



## Daily Compliance Activity Report

Trade Date: 10/18/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTH GROWTH RESEARCH	030	AAWW	S	8,575	56.42	n/a	n/a	343.00	4.0
NORTHPOINT	030	AAWW	S	9,600	56.42	n/a	n/a	384.00	4.0
LAGRANGE CAP ADV	048	ABG	B	11,600	18.96	18-Jun	8-Oct	580.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	84,000	9.50	n/a	n/a	3,360.00	4.0
BALYASNY ASSET MGMT	044	ANF	SS	10,000	79.02	2-Oct	12-Oct	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>78.89</b>	<b>2-Oct</b>	<b>12-Oct</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	SS	5,000	78.65	2-Oct	12-Oct	250.00	5.0
ROTHSCHILD ASSET	040	ARJ	B	20,100	45.33	n/a	n/a	904.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>188,500</b>	<b>20.60</b>	<b>n/a</b>	<b>12-Oct</b>	<b>7,540.00</b>	<b>4.0</b>
VENTANA CAPITAL	060	ARO	SS	10,000	20.43	n/a	12-Oct	400.00	4.0
NORTHPOINT	030	ATU	S	2,000	67.63	n/a	n/a	80.00	4.0
NOMURA CAPITAL	045	AWI	B	1,400	40.79	n/a	n/a	70.00	5.0
CHILTON CAPITAL MGMT.	036	BEAS	S	77,777	18.25	n/a	3-Apr	3,111.08	4.0
LAGRANGE CAP ADV	048	BONT	B	15,000	18.65	17-Oct	17-Oct	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>B</b>	<b>20,000</b>	<b>20.05</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
GEORGE WEISS	034	CBE	SS	2,000	54.62	19-Jul	9-Oct	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>STRATTON</b>	<b>N21</b>	<b>CDL</b>	<b>B</b>	<b>500</b>	<b>4.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	CEM	SS	37,331	9.59	n/a	n/a	1,493.24	4.0
<b>PAKLER</b>	<b>N22</b>	<b>CHL</b>	<b>S</b>	<b>56</b>	<b>94.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	CHS	SS	50,000	12.86	12-Oct	12-Oct	2,000.00	4.0
<b>PAKLER</b>	<b>N22</b>	<b>CMG</b>	<b>B</b>	<b>36</b>	<b>124.09</b>	<b>n/a</b>	<b>24-Apr</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	CMI	B	40,000	138.39	n/a	n/a	2,000.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>CNMMV</b>	<b>S</b>	<b>2</b>	<b>20.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>SS</b>	<b>380,000</b>	<b>42.53</b>	<b>15-Oct</b>	<b>15-Oct</b>	<b>15,200.00</b>	<b>4.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>COH</b>	<b>S</b>	<b>1,100</b>	<b>42.59</b>	<b>15-Oct</b>	<b>15-Oct</b>	<b>0.00</b>	<b>0.0</b>
TRIVIUM CAP MGMT	251	CTXS	B	33,600	39.34	n/a	n/a	1,344.00	4.0
MUHLENKAMP FUND	046	C	S	200,000	44.01	n/a	16-Oct	10,000.00	5.0
<b>PAKLER</b>	<b>N22</b>	<b>DRYS</b>	<b>S</b>	<b>31</b>	<b>120.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	D	SS	8,371	86.83	n/a	n/a	334.84	4.0
<b>KERN</b>	<b>050</b>	<b>EDA</b>	<b>S</b>	<b>500</b>	<b>11.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	EL	B	25,000	43.72	16-Aug	16-Aug	1,000.00	4.0
CATAPULT	040	ETFC	B	10,000	11.47	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	ETFC	SS	10,000	11.67	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	FOSL	C	40,000	37.26	12-Sep	12-Sep	2,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>20,000</b>	<b>54.30</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	GM	S	18,300	40.06	n/a	16-Oct	915.00	5.0
