



## Daily Compliance Activity Report

Trade Date: 11/27/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>STRATTON</b>	<b>N21</b>	<b>ABK</b>	<b>S</b>	<b>100</b>	<b>25.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRANITE CAPITAL	045	ADI	S	29,000	30.59	n/a	n/a	1,450.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>20,000</b>	<b>21.11</b>	<b>9-Nov</b>	<b>20-Nov</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	S	5,000	20.42	9-Nov	20-Nov	250.00	5.0
GALLEON MGMT LP	033	AEO	B	25,000	20.80	9-Nov	20-Nov	1,250.00	5.0
VENTANA CAPITAL	060	AEO	B	2,500	20.43	9-Nov	20-Nov	125.00	5.0
VENTANA CAPITAL	060	AEO	SS	5,000	20.95	9-Nov	20-Nov	250.00	5.0
VENTANA CAPITAL	060	AEO	S	2,500	20.95	9-Nov	20-Nov	125.00	5.0
<b>BARR</b>	<b>096</b>	<b>ALSC</b>	<b>S</b>	<b>14,500</b>	<b>1.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CROWLEY</b>	<b>061</b>	<b>ALVR</b>	<b>S</b>	<b>1,000</b>	<b>9.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	AOS	B	34,800	33.87	16-Oct	16-Oct	1,392.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>10,000</b>	<b>26.15</b>	<b>9-Nov</b>	<b>20-Nov</b>	<b>400.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	ARO	S	9,800	26.29	9-Nov	20-Nov	490.00	5.0
NEWLAND CAPITAL MGT	067	ASD	S	10,000	34.35	31-Oct	31-Oct	500.00	5.0
NATIONAL BK OF CAN	031	BAC	B	20,000	42.82	13-Nov	20-Nov	800.00	4.0
STRAUSS ASSET MGMT	040	BLOG	B	7,500	24.24	n/a	n/a	375.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>BONT</b>	<b>B</b>	<b>1,200</b>	<b>12.49</b>	<b>9-Nov</b>	<b>21-Nov</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	CBE	B	74,950	48.73	n/a	23-Oct	2,810.64	3.8
JPMSI/TOM LEDDY	035	CCL	B	25,000	43.27	n/a	26-Jan	1,250.00	5.0
U.S.TRUST COMPANY	012	CIT	B	68,380	24.13	n/a	n/a	3,077.10	4.5
ROYCE TRADING	216	CLI	B	10,000	34.71	n/a	n/a	500.00	5.0
MAZAMA CAPITAL MGMT.	035	CML	S	24,500	13.73	n/a	n/a	980.00	4.0
WELLS/STRONG LEDDY	035	CMN	S	8,100	17.19	n/a	n/a	324.00	4.0
FRONTPOINT	044	DD	B	150,000	44.35	n/a	23-Oct	5,250.00	3.5
BEAR STEARNS ASSET MGMT.	033	DHR	S	20,000	84.15	n/a	n/a	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>B</b>	<b>10,000</b>	<b>30.97</b>	<b>n/a</b>	<b>27-Nov</b>	<b>400.00</b>	<b>4.0</b>
AMBER CAPITAL	046	DNR	B	92,300	53.53	n/a	n/a	3,692.00	4.0
NEUBERGER BERMAN	036	DNR	S	38,400	53.18	n/a	n/a	1,920.00	5.0
BULL PATH CAPITAL	044	DPZ	S	25,000	13.45	n/a	24-Apr	1,250.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>DXD</b>	<b>B</b>	<b>100</b>	<b>53.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	EE	S	10,000	25.79	n/a	n/a	400.00	4.0
PRINCIPLE CAPITAL	040	FOSL	B	85,000	41.38	13-Nov	13-Nov	3,400.00	4.0
MERRILL LYNCH STRATEGICI	034	FR	B	20,000	36.09	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAPIDES ASSET MGMT	034	FSS	B	43,700	11.36	n/a	n/a	1,748.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>40.99</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>GES</b>	<b>S</b>	<b>250</b>	<b>40.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	GIL	S	20,000	37.95	5-Nov	5-Nov	800.00	4.0
<b>BUCK</b>	<b>015</b>	<b>GIS</b>	<b>S</b>	<b>1,000</b>	<b>58.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	GLW	S	9,900	23.41	n/a	24-Oct	495.00	5.0
