

## **Daily Compliance Activity Report** Trade Date: 09/12/2007

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

	TOTENTIAL MAKETOT					TRIBL VIOLITIONS: 0			
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
IMPALA ASSET MMT	012	ABX	S	200,000	37.31	n/a	n/a	6,000.00	3.0
BALYASNY ASSET MGMT	044	AB	S	5,000	80.15	9-Aug	22-Aug	250.00	5.0
SECOND CURVE	031	ACF	В	50,000	18.62	n/a	n/a	2,500.00	5.0
IMPALA ASSET MMT	012	AEM	В	325,000	49.30	n/a	n/a	9,750.00	3.0
WEISS PECK	040	AEO	S	36,100	25.18	10-Jul	7-Sep	1,805.00	5.0
HIGHBRIDGE CAPITAL	038	APC	В	3,000	50.59	22-Jun	4-Sep	150.00	5.0
MAZAMA CAPITAL MGMT.	035	ARD	S	15,300	64.41	n/a	n/a	612.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	В	25,300	18.75	n/a	7-Sep	948.75	3.8
XYLEM GLOBAL	091	AVY	SS	25,000	56.31	13-Aug	11-Sep	1,250.00	5.0
SANDLER O'NEILL ASSET	031	BAC	S	25,000	49.23	20-Apr	16-Aug	1,250.00	5.0
TRIVIUM CAP MGMT	028	BBI	В	500,000	5.05	n/a	n/a	10,000.00	2.0
GRANAHAN INV	039	BBW	S	50,000	16.55	11-Sep	11-Sep	2,000.00	4.0
BALYASNY ASSET MGMT	044	BEN	S	4,100	124.35	8-Aug	12-Sep	205.00	5.0
CAPITAL GROWTH MGMT.	241	BGC	S	30,000	52.83	n/a	n/a	1,500.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	MAGNETAR FINANCIAL	247	BOBE	В	6,538	30.59	n/a	n/a	261.52	4.0
	BUCK CAPITAL MGMT	001	BWS	В	10,000	19.87	n/a	n/a	400.00	4.0
	WHEELER	008	CALPINE	CORPB	100,000	99.75	n/a	n/a	0.00	0.0
	GAULT	063	CALPINE	CORPB	100,000	99.75	n/a	n/a	0.00	0.0
	WHITE PINE CAPITAL	030	СВК	S	32,975	12.10	7-Jun	7-Sep	1,648.75	5.0
	STRONG/MARK GRONET	030	CDL	В	200,000	4.18	n/a	n/a	6,000.00	3.0
	MORRISON & FRASIER	040	CERS	S	33,200	7.54	n/a	n/a	1,328.00	4.0
	BONANZA PARTNERS	031	CHUX	S	25,000	15.01	n/a	n/a	1,250.00	5.0
	IMPALA ASSET MMT	012	CNQ	SS	100,000	73.02	n/a	n/a	3,000.00	3.0
õ	Glenn Redemann		CRM	В	3	0.6200	n/a	n/a	0.00	0.0
õ	Glenn Redemann		CRM	В	3	0.7700	n/a	n/a	0.00	0.0
õ	Glenn Redemann		CRM	SS	3	1.9000	n/a	n/a	0.00	0.0
õ	Glenn Redemann		CRM	SS	3	1.9900	n/a	n/a	0.00	0.0
õ	Glenn Redemann		CVX	В	2	1.0400	n/a	n/a	0.00	0.0
õ	Glenn Redemann		cvx	В	2	1.4400	n/a	n/a	0.00	0.0
	MAZAMA CAPITAL MGMT.	035	DVA	S	21,700	61.77	n/a	n/a	868.00	4.0
	PRINCIPLE CAPITAL	040	FOSL	SS	100,000	37.30	12-Sep	12-Sep	3,000.00	3.0
	BUCK CAPITAL MGMT	001	GES	В	5,000	44.36	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
WHITE PINE CAPITAL	030	GGG	S	800	39.56	n/a	n/a	40.00	5.0	
BUCK CAPITAL MGMT	001	GPS	SS	50,000	17.98	n/a	7-Sep	2,000.00	4.0	
HIGHBRIDGE CAPITAL	038	IP	SS	100,000	34.57	4-May	20-Aug	5,000.00	5.0	
KORMAN	003	JADE	S	30,000	6.15	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT	001	JCG	В	35,000	42.75	22-Jun	6-Sep	1,400.00	4.0	
BUCK CAPITAL MGMT	001	JWN	В	10,000	46.84	12-Ju1	7-Sep	400.00	4.0	
BUCK CAPITAL MGMT	001	KSS	В	5,000	53.54	14-Jun	27-Jul	200.00	4.0	
KORMAN	003	LEH	В	3,500	57.04	12-Jun	4-Sep	0.00	0.0	
KORMAN	003	LESUK	S	50	1.75	n/a	n/a	0.00	0.0	
