



Daily Compliance Activity Report

Trade Date: 10/09/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	ABG	B	600	20.84	18-Jun	8-Oct	0.00	0.0
KEEFE BRUYETTE WOODS A	031	AB	S	4,400	91.54	9-Aug	9-Oct	220.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	100,000	24.60	10-Jul	5-Oct	4,000.00	4.0
COUGAR TRADING	044	AEO	B	20,000	24.57	10-Jul	5-Oct	1,000.00	5.0
THE JAY GOLDMAN	034	AEO	S	60,000	24.51	10-Jul	5-Oct	2,400.00	4.0
SSI INVESTORS	048	AGN	B	26,500	67.64	9-Oct	9-Oct	1,060.00	4.0
BASIX	033	AKS	B	17,000	47.94	n/a	n/a	680.00	4.0
BELMONT GLOBAL ADV	248	AMAT	B	10,000	20.91	n/a	n/a	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ANF	S	2,300	83.93	2-Oct	5-Oct	92.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	30,000	33.45	6-Aug	5-Oct	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	237	ANN	B	25,000	33.72	6-Aug	5-Oct	1,250.00	5.0
RHO CAPITAL MGMT	041	ARBA	B	5,000	11.79	n/a	n/a	200.00	4.0
J L F ASSET MGMT	039	ARO	S	12,200	19.17	n/a	5-Oct	488.00	4.0
BASIX	033	BGC	SS	16,000	70.87	n/a	n/a	640.00	4.0
PRINCIPLE CAPITAL	040	BGP	B	135,800	15.71	n/a	n/a	4,074.00	3.0
METROPOLITAN CAPITAL	044	BIG	SS	33,700	29.32	n/a	9-Oct	176.47	3.3

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORTAR ROCK	033	BIG	SS	5,000	29.81	n/a	9-Oct	250.00	5.0
KERN	050	BSCJF	S	10	1.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	S	60,000	21.13	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	CHS	S	191,959	14.28	30-Aug	5-Oct	7,678.36	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	44.87	n/a	10-Sep	400.00	4.0
COUGAR TRADING	044	COH	B	5,000	44.89	n/a	10-Sep	250.00	5.0
Õ Neil Stratton		COV	S	25	41.7000	n/a	n/a	0.00	0.0
BENCHMARK	028	CPO	B	10,000	48.74	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	CRI	B	20,000	20.75	n/a	n/a	1,000.00	5.0
HOOVER INV. MGMT	033	CSTR	S	18,600	32.55	n/a	n/a	930.00	5.0
BASIX	033	CTV	SS	15,000	49.68	n/a	n/a	600.00	4.0
BUCK	015	DDR	S	500	57.57	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	S	20,000	66.58	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	048	DLM	B	27,600	10.44	n/a	n/a	828.00	3.0
LISTED ERR	099	DLM	S	1,600	10.61	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	DST	S	22,000	86.42	n/a	n/a	1,100.00	5.0
LEDDY	035	DXD	B	1,200	44.84	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J L F ASSET MGMT	039	ESRX	B	62,900	58.57	n/a	n/a	2,516.00	4.0
IRON HORSE CAPITAL MGMT	038	EXH	B	10,000	83.01	n/a	3-Oct	500.00	5.0
SAXON WOODS ADVISORS	038	EXPD	S	18,000	51.81	n/a	n/a	900.00	5.0
BASIX	033	FAF	B	8,000	37.19	n/a	n/a	320.00	4.0
J L F ASSET MGMT	039	FL	S	68,700	15.08	22-Aug	4-Sep	2,748.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	52.41	n/a	n/a	400.00	4.0
ROXBURY CAPITAL MGMT	035	GYMB	S	166,000	36.91	10-Aug	7-Sep	6,640.00	4.0
S.A.C. CAPITAL MGMT.	044	GYMB	B	15,000	36.85	10-Aug	7-Sep	750.00	5.0
MAGUIRE	090	HGG	B	1,000	13.20	n/a	n/a	0.00	0.0
BUCK	015	IBN	B	1,000	54.99	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	IHP	B	30,000	66.06	n/a	n/a	1,500.00	5.0
BUCK	015	INFY	B	1,000	54.25	n/a	n/a	0.00	0.0
DEEPHAVEN	031	IVZ	B	15,000	29.58	8-Oct	8-Oct	600.00	4.0
COUGAR TRADING	044	JCP	B	10,000	66.79	21-Jun	5-Oct	500.00	5.0
MAGUIRE	090	JCP	B	3,000	66.94	21-Jun	5-Oct	0.00	0.0
