000	14.47	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CEC	B	20,000	28.63	n/a	n/a	800.00	4.0
GRANAHAN INV	039	CENT	S	45,300	9.15	n/a	18-Sep	1,359.00	3.0
DIAMONDBACK CAP MGMT	232	CE	B	25,000	39.43	n/a	n/a	1,250.00	5.0
WHEELER	008	CFCPRA	S	4,100	19.71	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	B	40,000	15.41	30-Aug	7-Sep	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MKT MAKER	099	CHTP	S	100	6.72	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	CLB	S	23,600	126.06	15-Aug	3-Oct	944.00	4.0
CAPITAL GROWTH MGMT.	241	CMI	B	10,000	132.45	n/a	n/a	500.00	5.0
CATAPULT	040	CMO	S	15,000	10.79	n/a	n/a	750.00	5.0
PZENA INV ADV	044	CNO	B	68,900	16.04	n/a	n/a	2,756.00	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	46.98	n/a	10-Sep	400.00	4.0
PILOT ADV	038	COST	B	20,000	62.55	n/a	27-Jul	800.00	4.0
GEORGE WEISS	034	COWN	B	10,000	14.23	n/a	n/a	300.00	3.0
LEDDY	035	CPHI	B	3,300	1.96	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	CSUN	B	20,000	12.69	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	C	B	50,000	48.15	n/a	1-Oct	2,500.00	5.0
ROCKEFELLER & CO.	045	C	S	129,645	47.99	n/a	1-Oct	6,422.70	4.7
STADIA CAPITAL	035	DKS	B	5,000	68.47	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	26.15	5-Sep	2-Oct	400.00	4.0
ENTRUST CAPITAL	040	DSW	B	7,400	25.80	5-Sep	2-Oct	370.00	5.0
WEINTRAUB CAPITAL MGT.	040	DSW	B	25,000	26.07	5-Sep	2-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	EAT	B	20,000	27.77	n/a	24-Apr	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MTB INV ADV	034	EV	B	50,305	41.49	23-May	28-Sep	2,515.25	5.0
HIGHBRIDGE/MS OLDS	041	EXPD	B	8,300	48.20	n/a	n/a	332.00	4.0
CAPITAL GROWTH MGMT.	241	FNM	B	220,000	66.02	n/a	n/a	11,000.00	5.0
FNYC	041	FRX	B	10,000	37.96	30-Jul	3-Oct	600.00	6.0
LOOMIS SALES/BOSTON	036	GES	S	135,000	50.84	n/a	n/a	5,400.00	4.0
LEDDY	035	GM	SS	1,000	37.84	n/a	3-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	B	120,000	18.78	n/a	7-Sep	4,800.00	4.0
LEDDY	035	GSI	B	1,000	9.42	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	HSC	B	7,500	59.06	26-Jul	26-Sep	300.00	4.0
CROWLEY	061	ISLN	B	1,000	7.06	n/a	n/a	0.00	0.0
TYEE/TYGH	035	IVZ	B	114,619	28.08	8-Aug	3-Oct	4,584.76	4.0
SENECA CAPITAL LP NY	028	IWM	B	42,000	82.53	n/a	n/a	2,100.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	5,000	45.97	22-Jun	6-Sep	200.00	4.0
BALYASNY ASSET MGMT	044	JCP	S	2,000	65.38	21-Jun	7-Sep	100.00	5.0
TRIVIUM CAP MGMT	251	JCP	S	20,000	67.72	21-Jun	7-Sep	800.00	4.0
COUGAR TRADING	044	JWN	B	5,000	48.65	12-Jul	7-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	JWN	SS	42,600	49.44	12-Jul	7-Sep	1,704.00	4.0
BARON ASSET MGMT*	012	KMX	B	125,000	21.78	n/a	10-Jan	6,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	KSS	S	28,300	60.34	27-Sep	3-Oct	1,132.00	4.0
KACELA CAPITAL	034	KSS	B	15,000	59.86	27-Sep	3-Oct	600.00	4.0
OGORMAN	146	LEH	B	900	64.93	12-Jun	20-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	SS	40,000	22.57	16-May	7-Sep	1,600.00	4.0
ROSEDALE CAPITAL	046	LTD	B	10,000	22.00	16-May	7-Sep	500.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	B	30,000	44.18	n/a	n/a	1,500.00	5.0
BARR	096	MENT	S	1,000	15.90	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	MGA	B	24,161	95.87	n/a	n/a	966.44	4.0
ALLEN & CO	032	MHP	B	90,000	53.66	n/a	n/a	3,600.00	4.0
FIRST NEW YORK/BILLY	063	MSO	B	5,100	13.00	n/a	n/a	255.00	5.0
J L F ASSET MGMT	039	MSO	B	206,200	13.35	n/a	n/a	8,248.00	4.0
SCOPUS FUND	041	MSO	S	17,500	12.87	n/a	n/a	875.00	5.0
THE JAY GOLDMAN	034	MSO	S	20,000	13.26	n/a	n/a	800.00	4.0
