

## **Daily Compliance Activity Report** Trade Date: 09/17/2007

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
SOMERSET ADV	044	AEM	В	7,700	47.86	n/a	n/a	385.00	5.0
WHITE PINE CAPITAL	030	AGO	В	850	24.18	n/a	n/a	42.50	5.0
Glenn Redemann		AMGN	В	3	0.8900	n/a	26-Jan	0.00	0.0
IMPALA ASSET MMT	012	AMR	В	100,000	23.64	n/a	n/a	3,000.00	3.0
JP MORGAN VENTURES	046	ANN	SS	20,000	32.26	6-Aug	7-Sep	1,000.00	5.0
HIGHBRIDGE CAPITAL	041	APC	В	3,000	50.74	22-Jun	17-Sep	150.00	5.0
COUGAR TRADING	044	ARO	В	5,000	19.02	n/a	7-Sep	250.00	5.0
XYLEM GLOBAL	091	AVY	SS	20,000	56.04	13-Aug	11-Sep	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	BHI	В	30,000	85.98	n/a	n/a	1,500.00	5.0
NATIONAL BK OF CAN	031	BSC	S	5,000	115.29	4-Sep	4-Sep	250.00	5.0
IMPALA ASSET MMT	012	CNI	SS	83,100	55.82	n/a	n/a	2,493.00	3.0
SERENGETI MGMT	030	COF	В	25,000	64.73	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	СОН	В	5,000	46.85	n/a	10-Sep	200.00	4.0
COUGAR TRADING	044	СОН	В	5,000	46.55	n/a	10-Sep	250.00	5.0
THIRD COAST CAPITAL	035	CONN	В	30,000	25.18	n/a	n/a	1,500.00	5.0
	Account  SOMERSET ADV  WHITE PINE CAPITAL  Glenn Redemann  IMPALA ASSET MMT  JP MORGAN VENTURES  HIGHBRIDGE CAPITAL  COUGAR TRADING  XYLEM GLOBAL  CAPITAL GROWTH MGMT.  NATIONAL BK OF CAN  IMPALA ASSET MMT  SERENGETI MGMT  BUCK CAPITAL MGMT  COUGAR TRADING	ACCOUNT RR #  SOMERSET ADV 044  WHITE PINE CAPITAL 030  Glenn Redemann  IMPALA ASSET MMT 012  JP MORGAN VENTURES 046  HIGHBRIDGE CAPITAL 041  COUGAR TRADING 044  XYLEM GLOBAL 091  CAPITAL GROWTH MGMT. 241  NATIONAL BK OF CAN 031  IMPALA ASSET MMT 012  SERENGETI MGMT 030  BUCK CAPITAL MGMT 001  COUGAR TRADING 044	Account RR # Symbol  SOMERSET ADV 044 AEM  WHITE PINE CAPITAL 030 AGO  Glenn Redemann AMGN  IMPALA ASSET MMT 012 AMR  JP MORGAN VENTURES 046 ANN  HIGHBRIDGE CAPITAL 041 APC  COUGAR TRADING 044 ARO  XYLEM GLOBAL 091 AVY  CAPITAL GROWTH MGMT. 241 BHI  NATIONAL BK OF CAN 031 BSC  IMPALA ASSET MMT 012 CNI  SERENGETI MGMT 030 COF  BUCK CAPITAL MGMT 001 COH  COUGAR TRADING 044 COH	Account RR # Symbol B/S  SOMERSET ADV 044 AEM B  WHITE PINE CAPITAL 030 AGO B  Glenn Redemann AMGN B  IMPALA ASSET MMT 012 AMR B  JP MORGAN VENTURES 046 ANN SS  HIGHBRIDGE CAPITAL 041 APC B  COUGAR TRADING 044 ARO B  XYLEM GLOBAL 091 AVY SS  CAPITAL GROWTH MGMT. 241 BHI B  NATIONAL BK OF CAN 031 BSC S  IMPALA ASSET MMT 012 CNI SS  SERENGETI MGMT 030 COF B  BUCK CAPITAL MGMT 001 COH B COUGAR TRADING 044 COH B	Account         RR #         Symbol         B/S         Shares           SOMERSET ADV         044         AEM         B         7,700           WHITE PINE CAPITAL         030         AGO         B         850           Glenn Redemann         AMGN         B         3           IMPALA ASSET MMT         012         AMR         B         100,000           JP MORGAN VENTURES         046         ANN         SS         20,000           HIGHBRIDGE CAPITAL         041         APC         B         3,000           COUGAR TRADING         044         ARO         B         5,000           XYLEM GLOBAL         091         AVY         SS         20,000           NATIONAL BK OF CAN         031         BSC         S         5,000           IMPALA ASSET MMT         012         CNI         SS         83,100           SERENGETI MGMT         030         COF         B         25,000           BUCK CAPITAL MGMT         001         COH         B         5,000           BUCK CAPITAL MGMT         044         COH         B         5,000	Account         RR #         Symbol         B/S         Shares         Price           SOMERSET ADV         044         AEM         B         7,700         47.86           WHITE PINE CAPITAL         030         AGO         B         850         24.18           Glenn Redemann         AMGN         B         3 0.8900           IMPALA ASSET MMT         012         AMR         B         100,000         23.64           JP MORGAN VENTURES         046         ANN         SS         20,000         32.26           HIGHBRIDGE CAPITAL         041         APC         