



Daily Compliance Activity Report

Trade Date: 10/11/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	10,000	20.53	18-Jun	8-Oct	500.00	5.0
TRELLUS PARTNERS LP	028	ABG	B	32,800	20.40	18-Jun	8-Oct	1,640.00	5.0
J.W. SELIGMAN	041	AEO	S	81,500	25.18	10-Jul	5-Oct	3,260.00	4.0
ROSEDALE CAPITAL	046	AEO	S	10,000	25.52	10-Jul	5-Oct	500.00	5.0
THIRD COAST CAPITAL	035	AEO	B	25,000	25.31	10-Jul	5-Oct	1,250.00	5.0
WOOSTER CAPITAL	035	AEO	B	50,000	25.17	10-Jul	5-Oct	2,500.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	30,000	36.15	6-Aug	5-Oct	1,200.00	4.0
COUGAR TRADING	044	ANN	S	5,000	35.69	6-Aug	5-Oct	250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ARO	S	8,500	21.90	n/a	5-Oct	340.00	4.0
KEEFE BRUYETTE WOODS A	031	BEN	B	2,900	140.33	25-Sep	8-Oct	145.00	5.0
JP MORGAN VENTURES	046	BJ	C	15,000	37.52	n/a	27-Jul	750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	BKE	B	10,800	40.45	n/a	n/a	405.00	3.8
WOOSTER CAPITAL	035	BONT	B	34,200	23.74	3-Aug	5-Oct	1,710.00	5.0
SUTERA	160	BQI	S	5,000	4.62	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	B	20,000	20.94	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	BWS	S	30,000	21.60	n/a	n/a	1,200.00	4.0
NORTHPOINT	030	CASY	S	7,800	29.08	n/a	n/a	312.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVID J GREEN & CO	040	CGNX	B	144,100	19.01	n/a	n/a	5,764.00	4.0
MKT MAKER	040	CGNX	B	27	19.01	n/a	n/a	0.00	0.0
PAKLER	N22	CHL	B	56	84.97	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	CLF	S	7,380	104.08	n/a	n/a	332.12	4.5
OGORMAN	146	CLMS	S	200	31.36	29-May	9-Oct	0.00	0.0
CAPITAL GROWTH MGMT.	241	CMI	B	1,000	141.68	n/a	n/a	50.00	5.0
BUCK CAPITAL MGMT	001	COH	B	15,000	44.57	n/a	10-Sep	600.00	4.0
RHO CAPITAL MGMT	041	COH	SS	400	44.75	n/a	10-Sep	16.00	4.0
THIRD COAST CAPITAL	035	COH	SS	6,000	44.52	n/a	10-Sep	300.00	5.0
CAPITAL GROWTH MGMT.	241	COP	B	50,000	85.54	n/a	n/a	2,000.00	4.0
STRAUSS ASSET MGMT	040	CPBY	S	11,000	9.90	n/a	n/a	550.00	5.0
SENTINAL CAPITAL	067	CRS	S	5,000	135.88	n/a	n/a	250.00	5.0
PRINCIPLE CAPITAL	040	CS	B	23,200	69.09	n/a	n/a	928.00	4.0
PRINCIPLE CAPITAL	040	CS	S	1,000	68.93	n/a	n/a	40.00	4.0
BEAR STEARNS ASSET MGMT.	033	DRI	C	20,700	43.60	n/a	24-Apr	828.00	4.0
CAPITAL GROWTH MGMT.	241	DVN	B	20,000	88.67	19-Sep	11-Oct	1,000.00	5.0
ALLEN & CO	032	EBAY	B	37,500	39.90	n/a	n/a	1,500.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	046	EPL	SS	66,000	15.13	n/a	n/a	2,640.00	4.0
APEX CAPITAL MGMT.	091	ERIC	SS	100,000	41.02	n/a	n/a	5,000.00	5.0
CATAPULT	040	ETFC	B	50,000	13.71	n/a	n/a	2,500.00	5.0
