



Daily Compliance Activity Report

Trade Date: 08/13/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	ABG	SS	5,000	21.30	18-Jun	27-Jul	300.00	6.0
Henry Ngan		ACET	S	600	9.3100	n/a	n/a	0.00	0.0
FRIESS MGMT	042	AEO	B	98,500	23.15	10-Jul	10-Aug	4,432.50	4.5
BUCK CAPITAL MGMT	001	ANF	B	20,000	75.14	12-Jul	10-Aug	800.00	4.0
COUGAR TRADING	044	ANF	S	20,000	74.13	12-Jul	10-Aug	1,000.00	5.0
COUGAR TRADING	044	ANN	SS	15,000	29.92	6-Aug	10-Aug	750.00	5.0
THIRD COAST CAPITAL	035	ANN	B	5,000	29.16	6-Aug	10-Aug	250.00	5.0
THOMSON HORSTMAN BRYANT	040	ANN	B	15,700	29.74	6-Aug	10-Aug	785.00	5.0
Glenn Redemann		AZO	B	3	1.3400	n/a	n/a	0.00	0.0
Glenn Redemann		AZO	B	3	2.0400	n/a	n/a	0.00	0.0
Glenn Redemann		AZO	SS	3	2.1200	n/a	n/a	0.00	0.0
Glenn Redemann		AZO	SS	3	3.6200	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	BAC	B	25,000	49.05	20-Apr	20-Jul	1,250.00	5.0
SAGE ASSET MGMT	012	BBT	B	125,500	38.77	n/a	n/a	6,275.00	5.0
BUCK	015	BBW	S	250	17.46	15-Jun	27-Jul	0.00	0.0
LEDDY	035	BONT	B	1,600	21.47	3-Aug	10-Aug	0.00	0.0
MKT MAKER	099	BONT	B	295	22.15	3-Aug	10-Aug	0.00	0.0
MKT MAKER	099	BONT	S	295	22.42	3-Aug	10-Aug	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	BQI	S	9,048	5.50	n/a	n/a	0.00	0.0
KORMAN	003	BVDUS	S	50	4.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	B	20,000	21.37	n/a	n/a	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	BWS	S	70,000	21.42	n/a	n/a	2,625.00	3.8
SAGE ASSET MGMT	012	BX	B	125,000	26.81	n/a	n/a	6,250.00	5.0
BALYASNY ASSET MGMT	044	CCL	B	10,000	47.85	n/a	26-Jan	500.00	5.0
BUCK	015	CDL	S	23	5.00	n/a	n/a	0.00	0.0
BARR	096	CEVA	S	200	8.38	n/a	n/a	0.00	0.0
ZOLIDIS	011	CHS	C	1,000	18.40	10-Aug	10-Aug	0.00	0.0
INDEPENDENCE INV	039	CMA	S	67,102	53.96	n/a	n/a	2,684.08	4.0
BALYASNY ASSET MGMT	044	CMG	SS	5,000	104.20	24-Apr	24-Apr	250.00	5.0
MORGAN BANK /JPM	012	CMI	B	2,800	119.65	n/a	n/a	84.00	3.0
THIRD COAST CAPITAL	035	COH	B	5,000	46.54	n/a	1-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	22.29	n/a	n/a	800.00	4.0
OTC ERROR	099	CROX	S	108	52.12	n/a	n/a	0.00	0.0
Ö Glenn Redemann		CTRP	B	3	0.3700	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Glenn Redemann		CTRP	B	3	0.6100	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		CTRP	SS	3	1.3900	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		CTRP	SS	3	1.6300	n/a	n/a	0.00	0.0
	ROCKEFELLER & CO.	091	CVX	S	5,550	82.87	n/a	n/a	277.50	5.0
	KORMAN	003	CXTI	S	20,000	3.15	n/a	n/a	0.00	0.0
	MORGAN BANK /JPM	012	DE	B	1,900	118.96	n/a	n/a	57.00	3.0
Õ	Glenn Redemann		DISH	B	2	0.6500	13-Aug	13-Aug	0.00	0.0
Õ	Glenn Redemann		DISH	B	2	1.1500	13-Aug	13-Aug	0.00	0.0
	WALKER SMITH	031	DSW	B	30,000	31.57	2-Aug	10-Aug	0.00	0.0
	GALLEON MGMT LP	033	EEM	C	7,500	130.50	n/a	n/a	375.00	5.0
	INDEPENDENCE INV	039	EL	S	75,440	44.29	11-Jun	11-Jun	3,017.60	4.0
	CASTLEROCK	040	EMS	SS	56,700	32.98	n/a	n/a	2,268.00	4.0
	MORGAN BANK /JPM	012	ETN	B	13,500	93.41	16-Jul	10-Aug	405.00	3.0
	THIRD COAST CAPITAL	035	EXBD	B	2,000	70.27	n/a	n/a	100.00	5.0
	MORGAN BANK /JPM	012	FCX	B	2,100	87.87	n/a	n/a	63.00	3.0
	CAPITAL GROWTH MGMT.	241	FRE	B	30,000	61.08	n/a	n/a	1,500.00	5.0
	CASTLE ARK	031	GIL	B	19,100	34.04	21-Jun	2-Aug	1,146.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STADIA CAPITAL	035	GME	B	25,000	40.71	n/a	n/a	1,000.00	4.0