B         3,000         50.74           COUGAR TRADING         044         ARO         B         5,000         19.02           XYLEM GLOBAL         091         AVY         SS         20,000         56.04           CAPITAL GROWTH MGMT.         241         BHI         B         30,000         85.98           NATIONAL BK OF CAN         031         BSC         S         5,000         115.29           IMPALA ASSET MMT         012         CNI         SS         83,100         55.82           SERENGETI MGMT         030         COF         B         25,000         64.73	Account         RR #         Symbol         B/S         Shares         Price         MRI           SOMERSET ADV         044         AEM         B         7,700         47.96         n/a           WHITE PINE CAPITAL         030         AGO         B         850         24.18         n/a           Glenn Redemann         AMGN         B         30.8900         n/a           IMPALA ASSET MMT         012         AMR         B         100,000         23.64         n/a           JP MORGAN VENTURES         046         ANN         SS         20,000         32.26         6-Aug           HIGHBRIDGE CAPITAL         041         APC         B         3,000         50.74         22-Jun           COUGAR TRADING         044         ARO         B         5,000         19.02         n/a           XYLEM GLOBAL         091         AVY         SS         20,000         56.04         13-Aug           CAPITAL GROWTH MGMT.         241         BHI         B         30,000         85.98         n/a           IMPALA ASSET MMT         012         CNI         SS         83,100         55.82         n/a           SERENGETI MGMT         030         COF	Account         RR #         Symbol         B/S         Shares         Price         MRI         Research           SOMERSET ADV         044         AEM         B         7,700         47.86         n/a         n/a           WHITE PINE CAPITAL         030         AGO         B         850         24.18         n/a         n/a           Glenn Redemann         AMGN         B         30.8900         n/a         26-Jan           IMPALA ASSET MMT         012         AMR         B         100,000         23.64         n/a         n/a           JP MORGAN VENTURES         046         ANN         SS         20,000         32.26         6-Aug         7-Sep           HIGHBRIDGE CAPITAL         041         APC         B         3,000         50.74         22-Jun         17-Sep           XYLEM GLOBAL         091         AVY         SS         20,000         56.04         13-Aug         11-Sep           XYLEM GLOBAL         091         AVY         SS         20,000         56.04         13-Aug         11-Sep           CAPITAL GROWTH MGMT.         241         BHI         B         30,000         85.98         n/a         n/a           IMPALA ASSET	Account         RR #         Symbol         B/S         Shares         Price         MRI         Research         Comm.           SOMERSET ADV         044         AEM         B         7,700         47.86         n/a         n/a         385.00           WHITE PINE CAPITAL         030         AGO         B         850         24.18         n/a         n/a         42.50           Glenn Redeman         AMGN         B         30.8900         n/a         26-Jan         0.00           IMPALA ASSET MMT         012         AMR         B         100,000         23.64         n/a         n/a         3,000.00           JP MORGAN VENTURES         046         ANN         SS         20,000         32.26         6-Aug         7-Sep         150.00           HIGHBRIDGE CAPITAL         041         APC         B         3,000         50.74         22-Jun         17-Sep         250.00           XYLEM GLOBAL         091         AVY         SS         20,000         56.04         13-Aug         11-Sep         1,000.00           XYLEM GLOBAL         091         AVY         SS         20,000         56.04         13-Aug         11-Sep         250.00           NATIO

