



Daily Compliance Activity Report

Trade Date: 08/21/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	AAI	S	1,000	10.03	n/a	n/a	0.00	0.0
WOOSTER CAPITAL	035	AB	B	35,000	81.41	9-Aug	10-Aug	1,750.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	24,000	22.61	10-Jul	21-Aug	960.00	4.0
BALYASNY ASSET MGMT	044	AMTD	B	100,000	16.35	n/a	n/a	5,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AMX	B	22,100	56.23	n/a	n/a	828.75	3.8
BUCK CAPITAL MGMT	001	ANF	S	14,000	77.83	12-Jul	10-Aug	560.00	4.0
COUGAR TRADING	044	ANF	S	5,000	77.84	12-Jul	10-Aug	250.00	5.0
COUGAR TRADING	044	ANN	B	20,000	29.04	6-Aug	16-Aug	1,000.00	5.0
CHILTON CAPITAL MGMT.	036	AN	C	80,446	19.25	n/a	27-Jul	3,217.84	4.0
HIGHBRIDGE CAPITAL	038	APC	B	6,000	48.27	22-Jun	14-Aug	300.00	5.0
COUGAR TRADING	044	ARO	SS	5,000	35.17	n/a	15-Aug	250.00	5.0
NEUBERGER BERMAN	036	ARRO	S	5,000	44.00	n/a	n/a	200.00	4.0
LEDDY	035	AXE	B	300	73.60	24-Jul	24-Jul	0.00	0.0
DIAMONDBACK CAP MGMT	232	BAC	S	50,000	51.34	20-Apr	16-Aug	2,500.00	5.0
LEDDY	035	BBW	B	700	17.21	15-Jun	27-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STADIA CAPITAL	035	BBY	SS	25,000	44.10	1-May	27-Jul	1,000.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	130.45	8-Aug	10-Aug	500.00	5.0
THE JAY GOLDMAN	034	BJ	B	5,800	31.81	10-Apr	27-Jul	232.00	4.0
DELTEC ASSET MGMT.	040	CC	S	7,500	11.18	1-May	27-Jul	300.00	4.0
NEUBERGER BERMAN	036	CEG	S	2,800	82.59	n/a	n/a	140.00	5.0
HARVEST MGMT	039	CHS	SS	60,000	17.70	10-Aug	10-Aug	3,000.00	5.0
AMATURO	018	CLF	S	200	65.50	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	CNQ	B	26,700	63.59	n/a	n/a	1,335.00	5.0
HIGHBRIDGE CAPITAL	038	COG	B	9,000	32.59	n/a	n/a	450.00	5.0
BUCK CAPITAL MGMT	001	COH	B	30,000	43.06	n/a	1-Aug	1,200.00	4.0
COUGAR TRADING	044	COH	B	15,000	43.06	n/a	1-Aug	750.00	5.0
KARSCH CAPITAL	034	COH	C	74,000	43.28	n/a	1-Aug	2,220.00	3.0
THIRD POINT MGMT	044	COH	SS	200,000	43.14	n/a	1-Aug	8,000.00	4.0
BEAR STEARNS ASSET MGMT.	033	CPWM	C	117,000	5.00	n/a	n/a	3,510.00	3.0
WEINTRAUB CAPITAL MGT.	040	CPWM	SS	75,000	5.00	n/a	n/a	3,000.00	4.0
CANTILLON CAPITAL	040	CSCO	B	145,300	30.14	n/a	22-Mar	7,265.00	5.0
MAGNETAR FINANCIAL	247	CY	B	6,700	23.92	n/a	n/a	268.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DALTON GREINER	012	DLTR	S	17,410	37.87	10-Aug	10-Aug	870.50	5.0
HOLLIS CAPITAL	033	DO	SS	3,000	90.93	n/a	n/a	150.00	5.0
NEUBERGER BERMAN	036	DPL	S	12,400	26.26	n/a	n/a	620.00	5.0
CROWLEY	061	EFR	B	900	16.76	n/a	n/a	0.00	0.0
GOLD SACHS SPECIAL SIT	030	ETH	SS	75,000	34.03	n/a	n/a	3,750.00	5.0
MAZAMA CAPITAL MGMT.	035	EVR	B	8,400	22.08	n/a	n/a	336.00	4.0
BALYASNY ASSET MGMT	044	EV	B	20,000	38.72	23-May	20-Aug	1,000.00	5.0
Õ Glenn Redemann		EXC	B	3	1.1800	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXC	B	3	1.8300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXC	SS	3	2.2200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXC	SS	3	3.4900	n/a	n/a	0.00	0.0
KORMAN	003	FAHUP	S	30	3.50	n/a	n/a	0.00	0.0
