



## Daily Compliance Activity Report

Trade Date: 09/06/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	ACI	B	150,000	31.69	n/a	n/a	7,500.00	5.0
LISTED ERR	099	ACI	B	3,400	31.88	n/a	n/a	0.00	0.0
LISTED ERR	099	ACI	S	3,400	31.89	n/a	n/a	0.00	0.0
LISTED ERR	099	ACO	B	500	32.70	n/a	n/a	0.00	0.0
LISTED ERR	099	ACO	S	500	32.63	n/a	n/a	0.00	0.0
CATAPULT	040	AEO	SS	14,200	24.84	10-Jul	31-Aug	568.00	4.0
COUGAR TRADING	044	ANF	B	3,500	78.91	23-Aug	31-Aug	175.00	5.0
COUGAR TRADING	044	ANF	SS	18,500	78.76	23-Aug	31-Aug	925.00	5.0
J L F ASSET MGMT	039	ANN	B	113,600	32.10	6-Aug	31-Aug	4,544.00	4.0
SAXON WOODS ADVISORS	038	APD	B	13,000	91.75	n/a	4-Sep	650.00	5.0
J L F ASSET MGMT	039	ARO	B	117,900	20.12	n/a	31-Aug	4,716.00	4.0
CATAPULT	040	AVP	SS	10,500	33.11	2-May	6-Sep	420.00	4.0
DIAMONDBACK CAP MGMT	232	BIG	SS	25,000	28.92	n/a	4-Sep	1,250.00	5.0
CATAPULT	040	BKC	B	13,000	23.79	n/a	24-Apr	520.00	4.0
WHITE PINE CAPITAL	030	BONT	B	550	28.35	3-Aug	31-Aug	27.50	5.0
OPTIMUM INV ADV	030	BVF	B	28,000	17.34	n/a	n/a	1,120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OPTIMUM INV ADV	030	BWA	B	3,000	83.29	n/a	27-Jul	120.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>S</b>	<b>68,547</b>	<b>21.96</b>	<b>n/a</b>	<b>n/a</b>	<b>2,741.88</b>	<b>4.0</b>
<b>Õ Neil Stratton</b>		<b>CFIS</b>	<b>S</b>	<b>99</b>	<b>25.6000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>DEMARTINI</b>	<b>065</b>	<b>CROX</b>	<b>B</b>	<b>500</b>	<b>56.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	DPHIQ	S	100,000	0.87	n/a	n/a	5,000.00	5.0
WALKER SMITH	031	DSW	B	25,000	29.01	5-Sep	5-Sep	1,250.00	5.0
<b>Õ Glenn Redemann</b>		<b>DVN</b>	<b>B</b>	<b>5</b>	<b>0.5300</b>	<b>18-Jul</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>DVN</b>	<b>B</b>	<b>5</b>	<b>0.5900</b>	<b>18-Jul</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>EVST</b>	<b>S</b>	<b>276</b>	<b>32.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COOKBIELER	033	FDO	B	416,725	28.25	9-Aug	6-Sep	16,669.00	4.0
LEVIN CAPITAL STRATEGIES	012	FDO	SS	15,000	27.60	9-Aug	6-Sep	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>50.66</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
BENNETT LAWRENCE	045	HWAY	B	15,250	50.53	n/a	n/a	686.25	4.5
PHILADELPHIA FINANCIAL	033	IVZ	B	29,995	24.52	8-Aug	22-Aug	1,499.75	5.0
TYEE/TYGH	035	IVZ	B	85,000	24.41	8-Aug	22-Aug	3,400.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>JADE</b>	<b>S</b>	<b>1,000</b>	<b>8.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JENNISON	032	JBLU	B	772,300	9.62	n/a	n/a	30,892.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>65,000</b>	<b>44.94</b>	<b>22-Jun</b>	<b>6-Sep</b>	<b>2,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	JCG	B	5,000	44.15	22-Jun	6-Sep	250.00	5.0
NEEDHAM CAP	067	JCG	B	5,000	44.39	22-Jun	6-Sep	250.00	5.0
<b>KERN</b>	<b>050</b>	<b>JCG</b>	<b>B</b>	<b>250</b>	<b>45.80</b>	<b>22-Jun</b>	<b>6-Sep</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	JWN	B	12,700	48.24	12-Jul	31-Aug	508.00	4.0
COUGAR TRADING	044	JWN	B	5,000	48.61	12-Jul	31-Aug	250.00	5.0
COUGAR TRADING	044	JWN	SS	5,000	47.69	12-Jul	31-Aug	250.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>KEGS</b>	<b>B</b>	<b>300</b>	<b>15.13</b>	<b>23-Jul</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>CROWLEY</b>	<b>061</b>	<b>KEGS</b>	<b>B</b>	<b>1,500</b>	<b>15.09</b>	<b>23-Jul</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>30,000</b>	<b>54.65</b>	<b>14-Jun</b>	<b>27-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>LULU</b>	<b>S</b>	<b>300</b>	<b>35.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BECK MACK & OLIVER LLC	068	LVLTL	B	5,200	4.99	6-Sep	6-Sep	208.00	4.0