CHILTON CAPITAL MGMT.	036	MET	S	180,700	63.72	n/a	n/a	7,228.00	4.0	
LISTED ERR	099	MET	s	32	64.02	n/a	n/a	0.00	0.0	
WASHINGTON ASSET	048	MWV	S	6,400	29.85	31-Jul	20-Aug	320.00	5.0	
MAGUIRE	039	MZZ	В	100	56.15	n/a	n/a	0.00	0.0	
TRIVIUM CAP MGMT	028	М	В	75,000	28.88	13-Jul	7-Sep	3,000.00	4.0	
CAPITAL GROWTH MGMT.	241	NUE	В	30,000	51.96	n/a	n/a	1,500.00	5.0	
STRONG/MARK GRONET	030	PSS	В	100,000	21.19	n/a	n/a	4,000.00	4.0	
	WHITE PINE CAPITAL  BUCK CAPITAL MGMT  HIGHBRIDGE CAPITAL  KORMAN  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  KORMAN  KORMAN  CHILTON CAPITAL MGMT.  LISTED ERR  WASHINGTON ASSET  MAGUIRE  TRIVIUM CAP MGMT  CAPITAL GROWTH MGMT.	WHITE PINE CAPITAL  BUCK CAPITAL MGMT  HIGHBRIDGE CAPITAL  KORMAN  BUCK CAPITAL MGMT  O01  BUCK CAPITAL MGMT  O01  KORMAN  O03  KORMAN  O03  KORMAN  CHILTON CAPITAL MGMT.  U36  LISTED ERR  WASHINGTON ASSET  MAGUIRE  TRIVIUM CAP MGMT  O28  CAPITAL GROWTH MGMT.  241	BUCK CAPITAL MGMT 001 GPS HIGHBRIDGE CAPITAL 038 IP  KORMAN 003 JADE  BUCK CAPITAL MGMT 001 JCG  BUCK CAPITAL MGMT 001 JWN  BUCK CAPITAL MGMT 001 KSS  KORMAN 003 LEH  KORMAN 003 LEH  KORMAN 003 LESUK  CHILTON CAPITAL MGMT. 036 MET LISTED ERR 099 MET  WASHINGTON ASSET 048 MWV  MAGUIRE 039 MZZ  TRIVIUM CAP MGMT 028 M  CAPITAL GROWTH MGMT. 241 NUE	BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  O01  GPS  SS  HIGHBRIDGE CAPITAL  O38  IP  SS  KORMAN  O03  JADE  BUCK CAPITAL MGMT  O01  JCG  B  BUCK CAPITAL MGMT  O01  JWN  B  BUCK CAPITAL MGMT  O01  KSS  B  KORMAN  O03  LEH  B  KORMAN  O03  LESUK  S  CHILTON CAPITAL MGMT.  O36  MET  S  LISTED ERR  WASHINGTON ASSET  O48  MWV  S  MAGUIRE  O39  MZZ  B  TRIVIUM CAP MGMT  O28  M  B  CAPITAL GROWTH MGMT.  241  NUE  B  SS  SS  SS  SS  SS  SS  SS  SS  SS	### WHITE PINE CAPITAL	### WHITE PINE CAPITAL   ### O01	### WHITE PINE CAPITAL	WHITE PINE CAPITAL 030 GGG S 800 39.56 n/a n/a  BUCK CAPITAL MGMT 001 GPS SS 50,000 17.98 n/a 7-Sep  HIGHBRIDGE CAPITAL 038 IP SS 100,000 34.57 4-May 20-Aug  KORMAN 003 JADE S 30,000 6.15 n/a n/a  BUCK CAPITAL MGMT 001 JCG B 35,000 42.75 22-Jun 6-Sep  BUCK CAPITAL MGMT 001 JWN B 10,000 46.84 12-Jul 7-Sep  BUCK CAPITAL MGMT 001 KSS B 5,000 53.54 14-Jun 27-Jul  KORMAN 003 LEH B 3,500 57.04 12-Jun 4-Sep  KORMAN 003 LEBUK S 50 1.75 n/a n/a  CHILTON CAPITAL MGMT. 036 MET S 180,700 63.72 n/a n/a  LISTED ERR 099 MET S 32 64.02 n/a n/a  WASHINGTON ASSET 048 MWV S 6,400 29.85 31-Jul 20-Aug  MAGUIRE 039 MZZ B 100 56.15 n/a n/a  TRIVIUM CAP MGMT 028 M B 75,000 28.88 13-Jul 7-Sep  CAPITAL GROWTH MGMT. 241 NUE B 30,000 51.96 n/a n/a	MHITE PINE CAPITAL  030 CGG S 800 39.56 n/a n/a 40.00  BUCK CAPITAL MGMT  001 GPS SS 50,000 17.98 n/a 7-sep 2,000.00  HIGHBRIDGE CAPITAL  038 IP SS 100,000 34.57 4-May 20-Aug 5,000.00  KORMAN  003 JADE S 30,000 6.15 n/a n/a 0.00  BUCK CAPITAL MGMT  001 JCG B 35,000 42.75 22-Jun 6-sep 1,400.00  BUCK