



Daily Compliance Activity Report

Trade Date: 07/24/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	AA	B	250,000	42.03	n/a	n/a	10,000.00	4.0
SARAS CAPITAL	038	AEO	S	112,600	27.03	10-Jul	13-Jul	5,630.00	5.0
CAXTON PART	040	AIG	S	170,296	67.85	n/a	n/a	6,811.84	4.0
ROXBURY CAPITAL MGMT	035	AMG	B	9,900	117.91	25-Apr	24-Jul	396.00	4.0
SUNOVA CAPITAL	031	AMG	S	10,000	120.42	25-Apr	24-Jul	500.00	5.0
CAXTON PART	040	AMR	B	49,900	28.66	n/a	n/a	1,996.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	71.48	12-Jul	13-Jul	2,000.00	4.0
FARBER/WEISS PECK	012	ANN	C	13,000	35.11	12-Jul	13-Jul	650.00	5.0
AVESTA CAP	229	AN	SS	25,000	20.85	n/a	13-Jul	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ARO	B	47,600	40.39	n/a	13-Jul	1,904.00	4.0
OGORMAN	146	AVPHH	B	10	1.45	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	AXE	B	180,000	86.01	24-Jul	24-Jul	7,200.00	4.0
AVESTA CAP	229	AZO	SS	10,000	131.93	n/a	n/a	500.00	5.0
COLUMBIA PARTNERS	098	BEBE	S	66,691	14.98	n/a	n/a	2,667.64	4.0
BUCK CAPITAL MGMT	001	BID	S	20,000	48.71	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUNOVA CAPITAL	031	BLK	SS	25,000	166.11	18-Jul	24-Jul	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	B	2,000	89.80	n/a	n/a	100.00	5.0
MS PRINCIPAL STRATEGIES	040	BOH	B	24,600	49.43	n/a	n/a	1,230.00	5.0
THIRD AVE MGMT	030	BRNC	B	100,000	15.09	n/a	n/a	4,000.00	4.0
OPTIMUM INV ADV	030	BWA	B	100	89.04	n/a	27-Apr	4.00	4.0
DENVER INST. ADV	046	CASY	B	74,200	25.66	n/a	n/a	2,968.00	4.0
DENVER INST. ADV	046	CEPH	S	40,600	79.32	2-May	23-Jul	1,624.00	4.0
FARBER/WEISS PECK	012	CHS	C	11,000	20.78	12-Jul	13-Jul	550.00	5.0
COUGAR TRADING	044	COH	B	5,000	48.59	n/a	25-Apr	250.00	5.0
BUCK CAPITAL MGMT	001	CRI	SS	10,000	25.00	n/a	n/a	400.00	4.0
PAKLER	N22	CROX	B	42	47.22	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	SS	10,000	35.35	n/a	n/a	400.00	4.0
AELTUS/ING INVESTMENT MGT	044	DFS	S	57,762	25.06	n/a	n/a	2,310.48	4.0
MORGAN LEWIS/MLH	046	DVN	S	20,000	77.58	18-Jul	20-Jul	1,000.00	5.0
DENVER INST. ADV	046	ELY	B	93,200	17.66	n/a	n/a	3,728.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	EMKR	S	2,000	7.83	n/a	n/a	0.00	0.0
LEDDY	035	EVST	S	1,697	32.95	n/a	n/a	0.00	0.0
LUCHANSKY2	036	EVST	SS	300	32.85	n/a	n/a	0.00	0.0
CAXTON PART	040	EXC	SS	50,000	76.61	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	FL	B	40,000	21.08	24-May	21-Jun	1,600.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	10,000	51.16	n/a	10-Jan	400.00	4.0
BARR	096	GG	B	400	27.74	n/a	n/a	0.00	0.0
PAKLER	N22	GOOG	S	4	509.57	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GPI	S	40,000	37.41	27-Apr	13-Jul	1,600.00	4.0
LUCHANSKY	036	GPI	S	200	37.68	27-Apr	13-Jul	0.00	0.0
CAXTON PART	040	GS	S	11,349	201.02	15-Jun	13-Jul	453.96	4.0
ACT II PARTNERS	067	INAP	B	50,000	14.66	n/a	n/a	2,500.00	5.0
LUCHANSKY	036	INTC	S	400	24.50	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	IWM	SS	20,000	81.78	n/a	n/a	800.00	4.0
LUCHANSKY1	036	IWM	SS	500	81.29	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	JCP	B	239,226	72.69	21-Jun	13-Jul	9,569.04	4.0
