



## Daily Compliance Activity Report

Trade Date: 10/23/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	50,000	22.42	12-Oct	12-Oct	2,000.00	4.0
RH CAPITAL ASSOCIATES	060	AEO	B	45,000	22.44	12-Oct	12-Oct	2,250.00	5.0
ROSEDALE CAPITAL	046	AEO	B	10,000	22.66	12-Oct	12-Oct	500.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	9,300	9.22	n/a	n/a	372.00	4.0
DALTON GREINER	012	AMG	B	26,000	130.50	25-Jul	22-Oct	1,300.00	5.0
SAC TRADING HOWARD	038	ANN	SS	35,000	31.39	6-Aug	12-Oct	1,750.00	5.0
BUCK	015	ANN	C	500	30.44	6-Aug	12-Oct	0.00	0.0
OGORMAN	046	AN	SS	800	17.24	n/a	23-Oct	0.00	0.0
SCOPUS FUND	041	ARA	S	14,500	76.00	n/a	n/a	725.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	330,000	21.29	n/a	12-Oct	13,200.00	4.0
PATTEN & PATTEN	067	BBH	S	300	179.51	n/a	n/a	15.00	5.0
SINCLAIR	031	BEHWF	B	10	1.80	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BIG	SS	10,000	25.99	n/a	12-Oct	500.00	5.0
XYLEM GLOBAL	091	BOW	SS	50,000	17.42	n/a	21-Sep	2,500.00	5.0
PATTEN & PATTEN	067	BP	S	150	74.91	n/a	n/a	7.50	5.0
MEISENBACH CAP MGMT	041	BRCM	B	10,000	42.00	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	BR	S	10,000	19.48	n/a	30-Jan	400.00	4.0
NATIONAL BK OF CAN	031	BSC	S	15,000	116.18	4-Sep	22-Oct	600.00	4.0
CASTLEROCK	040	CBG	B	128,200	25.39	n/a	n/a	5,128.00	4.0
DIAMONDBACK CAP MGMT	232	COF	C	10,000	61.46	n/a	n/a	500.00	5.0
ADAGE CAPITAL MGMT	030	COH	SS	75,000	38.25	15-Oct	15-Oct	3,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>100,000</b>	<b>36.85</b>	<b>15-Oct</b>	<b>15-Oct</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	COH	B	10,000	37.69	15-Oct	15-Oct	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	COH	B	10,000	36.76	15-Oct	15-Oct	400.00	4.0
SENTINAL CAPITAL	067	COH	B	15,000	36.66	15-Oct	15-Oct	750.00	5.0
DENVER INST. ADV	046	COST	B	31,100	66.29	n/a	27-Jul	1,244.00	4.0
SIGMA CAPITAL ASSOCIATES	237	CSCO	B	100,000	31.18	n/a	22-Mar	3,500.00	3.5
PATTEN & PATTEN	067	CVA	B	500	23.87	n/a	n/a	25.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>CWOKF</b>	<b>S</b>	<b>2</b>	<b>20.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY4</b>	<b>036</b>	<b>DCTH</b>	<b>S</b>	<b>1,500</b>	<b>1.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY</b>	<b>036</b>	<b>DCTH</b>	<b>S</b>	<b>6,000</b>	<b>1.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRIESS MGMT	042	DELL	B	1,521,100	28.49	n/a	n/a	68,449.50	4.5
SIGMA CAPITAL ASSOCIATES	237	DRI	B	25,000	44.21	n/a	24-Apr	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>DSL</b>	<b>SS</b>	<b>200</b>	<b>42.46</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.	
