



Daily Compliance Activity Report

Trade Date: 08/28/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	ABT	B	100	51.00	n/a	22-Apr	5.00	5.0
J L F ASSET MGMT	039	AEO	S	10,301	25.02	10-Jul	21-Aug	412.04	4.0
LOCUS WOOD CAPITAL MGMT	044	AEO	B	10,000	24.51	10-Jul	21-Aug	400.00	4.0
THE BOSTON COMPANY	214	AEO	S	34,290	24.93	10-Jul	21-Aug	1,371.60	4.0
LEDDY	035	AER	S	600	24.79	n/a	n/a	0.00	0.0
MORGAN LEWIS/MLH	046	AIG	S	45,000	65.77	n/a	n/a	2,250.00	5.0
NEW JERSEY DIV OF INV.	220	AMD	B	105,000	11.85	n/a	n/a	3,150.00	3.0
RAMIUS CAP	040	AMTD	B	33,967	17.42	n/a	n/a	1,698.35	5.0
BUCK CAPITAL MGMT	001	ANF	S	65,000	77.77	23-Aug	23-Aug	2,600.00	4.0
BUCK CAPITAL MGMT	001	ANN	S	60,000	31.39	6-Aug	27-Aug	2,400.00	4.0
HIGHBRIDGE CAPITAL	038	APC	B	8,000	48.14	22-Jun	22-Aug	400.00	5.0
PILOT ADV	038	ARW	S	40,000	40.72	n/a	n/a	1,600.00	4.0
OTC ERROR	099	BECN	S	763	10.99	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	128.85	8-Aug	22-Aug	500.00	5.0
SANDLER O'NEILL ASSET	031	BEN	B	10,000	126.15	8-Aug	22-Aug	500.00	5.0
LEDDY	035	CALPINE CORPB		100,000	107.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	046	CBH	S	225,100	35.62	n/a	n/a	9,004.00	4.0
BALYASNY ASSET MGMT	044	CBH	B	10,000	35.61	n/a	n/a	500.00	5.0
ACT II PARTNERS	067	CCOI	S	75,000	24.57	n/a	n/a	3,750.00	5.0
BARR	096	CFC	SS	300	19.41	n/a	n/a	0.00	0.0
CASTANEDA	001	CHCG	B	200	5.53	n/a	n/a	0.00	0.0
MATTHES CAPITAL MGMT	033	CHS	SS	10,000	16.85	10-Aug	10-Aug	400.00	4.0
HIGHBRIDGE CAPITAL	038	COG	B	13,000	32.37	n/a	n/a	650.00	5.0
GLG PARTNERS	034	COST	B	25,000	60.22	n/a	27-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	CRI	SS	20,000	19.71	n/a	n/a	800.00	4.0
SUTERA	160	CXTIE	B	2,000	2.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	SS	10,000	24.78	n/a	n/a	400.00	4.0
GALLEON MGMT LP	033	DIA	SS	15,000	132.56	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	DSW	S	175,600	29.95	2-Aug	10-Aug	3,512.00	2.0
LOCUS WOOD CAPITAL MGMT	044	DSW	B	10,000	29.69	2-Aug	10-Aug	400.00	4.0
MUHLENKAMP FUND	046	EXP	S	69,696	37.08	n/a	n/a	3,484.80	5.0
MUHLENKAMP FUND	046	FNF	S	100,000	18.06	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Glenn Redemann		FRO	B	2	0.2900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FRO	B	2	0.8400	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FRO	SS	2	0.9000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FRO	SS	2	1.8300	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	F	SS	165,000	7.57	n/a	9-Aug	6,600.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	139,400	49.77	n/a	10-Jan	5,576.00	4.0
Õ Glenn Redemann		GVA	B	4	0.4100	n/a	n/a	0.00	0.0
Õ Glenn Redemann		GVA	B	4	0.5900	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	247	HCR	B	100,000	62.82	n/a	26-Jul	2,000.00	2.0
GALLEON MGMT LP	033	IP	C	20,000	34.13	4-May	20-Aug	1,000.00	5.0
IRONBOUND CAPITAL	012	IP	S	10,000	34.31	4-May	20-Aug	500.00	5.0
LISTED ERR	099	IP	B	10,000	34.10	4-May	20-Aug	0.00	0.0
