



Daily Compliance Activity Report

Trade Date: 11/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	ABG	B	56,000	17.14	31-Oct	2-Nov	1,680.00	3.0
BARR	096	ABK	SS	650	25.14	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	AB	B	10,000	78.73	25-Oct	2-Nov	500.00	5.0
BUCK	015	AB	B	500	78.35	25-Oct	2-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	S	169,500	21.98	12-Oct	5-Nov	6,780.00	4.0
COUGAR TRADING	044	AEO	S	10,000	22.41	12-Oct	5-Nov	500.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	26,200	8.99	n/a	n/a	1,048.00	4.0
LISTED ERR	035	AIQ	S	16	8.99	n/a	n/a	0.64	4.0
BUCK CAPITAL MGMT	001	ANF	S	100,000	72.44	2-Oct	5-Nov	4,000.00	4.0
COUGAR TRADING	044	ANF	B	5,000	73.00	2-Oct	5-Nov	250.00	5.0
SSI INVESTORS	048	ANF	B	21,100	71.50	2-Oct	5-Nov	844.00	4.0
COUGAR TRADING	044	ANN	S	5,000	29.48	6-Aug	5-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	22.07	n/a	5-Nov	2,000.00	4.0
COUGAR TRADING	044	ARO	B	10,000	21.99	n/a	5-Nov	500.00	5.0
THE JAY GOLDMAN	034	ARO	S	50,000	22.41	n/a	5-Nov	2,000.00	4.0
CATAPULT	040	BBT	B	5,000	33.75	n/a	n/a	250.00	5.0
CHILTON CAPITAL MGMT.	036	BBW	SS	73,900	17.25	11-Sep	18-Oct	2,956.00	4.0
LUCHANSKY	036	BIDU	B	10	419.16	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRIGHTPOINT CAP	067	BIG	C	25,000	22.07	26-Oct	5-Nov	1,000.00	4.0
WHITE PINE CAPITAL	030	BONT	B	2,075	15.75	17-Oct	5-Nov	103.75	5.0
WOOSTER CAPITAL	035	BONT	B	10,000	15.73	17-Oct	5-Nov	500.00	5.0
SERENGETI MGMT	030	BSX	B	100,000	13.20	n/a	22-Apr	5,000.00	5.0
COUGAR TRADING	044	BWA	S	5,000	102.35	26-Oct	5-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	BWS	S	38,600	17.74	n/a	n/a	1,544.00	4.0
WHITE PINE CAPITAL	030	BWS	B	1,425	17.77	n/a	n/a	71.25	5.0
SUTERA	160	CHP	B	2,500	4.90	n/a	n/a	0.00	0.0
ROBX	033	CMVT	B	114,000	17.10	n/a	n/a	4,560.00	4.0
ZOLIDIS	011	CROX	SS	100	44.76	n/a	n/a	0.00	0.0
BANK OF NEW YORK	040	CSCO	B	14,760	32.81	n/a	22-Mar	664.20	4.5
MATRIX ASSET ADV.	036	CSCO	S	5,000	32.85	n/a	22-Mar	200.00	4.0
WYCKOFF	013	CSCO	B	1	33.12	n/a	22-Mar	0.00	0.0
LISTED ERR	099	CSCO	S	1	33.11	n/a	22-Mar	0.00	0.0
ACT II PARTNERS	067	CVC	SS	20,000	27.75	25-Oct	1-Nov	1,000.00	5.0
NATIONAL BK OF CAN	031	C	B	50,000	35.87	5-Nov	5-Nov	2,000.00	4.0
COLUMBIA PARTNERS	028	DHR	B	14,062	82.76	n/a	n/a	421.86	3.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	29.50	n/a	26-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	099	FDO	S	90	23.26	5-Nov	5-Nov	0.00	0.0
BARR	096	FEIC	S	400	28.06	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FL	SS	20,000	14.00	22-Aug	5-Nov	1,000.00	5.0
J L F ASSET MGMT	039	FL	SS	162,000	13.98	22-Aug	5-Nov	6,480.00	4.0
BUCK CAPITAL MGMT	001	GES	B	140,000	42.65	n/a	n/a	5,600.00	4.0
LEVIN CAPITAL STRATEGIES	012	GES	B	25,000	40.79	n/a	n/a	1,000.00	4.0
WHITE PINE CAPITAL	030	GGG	B	1,350	39.27	n/a	n/a	67.50	5.0
MKT MAKER	097	GYMB	B	100	29.00	10-Aug	5-Nov	0.00	0.0
WHITE PINE CAPITAL	030	IFF	B	1,350	51.02	31-Oct	31-Oct	67.50	5.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	36.85	24-Oct	24-Oct	1,200.00	4.0
BUCK	015	KBH	SS	1,000	25.29	n/a	n/a	0.00	0.0
