



Daily Compliance Activity Report

Trade Date: 09/20/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHEELER	008	AIXD	B	15,000	5.65	n/a	n/a	0.00	0.0
DURANGO INVESTMENTS	031	AMD	B	40,500	13.21	n/a	n/a	1,620.00	4.0
GALLEON MGMT LP	033	AN	C	20,000	18.14	n/a	27-Jul	1,000.00	5.0
BRANDWINE	028	AOC	S	10,200	43.93	n/a	n/a	459.00	4.5
MAZAMA CAPITAL MGMT.	035	ARD	S	44,600	66.66	n/a	n/a	1,784.00	4.0
APEX CAPITAL MGMT.	091	ARO	B	125,000	20.01	n/a	7-Sep	6,250.00	5.0
COUGAR TRADING	044	ARO	B	25,000	20.39	n/a	7-Sep	1,250.00	5.0
J L F ASSET MGMT	039	ARO	B	50,966	20.01	n/a	7-Sep	2,038.64	4.0
HIGHBRIDGE/MS OLDS	041	ARW	SS	50,000	42.73	n/a	n/a	2,000.00	4.0
DSG CAPITAL	225	ASD	B	16,000	35.31	17-Aug	14-Sep	800.00	5.0
HIGHBRIDGE/MS OLDS	041	ATI	B	200,000	104.68	n/a	n/a	8,000.00	4.0
FORD FDN.	032	BA	S	25,000	101.23	n/a	n/a	1,250.00	5.0
BRIGHTPOINT CAP	067	BIG	SS	25,000	30.47	n/a	7-Sep	1,000.00	4.0
OPTIMUM INV ADV	030	BLC	S	900	17.67	n/a	n/a	36.00	4.0
BUCK CAPITAL MGMT	001	BWS	B	20,000	22.16	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	CC	B	1,500	8.76	1-May	27-Jul	0.00	0.0
LEDDY	035	CHCG	B	3,000	3.85	n/a	n/a	0.00	0.0
KERN	050	CHCG	S	1,000	3.95	n/a	n/a	0.00	0.0
SLS CAPITAL LLC	224	CMCSA	S	250,300	23.70	5-Apr	4-Sep	10,012.00	4.0
MAZAMA CAPITAL MGMT.	035	CNS	S	49,000	35.87	n/a	n/a	1,960.00	4.0
CARLYLE BLUE WAVE PR MG	224	DIS	B	9,700	34.02	n/a	n/a	485.00	5.0
MILLENIUM PARTNERS	028	DIS	B	10,000	33.90	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	DSW	B	20,000	28.68	5-Sep	5-Sep	800.00	4.0
BRANDWINE	028	DTE	S	8,100	49.01	n/a	n/a	364.50	4.5
BAYP	041	ELY	B	12,000	16.00	n/a	n/a	600.00	5.0
SENTINAL CAPITAL	067	FDX	S	6,000	104.95	n/a	n/a	300.00	5.0
BALYASNY ASSET MGMT	044	FII	B	20,000	37.55	n/a	19-Sep	1,000.00	5.0
CARLYLE BLUE WAVE PR MG	224	GPS	B	9,000	18.32	n/a	7-Sep	450.00	5.0
GALLEON MGMT LP	033	GPS	B	20,000	18.38	n/a	7-Sep	1,000.00	5.0
GALLEON MGMT LP	033	GS	C	10,000	208.31	15-Jun	20-Sep	500.00	5.0
LEDDY	035	HLYS	S	400	8.31	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	HSC	B	5,000	55.39	26-Jul	26-Jul	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE/MS OLDS	041	INFY	B	68,925	47.26	n/a	n/a	2,757.00	4.0
GOLDMAN SACHS ASSET MGMT	044	INTU	B	40,000	29.79	n/a	n/a	600.00	1.5
LEDDY	035	JADE	B	2,000	4.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	15,000	46.36	22-Jun	6-Sep	600.00	4.0
TRELLUS PARTNERS LP	028	JCI	SS	10,000	116.83	19-Jul	19-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	66.95	21-Jun	7-Sep	1,200.00	4.0
GALLEON MGMT LP	033	JCP	B	10,000	66.71	21-Jun	7-Sep	500.00	5.0
VICTORIA INVESTORS LP	060	KEGS	B	5,000	15.97	23-Jul	20-Sep	250.00	5.0
BARON ASSET MGMT*	012	KMX	B	60,000	21.83	n/a	10-Jan	3,000.00	5.0
DELTEC ASSET MGMT.	040	KSS	B	5,000	58.44	14-Jun	27-Jul	250.00	5.0