BARR	096	GNSM	B	500	2.20	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GYMB	S	10,000	40.78	10-Aug	10-Aug	500.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	B	56,547	24.74	8-Aug	10-Aug	2,827.35	5.0
U.S.TRUST COMPANY	012	IVZ	B	57,500	24.67	8-Aug	10-Aug	2,587.50	4.5
LEDY	035	JADE	S	2,500	6.84	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	JCG	B	12,000	49.78	22-Jun	6-Aug	600.00	5.0
COUGAR TRADING	044	JCP	B	5,000	65.27	21-Jun	10-Aug	250.00	5.0
HOLLIS CAPITAL	033	JCP	B	6,000	65.72	21-Jun	10-Aug	300.00	5.0
TRELLUS PARTNERS LP	028	JCP	B	40,000	65.13	21-Jun	10-Aug	2,000.00	5.0
ZOLIDIS	011	JWN	B	200	50.00	12-Jul	10-Aug	0.00	0.0
WHITE PINE CAPITAL	030	KEGS	B	19,700	15.15	23-Jul	9-Aug	985.00	5.0
FRIESS MGMT	042	KFY	B	107,300	23.84	n/a	n/a	4,828.50	4.5
XYLEM GLOBAL	091	KMB	SS	20,000	69.66	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	59.89	14-Jun	27-Jul	800.00	4.0
Glenn Redemann		LLL	B	1	1.5500	n/a	n/a	0.00	0.0
Glenn Redemann		LLL	B	1	2.0000	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	LSI	B	530,100	6.72	n/a	n/a	21,204.00	4.0
INDEPENDENCE INV	039	LYO	S	114,460	44.67	14-May	14-May	4,578.40	4.0
LUCHANSKY	036	MIR	B	500	39.21	n/a	n/a	0.00	0.0
DSG CAPITAL	225	MTRX	B	10,000	20.22	n/a	n/a	500.00	5.0
MORGAN BANK /JPM	012	MTW	B	1,300	76.99	n/a	n/a	39.00	3.0
BALYASNY ASSET MGMT	044	NKE	SS	5,000	56.21	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	NWY	S	35,000	7.55	25-May	10-Aug	1,750.00	5.0
COUGAR TRADING	044	NWY	B	20,000	7.55	25-May	10-Aug	1,000.00	5.0
WELLS/STRONG LEDDY	035	NWY	B	14,700	7.55	25-May	10-Aug	588.00	4.0
MORGAN BANK /JPM	012	PCAR	B	1,500	83.50	n/a	n/a	45.00	3.0
MORGAN BANK /JPM	012	PCU	B	3,000	101.73	n/a	n/a	90.00	3.0
BUCK	015	PFE	S	400	24.07	n/a	31-Mar	0.00	0.0
BARR	096	PMI	SS	950	29.83	n/a	n/a	0.00	0.0
MKT MAKER	099	PSUN	S	2,500	14.14	n/a	10-Aug	0.00	0.0
ASCEND PARTNERS	033	PVH	B	34,900	53.25	13-Aug	13-Aug	1,745.00	5.0
COUGAR TRADING	044	RL	S	10,000	82.01	9-Aug	9-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	SCOX	S	5,500	0.40	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	SMBL	B	5,950	9.00	n/a	n/a	297.50	5.0
ROCKEFELLER & CO.	091	SPY	S	1,000	146.30	n/a	n/a	5.00	0.0
BUCK CAPITAL MGMT	001	SSI	B	40,000	18.23	3-Aug	10-Aug	1,600.00	4.0
OTC ERROR	099	STKL	S	370	12.38	n/a	n/a	0.00	0.0
WHEELER	008	SWNCI	S	30	4.64	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TAP	B	25,000	86.48	n/a	n/a	1,250.00	5.0
DENVER INST. ADV	046	TIF	B	10,460	44.92	1-Jun	13-Jun	418.40	4.0
ROCKEFELLER & CO.	091	TOT	S	8,550	74.06	n/a	n/a	427.50	5.0
BUCK CAPITAL MGMT	001	TWB	B	25,000	39.82	2-Jul	6-Aug	1,000.00	4.0
MATRIX ASSET ADV.	036	TYC	B	21,700	43.94	6-Aug	7-Aug	868.00	4.0
BRIGHTPOINT CAP	067	UNT	B	36,000	53.67	n/a	13-Aug	1,800.00	5.0
MERRILL ASSET	032	VQ	B	31,000	16.97	n/a	n/a	1,395.00	4.5
MERRILL ASSET	032	WDR	B	31,800	24.01	13-Jul	10-Aug	1,431.00	4.5
BARR	096	WM	SS	300	35.95	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROCKEFELLER & CO.	091	XOM	S	2,240	83.70	n/a	n/a	112.00	5.0
LISTED ERR	099	XOM	B	8,500	83.73	n/a	n/a	0.00	0.0
LISTED ERR	099	XOM	S	17,000	83.70	n/a	n/a	425.00	2.5
THIRD COAST CAPITAL	035	XRIT	SS	8,000	14.65	n/a	n/a	400.00	5.0
BUCK	015	YUM	B	300	31.19	n/a	24-Apr	0.00	0.0