AVESTA CAP	229	FDO	SS	20,000	27.11	9-Aug	10-Aug	1,000.00	5.0
THE BOSTON COMPANY	214	FDO	S	53,700	27.37	9-Aug	10-Aug	2,148.00	4.0
NEUBERGER BERMAN	036	FNF	S	13,900	19.50	n/a	n/a	695.00	5.0
NEUBERGER BERMAN	036	FR	S	6,100	41.16	n/a	n/a	305.00	5.0
BUCK CAPITAL MGMT	001	GES	S	7,500	47.77	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	GLD	B	300	65.15	n/a	n/a	0.00	0.0
SENTINAL CAPITAL	067	GLW	B	20,000	23.39	n/a	21-Aug	1,000.00	5.0
ADAGE CAPITAL MGMT	030	GPS	B	265,500	17.60	n/a	10-Aug	10,620.00	4.0
THE BOSTON COMPANY	214	GPS	B	184,000	17.44	n/a	10-Aug	5,520.00	3.0
MUHLENKAMP FUND	046	GT	B	391,238	28.38	n/a	n/a	19,561.90	5.0
NEUBERGER BERMAN	036	HAL	S	17,600	32.36	n/a	n/a	880.00	5.0
GLG PARTNERS	034	HD	S	25,000	34.27	n/a	27-Jul	1,250.00	5.0
LISTED ERR	099	HS	B	4,500	19.40	n/a	n/a	0.00	0.0
LISTED ERR	099	HS	S	4,500	19.39	n/a	n/a	0.00	0.0
STRONG/WELL HOWARD	038	IM	B	22,400	18.49	n/a	n/a	896.00	4.0
Ö Glenn Redemann		JBL	??	2	0.1500	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	S	5,000	47.93	22-Jun	6-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	S	9,000	65.28	21-Jun	16-Aug	360.00	4.0
COUGAR TRADING	044	JCP	B	5,000	66.03	21-Jun	16-Aug	250.00	5.0
IRON HORSE CAPITAL MGMT	038	JNC	S	24,400	61.59	20-Jun	10-Aug	1,220.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	45.12	12-Jul	17-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	15,000	60.13	14-Jun	27-Jul	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KVA	S	7,000	27.15	n/a	n/a	280.00	4.0
NEUBERGER BERMAN	036	LEN	S	10,700	29.53	n/a	n/a	535.00	5.0
DELTEC ASSET MGMT.	040	LOW	S	8,000	29.22	n/a	27-Jul	400.00	5.0
SIGMA CAPITAL ASSOCIATES	044	LVLTT	B	250,000	4.97	26-Jul	16-Aug	7,500.00	3.0
Õ Glenn Redemann		LVS	??	3	0.1000	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	214	MCO	S	30,000	47.38	n/a	n/a	1,500.00	5.0
BUCK	015	MERVK	B	15	0.70	n/a	n/a	0.00	0.0
TRIBECA/DOUG	040	MER	SS	10,000	74.96	18-Jul	16-Aug	400.00	4.0
CAXTON PART	040	MNST	B	75,000	34.59	n/a	n/a	3,000.00	4.0
BRUNNER	012	MTRX	S	500	19.10	n/a	n/a	0.00	0.0
SOLARIS INV MGMT	036	MU	S	115,000	11.17	n/a	n/a	5,750.00	5.0
LEDDY	035	NEXC	B	3,000	6.33	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NMX	B	4	3.6000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NMX	B	4	4.8000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NMX	SS	4	5.0000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NMX	SS	4	6.7000	n/a	n/a	0.00	0.0
BRUNNER	012	NPO	S	500	41.93	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	NWY	S	20,000	7.39	25-May	10-Aug	1,000.00	5.0
BARR	096	PAAS	B	800	22.00	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	PERY	B	3,850	29.76	n/a	n/a	192.50	5.0
NEUBERGER BERMAN	036	PMI	S	9,400	31.48	n/a	n/a	470.00	5.0
Õ Glenn Redemann		PNRA	B	2	0.2600	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PNRA	B	2	0.2800	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PNRA	SS	2	0.9700	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PNRA	SS	2	1.0200	n/a	n/a	0.00	0.0
