



## Daily Compliance Activity Report

Trade Date: 10/29/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	ABG	B	15,000	19.25	n/a	26-Oct	900.00	6.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>ABH</b>	<b>B</b>	<b>13,500</b>	<b>37.14</b>	<b>n/a</b>	<b>n/a</b>	<b>675.00</b>	<b>5.0</b>
PATTEN & PATTEN	067	AB	S	400	83.81	25-Oct	25-Oct	20.00	5.0
<b>BUCK</b>	<b>015</b>	<b>AB</b>	<b>B</b>	<b>400</b>	<b>83.47</b>	<b>25-Oct</b>	<b>25-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	AEO	B	5,000	23.70	12-Oct	12-Oct	250.00	5.0
CHARTER OAK	033	AFFY	S	2,222	28.46	n/a	n/a	111.10	5.0
<b>BUCK</b>	<b>015</b>	<b>ANF</b>	<b>SS</b>	<b>400</b>	<b>79.08</b>	<b>2-Oct</b>	<b>25-Oct</b>	<b>0.00</b>	<b>0.0</b>
NEW JERSEY DIV OF INV.	220	AOI	B	65,500	6.44	n/a	n/a	1,965.00	3.0
PATTEN & PATTEN	067	AVY	S	100	57.88	13-Aug	23-Oct	5.00	5.0
CAPITAL GROWTH MGMT.	241	AXE	S	20,000	75.41	9-Oct	23-Oct	1,000.00	5.0
MERRILL LYNCH STRATEGICI	034	AXS	S	10,000	39.12	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	BAC	S	200	47.93	19-Oct	19-Oct	10.00	5.0
SAXON WOODS ADVISORS	038	BA	B	75,000	97.09	n/a	n/a	3,000.00	4.0
J L F ASSET MGMT	039	BBY	S	23,342	49.05	n/a	27-Jul	933.68	4.0
PROVIDENT INV COUNSEL	048	BEN	S	37,206	129.85	25-Sep	25-Oct	1,860.30	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>BIG</b>	<b>SS</b>	<b>3,000</b>	<b>24.64</b>	<b>26-Oct</b>	<b>26-Oct</b>	<b>180.00</b>	<b>6.0</b>
BARROW HANLEY MEWHINNEY	031	BNI	S	7,500	86.36	n/a	n/a	300.00	4.0
NATIONAL BK OF CAN	031	BSC	S	10,000	114.46	4-Sep	22-Oct	400.00	4.0
<b>BUCK</b>	<b>015</b>	<b>CAH</b>	<b>S</b>	<b>800</b>	<b>66.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	CFC	B	300	16.95	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	CFC	S	400	16.95	n/a	n/a	20.00	5.0
BEAR STEARNS ASSET MGMT.	033	COH	SS	30,000	37.34	24-Oct	24-Oct	1,200.00	4.0
J.W. SELIGMAN	041	COH	B	362,900	37.13	24-Oct	24-Oct	14,516.00	4.0
LIGHTHOUSE FIN/QUAD	046	COMS	B	5,000	4.88	n/a	n/a	250.00	5.0
BENCHMARK	028	COV	B	5,000	41.68	n/a	n/a	250.00	5.0
OPTIMUM INV ADV	030	DBD	S	10,000	41.11	16-Aug	9-Oct	400.00	4.0
AAD CAPITAL	048	DSW	S	114,600	21.90	26-Oct	26-Oct	3,438.00	3.0
FIRST NY SEC/CHRIS	041	EMC	B	10,000	24.99	n/a	n/a	600.00	6.0
NORTHPOINT	030	ENG	S	36,351	14.57	n/a	n/a	1,454.04	4.0
PATTEN & PATTEN	067	EWC	S	300	35.04	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	EWJ	S	3,300	14.30	n/a	n/a	165.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	FHN	S	800	25.63	n/a	n/a	40.00	5.0
HIGHBRIDGE CAPITAL	038	FL	SS	166,500	14.57	22-Aug	4-Sep	8,325.00	5.0
BARROW HANLEY MEWHINNEY	031	GE	S	42,200	40.52	n/a	n/a	1,688.00	4.0
<b>WHEELER</b>	<b>008</b>	<b>GHM</b>	<b>S</b>	<b>4,000</b>	<b>63.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	GIL	S	15,000	45.05	19-Sep	19-Sep	600.00	4.0
MAGNETAR FINANCIAL	247	GM	SS	30,000	38.20	n/a	26-Oct	1,200.00	4.0
<b>BUCK</b>	<b>015</b>	<b>GSK</b>	<b>B</b>	<b>1,000</b>	<b>50.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>HAR</b>	<b>B</b>	<b>2,000</b>	<b>84.30</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	HOT	B	6,600	54.78	n/a	n/a	330.00	5.0
PATTEN & PATTEN	067	ILF	B	75	267.91	n/a	n/a	3.75	5.0