CASTLEROCK	040	LVLTL	SS	350,000	4.92	6-Sep	6-Sep	14,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	LVLTL	S	50,000	5.01	6-Sep	6-Sep	1,500.00	3.0
RIVER RUN MGMT	031	LVLTL	SS	250,000	5.01	6-Sep	6-Sep	7,500.00	3.0
STRONG/MARK GRONET	030	MRVC	B	75,000	2.36	n/a	n/a	2,250.00	3.0
<b>Õ Neil Stratton</b>		<b>MWA/B</b>	<b>S</b>	<b>100</b>	<b>11.0000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	M	S	5,000	30.40	13-Jul	31-Aug	250.00	5.0
CLOVIS CAPITAL	012	NCR	B	70,000	49.08	n/a	n/a	3,500.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>NG</b>	<b>S</b>	<b>1,500</b>	<b>14.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LEDDY</b>	<b>035</b>	<b>ODP</b>	<b>SS</b>	<b>2,000</b>	<b>22.47</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
CLOVIS CAPITAL	012	OMC	B	50,000	51.83	n/a	n/a	2,500.00	5.0
TRIBECA/DOUG	040	PRTR	S	25,000	12.10	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	PSUN	SS	10,000	15.22	n/a	31-Aug	500.00	5.0
BELMONT GLOBAL ADV	248	SMBL	B	30,000	10.54	n/a	n/a	1,500.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>SMBL</b>	<b>B</b>	<b>100</b>	<b>9.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>SMBL</b>	<b>B</b>	<b>1,000</b>	<b>10.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EATON VANCE MGMT	039	SWY	B	50,000	31.12	n/a	n/a	1,500.00	3.0
MATTHES CAPITAL MGMT	033	TLB	SS	25,000	20.01	n/a	23-Aug	1,000.00	4.0
PRINCIPLE CAPITAL	040	TPX	B	36,200	31.13	n/a	n/a	1,086.00	3.0
<b>Õ Neil Stratton</b>		<b>TWIN</b>	<b>B</b>	<b>50</b>	<b>51.5000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ACT II PARTNERS	067	TWTC	B	30,900	21.83	4-May	6-Sep	1,545.00	5.0
<b>Õ Neil Stratton</b>		<b>TYC</b>	<b>S</b>	<b>25</b>	<b>44.0000</b>	<b>6-Aug</b>	<b>7-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>MADIGAN</b>	<b>031</b>	<b>UNT</b>	<b>B</b>	<b>186</b>	<b>48.50</b>	<b>n/a</b>	<b>4-Sep</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	URBN	SS	5,000	21.89	31-Jul	10-Aug	250.00	5.0
<b>Õ Neil Stratton</b>		<b>VOYT</b>	<b>??</b>	<b>500</b>	<b>0.3500</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MADIGAN	031	VZ	S	200	42.05	31-Jul	6-Sep	0.00	0.0
HIGHBRIDGE CAPITAL	038	WIN	B	25,000	14.14	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	WIN	B	30,000	14.09	n/a	n/a	1,500.00	5.0
MATRIX ASSET ADV.	036	XOM	S	10,400	88.11	n/a	n/a	416.00	4.0
TOTAL (Trade Date):							134,237.38		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/06	COUGAR TRADING (COUGPB MS)	044	ANF	B	3,500	78.91	23-Aug	31-Aug	175.00 5.0
AO,CXL	09/05	DAVIDSON TRUST CO (DAVTOMNI)	033	APPB	S	1,000	24.80	n/a	n/a	90.00 9.0
AO,CRT	09/05	DAVIDSON TRUST CO (DAVTOMNI)	033	APPB	S	1,000	24.80	n/a	n/a	50.00 5.0
AO,CXL	09/05	MS PRINCIPAL STRATEGIES (MSPSMS)	040	ASBC	B	23,901	28.10	n/a	n/a	1.40 0.0
AO,CRT	09/05	MS PRINCIPAL STRATEGIES (MSPSMS)	040	ASBC	B	23,901	28.10	n/a	n/a	1195.05 5.0
AO,CXL	09/05	COUGAR TRADING (COUGPB MS)	044	JWN	SS	15,000	46.46	12-Jul	31-Aug	0.00 0.0
AO,	09/05	COUGAR TRADING (COUGPB MS)	044	JWN	SS	15,000	46.46	12-Jul	31-Aug	750.00 5.0
CRT	09/06	CASTLEROCK (CASTUBS)	040	LVLTL	SS	215,000	4.92	6-Sep	6-Sep	8600.00 4.0
CRT	09/06	RIVER RUN MGMT (RIVEGSPB)	031	LVLTL	SS	250,000	5.01	6-Sep	6-Sep	7500.00 3.0
CRT	09/06	COUGAR TRADING (COUGPB MS)	044	URBN	SS	5,000	21.89	31-Jul	10-Aug	250.00 5.0
AO,	09/05	SUTTONBROOK CAPITAL (SUTT-FB.04)	044	WY	B	100,000	67.04	13-Jul	20-Aug	4000.00 4.0

**TOTAL (AO, CXL, CRT) :****22,428.65**

TOTAL (Trade Date) :

134,237.38

TOTAL (AO, CXL, CRT) :

22,428.65

**TOTAL (RUN DATE) / NFS:****156,666.03**

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