CHILTON CAPITAL MGMT.	036	GM	SS	50,000	38.33	n/a	16-Oct	2,000.00	4.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	39.65	n/a	16-Oct	1,250.00	5.0
DEEPHAVEN	031	HLT	S	50,000	47.34	n/a	n/a	2,000.00	4.0
THIRD COAST CAPITAL	035	HNI	B	15,000	38.68	n/a	n/a	750.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>HONVL</b>	<b>B</b>	<b>10</b>	<b>0.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>HON</b>	<b>SS</b>	<b>600</b>	<b>60.69</b>	<b>9-Oct</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	IFLO	B	35,000	18.52	n/a	n/a	1,750.00	5.0
NORTH GROWTH RESEARCH	030	IIG	S	6,075	23.31	n/a	n/a	243.00	4.0
NORTHPOINT	030	IIG	S	7,100	23.31	n/a	n/a	284.00	4.0
GALLEON MGMT LP	033	IMCL	B	15,000	47.66	n/a	n/a	750.00	5.0
COUGAR TRADING	044	JCG	B	5,000	39.99	22-Jun	6-Sep	250.00	5.0
TRELLUS PARTNERS LP	028	JCI	SS	11,700	42.21	2-Oct	10-Oct	585.00	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>JCP</b>	<b>B</b>	<b>5,000</b>	<b>57.57</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>250.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY HOWARD	038	JCP	B	25,000	57.82	12-Oct	12-Oct	1,250.00	5.0
UBS OCONNOR	031	JPM	B	105,000	45.90	n/a	18-Oct	3,150.00	3.0
BUCK CAPITAL MGMT	001	JWN	S	50,000	40.23	12-Oct	12-Oct	2,000.00	4.0
STRATTON	N21	KEG	B	200	15.25	23-Jul	11-Oct	0.00	0.0
CATAPULT	040	KEY	B	25,000	29.58	n/a	n/a	1,250.00	5.0
CHILTON CAPITAL MGMT.	036	KFT	S	10,000	33.78	n/a	n/a	400.00	4.0
COUGAR TRADING	044	KSS	SS	10,000	55.42	27-Sep	12-Oct	500.00	5.0
COUGAR TRADING	044	KSS	S	5,000	55.99	27-Sep	12-Oct	250.00	5.0
CASTLEROCK	040	LIZ	SS	59,500	29.63	n/a	14-Sep	2,380.00	4.0
PAKLER	N22	LULU	B	83	54.06	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	MAR	B	1,900	41.00	n/a	n/a	95.00	5.0
SSI INVESTORS	048	MDT	SS	49,483	49.00	n/a	22-Apr	1,979.32	4.0
BUCK CAPITAL MGMT	001	M	S	100,000	31.25	24-Sep	12-Oct	4,000.00	4.0
GALLEON MGMT LP	033	M	B	10,000	31.25	24-Sep	12-Oct	500.00	5.0
GOLD SACHS SPECIAL SIT	030	NDN	SS	53,300	10.48	13-Aug	12-Oct	2,665.00	5.0
VISIUM/BALY HOWARD	038	NDN	S	40,000	10.27	13-Aug	12-Oct	2,000.00	5.0
BARR	096	NGI	B	9,950	4.98	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHILTON CAPITAL MGMT.	036	NKTR	S	40,000	6.91	n/a	n/a	1,600.00	4.0
SUN AMERICA ASSET MGMT	030	NWY	B	50,000	6.41	25-May	18-Oct	2,500.00	5.0
THE JAY GOLDMAN	034	NWY	S	50,000	6.40	25-May	18-Oct	2,000.00	4.0
NORTH GROWTH RESEARCH	030	OMPI	S	4,890	21.05	n/a	n/a	195.60	4.0
NORTHPOINT	030	OMPI	S	9,100	21.05	n/a	n/a	364.00	4.0
BACK	041	ORCL	B	50,000	21.39	n/a	n/a	2,500.00	5.0
THIRD COAST CAPITAL	035	PCS	S	30,000	21.85	n/a	n/a	1,500.00	5.0
GARDNER LEWIS ASSET MGMT	028	PFE	C	41,000	24.64	n/a	31-Mar	2,050.00	5.0
LIGHTHOUSE FIN/QUAD	046	PIR	S	7,500	5.39	n/a	n/a	300.00	4.0
CSFB GLOBAL PROPRIETARY	035	PKG	S	30,000	31.00	18-Oct	18-Oct	1,500.00	5.0
BACK	041	PKG	S	22,500	30.78	18-Oct	18-Oct	1,125.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>100,000</b>	<b>18.87</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	PSS	B	15,000	18.69	n/a	n/a	750.00	5.0
