



# Daily Compliance Activity Report

Trade Date: 08/30/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	AAPL	B	400	137.47	n/a	n/a	24.00	6.0
<b>BUCK</b>	<b>015</b>	<b>AB</b>	<b>B</b>	<b>300</b>	<b>82.00</b>	<b>9-Aug</b>	<b>22-Aug</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	AEO	B	5,000	25.42	10-Jul	21-Aug	250.00	5.0
TRIBECA/DOUG	040	AER	S	10,000	24.25	n/a	n/a	400.00	4.0
PECONIC PARTNERS	036	ANN	SS	100,000	31.16	6-Aug	27-Aug	5,000.00	5.0
MATTHES CAPITAL MGMT	033	BEBE	SS	10,000	13.75	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	129.66	8-Aug	22-Aug	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>SS</b>	<b>200,000</b>	<b>34.65</b>	<b>10-Apr</b>	<b>27-Jul</b>	<b>8,000.00</b>	<b>4.0</b>
WILLIAM BLAIR	031	BKD	B	29,400	35.54	n/a	n/a	1,176.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>BONT</b>	<b>S</b>	<b>66</b>	<b>25.61</b>	<b>3-Aug</b>	<b>29-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>CDL</b>	<b>S</b>	<b>19</b>	<b>4.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	CHS	C	40,000	15.73	30-Aug	30-Aug	2,000.00	5.0
CASTLE ARK	031	CME	B	100	560.95	n/a	16-Aug	6.00	6.0
OSS CAPITAL/KEVIN DANN	067	CNX	S	100,000	39.54	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	COH	B	5,000	42.29	n/a	29-Aug	250.00	5.0
BENNETT LAWRENCE	044	CROX	S	5,750	58.77	n/a	n/a	258.75	4.5
EATON VANCE MGMT	039	C	S	749,630	46.40	n/a	16-Aug	22,488.90	3.0
UBS OCONNOR	031	C	B	110,000	46.28	n/a	16-Aug	3,300.00	3.0
GALLEON MGMT LP	033	DMND	B	15,000	16.67	n/a	n/a	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>S</b>	<b>150,000</b>	<b>30.48</b>	<b>2-Aug</b>	<b>10-Aug</b>	<b>6,000.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	DSW	B	15,000	30.48	2-Aug	10-Aug	750.00	5.0
RAMIUS CAP	040	ETFC	B	145,000	14.83	n/a	n/a	7,250.00	5.0
RAINIER INV MGMT	035	FCX	B	46,800	84.77	n/a	n/a	2,340.00	5.0
REINHART & MAHONEY	035	FCX	B	6,800	84.77	n/a	n/a	340.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FDO</b>	<b>SS</b>	<b>20,000</b>	<b>28.17</b>	<b>9-Aug</b>	<b>10-Aug</b>	<b>800.00</b>	<b>4.0</b>
MATTHES CAPITAL MGMT	033	FDO	SS	35,000	28.13	9-Aug	10-Aug	1,400.00	4.0
MUHLENKAMP FUND	046	FNF	S	95,400	17.72	n/a	n/a	4,770.00	5.0
CASTLE ARK	031	FWLT	B	300	116.75	n/a	n/a	18.00	6.0
PRINCIPLE CAPITAL	040	GCO	SS	75,000	43.72	n/a	10-Jan	3,000.00	4.0
<b>BUCK</b>	<b>015</b>	<b>GENZ</b>	<b>S</b>	<b>1,300</b>	<b>61.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	GE	S	20,000	38.33	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MKT MAKER</b>	<b>099</b>	<b>GIII</b>	<b>S</b>	<b>19</b>	<b>17.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	HOLX	B	200	52.06	n/a	n/a	12.00	6.0
CASTLE ARK	031	HPQ	B	300	48.60	n/a	n/a	18.00	6.0
<b>MKT MAKER</b>	<b>099</b>	<b>ICOC</b>	<b>S</b>	<b>70</b>	<b>10.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>IEO</b>	<b>C</b>	<b>500</b>	<b>54.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN LEWIS/MLH	046	IMOS	S	125,000	6.21	n/a	n/a	6,250.00	5.0
IRONBOUND CAPITAL	012	IP	SS	5,200	34.50	4-May	20-Aug	156.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>5,000</b>	<b>48.92</b>	<b>22-Jun</b>	<b>28-Aug</b>	<b>200.00</b>	<b>4.0</b>
CASTLE ARK	031	JCP	B	500	65.15	21-Jun	29-Aug	30.00	6.0
COUGAR TRADING	044	JCP	B	5,000	65.36	21-Jun	29-Aug	250.00	5.0
BALYASNY ASSET MGMT	044	JNS	B	25,000	26.88	27-Jul	30-Aug	1,250.00	5.0
WELLS/STRONG LEDDY	035	JRT	B	15,000	12.16	n/a	n/a	600.00	4.0
COUGAR TRADING	044	JWN	B	15,000	47.55	12-Jul	17-Aug	750.00	5.0