ARIENCE CAPITAL	036	JCG	B	91,900	37.47	24-Oct	24-Oct	4,595.00	5.0
COUGAR TRADING	044	JCG	B	20,900	37.44	24-Oct	24-Oct	1,045.00	5.0
TRELLUS PARTNERS LP	028	JCI	SS	25,000	43.69	2-Oct	23-Oct	1,250.00	5.0
MATRIX ASSET ADV.	036	JNJ	S	9,000	64.52	n/a	22-Apr	360.00	4.0
PATTEN & PATTEN	067	JNJ	S	200	64.80	n/a	22-Apr	10.00	5.0
MORGAN LEWIS/MLH	046	JPM	B	20,000	47.08	19-Oct	19-Oct	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	JWN	B	600	39.58	12-Oct	12-Oct	30.00	5.0
<b>BUCK</b>	<b>015</b>	<b>JWN</b>	<b>SS</b>	<b>500</b>	<b>39.52</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>KSS</b>	<b>B</b>	<b>5,000</b>	<b>56.00</b>	<b>27-Sep</b>	<b>12-Oct</b>	<b>250.00</b>	<b>5.0</b>
COUGAR TRADING	044	KSS	B	5,000	57.43	27-Sep	12-Oct	250.00	5.0
MERRILL LYNCH STRATEGICI	034	K	SS	2,500	52.80	n/a	n/a	125.00	5.0
<b>OGORMAN</b>	<b>146</b>	<b>LAD</b>	<b>C</b>	<b>700</b>	<b>15.90</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>LEH</b>	<b>B</b>	<b>1,500</b>	<b>61.00</b>	<b>12-Jun</b>	<b>16-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>LEH</b>	<b>B</b>	<b>300</b>	<b>62.86</b>	<b>12-Jun</b>	<b>16-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	LIZ	SS	10,000	27.90	n/a	23-Oct	500.00	5.0
MERRILL LYNCH STRATEGICI	034	MAR	SS	12,000	39.54	n/a	n/a	480.00	4.0
BARROW HANLEY MEWHINNEY	031	MCD	S	11,800	58.84	n/a	24-Apr	472.00	4.0
NATIONAL BK OF CAN	031	MER	B	15,000	67.46	25-Oct	29-Oct	600.00	4.0
PATTEN & PATTEN	067	MHP	B	200	49.01	n/a	n/a	10.00	5.0
FARALLON CAP MGMT	040	MOS	S	75,000	69.07	n/a	n/a	3,000.00	4.0
FIRST NY SEC/CHRIS	041	MSFT	B	10,000	34.75	n/a	3-Apr	500.00	5.0
PRINCIPLE CAPITAL	040	MW	S	50,000	41.39	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	M	S	15,000	33.38	24-Sep	12-Oct	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	NBR	SS	5,000	27.39	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	NEM	S	500	47.47	n/a	n/a	25.00	5.0
BARROW HANLEY MEWHINNEY	031	NOK	S	26,200	39.69	n/a	n/a	1,048.00	4.0
MERRILL ASSET	032	NPO	B	11,300	41.07	n/a	n/a	565.00	5.0
FARALLON CAP MGMT	040	NRG	S	110,000	45.19	n/a	n/a	4,400.00	4.0
CAPITAL GROWTH MGMT.	241	NVR	B	2,000	480.29	n/a	n/a	100.00	5.0
<b>BUCK</b>	<b>015</b>	<b>NVS</b>	<b>S</b>	<b>1,000</b>	<b>52.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	NZ	B	29,000	12.85	n/a	n/a	1,160.00	4.0
<b>BUCK</b>	<b>015</b>	<b>ONXX</b>	<b>B</b>	<b>800</b>	<b>44.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	PRU	SS	41,287	96.05	n/a	n/a	1,651.48	4.0
<b>STRATTON</b>	<b>N21</b>	<b>PRXI</b>	<b>B</b>	<b>350</b>	<b>12.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PTT</b>	<b>S</b>	<b>5,000</b>	<b>10.47</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
UBS OCONNOR	031	PZN	SS	14,100	20.00	n/a	n/a	423.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>100,000</b>	<b>69.99</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	B	15,000	69.84	9-Aug	29-Aug	750.00	5.0
INDEPENDENCE INV	039	RSH	S	34,400	20.94	n/a	n/a	1,376.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	S	88,800	25.02	n/a	13-Mar	3,552.00	4.0
CHILTON CAPITAL MGMT.	036	SO	C	150,542	36.40	n/a	n/a	6,021.68	4.0