METROPOLITAN CAPITAL	044	PSS	B	102,600	18.83	n/a	n/a	5,130.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>40,000</b>	<b>47.25</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>1,600.00</b>	<b>4.0</b>
COLUMBUS CIRCLE	036	PVH	S	42,116	46.16	13-Aug	29-Aug	1,684.64	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	15,200	46.45	13-Aug	29-Aug	570.00	3.8
THIRD COAST CAPITAL	035	PVH	SS	10,000	46.18	13-Aug	29-Aug	500.00	5.0
GOLDEN TREE	036	QQQQ	C	82,800	53.69	n/a	n/a	4,140.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	50,000	69.11	9-Aug	29-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	RL	S	10,000	68.27	9-Aug	29-Aug	400.00	4.0
CHILTON CAPITAL MGMT.	036	RL	S	3,000	69.32	9-Aug	29-Aug	120.00	4.0
COUGAR TRADING	044	RL	B	10,000	69.61	9-Aug	29-Aug	500.00	5.0
COUGAR TRADING	044	RL	SS	10,000	69.48	9-Aug	29-Aug	500.00	5.0
JP MORGAN VENTURES	046	RL	C	10,000	69.03	9-Aug	29-Aug	500.00	5.0
CHILTON CAPITAL MGMT.	036	RX	C	100,000	23.59	n/a	n/a	4,000.00	4.0
LAGRANGE CAP ADV	048	SAM	SS	6,300	54.18	n/a	n/a	315.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	70,000	20.44	n/a	13-Mar	2,800.00	4.0
CASTLEROCK	040	SPLS	SS	80,100	22.01	n/a	27-Jul	3,204.00	4.0
GOLDEN TREE	036	SPY	C	78,215	153.81	n/a	n/a	3,910.75	5.0
GTAM	036	SPY	C	9,185	153.81	n/a	n/a	459.25	5.0
STONERIDGE INV PART	033	SSI	B	47,395	18.08	3-Aug	12-Oct	2,369.75	5.0
ACT II PARTNERS	067	SSP	SS	25,000	44.65	n/a	n/a	1,250.00	5.0
MCCARTAN	028	SWK	C	100	54.77	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	TIF	SS	10,000	56.40	18-Oct	18-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	50,000	28.94	21-Sep	12-Oct	2,000.00	4.0
PRINCIPLE CAPITAL	040	TUP	B	29,100	35.53	n/a	n/a	873.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>B</b>	<b>45,000</b>	<b>30.64</b>	<b>2-Oct</b>	<b>2-Oct</b>	<b>1,800.00</b>	<b>4.0</b>
COUGAR TRADING	044	TWB	B	10,000	30.86	2-Oct	2-Oct	500.00	5.0
JPMSI/TOM LEDDY	035	UA	B	10,000	56.13	n/a	n/a	500.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>UA</b>	<b>SS</b>	<b>100</b>	<b>56.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	VC	B	15,000	5.93	n/a	10-Oct	900.00	6.0
MILLENIUM PARTNERS	028	VC	B	25,000	5.91	n/a	10-Oct	750.00	3.0
MATTHES CAPITAL MGMT	033	VFC	SS	10,000	82.17	n/a	n/a	400.00	4.0
<b>STRATTON</b>	<b>N21</b>	<b>VFWAV</b>	<b>B</b>	<b>4</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	VMED	B	2,100	23.50	n/a	n/a	105.00	5.0
TPG-AXON	040	WAG	C	65,000	38.26	n/a	n/a	3,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>WBMD</b>	<b>S</b>	<b>200</b>	<b>51.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>WBWI</b>	<b>B</b>	<b>75</b>	<b>0.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	WRNC	B	5,000	39.98	19-Sep	28-Sep	250.00	5.0
STELLIAM INV ADV	040	WSM	B	10,000	29.85	n/a	n/a	500.00	5.0
PRINCIPLE CAPITAL	040	YRCW	SS	46,400	25.43	n/a	n/a	1,392.00	3.0