MAZAMA CAPITAL MGMT.	035	KNL	S	43,210	18.39	n/a	n/a	1,728.40	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>35,000</b>	<b>56.78</b>	<b>14-Jun</b>	<b>27-Jul</b>	<b>1,400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>SS</b>	<b>20,000</b>	<b>33.95</b>	<b>n/a</b>	<b>29-Aug</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	LIZ	B	29,199	33.79	n/a	29-Aug	1,167.96	4.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>LM</b>	<b>C</b>	<b>200</b>	<b>86.30</b>	<b>24-Jul</b>	<b>22-Aug</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	LVS	B	200	100.50	n/a	n/a	12.00	6.0
<b>BUCK</b>	<b>015</b>	<b>MCO</b>	<b>C</b>	<b>600</b>	<b>45.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MDY</b>	<b>B</b>	<b>100</b>	<b>155.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MOXM</b>	<b>S</b>	<b>8</b>	<b>1.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MO</b>	<b>B</b>	<b>500</b>	<b>68.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LOCUS WOOD CAPITAL MGMT	044	MSFT	B	50,000	28.73	n/a	3-Apr	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>SS</b>	<b>10,000</b>	<b>36.04</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>PEP</b>	<b>B</b>	<b>200</b>	<b>68.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	PSS	S	119,125	23.45	n/a	n/a	4,467.19	3.8
<b>Ö Alice Longley</b>		<b>RL</b>	<b>B</b>	<b>150</b>	<b>74.0428</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>20,000</b>	<b>19.84</b>	<b>n/a</b>	<b>13-Mar</b>	<b>800.00</b>	<b>4.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>SLGN</b>	<b>S</b>	<b>13</b>	<b>49.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	SSI	B	10,000	16.99	3-Aug	29-Aug	500.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>SUSS</b>	<b>B</b>	<b>52</b>	<b>16.53</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.	
CASTLE ARK	031	SWN	B	700	36.47	n/a	3-Aug	42.00	6.0
SHAREVEST CAPITAL MGMT.	038	SWN	B	11,000	36.19	n/a	3-Aug	550.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>SS</b>	<b>25,000</b>	<b>22.42</b>	<b>n/a</b>	<b>23-Aug</b>	<b>1,000.00</b>	<b>4.0</b>
CASTLE ARK	031	TXN	B	600	34.40	n/a	n/a	36.00	6.0
CASTLE ARK	031	UPL	B	900	53.22	n/a	20-Jul	54.00	6.0
MORGAN BANK /JPM	012	WBC	B	9,200	45.00	n/a	14-Aug	276.00	3.0
NEW JERSEY DIV OF INV.	220	WDC	B	20,000	23.08	n/a	n/a	800.00	4.0
CASTLE ARK	031	XOM	B	100	85.44	n/a	n/a	6.00	6.0
COUGAR TRADING	044	ZQK	B	5,000	13.14	n/a	30-Aug	250.00	5.0
<b>TOTAL (Trade Date):</b>								<b>101,277.20</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/29	SOCIETY GENERALE (SOCIGSPB)	040	LTD	S	11,000	22.60	16-May	24-Aug	440.00 4.0
AO,CRT	08/29	VENTANA CAPITAL (VENTRRVFD)	060	LTD	SS	7,500	22.37	16-May	24-Aug	300.00 4.0
AO,CXL	08/29	VENTANA CAPITAL (VENTMAIN A)	060	LTD	SS	7,500	22.37	16-May	24-Aug	300.00 4.0
AO,	08/28	RAMIUS CAP (RAMIGS)	040	LYO	B	23,300	45.44	14-May	14-May	1165.00 5.0
AO,CXL	08/28	RAMIUS CAP (RAMIMS)	040	LYO	B	23,300	45.44	14-May	14-May	1165.00 5.0
AO,	08/29	SAXON WOODS ADVISORS (SAXODYINNO)	038	NOK	B	4,000	31.94	n/a	n/a	200.00 5.0
AO,CRT	08/29	TRIBECA/DOUG (TRID-USFIN)	040	WABC	SS	25,000	47.76	n/a	n/a	1000.00 4.0
AO,CXL	08/29	TRIBECA/DOUG (TRIDMS)	040	WABC	SS	25,000	47.76	n/a	n/a	1000.00 4.0

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**TOTAL (AO, CXL, CRT) :****640.00**

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**TOTAL (Trade Date) :****101,277.20****TOTAL (AO, CXL, CRT) :****640.00**

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**TOTAL (RUN DATE) / NFS :****101,917.20**

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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