



# Daily Compliance Activity Report

Trade Date: 09/17/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SOMERSET ADV	044	AEM	B	7,700	47.86	n/a	n/a	385.00	5.0
WHITE PINE CAPITAL	030	AGO	B	850	24.18	n/a	n/a	42.50	5.0
<b>Glenn Redemann</b>		<b>AMGN</b>	<b>B</b>	<b>3</b>	<b>0.8900</b>	<b>n/a</b>	<b>26-Jan</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	AMR	B	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	B	3,000	50.74	22-Jun	17-Sep	150.00	5.0
COUGAR TRADING	044	ARO	B	5,000	19.02	n/a	7-Sep	250.00	5.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>AVY</b>	<b>SS</b>	<b>20,000</b>	<b>56.04</b>	<b>13-Aug</b>	<b>11-Sep</b>	<b>1,000.00</b>	<b>5.0</b>
CAPITAL GROWTH MGMT.	241	BHI	B	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	B	25,000	64.73	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>5,000</b>	<b>46.85</b>	<b>n/a</b>	<b>10-Sep</b>	<b>200.00</b>	<b>4.0</b>
COUGAR TRADING	044	COH	B	5,000	46.55	n/a	10-Sep	250.00	5.0
THIRD COAST CAPITAL	035	CONN	B	30,000	25.18	n/a	n/a	1,500.00	5.0

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	B	2,000	23.80	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ESS	B	2	1.3300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ESS	B	2	1.8000	n/a	n/a	0.00	0.0
IRON HORSE CAPITAL MGMT	038	EXH	B	5,000	77.27	n/a	4-Sep	250.00	5.0
MS PRINCIPAL STRATEGIES	041	FIF	B	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	B	5,000	45.79	n/a	n/a	200.00	4.0
WEISS PECK	040	GE	B	10,000	40.23	n/a	n/a	500.00	5.0
SERENGETI MGMT	030	HAYZ	B	78,700	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	B	3	0.8500	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Glenn Redemann		IN	B	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	B	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	B	2	0.2600	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		JOSB	B	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	B	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	B	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	LVLTT	B	200,000	4.36	6-Sep	6-Sep	10,000.00	5.0
	BUCK	015	MCO	C	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	B	20,000	38.07	n/a	n/a	800.00	4.0
Õ Glenn Redemann		MHK	B	2	0.4800	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MHK	B	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	B	15,600	64.71	2-Jul	4-Sep	780.00	5.0
FIRST INV MGMT CORP	036	MVSN	B	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	B	10,000	40.34	n/a	n/a	500.00	5.0
MATRIX ASSET ADV.	036	NVLS	B	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	B	5,000	16.99	n/a	n/a	250.00	5.0
ROTHSCHILD ASSET	040	PCH	B	26,160	41.49	27-Jul	20-Aug	1,177.20	4.5
BUCK CAPITAL MGMT	001	PSS	B	72,400	21.20	n/a	n/a	2,896.00	4.0
JP MORGAN VENTURES	046	RIMM	B	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	B	1,925	10.45	n/a	n/a	96.25	5.0
<b>LEDDY</b>	<b>035</b>	<b>RVI</b>	<b>S</b>	<b>300</b>	<b>10.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>RYN</b>	<b>S</b>	<b>1,000</b>	<b>43.00</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	SAPE	B	10,850	6.25	n/a	n/a	434.00	4.0
WHITE PINE CAPITAL	030	SCSS	B	2,200	15.31	n/a	n/a	110.00	5.0
PRINCIPLE CAPITAL	040	SGP	B	30,000	30.19	n/a	n/a	900.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKS</b>	<b>B</b>	<b>10,000</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
BELMONT GLOBAL ADV	248	SMBL	B	20,000	12.91	n/a	n/a	1,000.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>SNCR</b>	<b>B</b>	<b>1,000</b>	<b>38.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROBX	033	STR	B	44,000	50.68	15-Aug	17-Sep	1,320.00	3.0
CATAPULT	040	TCB	B	12,500	24.27	n/a	n/a	625.00	5.0
Õ <b>Glenn Redemann</b>		<b>TIF</b>	<b>B</b>	<b>3</b>	<b>0.9600</b>	<b>31-Aug</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>TIF</b>	<b>B</b>	<b>3</b>	<b>1.0100</b>	<b>31-Aug</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>TIF</b>	<b>SS</b>	<b>3</b>	<b>2.2100</b>	<b>31-Aug</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>TIF</b>	<b>SS</b>	<b>3</b>	<b>2.3500</b>	<b>31-Aug</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>TPXMF</b>	<b>B</b>	<b>5</b>	<b>1.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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	B	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	B	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	B	130,000	65.42	n/a	n/a	6,500.00	5.0
DEEPHAVEN	031	WMT	B	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
<b>TOTAL (Trade Date):</b>								<b>61,834.20</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	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
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-108.00</b>

TOTAL (Trade Date) :	61,834.20
TOTAL (AO, CXL, CRT) :	-108.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>61,726.20</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