CAPITAL MGMT  001 JWN B 10,000 46.84 12-Jul 7-sep 400.00  BUCK CAPITAL MGMT  001 KSS B 5,000 53.54 14-Jun 27-Jul 200.00  KORMAN  003 LEH B 3,500 57.04 12-Jun 4-sep 0.00  KORMAN  003 LESUK S 50 1.75 n/a n/a 0.00  CHILTON CAPITAL MGMT.  036 MET S 180,700 63.72 n/a n/a 0.00  CHILTON CAPITAL MGMT.  036 MET S 180,700 63.72 n/a n/a 0.00  LISTED ERR  099 MET S 32 64.02 n/a n/a 0.00  MASHINGTON ASSET 048 MMW S 6,400 29.85 31-Jul 20-Aug 320.00  MAGUIRE  039 MZZ B 100 56.15 n/a n/a 0.00  CRITIAL GROWTH MGMT.  028 M B 75,000 28.88 13-Jul 7-sep 3,000.00  CAPITAL GROWTH MGMT.  028 M B 75,000 28.88 13-Jul 7-sep 3,000.00	NHITE PINE CAPITAL 030 GGG S 800 39.56 n/a n/a 40.00 5.0  BUCK CAPITAL MGMT 001 GPS SS 50,000 17.98 n/a 7-sep 2,000.00 4.0  HIGHERIDGE CAPITAL 038 IP SS 100,000 34.57 4-May 20-Aug 5,000.00 5.0  KORMAN 003 JADE S 30,000 6.15 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 001 JCG B 35,000 42.75 22-Jun 6-Sep 1,400.00 4.0  BUCK CAPITAL MGMT 001 JWN B 10,000 46.84 12-Jul 7-Sep 400.00 4.0  BUCK CAPITAL MGMT 001 KSS B 5,000 53.54 14-Jun 27-Jul 200.00 4.0  KORMAN 003 LEH B 3,500 57.04 12-Jun 4-Sep 0.00 0.0  KORMAN 003 LESUK S 50 1.75 n/a n/a 0.00 0.0  CHILLTON CAPITAL MGMT. 036 MET S 180,700 63.72 n/a n/a n/a 0.00 0.0  CHILLTON CAPITAL MGMT. 036 MET S 180,700 63.72 n/a n/a n/a 0.00 0.0  NASHINGTON ASSET 048 MMV S 6,400 29.85 31-Jul 20-Aug 320.00 5.0  MAGGUIRE 039 MZZ B 100 56.15 n/a n/a n/a 0.00 0.0  CRIVIUM CAP MGMT 028 M B 75,000 28.88 13-Jul 7-Sep 3,000.00 4.0  CAPITAL GROWTH MGMT. 241 NUE B 30,000 51.96 n/a n/a 1,500.00 5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
õ	Henry Ngan		scss	s	1100	17.9000	n/a	n/a	0.00	0.0
	PRINCIPLE CAPITAL	040	SKX	S	30,000	20.64	n/a	13-Mar	900.00	3.0
	KAICHER	064	SNCR	S	2,000	37.29	n/a	n/a	0.00	0.0
	OPTIMUM INV ADV	030	TEK	В	6,000	31.88	n/a	n/a	240.00	4.0
õ	Glenn Redemann		TEX	В	2	0.8400	n/a	n/a	0.00	0.0
õ	Glenn Redemann		TEX	В	2	0.9200	n/a	n/a	0.00	0.0
õ	Glenn Redemann		TEX	SS	2	1.7000	n/a	n/a	0.00	0.0
õ	Glenn Redemann		TEX	SS	2	1.9200	n/a	n/a	0.00	0.0
	BUCK	015	TGTJM	s	6	1.95	n/a	n/a	0.00	0.0
	EATON VANCE MGMT	039	VZ	В	100,000	42.00	31-Jul	6-Sep	3,000.00	3.0
	THE JAY GOLDMAN	034	VZ	SS	35,000	42.13	31-Jul	6-Sep	1,400.00	4.0
	IMPALA ASSET MMT	012	WCC	В	200,000	42.20	n/a	n/a	6,000.00	3.0
	TOKIO MARINE ASSET MGMT	044	WFC	В	25,000	35.92	n/a	n/a	1,250.00	5.0
	MAGNETAR FINANCIAL	247	WMT	В	200,000	42.71	4-Jun	27-Jul	4,000.00	2.0

TOTAL (Trade Date): 98,055.02

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Re	search	Comm.	Shr.
AO,	09/11	WHEELER (WHEELER)	800	ccc	S	600	7.50	n/a	n/a	0.00	0.0
AO,	09/11	LISTED ERR (LISTED ERR)	099	MET	В	32	63.60	n/a	n/a	0.00	0.0
TOTAL	(AO,	CXL, CRT):								0.00	

TOTAL (RUN DATE) / NFS:	98,055.02
TOTAL (AO, CXL, CRT):	0.00
TOTAL (Trade Date):	98,055.02

## Legend:

O: 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