MENCKE	055	KNOT	S	50	18.72	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	KSS	B	50,000	51.17	2-Nov	5-Nov	2,500.00	5.0
COUGAR TRADING	044	KSS	B	2,500	51.66	2-Nov	5-Nov	125.00	5.0
COUGAR TRADING	044	KSS	SS	12,500	51.53	2-Nov	5-Nov	625.00	5.0
MKT MAKER	097	KSWS	B	14	20.00	n/a	13-Mar	0.00	0.0
EPOCH INV MGMT	030	LM	B	50,600	75.45	12-Oct	2-Nov	2,024.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUNOVA CAPITAL	031	LM	S	80,000	74.48	12-Oct	2-Nov	4,000.00	5.0
J L F ASSET MGMT	039	LOW	SS	75,500	25.01	n/a	27-Jul	3,020.00	4.0
APEX CAPITAL MGMT.	091	LTD	SS	235,000	21.47	n/a	17-Oct	11,750.00	5.0
BUCK CAPITAL MGMT	001	LTD	SS	40,000	21.46	n/a	17-Oct	1,600.00	4.0
CHILTON CAPITAL MGMT.	036	MAR	S	45,900	39.22	n/a	n/a	1,836.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	12,000	38.95	n/a	n/a	600.00	5.0
RAINIER INV MGMT	035	MIR	B	120,300	42.70	n/a	n/a	4,812.00	4.0
RBC CAPITAL MARKETS	034	MMC	B	100,000	25.23	n/a	n/a	4,000.00	4.0
SENTINAL CAPITAL	067	MSFT	B	10,000	36.99	n/a	3-Apr	500.00	5.0
NATIONAL BK OF CAN	031	MS	S	25,000	54.47	2-Jul	16-Oct	1,000.00	4.0
PILOT ROCK	028	MS	B	85,000	55.86	2-Jul	16-Oct	3,400.00	4.0
BARR	096	MTG	SS	850	18.59	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	MTN	B	11,082	55.91	n/a	n/a	332.46	3.0
COUGAR TRADING	044	M	S	15,000	30.56	24-Sep	5-Nov	750.00	5.0
PILOT ADV	038	M	S	25,600	31.70	24-Sep	5-Nov	1,024.00	4.0
HUNTER GLOBAL INVESTOR	067	NCT	B	150,000	13.33	n/a	n/a	6,000.00	4.0
WILLOW CREEK	033	NEXC	B	2,000	5.75	n/a	n/a	80.00	4.0
WHITE PINE CAPITAL	030	NWY	B	5,300	6.60	25-May	5-Nov	265.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	OII	S	24,500	68.76	n/a	n/a	1,225.00	5.0
MS PRINCIPAL STRATEGIES	041	PBR	B	19,400	91.18	n/a	n/a	970.00	5.0
BUCK	015	PDLI	B	1,400	20.24	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	PERY	B	2,775	21.35	n/a	n/a	138.75	5.0
MENCKE	055	PETS	S	50	13.94	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	PPS	B	10,000	38.64	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	PRX	S	2,512	17.21	28-Sep	5-Nov	113.04	4.5
BALYASNY ASSET MGMT	044	PVH	SS	10,000	43.95	13-Aug	29-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	44.25	13-Aug	29-Aug	400.00	4.0
MILLER	N23	QUASX	S	25	32.13	n/a	n/a	0.00	0.0
COUGAR TRADING	044	RL	B	10,000	64.91	31-Oct	31-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	RSH	SS	10,000	19.80	n/a	n/a	400.00	4.0
WHITE PINE CAPITAL	030	RVI	B	1,900	7.75	n/a	n/a	95.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	50,000	22.56	n/a	13-Mar	2,000.00	4.0
PILOT ROCK	028	STJ	SS	100,000	40.38	n/a	n/a	4,000.00	4.0
LUCHANSKY1	036	SYMC	S	224	18.56	n/a	3-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	TBL	C	300	16.59	n/a	13-Mar	0.00	0.0
BALYASNY ASSET MGMT	044	TIF	S	20,000	48.67	18-Oct	18-Oct	1,000.00	5.0
ADAGE CAPITAL MGMT	030	TJX	B	28,600	27.38	21-Sep	5-Nov	1,144.00	4.0
BALYASNY ASSET MGMT	044	TJX	SS	20,000	27.53	21-Sep	5-Nov	1,000.00	5.0
PECONIC PARTNERS	036	TJX	SS	100,000	27.52	21-Sep	5-Nov	5,000.00	5.0
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	24.33	n/a	n/a	400.00	4.0
WHITE PINE CAPITAL	030	UNT	B	200	48.20	n/a	5-Oct	10.00	5.0