KEEFE BRUYETTE WOODS A	031	EV	SS	8,200	43.76	23-May	28-Sep	410.00	5.0
AMBER CAPITAL	046	FST	SS	22,000	45.13	n/a	n/a	880.00	4.0
MAGNETAR FINANCIAL	247	F	SS	40,000	8.64	n/a	10-Oct	1,200.00	3.0
LEDDY	035	GM	SS	1,500	40.27	n/a	3-Oct	0.00	0.0
COUGAR TRADING	044	GPS	SS	10,000	19.22	n/a	10-Oct	500.00	5.0
LEDDY	035	GSI	B	1,000	13.44	n/a	n/a	0.00	0.0
MORGAN LEWIS/MLH	046	HERO	B	25,000	27.67	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	HIBB	B	15,000	25.09	n/a	n/a	750.00	5.0
AMBER CAPITAL	046	HK	SS	55,000	18.44	n/a	n/a	2,200.00	4.0
GRASSANO	001	IDT	B	175	8.06	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	IEO	B	77,500	63.87	n/a	n/a	3,100.00	4.0
CAPITAL GROWTH MGMT.	241	IHP	B	20,000	66.35	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	INFY	B	300	51.77	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	INTC	S	20,700	26.01	n/a	n/a	828.00	4.0
COUGAR TRADING	044	JCG	B	10,000	47.16	22-Jun	6-Sep	500.00	5.0
AVESTA CAP	229	JCP	B	10,000	65.40	21-Jun	5-Oct	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	JCP	B	70,000	65.65	21-Jun	5-Oct	2,800.00	4.0
BUCK CAPITAL MGMT	001	JCP	S	510,100	65.89	21-Jun	5-Oct	20,404.00	4.0
CASTLE ARK	031	JCP	S	230,190	65.63	21-Jun	5-Oct	13,811.40	6.0
COUGAR TRADING	044	JCP	S	10,000	64.61	21-Jun	5-Oct	500.00	5.0
HEALY CIRCLE	044	JCP	B	10,000	65.79	21-Jun	5-Oct	500.00	5.0
LOOMIS SALES/BOSTON	036	JCP	B	88,081	63.00	21-Jun	5-Oct	3,523.24	4.0
ALLEN & CO	032	JNS	B	127,500	35.11	27-Jul	8-Oct	5,100.00	4.0
SSI INVESTORS	048	JNS	S	24,323	35.20	27-Jul	8-Oct	972.92	4.0
COUGAR TRADING	044	JWN	B	15,000	46.71	12-Jul	5-Oct	750.00	5.0
COUGAR TRADING	044	JWN	S	15,000	44.67	12-Jul	5-Oct	750.00	5.0
PAKLER	N22	KNOT	S	217	22.34	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	KSS	S	50,000	63.68	27-Sep	5-Oct	2,000.00	4.0
COUGAR TRADING	044	KSS	B	5,000	61.06	27-Sep	5-Oct	250.00	5.0
COUGAR TRADING	044	KSS	S	10,000	63.23	27-Sep	5-Oct	500.00	5.0
HIGHBRIDGE CAPITAL	038	KSS	SS	4,000	60.83	27-Sep	5-Oct	200.00	5.0
BUCK	015	KSS	S	1,000	62.52	27-Sep	5-Oct	0.00	0.0
LISTED ERR	099	KSS	B	5,000	63.35	27-Sep	5-Oct	0.00	0.0
LISTED ERR	099	KSS	SS	5,000	63.35	27-Sep	5-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOCQUEVILLE ASSET MGMT	048	LEE	B	2,500	17.58	n/a	n/a	150.00	6.0
THIRD COAST CAPITAL	035	LGF	S	50,000	10.17	n/a	n/a	2,500.00	5.0
ADAGE CAPITAL MGMT	030	LIZ	SS	65,700	32.45	n/a	14-Sep	2,628.00	4.0
ENTRUST CAPITAL	040	LIZ	SS	78,200	32.36	n/a	14-Sep	3,910.00	5.0