STONERIDGE INV PART	033	SSI	B	26,900	17.56	3-Aug	12-Oct	1,345.00	5.0
PRINCIPLE CAPITAL	040	TUP	B	50,000	33.57	n/a	n/a	1,500.00	3.0
LUCHANSKY2	036	TWB	S	200	29.48	2-Oct	2-Oct	0.00	0.0
PATTEN & PATTEN	067	T	S	300	41.67	21-Sep	29-Oct	15.00	5.0
THIRD COAST CAPITAL	035	URBN	S	25,000	24.21	23-Oct	23-Oct	1,250.00	5.0
ELM RIDGE ADVISORS	044	VC	S	300	5.90	n/a	25-Oct	9.00	3.0
MERRILL ASSET	032	VQ	S	38,700	23.00	n/a	n/a	1,741.50	4.5
PATTEN & PATTEN	067	WB	B	1,500	46.68	n/a	n/a	75.00	5.0
BALYASNY ASSET MGMT	044	WDR	S	30,000	32.18	23-Oct	23-Oct	1,500.00	5.0
BUCK	015	WFC	S	1,200	34.34	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	WY	S	175,000	73.46	21-Sep	18-Oct	8,750.00	5.0
GALLEON MGMT LP	033	XLB	C	15,000	43.59	n/a	n/a	750.00	5.0
FARALLON CAP MGMT	040	XLF	SS	300,000	33.51	n/a	n/a	9,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	XLF	B	50,000	33.45	n/a	n/a	0.00	0.0
LISTED ERR	099	XLF	S	50,000	33.45	n/a	n/a	0.00	0.0
GENERAL ELECTIC CO	033	ZMH	S	46,000	69.19	n/a	n/a	920.00	2.0
COUGAR TRADING	044	ZQK	S	5,000	13.09	n/a	7-Sep	250.00	5.0
MERRILL LYNCH STRATEGICI	034	ZUMZ	SS	15,000	45.91	n/a	n/a	750.00	5.0
<b>TOTAL (Trade Date):</b>							<b>117,074.53</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/18	BUCK CAPITAL MGMT (BUCKMSAGCR)	001	ARO	B	10,000	20.43	n/a	12-Oct	400.00 4.0
AO,CRT	10/18	BUCK CAPITAL MGMT (BUCKMSAGCR)	001	ARO	B	10,000	20.43	n/a	12-Oct	0.00 0.0
AO,CXL	10/23	MEISENBACH CAP MGMT (MBACBANC O)	041	BRCM	B	10,000	42.00	n/a	n/a	500.00 5.0
AO,CRT	10/23	MEISENBACH CAP MGMT (MBACBANC O)	041	BRCM	B	10,000	42.00	n/a	n/a	300.00 3.0
AO,	10/26	ROTHSCHILD ASSET (ROTH000479)	040	FIF	S	1,070	26.73	n/a	n/a	48.15 4.5
AO,	10/26	ROTHSCHILD ASSET (ROTH471-2)	040	FIF	S	950	26.73	n/a	n/a	42.75 4.5
AO,	10/26	ROTHSCHILD ASSET (ROTH471-1)	040	FIF	S	2,560	26.73	n/a	n/a	115.20 4.5
AO,	10/26	ROTHSCHILD ASSET (ROTH471)	040	FIF	S	4,730	26.73	n/a	n/a	212.85 4.5
AO,	10/26	ROTHSCHILD ASSET (ROTH386)	040	FIF	S	620	26.73	n/a	n/a	27.90 4.5
AO,	10/26	ROTHSCHILD ASSET (ROTH348)	040	FIF	S	920	26.73	n/a	n/a	41.40 4.5
AO,	10/26	GALLEON MGMT LP (GALLDB\$.05)	033	GNA	SS	50,000	13.47	n/a	n/a	2500.00 5.0
AO,	10/26	GALLEON MGMT LP (GALLBOA.05)	033	GNA	SS	25,000	13.47	n/a	n/a	1250.00 5.0
AO,	10/26	COUGAR TRADING (COUGPB MS)	044	JCG	S	900	27.60	24-Oct	24-Oct	45.00 5.0
AO,CXL	10/25	APEX CAPITAL MGMT. (APEXMORGAN)	091	KSS	B	50,000	56.00	27-Sep	12-Oct	2500.00 5.0
AO,CRT	10/25	APEX CAPITAL MGMT. (APEXMORGAN)	091	KSS	B	45,000	56.00	27-Sep	12-Oct	2250.00 5.0
AO,	10/26	SOUTH POINT CAP (SOPOFIDO)	067	NTRI	B	167,000	29.93	n/a	n/a	8350.00 5.0
AO,CRT	10/26	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	NWY	B	108,800	6.62	25-May	18-Oct	4352.00 4.0
AO,CXL	10/26	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	NWY	B	108,900	6.62	25-May	18-Oct	4356.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>11,779.25</b>	



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TOTAL (Trade Date):	117,074.53
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>128,853.78</b>
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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