CASTANEDA	001	PVH	B	65	51.45	13-Aug	13-Aug	0.00	0.0
STRONG/WELL HOWARD	038	RACK	B	47,400	12.00	n/a	n/a	1,896.00	4.0
HIGHBRIDGE CAPITAL	038	RBC	SS	19,400	51.02	n/a	n/a	970.00	5.0
COUGAR TRADING	044	RL	B	5,000	77.50	9-Aug	9-Aug	250.00	5.0
HIGHBRIDGE CAPITAL	038	SFY	B	6,000	38.82	n/a	n/a	300.00	5.0
WOOSTER CAPITAL	035	SHLD	B	5,000	142.06	n/a	n/a	250.00	5.0
HARVEST MGMT	039	SKS	S	25,000	17.49	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	19.67	n/a	13-Mar	400.00	4.0
BARR	096	SNPS	B	1,000	25.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	SSCC	S	207,800	10.57	4-May	20-Aug	8,312.00	4.0
COUGAR TRADING	044	SSI	B	5,000	17.84	3-Aug	15-Aug	250.00	5.0
NEUBERGER BERMAN	036	SUN	S	7,100	66.30	n/a	n/a	355.00	5.0
CAPITAL GROWTH MGMT.	241	SU	S	150,000	84.27	n/a	n/a	7,500.00	5.0
BARABOO GROWTH	031	THC	C	100,000	3.67	n/a	8-Aug	3,000.00	3.0
PLATTE RIVER CAPITAL	240	TIN	B	12,000	53.70	25-Jul	20-Aug	480.00	4.0
WOOSTER CAPITAL	035	TIN	B	10,000	55.79	25-Jul	20-Aug	500.00	5.0
BARR	096	TLT	S	500	87.09	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	TPX	S	29,600	29.69	n/a	n/a	888.00	3.0
SUNOVA CAPITAL	031	TROW	B	25,000	52.80	n/a	10-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	38.81	2-Jul	16-Aug	400.00	4.0
GOLD SACHS SPECIAL SIT	030	TWB	SS	75,000	38.85	2-Jul	16-Aug	3,750.00	5.0
ACT II PARTNERS	067	TWTC	B	40,000	20.64	4-May	16-Aug	2,000.00	5.0
MAGNETAR FINANCIAL	247	TWTC	SS	20,000	20.64	4-May	16-Aug	800.00	4.0
Ö Glenn Redemann		UFPI	B	5	0.4500	n/a	n/a	0.00	0.0
Ö Glenn Redemann		UFPI	B	5	0.6000	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	VFC	C	25,000	82.36	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	VLO	S	151,600	63.32	n/a	n/a	7,580.00	5.0
BALYASNY ASSET MGMT	044	WDR	S	40,000	24.28	13-Jul	10-Aug	2,000.00	5.0
BARR	096	WM	SS	500	38.42	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	WSM	SS	3,000	29.88	n/a	n/a	150.00	5.0
HIGHBRIDGE CAPITAL	038	WY	B	25,000	64.92	13-Jul	20-Aug	1,250.00	5.0
LEDDY	035	WY	B	300	64.90	13-Jul	20-Aug	0.00	0.0
COUGAR TRADING	044	ZQK	B	20,000	13.60	9-Mar	27-Jun	1,000.00	5.0
TOTAL (Trade Date):							172,777.49		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/21	COUGAR TRADING (COUGPB MS)	044	ARO	SS	5,000	35.17	n/a	15-Aug	250.00 5.0
AO,	08/20	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	ASD	S	40,000	34.40	17-Aug	17-Aug	1600.00 4.0
AO,	08/16	STRAUSS ASSET MGMT (STRAJEFUSE)	040	BIOF	B	15,000	7.08	n/a	n/a	750.00 5.0
AO,CXL	08/16	STRAUSS ASSET MGMT (STRAMS)	040	BIOF	B	15,000	7.08	n/a	n/a	750.00 5.0
CRT	08/21	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	CPWM	SS	75,000	5.00	n/a	n/a	3000.00 4.0
AO,CRT	08/20	CAPITAL GROWTH MGMT. (CAPGBOSTON)	241	ICE	S	13,900	135.03	n/a	n/a	695.00 5.0
AO,CXL	08/20	CAPITAL GROWTH MGMT. (CAPGBROWN)	241	ICE	S	13,900	135.03	n/a	n/a	695.00 5.0
AO,CXL	08/20	ROARING BLUE LION MGMT (ROAR4CENTS)	012	IVZ	B	4,500	22.98	8-Aug	10-Aug	225.00 5.0
AO,CRT	08/20	ROARING BLUE LION MGMT (ROAR4CENTS)	012	IVZ	B	4,500	22.98	8-Aug	10-Aug	180.00 4.0