MILLENIUM PARTNERS	028	GLYT	B	5,000	94.05	n/a	n/a	250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>GPI</b>	<b>C</b>	<b>800</b>	<b>26.26</b>	<b>31-Oct</b>	<b>31-Oct</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	HPQ	B	390,800	48.61	n/a	n/a	15,632.00	4.0
ROYCE TRADING	216	HZO	B	10,000	14.43	n/a	n/a	500.00	5.0
<b>LEDY</b>	<b>035</b>	<b>ICON</b>	<b>S</b>	<b>1,073</b>	<b>22.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRANITE CAPITAL	045	ISIL	B	29,100	24.95	n/a	n/a	1,455.00	5.0
<b>KAZMI</b>	<b>010</b>	<b>ITCD</b>	<b>S</b>	<b>1,000</b>	<b>6.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
U.S.TRUST COMPANY	012	IVZ	B	57,000	25.10	21-Nov	26-Nov	2,565.00	4.5
COUGAR TRADING	044	JCG	S	5,000	38.21	24-Oct	24-Oct	250.00	5.0
OPPENHEIMER MGMT.	036	JCP	B	133,700	41.13	15-Nov	16-Nov	5,348.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	JNJ	S	4,950	67.50	n/a	22-Apr	198.00	4.0
ROYCE TRADING	216	JNY	B	10,000	18.53	n/a	1-Nov	500.00	5.0
ROYCE TRADING	216	KEM	B	10,000	6.17	n/a	n/a	500.00	5.0
PROSPECTOR PARTNERS LLC	036	KO	S	10,000	62.60	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>20,000</b>	<b>48.09</b>	<b>9-Nov</b>	<b>16-Nov</b>	<b>800.00</b>	<b>4.0</b>
HIGHBRIDGE CAPITAL	038	KSS	B	109,000	47.89	9-Nov	16-Nov	5,450.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KWD</b>	<b>B</b>	<b>10,000</b>	<b>15.34</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
ROYCE TRADING	216	KWD	B	10,000	15.33	n/a	n/a	500.00	5.0
ROYCE TRADING	216	LDL	B	10,000	9.65	n/a	n/a	500.00	5.0
ROYCE TRADING	216	LNY	B	5,000	21.72	n/a	n/a	250.00	5.0
ROYCE TRADING	216	LPX	B	5,000	13.96	30-Oct	30-Oct	250.00	5.0
ROYCE TRADING	216	LZB	B	10,000	6.21	n/a	n/a	500.00	5.0
<b>BARR</b>	<b>096</b>	<b>MCO</b>	<b>SS</b>	<b>500</b>	<b>35.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRONTPOINT	044	MEE	S	134,600	30.66	n/a	n/a	4,711.00	3.5
<b>LEDDY</b>	<b>035</b>	<b>MER</b>	<b>S</b>	<b>500</b>	<b>52.33</b>	<b>16-Nov</b>	<b>20-Nov</b>	<b>0.00</b>	<b>0.0</b>
GOLD SACHS SPECIAL SIT	030	MGA	B	25,000	82.49	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
U.S.TRUST COMPANY	012	MLI	S	29,900	29.36	9-Oct	23-Oct	1,345.51	4.5
TOKIO MARINE ASSET MGMT	045	MMM	B	11,000	81.52	27-Sep	16-Nov	550.00	5.0
ROYCE TRADING	216	MNI	B	5,000	14.07	n/a	n/a	250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MO</b>	<b>B</b>	<b>300</b>	<b>72.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOGGIN CAP	044	MSFT	B	66,500	33.34	n/a	3-Apr	3,325.00	5.0
CR INTRINIC INVESTMENT	044	MYL	S	400,000	13.78	n/a	27-Nov	20,000.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>MZZ</b>	<b>S</b>	<b>100</b>	<b>59.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	M	S	25,000	28.90	9-Nov	15-Nov	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>70,000</b>	<b>28.90</b>	<b>9-Nov</b>	<b>15-Nov</b>	<b>2,800.00</b>	<b>4.0</b>
JPMSI/TOM LEDDY	035	M	S	25,000	28.05	9-Nov	15-Nov	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>M</b>	<b>S</b>	<b>1,600</b>	<b>28.65</b>	<b>9-Nov</b>	<b>15-Nov</b>	<b>0.00</b>	<b>0.0</b>