ROBX	302	MSO	S	13,500	12.83	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	51.35	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	MYL	B	100,000	16.89	n/a	2-Oct	5,000.00	5.0
SSI INVESTORS	048	MYL	B	78,500	16.89	n/a	2-Oct	3,140.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	M	B	10,000	34.56	24-Sep	24-Sep	500.00	5.0
PRINCIPLE CAPITAL	040	M	B	43,500	34.78	24-Sep	24-Sep	1,305.00	3.0
MAZAMA CAPITAL MGMT.	035	NGS	S	1,400	18.32	n/a	n/a	56.00	4.0
BELMONT GLOBAL ADV	248	NOA	B	20,000	18.03	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	61,900	6.72	25-May	24-Aug	2,476.00	4.0
CSFB GLOBAL PROPRIETARY	035	PCH	B	21,000	44.84	21-Sep	21-Sep	1,050.00	5.0
HIGHBRIDGE/MS OLDS	041	PCP	B	2,161	144.99	n/a	n/a	86.44	4.0
METROPOLITAN CAPITAL	044	PSS	S	23,000	24.05	n/a	n/a	1,150.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	15,000	52.74	13-Aug	29-Aug	600.00	4.0
PAW PARTNERS	041	QCOM	S	7,700	42.07	n/a	n/a	385.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	76.18	9-Aug	29-Aug	800.00	4.0
COUGAR TRADING	044	RL	S	5,000	76.04	9-Aug	29-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	RSH	SS	40,000	22.67	n/a	n/a	1,600.00	4.0
PIVOT CAP	034	RTH	B	5,000	101.11	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	RT	B	20,000	19.33	n/a	n/a	800.00	4.0
SUTERA	160	SCRX	S	1,000	27.03	27-Apr	2-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIVER RUN MGMT	031	SHLD	SS	50,000	138.04	n/a	n/a	2,500.00	5.0
OGORMAN	146	SKF	S	800	73.64	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	23.81	n/a	13-Mar	400.00	4.0
BELMONT GLOBAL ADV	248	SMBL	B	20,000	12.67	n/a	n/a	0.00	0.0
LEDDY	035	SMBL	S	1,000	12.19	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	SMG	SS	15,000	42.68	9-Jul	18-Sep	600.00	4.0
LUCHANSKY1	036	SNVNF	B	1,000	7.15	n/a	n/a	0.00	0.0
LUCHANSKY	036	SNVNF	B	250	7.15	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	SVU	B	24,000	36.13	n/a	n/a	960.00	4.0
NORTHPOINT	030	TAXI	S	13,324	10.98	n/a	n/a	532.96	4.0
MEISENBACH CAP MGMT	041	TGT	SS	10,000	64.92	n/a	27-Jul	300.00	3.0
S.A.C. CAPITAL MGMT.	044	TIN	S	41,300	56.00	21-Sep	21-Sep	2,065.00	5.0
SSI INVESTORS	048	TIN	B	21,500	56.07	21-Sep	21-Sep	860.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	50,000	18.78	n/a	23-Aug	2,000.00	4.0
BALYASNY ASSET MGMT	044	TM	B	5,000	115.66	n/a	n/a	250.00	5.0
SINCLAIR	031	TPXMF	B	5	1.30	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	TPX	S	26,700	36.62	n/a	n/a	801.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TWB	S	10,000	34.88	2-Oct	2-Oct	400.00	4.0
PAW PARTNERS	041	UA	S	16,600	59.44	n/a	n/a	830.00	5.0
FIRST INV MGMT CORP	036	WAG	B	49,700	39.40	n/a	n/a	2,485.00	5.0
STERLING JOHNSTON	035	WCRX	B	15,700	18.23	n/a	2-Oct	785.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	28,200	27.25	13-Jul	25-Sep	1,410.00	5.0
SUNOVA CAPITAL	031	WDR	SS	50,000	27.22	13-Jul	25-Sep	2,500.00	5.0
ROCKEFELLER & CO.	045	WFT	S	10,000	67.07	n/a	n/a	500.00	5.0
PLATTE RIVER CAPITAL	240	WMT	S	44,200	45.35	4-Jun	27-Jul	1,768.00	4.0
PIVOT CAP	034	XRT	B	10,000	40.51	n/a	n/a	500.00	5.0
LUCHANSKY	036	YTEC	B	500	12.20	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							190,393.95		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/03	BUCK CAPITAL MGMT (BUCKMSAGCR)	001	AEO	B	50,000	24.99	10-Jul	7-Sep	2000.00 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICGEI3)	033	ATVI	S	1,173	22.35	n/a	n/a	46.92 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW3Q)	033	ATVI	S	2,102	22.35	n/a	n/a	84.08 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW4Q)	033	ATVI	S	9,785	22.35	n/a	n/a	391.40 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW7Q)	033	ATVI	S	711	22.35	n/a	n/a	28.44 4.0