MEISENBACH CAP MGMT	041	KSS	B	5,000	59.23	14-Jun	27-Jul	150.00	3.0
SHAREVEST CAPITAL MGMT.	038	LEH	B	10,000	63.89	12-Jun	20-Sep	500.00	5.0
STADIA CAPITAL	035	LIZ	SS	20,100	35.07	n/a	14-Sep	804.00	4.0
HIGHBRIDGE/MS OLDS	041	LPL	B	1,000	22.72	n/a	n/a	40.00	4.0
PRINCIPLE CAPITAL	040	LRW	SS	95,000	19.48	n/a	n/a	2,850.00	3.0
HIGHBRIDGE/MS OLDS	041	MDRX	S	22,300	27.16	n/a	n/a	892.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	MER	S	200	76.21	18-Jul	20-Sep	0.00	0.0
CARLYLE BLUE WAVE PR MG	224	MFE	B	9,500	34.98	n/a	3-Apr	475.00	5.0
COUGAR TRADING	044	M	B	5,000	32.70	13-Jul	7-Sep	250.00	5.0
PILOT ADV	038	M	S	80,000	32.81	13-Jul	7-Sep	3,200.00	4.0
WOOSTER CAPITAL	035	M	B	50,000	32.97	13-Jul	7-Sep	2,500.00	5.0
GENERAL ELECTIC CO	033	NBR	B	33,123	31.21	n/a	n/a	1,324.92	4.0
JACOB	068	NEXC	B	2,000	7.55	n/a	n/a	0.00	0.0
CATAPULT	040	NLY	B	5,000	15.63	n/a	n/a	250.00	5.0
RHO CAPITAL MGMT	041	NTRI	B	300	48.53	n/a	n/a	15.00	5.0
GALLEON MGMT LP	033	ODP	B	25,000	19.38	n/a	27-Jul	1,250.00	5.0
HIGHBRIDGE/MS OLDS	041	OI	S	45,900	40.82	n/a	n/a	1,836.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	50,000	22.10	n/a	n/a	2,000.00	4.0
J L F ASSET MGMT	039	PVH	B	4,700	54.28	13-Aug	29-Aug	188.00	4.0
GOLDMAN SACHS ASSET MGMT	044	RIMM	S	208,005	90.91	n/a	n/a	3,120.08	1.5
COUGAR TRADING	044	RL	B	5,000	81.48	9-Aug	29-Aug	250.00	5.0
GALLEON MGMT LP	033	RSH	B	10,000	21.97	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN LEWIS/MLH	046	RSH	SS	10,000	21.84	n/a	n/a	500.00	5.0
OPTIMUM INV ADV	030	SCHL	B	2,000	35.26	n/a	n/a	80.00	4.0
MORGAN LEWIS/MLH	046	SEPR	SS	5,000	28.36	n/a	n/a	250.00	5.0
STERLING JOHNSTON	035	SKX	B	100,000	22.76	n/a	13-Mar	5,000.00	5.0
MILLENIUM PARTNERS	028	S	SS	20,000	18.00	n/a	n/a	1,000.00	5.0
HIGHBRIDGE/MS OLDS	041	TEX	B	25,000	81.99	n/a	n/a	1,000.00	4.0
GALLEON MGMT LP	033	TGT	C	20,000	65.05	n/a	27-Jul	1,000.00	5.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	34.35	n/a	24-Apr	800.00	4.0
CARLYLE BLUE WAVE PR MG	224	TOL	B	15,400	21.40	n/a	n/a	770.00	5.0
WEISS PECK	040	TWB	S	8,200	32.14	23-Aug	14-Sep	410.00	5.0
HIGHBRIDGE CAPITAL	038	UFS	B	143,400	8.28	n/a	n/a	7,170.00	5.0
HIGHBRIDGE/MS OLDS	041	UPL	B	98,800	56.32	n/a	17-Sep	3,952.00	4.0
JP MORGAN VENTURES	046	VLCM	SS	10,000	40.00	n/a	n/a	500.00	5.0
OPTIMUM INV ADV	030	WERN	B	2,500	17.72	n/a	n/a	100.00	4.0
GALLEON MGMT LP	033	WMT	C	10,000	44.30	4-Jun	27-Jul	500.00	5.0
DALTON GREINER	012	WRNC	S	59,040	40.09	19-Sep	19-Sep	2,952.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE/MS OLDS	041	WY	B	54,900	70.99	13-Jul	20-Aug	2,196.00	4.0
XYLEM GLOBAL	091	WY	B	10,000	71.03	13-Jul	20-Aug	500.00	5.0
HIGHBRIDGE/MS OLDS	041	XTO	B	40,000	62.10	n/a	n/a	1,600.00	4.0