PHILADELPHIA FINANCIAL	033	LM	B	22,500	87.85	19-Sep	28-Sep	1,125.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	80,000	22.57	16-May	11-Oct	3,200.00	4.0
HOLLIS CAPITAL	033	LVLTT	SS	10,000	4.84	6-Sep	21-Sep	500.00	5.0
ZOLIDIS	011	LVS	B	60	140.61	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	MAR	S	25,000	42.13	n/a	n/a	1,250.00	5.0
CATTANI	041	MER	S	300	75.65	5-Oct	5-Oct	0.00	0.0
RHO CAPITAL MGMT	041	MGM	S	500	96.74	n/a	3-Aug	20.00	4.0
GAULT	063	MSO	S	2,000	13.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	B	155,000	46.20	n/a	n/a	6,200.00	4.0
PRINCIPLE CAPITAL	040	MW	B	40,500	44.38	n/a	n/a	1,620.00	4.0
ROXBURY CAPITAL MGMT	035	MW	B	96,000	44.33	n/a	n/a	3,840.00	4.0
COUGAR TRADING	044	M	B	5,000	33.70	24-Sep	5-Oct	250.00	5.0
OGORMAN	146	NDN	B	400	11.39	13-Aug	11-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAICHER	064	NEXC	S	2,000	6.76	n/a	n/a	0.00	0.0
MORGENS WATERFALL	040	NOK	S	25,000	37.89	n/a	n/a	750.00	3.0
KAICHER	064	NRG	B	1,000	45.50	n/a	n/a	0.00	0.0
ALLEN & CO	032	NYX	B	37,500	85.10	n/a	n/a	1,500.00	4.0
BARR	096	OPLK	SS	1,500	14.47	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	PJC	S	10,000	58.25	n/a	n/a	400.00	4.0
KAICHER	064	PLLL	S	1,000	19.01	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	100,000	20.91	n/a	n/a	4,000.00	4.0
ASCEND PARTNERS	033	PVH	B	25,000	50.44	13-Aug	29-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	13,400	50.09	13-Aug	29-Aug	536.00	4.0
EGS ASSOCIATES LP	091	PVH	B	7,500	50.51	13-Aug	29-Aug	450.00	6.0
AMBER CAPITAL	046	PXD	SS	21,000	47.41	n/a	11-Oct	840.00	4.0
CATTANI	041	PXD	B	250	47.59	n/a	11-Oct	0.00	0.0
CATAPULT	040	RJF	SS	7,500	34.97	n/a	n/a	375.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	73.04	9-Aug	29-Aug	800.00	4.0
COUGAR TRADING	044	RL	SS	5,000	72.80	9-Aug	29-Aug	250.00	5.0
DENVER INST. ADV	046	RL	S	36,720	72.35	9-Aug	29-Aug	1,468.80	4.0
ROXBURY CAPITAL MGMT	035	RT	S	200,000	16.10	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUTERA	160	SCRX	S	1,000	28.15	27-Apr	9-Oct	0.00	0.0
STADIA CAPITAL	035	SFD	S	50,000	29.68	n/a	n/a	2,000.00	4.0
AMBER CAPITAL	046	SGY	SS	24,500	40.83	n/a	n/a	980.00	4.0
KAICHER	064	SNCR	B	1,000	44.16	n/a	n/a	0.00	0.0
KAICHER	064	SNCR	S	1,000	47.12	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	SSCC	C	25,000	12.40	4-May	21-Sep	1,250.00	5.0
BARR	096	SYNP	B	1,300	6.51	n/a	n/a	0.00	0.0
SINCLAIR	031	TPXMF	S	10	2.00	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	URBN	S	25,000	24.80	31-Jul	10-Aug	1,000.00	4.0
MEISENBACH CAP MGMT	041	UTX	S	15,000	79.40	n/a	n/a	450.00	3.0