<b>LEDDY</b>	<b>035</b>	<b>DXD</b>	<b>S</b>	<b>700</b>	<b>48.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>ETN</b>	<b>B</b>	<b>200</b>	<b>92.05</b>	<b>9-Oct</b>	<b>15-Oct</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	FHN	S	200	24.58	n/a	n/a	10.00	5.0
BALYASNY ASSET MGMT	044	FII	S	20,000	40.54	n/a	22-Oct	1,000.00	5.0
SUNOVA CAPITAL	031	FII	B	50,000	40.57	n/a	22-Oct	2,500.00	5.0
REINHART & MAHONEY	031	FSP	S	10,000	16.55	n/a	n/a	500.00	5.0
NOMURA CAPITAL	045	FWLT	B	500	143.10	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	GCI	S	150	42.17	n/a	n/a	7.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>10,000</b>	<b>52.21</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	GLW	B	12,000	25.02	n/a	16-Oct	600.00	5.0
NOMURA CAPITAL	045	GPI	B	1,700	31.17	n/a	23-Oct	85.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>SS</b>	<b>100,000</b>	<b>17.88</b>	<b>n/a</b>	<b>12-Oct</b>	<b>4,000.00</b>	<b>4.0</b>
PORTER-ORLIN-FELDMAN	044	GPS	B	50,000	17.85	n/a	12-Oct	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	HBI	C	10,000	26.18	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	HES	S	10,000	65.58	n/a	n/a	400.00	4.0
NOMURA CAPITAL	045	HOS	S	4,400	38.89	n/a	n/a	220.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LISTED ERR</b>	<b>099</b>	<b>HRL</b>	<b>S</b>	<b>5,000</b>	<b>36.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DOUBLE V/PBX	045	IACI	B	8,000	28.10	n/a	n/a	400.00	5.0
DIAMONDBACK CAP MGMT	232	IVZ	B	20,000	28.75	8-Oct	22-Oct	1,000.00	5.0
BARON ASSET MGMT*	012	JCG	B	75,000	37.77	22-Jun	6-Sep	3,750.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	37.90	22-Jun	6-Sep	250.00	5.0
<b>LEDY</b>	<b>035</b>	<b>KEG</b>	<b>S</b>	<b>600</b>	<b>15.12</b>	<b>23-Jul</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	KO	S	10,000	59.52	n/a	n/a	400.00	4.0
COUGAR TRADING	044	KSS	SS	5,000	55.38	27-Sep	12-Oct	250.00	5.0
NATIONAL BK OF CAN	031	LEH	S	10,000	56.68	12-Jun	16-Oct	400.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>LESAM</b>	<b>B</b>	<b>5</b>	<b>1.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PHILADELPHIA FINANCIAL	033	LM	B	21,876	82.43	12-Oct	22-Oct	1,093.80	5.0
WASHINGTON ASSET	048	LM	S	2,600	83.43	12-Oct	22-Oct	130.00	5.0
BEAR STEARNS ASSET MGMT.	033	LTD	SS	50,000	21.49	n/a	17-Oct	2,000.00	4.0
ACT II PARTNERS	067	LVL	B	200,000	3.75	6-Sep	23-Oct	8,000.00	4.0
CR INTRINIC INVESTMENT	044	LVL	B	500,000	3.56	6-Sep	23-Oct	15,000.00	3.0
JP MORGAN VENTURES	046	LVL	B	1,042,950	3.54	6-Sep	23-Oct	31,288.50	3.0
MILLENIUM PARTNERS	028	LVL	B	50,000	3.33	6-Sep	23-Oct	1,500.00	3.0
RAMIUS CAP	040	LVL	C	600,000	3.54	6-Sep	23-Oct	18,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	LVLT	B	300,000	3.58	6-Sep	23-Oct	12,000.00	4.0
SSI INVESTORS	048	LVLT	B	272,199	3.59	6-Sep	23-Oct	10,887.96	4.0
STELLIAM INV ADV	040	LVLT	B	50,000	3.51	6-Sep	23-Oct	1,500.00	3.0
STELLIAM INV ADV	040	LVLT	SS	200,000	3.69	6-Sep	23-Oct	6,000.00	3.0
WHALE ROCK CAP	030	LVLT	SS	1,900,000	3.48	6-Sep	23-Oct	57,000.00	3.0
LEVIN CAPITAL STRATEGIES	012	MAS	SS	12,500	22.46	n/a	n/a	500.00	4.0