TOTAL (Trade Date) :								108,841.14	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/19	WHITTIER CAP (WHITCALI)	048	BONT	B	8,600	27.38	3-Aug	7-Sep	344.00 4.0
AO,CXL	09/19	WHITTIER CAP (WHITBS)	048	BONT	B	8,600	27.38	3-Aug	7-Sep	344.00 4.0
AO,CXL	09/19	AMBER CAPITAL (AMBRLEH)	046	FITB	SS	121,700	36.52	n/a	n/a	4868.00 4.0
AO,CRT	09/19	AMBER CAPITAL (AMBRLEH)	046	FITB	SS	121,700	36.52	n/a	n/a	4868.00 4.0
AO,CRT	09/19	WHITTIER CAP (WHITCALI)	048	GIII	S	11,765	20.00	n/a	n/a	470.60 4.0
AO,CXL	09/19	WHITTIER CAP (WHITBS)	048	GIII	S	11,765	20.00	n/a	n/a	470.60 4.0
AO,CXL	09/19	MEISENBACH CAP MGMT (MBACBANC O)	041	GPS	SS	10,000	18.79	n/a	7-Sep	400.00 4.0
AO,CRT	09/19	MEISENBACH CAP MGMT (MBACBANC O)	041	GPS	SS	10,000	18.79	n/a	7-Sep	300.00 3.0
AO,CXL	09/19	THE JAY GOLDMAN (GOLDGSBULK)	034	GRP	SS	5,000	54.96	n/a	n/a	200.00 4.0
AO,CRT	09/19	THE JAY GOLDMAN (GOLDGSBULK)	034	GRP	SS	5,000	54.96	n/a	n/a	250.00 5.0
AO,CXL	09/19	JPMSI/TOM LEDDY (JPMLSTKS)	035	HIBB	SS	10,000	27.72	n/a	n/a	500.00 5.0
AO,CRT	09/19	JPMSI/TOM LEDDY (JPMLSTKS)	035	HIBB	SS	10,000	27.72	n/a	n/a	500.00 5.0
AO,CXL	09/17	NATIONAL BK OF CAN (NBCAMAIN)	031	JPM	S	20,000	45.28	n/a	20-Sep	1000.00 5.0
AO,CRT	09/17	NATIONAL BK OF CAN (NBCAMAIN)	031	JPM	S	20,000	45.28	n/a	20-Sep	800.00 4.0
AO,CXL	09/19	SCOPUS FUND (SCOPBANC O)	041	LEH	B	9,900	65.27	12-Jun	20-Sep	495.00 5.0
AO,CRT	09/19	SCOPUS FUND (SCOPBANC O)	041	LEH	B	9,900	65.27	12-Jun	20-Sep	495.00 5.0
AO,	09/19	SCOPUS FUND (SCOPBANC O)	041	LEH	S	4,500	66.25	12-Jun	20-Sep	225.00 5.0
CRT	09/20	MORGAN LEWIS/MLH (MORLBS)	046	SEPR	SS	5,000	28.36	n/a	n/a	250.00 5.0
AO,	09/19	GALLEON MGMT LP (GALLUBS.05)	033	STT	B	40,000	68.31	n/a	n/a	2000.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/19	THE JAY GOLDMAN (GOLDGSBULK)	034	SWN	B	10,000	43.51	n/a	17-Sep	400.00 4.0
AO,CRT	09/19	THE JAY GOLDMAN (GOLDGSBULK)	034	SWN	B	10,000	43.51	n/a	17-Sep	500.00 5.0
AO,CXL	09/19	HIGHBRIDGE CAPITAL (HIGBNEW)	038	UFS	B	25,000	8.40	n/a	n/a	1250.00 5.0
AO,CRT	09/19	HIGHBRIDGE CAPITAL (HIGBNEW)	038	UFS	B	25,000	8.40	n/a	n/a	750.00 3.0
AO,CXL	09/19	FARALLON CAP MGMT (FARABULK F)	040	XHB	SS	400,000	24.76	n/a	n/a	16000.00 4.0
AO,CRT	09/19	FARALLON CAP MGMT (FARABULK F)	040	XHB	SS	400,000	24.76	n/a	n/a	12000.00 3.0
AO,CXL	09/19	FARALLON CAP MGMT (FARABULK F)	040	XLF	B	705,000	35.54	n/a	n/a	28200.00 4.0
AO,CRT	09/19	FARALLON CAP MGMT (FARABULK F)	040	XLF	B	705,000	35.54	n/a	n/a	21150.00 3.0

TOTAL (AO, CXL, CRT) :	-9,225.00
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TOTAL (Trade Date) :	108,841.14
TOTAL (AO, CXL, CRT) :	-9,225.00

TOTAL (RUN DATE) / NFS :	99,616.14
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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