BELMONT GLOBAL ADV	248	VC	B	160,000	6.17	n/a	10-Oct	6,400.00	4.0
KENNEDY CAPITAL	046	VTR	S	43,410	44.90	n/a	n/a	1,736.40	4.0
BARR	096	WBMD	B	200	62.85	n/a	n/a	0.00	0.0
ROCKEFELLER & CO.	045	WFT	S	4,090	67.51	n/a	n/a	204.50	5.0
WASHINGTON ASSET	048	WMB	S	8,000	34.92	n/a	n/a	400.00	5.0
BUCK CAPITAL MGMT	001	WMT	SS	50,000	47.01	4-Jun	27-Jul	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	WMT	SS	55,000	47.12	4-Jun	27-Jul	2,750.00	5.0
JP MORGAN VENTURES	046	WSM	B	10,000	33.27	n/a	n/a	500.00	5.0
ZOLIDIS	011	WYNN	B	92	159.91	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								173,723.38	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/09	BUCK CAPITAL MGMT (BUCKMSAGCR)	001	AEO	B	20,000	24.60	10-Jul	5-Oct	800.00 4.0
AO,CRT	10/09	BUCK CAPITAL MGMT (BUCKMSAGCR)	001	AEO	B	20,000	24.60	10-Jul	5-Oct	800.00 4.0
CRT	10/11	APEX CAPITAL MGMT. (APEXMORGAN)	091	ERIC	SS	100,000	41.02	n/a	n/a	5000.00 5.0
AO,CXL	10/10	HIGHBRIDGE CAPITAL (HIGBNEW)	038	HNT	SS	10,000	52.48	n/a	n/a	400.00 4.0
AO,CRT	10/10	HIGHBRIDGE CAPITAL (HIGBNEW)	038	HNT	SS	10,000	52.48	n/a	n/a	500.00 5.0
AO,CXL	10/10	MEISENBACH CAP MGMT (MBACBANC O)	041	HSC	B	2,500	60.97	9-Oct	9-Oct	125.00 5.0
AO,CRT	10/10	MEISENBACH CAP MGMT (MBACBANC O)	041	HSC	B	2,500	60.97	9-Oct	9-Oct	75.00 3.0
AO,	10/10	ALLEN & CO (ALLNALLEN)	032	INTC	S	69,000	25.78	n/a	n/a	2760.00 4.0
CRT	10/11	CASTLE ARK (CASA100)	031	JCP	S	88,600	65.63	21-Jun	5-Oct	5316.00 6.0
CRT	10/11	HOLLIS CAPITAL (HOLLBS)	033	LVLTT	SS	10,000	4.84	6-Sep	21-Sep	500.00 5.0
AO,CXL	10/10	ACK ASSET (ACKAGS)	028	NTQ	S	25,000	9.47	n/a	n/a	1250.00 5.0
AO,CRT	10/10	ACK ASSET (ACKAGS)	028	NTQ	S	25,000	9.47	n/a	n/a	1000.00 4.0
AO,	10/10	ALLEN & CO (ALLNALLEN)	032	TXN	B	54,750	36.43	n/a	n/a	2190.00 4.0
AO,CXL	10/10	BALYASNY ASSET MGMT (BALY)	044	VC	B	15,000	5.52	n/a	10-Oct	750.00 5.0
AO,CRT	10/10	BALYASNY ASSET MGMT (BALY)	044	VC	B	15,000	5.52	n/a	10-Oct	600.00 4.0
CRT	10/11	BELMONT GLOBAL ADV (BELMJFFPB)	248	VC	B	160,000	6.17	n/a	10-Oct	6400.00 4.0
AO,CXL	10/09	TRELLUS PARTNERS LP (TRELGS)	028	VC	B	17,040	5.27	n/a	10-Oct	511.20 3.0
AO,CRT	10/09	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	B	17,040	5.27	n/a	10-Oct	511.20 3.0
CRT	10/11	HIGHBRIDGE CAPITAL (HIGBNEW)	038	WMT	SS	55,000	47.12	4-Jun	27-Jul	2750.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									24,566.00
TOTAL (Trade Date) :									173,723.38
TOTAL (AO, CXL, CRT) :									24,566.00
TOTAL (RUN DATE) / NFS :									198,289.38

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