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	CROWLEY	061	DUK	S	1,000	18.56	n/a	n/a	0.00	0.0
	KAICHER	064	ENER	В	2,000	23.80	n/a	n/a	0.00	0.0
õ õ	Glenn Redemann Glenn Redemann		ESS ESS	B B	2 2	1.3300 1.8000	n/a n/a	n/a n/a	0.00	0.0
	IRON HORSE CAPITAL MGMT	038	EXH	В	5,000	77.27	n/a	4-Sep	250.00	5.0
	MS PRINCIPAL STRATEGIES	041	FIF	В	12,600	28.00	n/a	n/a	630.00	5.0
	LEVIN CAPITAL STRATEGIES	012	FIG	S	12,500	18.76	n/a	n/a	375.00	3.0
	BUCK CAPITAL MGMT	001	GES	В	5,000	45.79	n/a	n/a	200.00	4.0
	WEISS PECK	040	GE	В	10,000	40.23	n/a	n/a	500.00	5.0
	SERENGETI MGMT	030	HAYZ	В	78 <b>,</b> 700	4.11	n/a	n/a	3,148.00	4.0
	CATAPULT	040	HBAN	S	10,000	17.21	n/a	n/a	500.00	5.0
	KAICHER	064	HOV	S	3,000	11.29	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	012	HUN	S	20,000	26.04	n/a	n/a	800.00	4.0
	LEDDY	035	ICON	S	400	22.44	n/a	n/a	0.00	0.0
	EIDELMAN, FINGER & CO	046	INTC	S	3,000	24.92	n/a	n/a	150.00	5.0
õ	Glenn Redemann		IN	В	3	0.8500	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	s Price	MRI	Research	Comm.	¢/Shr.
õ	Glenn Redemann		IN	В	3	0.8500	n/a	n/a	0.00	0.0
	HIGHBRIDGE CAPITAL	041	IP	SS	43,000	34.82	4-May	20-Aug	2,150.00	5.0
	CROWLEY	061	ISLN	В	1,000	9.19	n/a	n/a	0.00	0.0
	DEEPHAVEN	031	JCP	SS	10,000	63.38	21-Jun	7-Sep	500.00	5.0
õ	Glenn Redemann		JOSB	В	2	0.2600	n/a	n/a	0.00	0.0
õ	Glenn Redemann		JOSB	В	2	0.3600	n/a	n/a	0.00	0.0
õ	Glenn Redemann		JOSB	SS	2	1.0800	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		JOSB	SS	2	1.3300	n/a	n/a	0.00	0.0
	NATIONAL BK OF CAN	031	JPM	S	20,000	45.28	n/a	16-Aug	1,000.00	5.0
	DEEPHAVEN	031	JWN	SS	10,000	48.73	12-Jul	7-Sep	500.00	5.0
	ROBX	033	KFN	S	19,000	15.67	n/a	n/a	570.00	3.0
	XYLEM GLOBAL	091	KMB	В	10,000	68.77	n/a	n/a	500.00	5.0
	BARR	096	KOG	S	2,200	3.40	n/a	n/a	0.00	0.0
	CATAPULT	040	LEH	В	2,500	57.97	12-Jun	4-Sep	125.00	5.0
	CATAPULT	040	LEH	SS	15,000	58.58	12-Jun	4-Sep	750.00	5.0
	RIVER RUN MGMT	031	LVLT	В	200,000	4.36	6-Sep	6-Sep	10,000.00	5.0
	BUCK	015	MCO	С	800	43.24	n/a	n/a	0.00	0.0
	BUCK	015	MDY	S	700	156.21	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	ROBX	033	MGLN	В	20,000	38.07	n/a	n/a	800.00	4.0
õ	Glenn Redemann		мнк	В	2	0.4800	n/a	n/a	0.00	0.0
õ	Glenn Redemann		MHK	В	2	0.8800	n/a	n/a	0.00	0.0
õ	Glenn Redemann		MHK	SS	2	1.2800	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		MHK	SS	2	1.7800	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	MMC	S	11,825	24.94	n/a	n/a	591.25	5.0
	CATAPULT	040	MS	SS	5,000	64.86	2-Jul	4-Sep	250.00	5.0
	SANDLER O'NEILL ASSET	031	MS	В	15 <b>,</b> 600	64.71	2-Jul	4-Sep	780.00	5.0
	FIRST INV MGMT CORP	036	MVSN	В	5,000	22.29	n/a	n/a	250.00	5.0
	CROWLEY	061	NG	S	500	15.35	n/a	n/a	0.00	0.0