LEHMAN PROPRIETARY TRAD	041	VMC	SS	30,000	80.86	n/a	n/a	1,200.00	4.0
GLG PARTNERS	034	WAG	SS	50,000	38.43	n/a	n/a	2,500.00	5.0
MERRILL ASSET	032	WBS	B	23,900	32.72	n/a	n/a	1,075.50	4.5
WHITE PINE CAPITAL	030	WDR	B	200	32.65	23-Oct	1-Nov	10.00	5.0
BUCK	015	WM	SS	800	23.01	n/a	n/a	0.00	0.0
SCOPUS FUND	041	WNC	B	15,000	8.31	n/a	n/a	750.00	5.0
MORGAN LEWIS/MLH	046	XEC	B	10,000	39.96	n/a	n/a	500.00	5.0
SINCLAIR	031	ZKEMI	S	100	0.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	335,460	12.22	n/a	31-Oct	13,418.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	ZQK	B	35,460	12.22	n/a	31-Oct	1,773.00	5.0
J L F ASSET MGMT	039	ZUMZ	SS	39,939	37.61	n/a	n/a	1,597.56	4.0
TOTAL (Trade Date) :								149,052.41	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/02	NEW JERSEY DIV OF INV. (NEWJ5140)	220	BRE	S	77,000	49.92	n/a	n/a	3850.00 5.0
AO,CRT	11/02	NEW JERSEY DIV OF INV. (NEWJ5140)	220	BRE	S	77,000	49.92	n/a	n/a	3080.00 4.0
AO,	11/02	HARRIS ASSOCIATES (HARR3DT)	031	CNO	S	333,900	13.71	n/a	n/a	10017.00 3.0
AO,CXL	11/02	HARRIS ASSOCIATES (HARROMNI)	031	CNO	S	333,900	13.71	n/a	n/a	10017.00 3.0
AO,	11/02	LISTED ERR (LISTED ERR)	099	FDO	B	90	23.77	5-Nov	5-Nov	0.00 0.0
AO,CXL	11/02	WAGONHOUND (WAGO)	048	FDO	B	23,320	23.77	5-Nov	5-Nov	932.80 4.0
AO,CRT	11/02	WAGONHOUND (WAGO)	048	FDO	B	23,230	23.77	5-Nov	5-Nov	929.20 4.0
CRT	11/05	MKT MAKER (MKT MAKER)	097	GYMB	B	100	29.00	10-Aug	5-Nov	0.00 0.0
AO,CRT	11/01	GREENLIGHT CAPITAL (GREL-GS)	041	ITRI	SS	66,002	101.57	n/a	n/a	3300.10 5.0
AO,CXL	11/01	GREENLIGHT CAPITAL (GRELBOA)	041	ITRI	SS	66,002	101.57	n/a	n/a	3300.10 5.0
AO,	11/02	TRELLUS PARTNERS LP (TRELMEER)	028	JCI	SS	4,206	42.78	2-Oct	23-Oct	210.30 5.0
AO,	11/02	TRELLUS PARTNERS LP (TRELGS)	028	JCI	SS	4,206	42.78	2-Oct	23-Oct	210.30 5.0
AO,CXL	11/02	TRELLUS PARTNERS LP (TRELMAIN)	028	JCI	SS	50,000	42.78	2-Oct	23-Oct	2500.00 5.0
AO,CRT	11/02	TRELLUS PARTNERS LP (TRELMAIN)	028	JCI	SS	41,588	42.78	2-Oct	23-Oct	2079.40 5.0
CRT	11/05	MKT MAKER (MKT MAKER)	097	KSWS	B	14	20.00	n/a	13-Mar	0.00 0.0
AO,CXL	11/02	THIRD COAST CAPITAL (3CAPP B @)	035	LVL	B	75,000	3.01	24-Oct	1-Nov	3750.00 5.0
AO,CRT	11/02	THIRD COAST CAPITAL (3CAPP B @)	035	LVL	B	75,000	3.01	24-Oct	1-Nov	2250.00 3.0
AO,CXL	11/02	CROWN ADVISORS (CROWLEY)	061	MZT	S	1,000	0.11	n/a	n/a	0.00 0.0
AO,CRT	11/02	CROWN ADVISORS (CROWLEY)	061	MZT	S	1,000	0.11	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/02	CROWN ADVISORS (CROWLEY)	061	MZT	S	14,000	0.11	n/a	n/a	0.00	0.0
AO,CRT	11/02	CROWN ADVISORS (CROWLEY)	061	MZT	S	14,000	0.11	n/a	n/a	0.00	0.0
AO,	11/02	MKT MAKER (MKT MAKER)	099	NEXC	S	12	5.73	n/a	n/a	0.00	0.0
AO,CXL	11/02	WILLOW CREEK (WILLMAIN)	033	NEXC	B	18,000	5.73	n/a	n/a	900.00	5.0
AO,CRT	11/02	WILLOW CREEK (WILLMAIN)	033	NEXC	B	18,000	5.73	n/a	n/a	720.00	4.0
AO,	11/02	FRIESS MGMT (FRISNUKEAC)	042	PSUN	B	300	15.70	n/a	5-Nov	13.50	4.5
AO,CXL	11/02	FRIESS MGMT (FRISNUKE)	042	PSUN	B	300	15.70	n/a	5-Nov	13.50	4.5
CRT	11/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	S	299,700	12.21	n/a	31-Oct	11988.00	4.0
TOTAL (AO, CXL, CRT) :										9,534.40	

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