TOTAL (Trade Date):								100,691.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST202)	038	ARO	B	700	34.02	n/a	10-Aug	26.25 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST203)	038	ARO	B	100	34.02	n/a	10-Aug	3.75 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST167)	038	ARO	B	400	34.02	n/a	10-Aug	15.00 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST161)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST157)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST153)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST149)	038	ARO	B	3,300	34.02	n/a	10-Aug	123.75 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST145)	038	ARO	B	1,000	34.02	n/a	10-Aug	37.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST142)	038	ARO	B	600	34.02	n/a	10-Aug	22.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST127)	038	ARO	B	300	34.02	n/a	10-Aug	11.25 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST19)	038	ARO	B	9,900	34.02	n/a	10-Aug	371.25 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST124)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST112)	038	ARO	B	100	34.02	n/a	10-Aug	3.75 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST122)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST121)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST111)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST21)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST102)	038	ARO	B	200	34.02	n/a	10-Aug	7.50 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST101)	038	ARO	B	1,300	34.02	n/a	10-Aug	48.75 3.8
AO,	08/10	SYSTEMATIC FINANCIAL MGT (SYST6)	038	ARO	B	500	34.02	n/a	10-Aug	18.75 3.8
AO,	08/10	PILOT ADV (PILOBSOMNI)	038	AZO	B	5,100	115.93	n/a	n/a	204.00 4.0
AO,	08/10	PILOT ADV (PILOUBS)	038	AZO	B	200	115.93	n/a	n/a	8.00 4.0
AO,	08/10	PILOT ADV (PILOPARADI)	038	AZO	B	10,700	115.93	n/a	n/a	428.00 4.0
AO,CXL	08/08	PAKLER (PAKLER)	N22	CROX	B	108	58.77	n/a	n/a	0.00 0.0
AO,CRT	08/08	OTC ERROR (OTC ERROR)	N22	CROX	B	108	58.77	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/10	HAYGROUND COE (HAYGFUND)	039	HD	B	142,600	35.45	n/a	27-Jul	7130.00 5.0
AO,	08/10	PILOT ADV (PILOBSOMNI)	038	M	B	13,000	32.79	13-Jul	10-Aug	520.00 4.0
AO,	08/10	PILOT ADV (PILOUBS)	038	M	B	2,000	32.79	13-Jul	10-Aug	80.00 4.0
AO,	08/10	PILOT ADV (PILOPARADI)	038	M	B	35,000	32.79	13-Jul	10-Aug	1400.00 4.0
AO,CXL	08/09	BALYASNY ASSET MGMT (BALY)	044	NWY	S	15,000	7.73	25-May	10-Aug	750.00 5.0
AO,CRT	08/09	BALYASNY ASSET MGMT (BALY)	044	NWY	S	15,000	7.73	25-May	10-Aug	600.00 4.0
AO,CRT	08/10	MKT MAKER (MKT MAKER)	099	PSUN	B	5,000	14.01	n/a	10-Aug	0.00 0.0
AO,CXL	08/10	COUGAR TRADING (COUGPB MS)	044	PSUN	B	15,000	14.07	n/a	10-Aug	750.00 5.0
AO,	08/10	COUGAR TRADING (COUGPB MS)	044	PSUN	B	15,000	14.21	n/a	10-Aug	750.00 5.0
AO,	08/10	ROTHSCHILD ASSET (ROTH500100)	040	RGS	S	400	34.37	n/a	n/a	18.00 4.5
AO,	08/10	ROTHSCHILD ASSET (ROTH344)	040	RGS	S	2,600	34.37	n/a	n/a	117.00 4.5
AO,	08/10	ROTHSCHILD ASSET (ROTH396)	040	RGS	S	4,020	34.37	n/a	n/a	180.90 4.5
AO,CXL	08/08	PAKLER (PAKLER)	N22	STKL	B	370	13.39	n/a	n/a	0.00 0.0
AO,CRT	08/08	OTC ERROR (OTC ERROR)	N22	STKL	B	370	13.39	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :									10,685.90	

TOTAL (Trade Date) :	100,691.83
TOTAL (AO, CXL, CRT) :	10,685.90

TOTAL (RUN DATE) / NFS:

111,377.73

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