AO,	08/20	DURANGO INVESTMENTS (DURAMORGAN)	031	KOP	S	26,000	34.55	n/a	n/a	1040.00 4.0
AO,	08/20	ROTHSCHILD ASSET (ROTH500110)	040	LYV	B	840	20.75	n/a	n/a	37.80 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH500100)	040	LYV	B	160	20.75	n/a	n/a	7.20 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH344)	040	LYV	B	370	20.75	n/a	n/a	16.65 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH000331)	040	LYV	B	580	20.75	n/a	n/a	26.10 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH347)	040	LYV	B	40	20.75	n/a	n/a	1.80 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH346)	040	LYV	B	180	20.75	n/a	n/a	8.10 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH309)	040	LYV	B	2,950	20.75	n/a	n/a	132.75 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH306)	040	LYV	B	550	20.75	n/a	n/a	24.75 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH396)	040	LYV	B	4,040	20.75	n/a	n/a	181.80 4.5
AO,	08/20	ROTHSCHILD ASSET (ROTH304)	040	LYV	B	1,410	20.75	n/a	n/a	63.45 4.5
AO,CXL	08/17	WHITE PINE CAPITAL (WPIN2793)	030	MIR	S	450	36.72	n/a	n/a	18.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/17	WHITE PINE CAPITAL (WPIN2793)	030	MIR	S	450	36.72	n/a	n/a	22.50 5.0
AO,CXL	08/20	SOLARIS INV MGMT (SOLA778)	036	MU	S	1,600	11.13	n/a	n/a	0.00 0.0
AO,CRT	08/20	SOLARIS INV MGMT (SOLA778)	036	MU	S	1,600	11.13	n/a	n/a	80.00 5.0
AO,	08/20	CARLSON CAPITAL (CARLUBSWAR)	031	NCC	B	46,500	28.75	n/a	n/a	2325.00 5.0
AO,CRT	08/20	SOLARIS INV MGMT (SOLA443)	036	NTAP	B	1,300	25.74	n/a	n/a	65.00 5.0
AO,CXL	08/20	SOLARIS INV MGMT (&SOLA443)	036	NTAP	B	1,300	25.74	n/a	n/a	65.00 5.0
AO,	08/20	US BANCORP (USBCSTPELS)	030	NWY	S	444	7.42	25-May	10-Aug	22.20 5.0
AO,	08/20	US BANCORP (USBCBURROU)	030	NWY	S	4,611	7.42	25-May	10-Aug	230.55 5.0
AO,	08/20	US BANCORP (USBCFRMPX)	030	NWY	S	32,066	7.42	25-May	10-Aug	1603.30 5.0
AO,	08/20	US BANCORP (USBCSIMS)	030	NWY	S	1,214	7.42	25-May	10-Aug	60.70 5.0
AO,	08/20	US BANCORP (USBCALFASM)	030	NWY	S	781	7.42	25-May	10-Aug	39.05 5.0
AO,	08/20	US BANCORP (USBCSTPELP)	030	NWY	S	652	7.42	25-May	10-Aug	32.60 5.0
AO,	08/20	DAVID J GREEN & CO (DJGR10100)	040	PMC	B	100	15.93	n/a	n/a	4.00 4.0
CRT	08/21	MAGNETAR FINANCIAL (MAGN-CSFB)	247	TWTC	SS	20,000	20.64	4-May	16-Aug	800.00 4.0
AO,CRT	08/16	STRAUSS ASSET MGMT (STRAJEFUSE)	040	VOCS	SS	15,000	24.87	n/a	n/a	750.00 5.0
AO,CXL	08/16	STRAUSS ASSET MGMT (STRAMS)	040	VOCS	SS	15,000	24.87	n/a	n/a	750.00 5.0
AO,CXL	08/17	MAIRS AND POWER INV (MAIRGROWTH)	030	WFC	S	20,000	36.77	n/a	n/a	800.00 4.0
AO,	08/17	MAIRS AND POWER INV (MAIRGROWTH)	030	WFC	S	20,000	36.77	n/a	n/a	1200.00 6.0
TOTAL (AO, CXL, CRT) :									11,947.30	

TOTAL (Trade Date):	172,777.49
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TOTAL (AO, CXL, CRT):	11,947.30
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TOTAL (RUN DATE) / NFS:	184,724.79
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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