RAINIER INV MGMT	035	NE	B	68,995	51.26	n/a	n/a	3,449.75	5.0
CATAPULT	040	NLY	S	10,000	16.38	n/a	n/a	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>NMXXB</b>	<b>B</b>	<b>10</b>	<b>1.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>039</b>	<b>QID</b>	<b>S</b>	<b>200</b>	<b>41.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LAPIDES ASSET MGMT	034	RCII	B	4,000	13.46	n/a	n/a	160.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>65.22</b>	<b>8-Nov</b>	<b>8-Nov</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	10,000	64.97	8-Nov	8-Nov	400.00	4.0
Õ Alice Longley		SDS	B	500	58.4300	n/a	n/a	0.00	0.0
	MAGUIRE 039	SDS	S	100	58.36	n/a	n/a	0.00	0.0
	OGORMAN 046	SDS	B	100	57.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	120,000	18.98	n/a	n/a	4,800.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	21.44	n/a	13-Mar	800.00	4.0
ROYCE TRADING	216	TDY	S	5,000	53.96	n/a	n/a	250.00	5.0
BLACKSTONE KAILIX ASS.	048	TGT	SS	500,000	56.42	n/a	27-Jul	25,000.00	5.0
IRONBOUND CAPITAL	012	TIN	B	10,000	41.34	9-Nov	9-Nov	500.00	5.0
XYLEM GLOBAL	091	TIN	B	10,000	41.77	9-Nov	9-Nov	500.00	5.0
PRIME LOGIC ADV	039	TLB	SS	35,000	13.55	n/a	27-Nov	1,750.00	5.0
XYLEM GLOBAL	091	USG	B	10,000	35.99	24-Oct	24-Oct	500.00	5.0
MERRILL LYNCH STRATEGICI	034	VMW	B	14,000	73.42	n/a	n/a	840.00	6.0
KAZMI	010	VSL	S	500	26.94	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	045	WB	S	57,000	39.81	n/a	n/a	2,850.00	5.0
MAGUIRE	039	WHT	B	1,000	2.48	n/a	n/a	0.00	0.0
CROWLEY	061	WHT	B	2,500	2.50	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	WMT	B	145,000	45.88	20-Nov	20-Nov	7,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	WMT	S	6,000	45.65	20-Nov	20-Nov	240.00	4.0
HIGHBRIDGE CAPITAL	038	WY	SS	69,000	69.21	1-Nov	1-Nov	3,450.00	5.0
<b>KAZMI</b>	<b>010</b>	<b>XOHO</b>	<b>B</b>	<b>5,000</b>	<b>2.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HASAN</b>	<b>010</b>	<b>XOHO</b>	<b>S</b>	<b>5,000</b>	<b>2.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TOKIO MARINE ASSET MGMT	045	XOM	S	10,000	84.78	n/a	n/a	500.00	5.0
SAC TRADING HOWARD	038	ZLC	S	10,000	18.66	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date):</b>							<b>166,123.00</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/27	VENTANA CAPITAL (VENTRRVFD)	060	AEO	S	2,500	20.95	9-Nov	20-Nov	125.00 5.0
CRT	11/27	VENTANA CAPITAL (VENTRRVFD)	060	AEO	SS	5,000	20.95	9-Nov	20-Nov	250.00 5.0
AO,CXL	11/21	ZOLIDIS (ZOLIDIS)	011	GES	B	250	39.94	n/a	n/a	0.00 0.0
AO,CRT	11/21	EMP ERROR (EMP ERROR)	099	GES	B	250	39.94	n/a	n/a	0.00 0.0
AO,CXL	11/26	GRUSS CAPITAL (GRUS)	045	JMBA	S	15,000	3.55	n/a	n/a	600.00 4.0
AO,CRT	11/26	GRUSS CAPITAL (GRUS)	045	JMBA	S	15,000	3.55	n/a	n/a	300.00 2.0
AO,CXL	11/26	PILOT ADV (PILOPARADI)	038	M	S	25,000	29.50	9-Nov	15-Nov	118.00 0.0
AO,CRT	11/26	PILOT ADV (PILOPARADI)	038	M	S	25,000	29.50	9-Nov	15-Nov	1000.00 4.0
TOTAL (AO, CXL, CRT) :										957.00
TOTAL (Trade Date) :									166,123.00	
TOTAL (AO, CXL, CRT) :									957.00	
TOTAL (RUN DATE) / NFS :									167,080.00	



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