AO,	10/02	GENERAL ELECTIC CO (GEIC8XA5)	033	ATVI	S	65	22.35	n/a	n/a	2.60 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW80)	033	ATVI	S	343	22.35	n/a	n/a	13.72 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICGH16)	033	ATVI	S	1,708	22.35	n/a	n/a	68.32 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICGE29)	033	ATVI	S	30,000	22.35	n/a	n/a	1200.00 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW35)	033	ATVI	S	2,711	22.35	n/a	n/a	108.44 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZQ10)	033	ATVI	S	1,892	22.35	n/a	n/a	75.68 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW60)	033	ATVI	S	1,909	22.35	n/a	n/a	76.36 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZQ50)	033	ATVI	S	19,982	22.35	n/a	n/a	799.28 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZQ7D)	033	ATVI	S	566	22.35	n/a	n/a	22.64 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZQ92)	033	ATVI	S	623	22.35	n/a	n/a	24.92 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW59)	033	ATVI	S	367	22.35	n/a	n/a	14.68 4.0
CRT	10/03	METROPOLITAN CAPITAL (METRGS BUL)	044	BWS	B	21,500	20.61	n/a	n/a	860.00 4.0
AO,CRT	10/01	WHITTIER CAP (WHITCALI)	048	DGIT	S	8,140	24.67	n/a	n/a	407.00 5.0
AO,CXL	10/01	WHITTIER CAP (WHITBS)	048	DGIT	S	8,140	24.67	n/a	n/a	407.00 5.0
AO,	10/02	THIRD POINT MGMT (THIRCITI)	044	DLTR	SS	236,300	41.58	10-Aug	21-Sep	9452.00 4.0
AO,	10/02	THIRD POINT MGMT (THIRGOLDMA)	044	DLTR	SS	13,700	41.58	10-Aug	21-Sep	548.00 4.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW4P)	033	GCA	S	6,919	10.99	n/a	n/a	138.38 2.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW46)	033	GCA	S	6,387	10.99	n/a	n/a	127.74 2.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/02	GENERAL ELECTIC CO (GEICZQ7J)	033	GCA	S	1,341	10.99	n/a	n/a	26.82 2.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW7P)	033	GCA	S	527	10.99	n/a	n/a	10.54 2.0
AO,	10/02	GENERAL ELECTIC CO (GEICZW3P)	033	GCA	S	1,510	10.99	n/a	n/a	30.20 2.0
AO,	10/02	GENERAL ELECTIC CO (GEICGH14)	033	GCA	S	5,868	10.99	n/a	n/a	117.36 2.0
AO,	10/02	GENERAL ELECTIC CO (GEICGE3N)	033	GCA	S	37,448	10.99	n/a	n/a	748.96 2.0
AO,CXL	10/02	SSI INVESTORS (SSIIUBS PA)	048	MER	B	9,605	75.62	18-Jul	20-Sep	384.20 4.0
AO,CRT	10/02	SSI INVESTORS (SSIIUBS PA)	048	MER	B	9,650	75.62	18-Jul	20-Sep	386.00 4.0
AO,CXL	10/02	SSI INVESTORS (SSIISMITH)	048	MER	B	10,790	75.62	18-Jul	20-Sep	431.60 4.0
AO,CRT	10/02	SSI INVESTORS (SSIISMITH)	048	MER	B	10,745	75.62	18-Jul	20-Sep	429.80 4.0
AO,CXL	10/02	SOROS (SOROGOLDMA)	036	ODP	B	44,900	21.61	n/a	27-Jul	2245.00 5.0
AO,CRT	10/02	SOROS (SOROGOLDMA)	036	ODP	B	44,900	21.61	n/a	27-Jul	1796.00 4.0
CRT	10/03	METROPOLITAN CAPITAL (METRGS BUL)	044	PSS	S	21,500	24.05	n/a	n/a	1075.00 5.0
CRT	10/03	RIVER RUN MGMT (RIVEGSPB)	031	SHLD	SS	50,000	138.04	n/a	n/a	2500.00 5.0
AO,CXL	10/02	ROCKEFELLER & CO. (ROCK9931)	045	SRCL	B	1,440	57.54	n/a	n/a	72.00 5.0
AO,CRT	10/02	ROCKEFELLER & CO. (ROCK9931)	045	SRCL	B	1,440	57.54	n/a	n/a	57.60 4.0
CRT	10/03	S.A.C. CAPITAL MGMT. (SACCNEW)	044	TIN	S	41,300	56.00	21-Sep	21-Sep	2065.00 5.0
AO,CRT	09/27	PILOT ADV (PILOHAMILT)	038	TOL	S	4,500	19.83	n/a	n/a	180.00 4.0
AO,CXL	09/27	PILOT ADV (PILOSANTA)	038	TOL	S	4,500	19.83	n/a	n/a	180.00 4.0
TOTAL (AO, CXL, CRT) :										22,194.08

TOTAL (Trade Date):	190,393.95
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TOTAL (AO, CXL, CRT):	22,194.08
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TOTAL (RUN DATE) / NFS:	212,588.03
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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