COUGAR TRADING	044	JNY	B	5,000	21.33	n/a	13-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JNY	SS	5,000	21.13	n/a	13-Sep	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	JNY	B	75,000	21.28	n/a	13-Sep	3,750.00	5.0
MTB INV ADV	034	JWN	B	23,920	48.92	12-Jul	5-Oct	1,196.00	5.0
UBS OCONNOR	031	JWN	SS	25,000	48.89	12-Jul	5-Oct	750.00	3.0
Õ Neil Stratton		KEG	B	200	15.5000	23-Jul	5-Oct	0.00	0.0
BAYH	044	KEG	B	100,000	15.49	23-Jul	5-Oct	5,000.00	5.0
BALYASNY ASSET MGMT	044	KSS	B	20,000	60.13	27-Sep	5-Oct	1,000.00	5.0
COUGAR TRADING	044	KSS	B	40,000	60.09	27-Sep	5-Oct	2,000.00	5.0
SUFFOLK CAPITAL MGMT	040	KSS	B	228,700	60.24	27-Sep	5-Oct	9,148.00	4.0
TOCQUEVILLE ASSET MGMT	048	LEE	B	6,000	17.24	n/a	n/a	360.00	6.0
COUGAR TRADING	044	LIZ	B	5,000	33.87	n/a	14-Sep	250.00	5.0
COUGAR TRADING	044	LIZ	SS	5,000	34.89	n/a	14-Sep	250.00	5.0
THIRD POINT MGMT	044	LIZ	SS	75,000	34.03	n/a	14-Sep	3,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	LIZ	B	50,000	34.50	n/a	14-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	LTD	SS	10,000	21.53	16-May	5-Oct	400.00	4.0
JP MORGAN VENTURES	046	LTD	SS	10,000	21.88	16-May	5-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	LTM	S	10,000	62.64	n/a	n/a	400.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	50,000	42.13	n/a	n/a	2,500.00	5.0
CATTANI	041	MER	B	300	73.93	5-Oct	5-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	48.62	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	MZZ	B	700	48.48	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	M	B	10,000	33.72	24-Sep	5-Oct	500.00	5.0
MAGUIRE	090	M	B	6,500	34.01	24-Sep	5-Oct	0.00	0.0
OGORMAN	146	NDN	B	400	12.10	13-Aug	8-Oct	0.00	0.0
REICH AND TANG	067	NFX	S	20,000	50.61	n/a	n/a	1,000.00	5.0
RHO CAPITAL MGMT	041	NIHD	B	1,200	71.70	n/a	n/a	48.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	40,000	6.48	25-May	24-Aug	1,600.00	4.0
BUCK CAPITAL MGMT	001	OXM	B	45,000	28.66	n/a	n/a	1,800.00	4.0
IVORY CAPITAL	034	PBCT	S	300,000	17.69	n/a	n/a	15,000.00	5.0
COUGAR TRADING	044	PLCE	S	5,000	19.62	26-Sep	5-Oct	250.00	5.0
WHEELER	008	PMD	B	4,000	16.75	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PSUN	S	5,000	16.56	n/a	5-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	51.88	13-Aug	29-Aug	400.00	4.0
COUGAR TRADING	044	PVH	B	10,000	52.19	13-Aug	29-Aug	500.00	5.0
COUGAR TRADING	044	PVH	SS	10,000	52.47	13-Aug	29-Aug	500.00	5.0
LEDDY	035	PVH	B	200	51.82	13-Aug	29-Aug	0.00	0.0
SUN AMERICA ASSET MGMT	030	QCOM	S	62,500	42.22	n/a	n/a	3,125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	RCKY	S	3,600	10.11	n/a	n/a	180.00	5.0
WEISS PECK	040	RDEN	SS	8,200	27.00	n/a	17-Aug	410.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	74.60	9-Aug	29-Aug	1,200.00	4.0
BUCK CAPITAL MGMT	001	RL	S	30,000	74.57	9-Aug	29-Aug	1,200.00	4.0
COUGAR TRADING	044	RL	SS	5,000	76.30	9-Aug	29-Aug	250.00	5.0
CR INTRINIC INVESTMENT	044	SCRX	SS	45,000	27.39	27-Apr	9-Oct	2,250.00	5.0
GALLEON MGMT LP	033	SSCC	C	65,000	12.06	4-May	21-Sep	3,250.00	5.0
BUCK CAPITAL MGMT	001	SSI	S	100,000	17.80	3-Aug	5-Oct	4,000.00	4.0
NORTHPOINT	030	TAXI	S	370	11.00	n/a	n/a	14.80	4.0
SCOPUS FUND	041	TIN	S	5,000	56.75	21-Sep	21-Sep	250.00	5.0
MORGAN LEWIS/MLH	046	TSO	B	10,000	51.56	n/a	n/a	500.00	5.0
COUGAR TRADING	044	TWB	SS	5,000	32.79	2-Oct	2-Oct	250.00	5.0