LISTED ERR	099	IP	S	10,000	34.12	4-May	20-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	IVZ	B	40,000	23.58	8-Aug	22-Aug	2,000.00	5.0
Õ Glenn Redemann		JCP	B	3	1.0600	21-Jun	16-Aug	0.00	0.0
Õ Glenn Redemann		JCP	B	3	1.3300	21-Jun	16-Aug	0.00	0.0
Õ Glenn Redemann		JCP	SS	3	2.3400	21-Jun	16-Aug	0.00	0.0
Õ Glenn Redemann		JCP	SS	3	2.4700	21-Jun	16-Aug	0.00	0.0
MAZAMA CAPITAL MGMT.	035	KNL	S	48,600	18.64	n/a	n/a	1,944.00	4.0
LISTED ERR	099	KNL	S	500	18.60	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	KSS	B	275	56.52	14-Jun	27-Jul	13.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LIZ	SS	20,000	34.16	n/a	6-Aug	800.00	4.0
J L F ASSET MGMT	039	LIZ	SS	87,800	33.89	n/a	6-Aug	3,512.00	4.0
LEDDY	035	LULU	S	300	32.85	n/a	n/a	0.00	0.0
RAMIUS CAP	040	LYO	B	23,300	45.44	14-May	14-May	1,165.00	5.0
HUNTER GLOBAL INVESTOR	067	MF	S	17,100	26.82	n/a	n/a	855.00	5.0
BAIRD INVESTMENT	031	MI	B	1,350	43.55	n/a	n/a	67.50	5.0
PLATTE RIVER CAPITAL	240	MMM	S	6,000	88.61	16-Jul	21-Aug	240.00	4.0
HIGHBRIDGE CAPITAL	038	MO	SS	3,376	69.39	n/a	n/a	168.80	5.0
HIGHBRIDGE CAPITAL	038	MO	S	29,224	70.06	n/a	n/a	1,461.20	5.0
SAGE ASSET MGMT	012	NCS	SS	25,000	45.53	n/a	n/a	1,250.00	5.0
KAICHER	064	ONNN	S	200	11.34	n/a	n/a	0.00	0.0
STRONG/WELL HOWARD	038	PMI	B	15,900	30.61	n/a	n/a	636.00	4.0
Õ Glenn Redemann		PXP	B	3	0.6000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PXP	B	3	0.9200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PXP	SS	3	2.0100	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PXP	SS	3	2.1800	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	PX	B	150	74.72	n/a	21-Aug	7.50	5.0
BUCK CAPITAL MGMT	001	RL	B	15,000	73.52	9-Aug	9-Aug	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	RL	S	5,000	73.77	9-Aug	9-Aug	250.00	5.0
APEX CAPITAL MGMT.	091	SBUX	SS	259,600	27.09	n/a	24-Apr	12,980.00	5.0
HIGHBRIDGE CAPITAL	038	SFY	B	9,000	38.20	n/a	n/a	450.00	5.0
OLP5	028	SIGI	B	3,508	20.81	n/a	n/a	140.32	4.0
OLP5	028	SII	S	3,400	62.07	n/a	n/a	136.00	4.0
BARR	096	SKF	B	400	85.52	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	247	SKX	S	20,000	19.53	n/a	13-Mar	800.00	4.0
OLP5	028	SONC	S	4,900	22.35	n/a	n/a	196.00	4.0
LOCUS WOOD CAPITAL MGMT	044	SPLS	B	10,000	22.88	n/a	27-Jul	400.00	4.0
AVESTA CAP	229	SPY	SS	100,000	145.23	n/a	n/a	3,000.00	3.0
OLP5	028	SRCL	S	5,000	48.52	n/a	n/a	200.00	4.0
OLP5	028	SRZ	B	2,605	35.78	n/a	n/a	104.20	4.0
OLP5	028	SSP	S	3,200	40.18	n/a	n/a	128.00	4.0
SAGE ASSET MGMT	012	STT	SS	35,000	61.70	n/a	n/a	1,750.00	5.0
OLP5	028	SWIR	B	4,774	21.75	n/a	n/a	190.96	4.0
WESTLANE CAPITAL	044	SWN	B	5,000	36.49	n/a	3-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN LEWIS/MLH	046	SWY	SS	30,000	31.02	n/a	n/a	1,500.00	5.0
BAIRD INVESTMENT	031	SYY	B	225	33.36	n/a	24-Apr	11.25	5.0
SYSTEMATIC FINANCIAL MGT	035	TBL	B	26,700	19.00	n/a	13-Mar	1,001.25	3.8
BAIRD INVESTMENT	031	TGT	B	1,150	61.91	n/a	27-Jul	57.50	5.0
WOOSTER CAPITAL	035	TIN	B	25,000	54.44	25-Jul	20-Aug	1,250.00	5.0