PATTEN & PATTEN	067	MBI	B	2,375	57.47	n/a	n/a	118.75	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>MERKV</b>	<b>B</b>	<b>60</b>	<b>0.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NATIONAL BK OF CAN	031	MER	B	25,000	65.41	5-Oct	16-Oct	1,000.00	4.0
UBS OCONNOR	031	MER	C	100,000	65.23	5-Oct	16-Oct	3,000.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>MER</b>	<b>B</b>	<b>500</b>	<b>66.09</b>	<b>5-Oct</b>	<b>16-Oct</b>	<b>0.00</b>	<b>0.0</b>
DALTON GREINER	012	MLI	B	27,600	32.12	9-Oct	23-Oct	1,380.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>MZZ</b>	<b>S</b>	<b>700</b>	<b>51.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASIX	033	NDN	B	23,000	10.06	13-Aug	12-Oct	920.00	4.0
MAZAMA CAPITAL MGMT.	035	NGS	S	37,600	18.00	n/a	n/a	1,504.00	4.0
HIGHBRIDGE CAPITAL	038	NVT	B	2,300	75.89	n/a	n/a	115.00	5.0
<b>LUCHANSKY</b>	<b>036</b>	<b>OPY</b>	<b>S</b>	<b>400</b>	<b>38.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRON HORSE CAPITAL MGMT	038	OXPS	B	20,000	27.29	n/a	n/a	1,000.00	5.0
WYPER CAPITAL	044	PHG	S	41,500	41.35	n/a	n/a	1,660.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT	039	PLCE	SS	4,400	23.93	26-Sep	18-Oct	220.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>PLCE</b>	<b>SS</b>	<b>72</b>	<b>23.93</b>	<b>26-Sep</b>	<b>18-Oct</b>	<b>3.60</b>	<b>5.0</b>
PZENA INV ADV	044	PMC	S	37,150	15.80	n/a	n/a	1,486.00	4.0
PENZ	044	PMC	S	2,609	15.80	n/a	n/a	104.36	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>PSS</b>	<b>S</b>	<b>900</b>	<b>19.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QJPLJ</b>	<b>B</b>	<b>50</b>	<b>9.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QJPLL</b>	<b>S</b>	<b>40</b>	<b>4.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	RJF	B	5,000	32.61	n/a	n/a	250.00	5.0
DENVER INST. ADV	046	RL	S	24,800	67.12	9-Aug	29-Aug	992.00	4.0
CUMBERLAND	038	RRGB	S	5,000	40.46	n/a	n/a	200.00	4.0
ADAGE CAPITAL MGMT	030	RSH	SS	50,000	19.99	n/a	n/a	2,000.00	4.0
ASCEND PARTNERS	033	RSH	C	24,500	19.88	n/a	n/a	1,225.00	5.0
<b>Õ Alice Longley</b>		<b>SDS</b>	<b>S</b>	<b>600</b>	<b>51.6300</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>SKF</b>	<b>B</b>	<b>1,000</b>	<b>84.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>SKF</b>	<b>B</b>	<b>100</b>	<b>84.20</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>SKX</b>	<b>B</b>	<b>60,000</b>	<b>21.37</b>	<b>n/a</b>	<b>13-Mar</b>	<b>2,400.00</b>	<b>4.0</b>
BRANDWINE	028	TGT	B	14,000	61.25	n/a	27-Jul	630.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	TINWJ	S	12	0.90	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	034	TWB	S	25,000	30.28	2-Oct	2-Oct	1,000.00	4.0
MILLENIUM PARTNERS	028	T	S	4,000	41.76	21-Sep	23-Oct	200.00	5.0
LISTED ERR	099	T	B	4,000	41.76	21-Sep	23-Oct	0.00	0.0
LISTED ERR	099	T	SS	4,000	41.76	21-Sep	23-Oct	0.00	0.0
BRANDWINE	028	USB	B	31,100	31.52	n/a	n/a	1,399.50	4.5
LISTED ERR	099	WBC	B	1,500	48.21	n/a	9-Oct	0.00	0.0
LISTED ERR	099	WBC	S	1,500	48.29	n/a	9-Oct	0.00	0.0
KAICHER	064	WBMD	S	500	43.91	n/a	n/a	0.00	0.0
BRANDWINE	028	WB	B	20,900	45.95	n/a	n/a	940.50	4.5
PATTEN & PATTEN	067	WB	B	3,000	45.73	n/a	n/a	150.00	5.0
LEDDY	035	WCI	B	2,400	5.33	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	WDR	B	40,000	29.88	23-Oct	23-Oct	2,000.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	98,200	30.05	23-Oct	23-Oct	4,910.00	5.0