<b>SINCLAIR</b>	<b>031</b>	<b>ZKEMI</b>	<b>B</b>	<b>100</b>	<b>0.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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**TOTAL (Trade Date):**

**160,228.97**

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### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ARO	B	10,000	20.43	n/a	12-Oct	400.00 4.0
AO,CXL	10/15	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	S	840,766	42.13	15-Oct	15-Oct	33630.64 4.0
AO,CRT	10/15	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	S	840,800	42.13	15-Oct	15-Oct	33632.00 4.0
AO,CXL	10/15	BUCK CAPITAL MGMT (BUCKGIL)	001	COH	S	334	42.13	15-Oct	15-Oct	13.36 4.0
AO,CRT	10/15	BUCK CAPITAL MGMT (BUCKGIL)	001	COH	S	300	42.13	15-Oct	15-Oct	12.00 4.0
CRT	10/18	CATAPULT (CATAMSPB)	040	ETFC	SS	10,000	11.67	n/a	n/a	500.00 5.0
CRT	10/18	DEEPHAVEN (DEEPCITIGR)	031	HLT	S	27,812	47.34	n/a	n/a	1112.48 4.0
CRT	10/18	DEEPHAVEN (DEEPDEUTSC)	031	HLT	S	22,188	47.34	n/a	n/a	887.52 4.0
AO,CXL	10/17	METROPOLITAN CAPITAL (METRDEUTSC)	044	KSS	B	1,100	56.98	27-Sep	12-Oct	44.00 4.0
AO,CRT	10/17	METROPOLITAN CAPITAL (METRDEUTSC)	044	KSS	B	1,100	56.98	27-Sep	12-Oct	55.00 5.0
AO,CXL	10/17	METROPOLITAN CAPITAL (METRGS BUL)	044	KSS	B	15,300	56.98	27-Sep	12-Oct	612.00 4.0
AO,CRT	10/17	METROPOLITAN CAPITAL (METRGS BUL)	044	KSS	B	15,300	56.98	27-Sep	12-Oct	765.00 5.0
AO,CXL	10/17	METROPOLITAN CAPITAL (METRSPEAR)	044	KSS	B	700	56.98	27-Sep	12-Oct	28.00 4.0
AO,CRT	10/17	METROPOLITAN CAPITAL (METRSPEAR)	044	KSS	B	700	56.98	27-Sep	12-Oct	35.00 5.0
AO,CXL	10/15	ACT II PARTNERS (ACT2-GOLDM)	067	LVLTT	B	100,000	4.39	6-Sep	17-Oct	5000.00 5.0
AO,	10/15	ACT II PARTNERS (ACT2-GOLDM)	067	LVLTT	B	100,000	4.39	6-Sep	17-Oct	4000.00 4.0
CRT	10/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	10,000	31.25	24-Sep	12-Oct	400.00 4.0
CRT	10/18	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	89,900	31.09	24-Sep	12-Oct	3596.00 4.0
AO,CXL	10/17	FORD FDN. (FORDMAIN)	032	MDT	S	30,000	50.57	n/a	22-Apr	1500.00 5.0
AO,CRT	10/17	FORD FDN. (FORDMAIN)	032	MDT	S	30,000	50.57	n/a	22-Apr	1500.00 5.0
AO,CXL	10/17	MATRIX ASSET ADV. (MATXWFLGCO)	036	TEVA	S	1,600	45.26	2-Aug	18-Oct	1.81 0.0
AO,CRT	10/17	MATRIX ASSET ADV. (MATXWFLGCO)	036	TEVA	S	1,600	45.26	2-Aug	18-Oct	64.00 4.0
AO,CRT	10/17	MATRIX ASSET ADV. (MATXVTCO)	036	TEVA	S	1,000	45.26	2-Aug	18-Oct	40.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/17	MATRIX ASSET ADV. (MATXVALUE)	036	TEVA	S	1,000	45.26	2-Aug	18-Oct	1.81 0.0
AO,	10/17	GALLEON MGMT LP (GALLLEH)	033	WMT	B	40,000	45.46	4-Jun	27-Jul	2000.00 5.0
AO,	10/17	GALLEON MGMT LP (GALLBOA.05)	033	WMT	B	37,800	45.46	4-Jun	27-Jul	1890.00 5.0
AO,	10/17	GALLEON MGMT LP (GALLBOA.05)	033	WMT	B	12,200	45.46	4-Jun	27-Jul	610.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>10,667.38</b>
TOTAL (Trade Date) :										160,228.97
TOTAL (AO, CXL, CRT) :										10,667.38
<b>TOTAL (RUN DATE) / NFS :</b>										<b>170,896.35</b>

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