SANDLER O'NEILL ASSET	031	TROW	B	10,000	48.97	n/a	22-Aug	500.00	5.0
OLP5	028	TSCO	S	2,300	47.27	n/a	n/a	92.00	4.0
MAGNETAR FINANCIAL	247	TXU	B	200,000	66.19	n/a	n/a	4,000.00	2.0
OLP5	028	ULBI	B	4,615	11.78	n/a	n/a	184.60	4.0
OLP5	028	UNFI	B	2,062	27.28	n/a	n/a	82.48	4.0
JP MORGAN VENTURES	046	URBN	C	20,000	21.48	31-Jul	10-Aug	1,000.00	5.0
OLP5	028	URBN	B	1,642	21.51	31-Jul	10-Aug	65.68	4.0
OLP5	028	VAR	S	4,000	41.28	n/a	n/a	160.00	4.0
OLP5	028	VPRT	S	3,600	33.31	n/a	n/a	144.00	4.0
OLP5	028	VRNT	B	2,971	23.77	n/a	n/a	118.84	4.0
OLP5	028	VTIV	B	1,737	39.62	n/a	n/a	69.48	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OLP5	028	WCN	B	3,826	29.60	n/a	n/a	153.04	4.0
OLP5	028	WLSC	B	4,941	27.35	n/a	n/a	197.64	4.0
OLP5	028	WOOF	S	4,900	38.60	n/a	n/a	196.00	4.0
STRONG/WELL HOWARD	038	YHOO	B	26,500	22.90	n/a	n/a	1,060.00	4.0
OLP5	028	ZION	S	1,400	72.88	n/a	n/a	56.00	4.0
BAIRD INVESTMENT	031	ZMH	B	1,825	76.84	n/a	n/a	91.25	5.0
OLP5	028	ZUMZ	S	4,100	45.06	n/a	n/a	164.00	4.0
TOTAL (Trade Date) :								110,715.03	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/27	ROARING BLUE LION MGMT (ROAR4CENTS)	012	AB	S	3,200	83.92	9-Aug	22-Aug	160.00	5.0
AO,CRT	08/27	ROARING BLUE LION MGMT (ROAR4CENTS)	012	AB	S	3,200	83.92	9-Aug	22-Aug	128.00	4.0
AO,	08/27	OTC ERROR (OTC ERROR)	099	BECN	B	763	10.97	n/a	n/a	0.00	0.0
AO,CXL	08/24	ROTHSCHILD ASSET (ROTH379-3)	040	CLF	S	70	71.71	n/a	n/a	3.15	4.5
AO,	08/24	ROTHSCHILD ASSET (ROTH379-1)	040	CLF	S	70	71.71	n/a	n/a	3.15	4.5
AO,	08/24	MANNING & NAPIER (MANNGR4798)	034	CVC	S	1,970	32.84	8-Aug	16-Aug	78.80	4.0
AO,CXL	08/24	MANNING & NAPIER (MANNGR5644)	034	CVC	S	1,970	32.84	8-Aug	16-Aug	78.80	4.0
AO,	08/27	BARON ASSET MGMT* (BAROBCPRB)	012	EV	B	17,500	38.95	23-May	24-Aug	875.00	5.0
AO,CXL	08/27	MAGNETAR FINANCIAL (MAGNLEHMAN)	247	GMT	B	6,420	43.58	n/a	n/a	192.60	3.0
AO,CRT	08/27	MAGNETAR FINANCIAL (MAGNLEHMAN)	247	GMT	B	6,420	43.58	n/a	n/a	128.40	2.0
AO,CXL	08/27	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ILF	B	4,500	207.41	n/a	n/a	225.00	5.0
AO,	08/27	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ILF	B	4,500	207.41	n/a	n/a	135.00	3.0
AO,CRT	08/27	LISTED ERR (LISTED ERR)	099	KNL	B	500	18.80	n/a	n/a	0.00	0.0
AO,	08/27	MAZAMA CAPITAL MGMT. (MAZASCHWMG)	035	KNL	S	1,200	18.91	n/a	n/a	48.00	4.0
AO,CXL	08/27	MAZAMA CAPITAL MGMT. (MAZASCHWAB)	035	KNL	S	1,200	18.91	n/a	n/a	48.00	4.0
CRT	08/28	APEX CAPITAL MGMT. (APEXMORGAN)	091	SBUX	SS	236,000	27.09	n/a	24-Apr	11800.00	5.0
CRT	08/28	JP MORGAN VENTURES (JPMVGS)	046	URBN	C	20,000	21.48	31-Jul	10-Aug	1000.00	5.0
TOTAL (AO, CXL, CRT) :										13,488.80	

TOTAL (Trade Date):	110,715.03
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TOTAL (AO, CXL, CRT):	13,488.80
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TOTAL (RUN DATE) / NFS:	124,203.83
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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