BRANDWINE	028	WFC	B	17,200	33.72	n/a	n/a	774.00	4.5
BUCK	015	WYWN	B	10	4.50	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								330,946.47	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/23	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ARO	B	330,000	21.29	n/a	12-Oct	13200.00 4.0
AO,	10/22	PB EXEC/BODRI/MS PRIME (DOVVMORGAN)	045	EXPE	B	7,000	32.65	n/a	n/a	350.00 5.0
AO,	10/22	REINHART & MAHONEY (REINSMTR2)	031	FSP	S	158	16.66	n/a	n/a	7.90 5.0
AO,	10/22	REINHART & MAHONEY (REINSOFMA4)	031	FSP	S	533	16.66	n/a	n/a	26.65 5.0
AO,	10/22	REINHART & MAHONEY (REINSOFRE5)	031	FSP	S	529	16.66	n/a	n/a	26.45 5.0
AO,	10/22	REINHART & MAHONEY (REINWIGANN)	031	FSP	S	533	16.66	n/a	n/a	26.65 5.0
AO,	10/22	REINHART & MAHONEY (REINSORT90)	031	FSP	S	269	16.66	n/a	n/a	13.45 5.0
AO,	10/22	REINHART & MAHONEY (REINDUDFAM)	031	FSP	S	154	16.66	n/a	n/a	7.70 5.0
AO,	10/22	REINHART & MAHONEY (REINKANTJM)	031	FSP	S	2,390	16.66	n/a	n/a	119.50 5.0
AO,	10/22	REINHART & MAHONEY (REINWILLIR)	031	FSP	S	849	16.66	n/a	n/a	42.45 5.0
AO,	10/22	REINHART & MAHONEY (REINSTRATT)	031	FSP	S	3,100	16.66	n/a	n/a	155.00 5.0
AO,	10/22	REINHART & MAHONEY (REINPETTIT)	031	FSP	S	4,834	16.66	n/a	n/a	241.70 5.0
AO,	10/22	REINHART & MAHONEY (REINCHESTE)	031	FSP	S	1,742	16.66	n/a	n/a	87.10 5.0
AO,	10/22	REINHART & MAHONEY (REINMILLER)	031	FSP	S	3,475	16.66	n/a	n/a	173.75 5.0
AO,	10/22	REINHART & MAHONEY (REINMKETRA)	031	FSP	S	14,201	16.66	n/a	n/a	710.05 5.0
AO,	10/22	REINHART & MAHONEY (REINSECHAR)	031	FSP	S	403	16.66	n/a	n/a	20.15 5.0
AO,	10/22	REINHART & MAHONEY (REINCST64M)	031	FSP	S	4,076	16.66	n/a	n/a	203.80 5.0
AO,	10/22	REINHART & MAHONEY (REINGILBER)	031	FSP	S	344	16.66	n/a	n/a	17.20 5.0
AO,CXL	10/22	CATAPULT (CATAMSPB)	040	IBKR	S	25,000	28.34	n/a	n/a	1.42 0.0
AO,CRT	10/22	CATAPULT (CATAMSPB)	040	IBKR	S	25,000	28.34	n/a	n/a	1250.00 5.0
CRT	10/23	WHALE ROCK CAP (WHAL4CENTS)	030	LVLTT	SS	1,900,000	3.48	6-Sep	23-Oct	57000.00 3.0
AO,CRT	10/22	HIGHBRIDGE CAPITAL (HIGBCITI)	038	NVT	B	50,000	75.80	n/a	n/a	2500.00 5.0
AO,CXL	10/22	HIGHBRIDGE CAPITAL (HIGBNEW)	038	NVT	B	50,000	75.80	n/a	n/a	2500.00 5.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/22	LISTED ERR (LISTED ERR)	038	PSS	B	900	18.68	n/a	n/a	0.00 0.0
AO,CXL	10/22	J L F ASSET MGMT (JLFA\$0.04)	039	PSS	B	25,700	18.45	n/a	n/a	1028.00 4.0
AO,CRT	10/22	J L F ASSET MGMT (JLFA\$0.04)	039	PSS	B	24,800	18.44	n/a	n/a	992.00 4.0
AO,	10/22	STRONG/WELL HOWARD (SCHI)	038	PSS	B	900	18.68	n/a	n/a	0.00 0.0
CRT	10/23	THE JAY GOLDMAN (GOLDGSBULK)	034	TWB	S	25,000	30.28	2-Oct	2-Oct	1000.00 4.0
AO,CXL	10/22	PB EXEC/BODRI/MS PRIME (DOVVMORGAN)	045	UA	B	4,100	53.10	n/a	n/a	164.00 4.0
AO,CRT	10/22	PB EXEC/BODRI/MS PRIME (DOVVMORGAN)	045	UA	B	4,100	53.10	n/a	n/a	205.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>74,683.08</b>
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TOTAL (Trade Date) :	330,946.47
TOTAL (AO, CXL, CRT) :	74,683.08

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>405,629.55</b>
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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