	JP MORGAN VENTURES	046	NTY	В	10,000	40.34	n/a	n/a	500.00	5.0
	MATRIX ASSET ADV.	036	NVLS	В	32,800	26.55	n/a	n/a	1,312.00	4.0
	BARR	096	NXG	S	2,000	3.17	n/a	n/a	0.00	0.0
	CATAPULT	040	PBCT	В	5,000	16.99	n/a	n/a	250.00	5.0
	ROTHSCHILD ASSET	040	PCH	В	26,160	41.49	27-Jul	20-Aug	1,177.20	4.5
	BUCK CAPITAL MGMT	001	PSS	В	72,400	21.20	n/a	n/a	2,896.00	4.0
	JP MORGAN VENTURES	046	RIMM	В	10,000	85.71	n/a	n/a	500.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
	WHITE PINE CAPITAL	030	RVI	В	1,925	10.45	n/a	n/a	96.25	5.0
	LEDDY	035	RVI	S	300	10.34	n/a	n/a	0.00	0.0
	BUCK	015	RYN	S	1,000	43.00	n/a	2-Aug	0.00	0.0
	EPOCH INV MGMT	030	SAPE	В	10,850	6.25	n/a	n/a	434.00	4.0
	WHITE PINE CAPITAL	030	SCSS	В	2,200	15.31	n/a	n/a	110.00	5.0
	PRINCIPLE CAPITAL	040	SGP	В	30,000	30.19	n/a	n/a	900.00	3.0
	BUCK CAPITAL MGMT	001	SKS	В	10,000	15.91	n/a	n/a	400.00	4.0
	BELMONT GLOBAL ADV	248	SMBL	В	20,000	12.91	n/a	n/a	1,000.00	5.0
	KAICHER	064	SNCR	В	1,000	38.48	n/a	n/a	0.00	0.0
	ROBX	033	STR	В	44,000	50.68	15-Aug	17-Sep	1,320.00	3.0
	CATAPULT	040	TCB	В	12,500	24.27	n/a	n/a	625.00	5.0
õ	Glenn Redemann		TIF	В	3	0.9600	31-Aug	31-Aug	0.00	0.0
õ	Glenn Redemann		TIF	В	3	1.0100	31-Aug	31-Aug	0.00	0.0
õ	Glenn Redemann		TIF	SS	3	2.2100	31-Aug	31-Aug	0.00	0.0
õ	Glenn Redemann		TIF	SS	3	2.3500	31-Aug	31-Aug	0.00	0.0
	SINCLAIR	031	TPXMF	В	5	1.95	n/a	n/a	0.00	0.0
	PRINCIPLE CAPITAL	040	TPX	S	26,900	33.87	n/a	n/a	807.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
STRAUSS ASSET MGMT	040	ULTI	В	4,720	31.20	n/a	n/a	236.00	5.0
ROARING BLUE LION MGMT	012	VLCM	SS	8,100	37.85	n/a	n/a	324.00	4.0
WEISS PECK	040	WFC	SS	14,000	35.65	n/a	n/a	7.00	0.1
LISTED ERR	099	WFC	В	800	35.47	n/a	n/a	0.00	0.0
LISTED ERR	099	WFC	S	800	35.47	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	WFT	В	130,000	65.42	n/a	n/a	6,500.00	5.0
DEEPHAVEN	031	WMT	В	10,000	43.27	4-Jun	27-Jul	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	YUM	SS	40,000	32.44	n/a	24-Apr	1,600.00	4.0
TRIVIUM CAP MGMT	251	ZQK	S	50,000	14.21	n/a	7-Sep	2,000.00	4.0

TOTAL (Trade Date): 61,834.20

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	\$/Shr.
AO,CXL	09/14	MORRISON & FRASIER (MORRBANC O)	040	CERS	S	10,800	7.40	n/a	n/a	540.00	5.0
AO,CRT	09/14	MORRISON & FRASIER (MORRBANC O)	040	CERS	S	10,800	7.40	n/a	n/a	432.00	4.0
AO,CXL	09/14	IMPALA ASSET MMT (IMPAMORGAN)	012	CNQ	SS	131,659	75.47	n/a	n/a	3949.77	3.0
AO,	09/14	IMPALA ASSET MMT (IMPAGOLDMA)	012	CNQ	SS	131,659	75.47	n/a	n/a	3949.77	3.0
TOTAL	(AO, (	CXL, CRT):							_	108.00	

TOTAL (RUN DATE) / NFS:	61,726.20
TOTAL (AO, CXL, CRT):	-108.00
TOTAL (Trade Date):	61,834.20

## 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