CATAPULT	040	UCBH	SS	5,000	19.50	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	URBN	B	10,000	24.05	31-Jul	10-Aug	500.00	5.0
COUGAR TRADING	044	URBN	B	15,000	23.96	31-Jul	10-Aug	750.00	5.0
TRELLUS PARTNERS LP	028	VC	B	79,500	5.27	n/a	n/a	2,385.00	3.0
MERRILL ASSET	032	WBS	S	8,100	44.50	n/a	n/a	405.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DALTON GREINER	012	WRNC	S	37,805	40.60	19-Sep	28-Sep	1,890.25	5.0
BUCK	015	YUM	S	300	38.11	n/a	24-Apr	0.00	0.0
PILOT ADV	038	ZINC	B	30,000	22.44	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	14.79	n/a	7-Sep	2,000.00	4.0
TOTAL (Trade Date):							134,102.88		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/21	ROBX (ROBX346)	033	ACIW	B	600	23.70	n/a	n/a	18.00 3.0
AO,CXL	09/21	ROBX (ROBX348)	033	ACIW	B	17,800	23.70	n/a	n/a	534.00 3.0
AO,CXL	09/21	ROBX (ROBX212)	033	ACIW	B	300	23.70	n/a	n/a	9.00 3.0
AO,CXL	09/21	ROBX (ROBX211)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX210)	033	ACIW	B	300	23.70	n/a	n/a	9.00 3.0
AO,CXL	09/21	ROBX (ROBX67)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX200)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX198)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX204)	033	ACIW	B	600	23.70	n/a	n/a	18.00 3.0
AO,CXL	09/21	ROBX (ROBX182)	033	ACIW	B	800	23.70	n/a	n/a	24.00 3.0
AO,CXL	09/21	ROBX (ROBX178)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX177)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX176)	033	ACIW	B	500	23.70	n/a	n/a	15.00 3.0
AO,CXL	09/21	ROBX (ROBX180)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX179)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX175)	033	ACIW	B	600	23.70	n/a	n/a	18.00 3.0
AO,CXL	09/21	ROBX (ROBX171)	033	ACIW	B	700	23.70	n/a	n/a	21.00 3.0
AO,CXL	09/21	ROBX (ROBX169)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX167)	033	ACIW	B	200	23.70	n/a	n/a	6.00 3.0
AO,CXL	09/21	ROBX (ROBX195)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX183)	033	ACIW	B	4,600	23.70	n/a	n/a	138.00 3.0
AO,CXL	09/21	ROBX (ROBX187)	033	ACIW	B	400	23.70	n/a	n/a	12.00 3.0
AO,CXL	09/21	ROBX (ROBX185)	033	ACIW	B	300	23.70	n/a	n/a	9.00 3.0
AO,CXL	09/21	ROBX (ROBX184)	033	ACIW	B	100	23.70	n/a	n/a	3.00 3.0
AO,CXL	09/21	ROBX (ROBX189)	033	ACIW	B	200	23.70	n/a	n/a	6.00 3.0
CRT	10/09	THE JAY GOLDMAN (GOLDGSBULK)	034	AEO	S	60,000	24.51	10-Jul	5-Oct	2400.00 4.0
AO,CXL	10/08	COUGAR TRADING (COUGPB MS)	044	ARO	S	10,000	19.85	n/a	5-Oct	500.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/08	COUGAR TRADING (COUGPB MS)	044	ARO	S	10,000	19.64	n/a	5-Oct	500.00 5.0
CRT	10/09	UBS OCONNOR (UBSOWARUBS)	031	JWN	SS	13,900	48.89	12-Jul	5-Oct	417.00 3.0
CRT	10/09	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	LIZ	B	50,000	34.50	n/a	14-Sep	2500.00 5.0
AO,CXL	10/08	OPTIMUM INV ADV (OPTIPARVES)	030	LNCR	B	8,000	35.80	17-Sep	5-Oct	40000.00 500.0
AO,CRT	10/08	OPTIMUM INV ADV (OPTIPARVES)	030	LNCR	B	8,000	35.80	17-Sep	5-Oct	320.00 4.0
CRT	10/09	COUGAR TRADING (COUGPB MS)	044	TWB	SS	5,000	32.79	2-Oct	2-Oct	250.00 5.0
CRT	10/09	CATAPULT (CATAMSPB)	040	UCBH	SS	5,000	19.50	n/a	n/a	250.00 5.0
TOTAL (AO, CXL, CRT) :									-35,733.00	
TOTAL (Trade Date) :									134,102.88	
TOTAL (AO, CXL, CRT) :									-35,733.00	
TOTAL (RUN DATE) / NFS:									98,369.88	

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