SANDLER O'NEILL ASSET	031	JNS	B	15,000	30.05	16-Jul	24-Jul	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	JNS	C	600	29.93	16-Jul	24-Jul	0.00	0.0
CAXTON PART	040	JPM	S	25,000	45.69	n/a	19-Jul	1,000.00	4.0
PILOT ADV	038	KLIC	B	75,000	11.16	n/a	n/a	2,250.00	3.0
BUCK CAPITAL MGMT	001	KSS	B	15,000	64.74	14-Jun	12-Jul	600.00	4.0
COUGAR TRADING	044	KSS	B	5,000	65.11	14-Jun	12-Jul	250.00	5.0
COUGAR TRADING	044	LAD	B	5,000	23.55	n/a	13-Jul	250.00	5.0
SUN AMERICA ASSET MGMT	030	LCC	S	85,100	34.69	n/a	n/a	4,255.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	36.26	n/a	12-Jul	400.00	4.0
COMMISSUM CAPITAL	067	LM	B	5,000	96.52	24-Jul	24-Jul	250.00	5.0
SANDLER O'NEILL ASSET	031	LM	B	20,000	96.46	24-Jul	24-Jul	1,000.00	5.0
MORRISON & FRASIER	040	MIR	S	66,900	39.85	n/a	n/a	3,345.00	5.0
DALTON GREINER	012	MLI	B	135,000	37.11	24-Jul	24-Jul	6,750.00	5.0
JP MORGAN VENTURES	046	MRT	B	20,000	17.96	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	MSFT	S	500	31.14	n/a	3-Apr	25.00	5.0
LEDDY	035	MWV	S	300	34.46	13-Jul	13-Jul	0.00	0.0
DENVER INST. ADV	046	MW	B	14,300	52.25	n/a	n/a	572.00	4.0
PILOT ADV	038	M	S	20,000	41.61	13-Jul	13-Jul	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING HOWARD	038	M	B	20,000	41.91	13-Jul	13-Jul	1,000.00	5.0
PEREGRINE	030	NDN	B	258,300	13.12	n/a	11-Jul	12,915.00	5.0
LISTED ERR	099	NDN	S	12,300	13.20	n/a	11-Jul	0.00	0.0
HIGHBRIDGE CAPITAL	038	OWW	S	281,300	14.00	n/a	n/a	14,065.00	5.0
JP MORGAN VENTURES	046	PFE	B	54,000	25.02	n/a	31-Mar	2,700.00	5.0
SECOND CURVE	031	PRS	B	50,000	10.26	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	PSUN	B	5,000	20.06	n/a	13-Jul	250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	5,000	53.98	31-May	31-May	200.00	4.0
ALLEN & CO	032	QCOM	S	35,250	42.64	n/a	n/a	1,410.00	4.0
FIRST NEW YORK LEDDY	035	Q	B	7,500	9.34	n/a	n/a	450.00	6.0
HIGHBRIDGE CAPITAL	038	RIO	B	20,000	52.26	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	169,900	28.78	n/a	13-Mar	6,796.00	4.0
KAICHER	064	SNCR	B	1,000	35.44	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	040	SNV	B	47,230	30.32	n/a	n/a	2,361.50	5.0
BUCK CAPITAL MGMT	001	SSI	S	321,400	20.24	25-May	13-Jul	12,856.00	4.0
COUGAR TRADING	044	TJX	B	5,000	29.26	13-Jul	13-Jul	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	TWM	B	1,000	64.15	n/a	n/a	0.00	0.0
COUGAR TRADING	044	URBN	B	10,000	20.00	2-Apr	16-Jul	500.00	5.0
HIGHBRIDGE CAPITAL	038	URS	B	30,000	54.55	n/a	n/a	1,500.00	5.0
DIAMONDBACK CAP MGMT	232	USG	C	90,000	42.96	25-Apr	14-Jun	4,500.00	5.0
TRIVIUM CAP MGMT	028	USG	C	25,000	44.07	25-Apr	14-Jun	1,000.00	4.0
ELM RIDGE ADVISORS	044	VC	B	368,500	7.12	n/a	n/a	11,055.00	3.0
LOCUS WOOD CAPITAL MGMT	044	VQ	S	20,000	17.88	n/a	n/a	800.00	4.0
CAPITAL GROWTH MGMT.	241	WDC	B	80,000	22.66	n/a	n/a	3,200.00	4.0
SANDLER O'NEILL ASSET	031	WDR	B	30,000	26.92	13-Jul	24-Jul	1,500.00	5.0
FARBER/WEISS PECK	012	WFC	SS	34,000	34.24	n/a	n/a	1,700.00	5.0
SINCLAIR	031	WOS	C	400	22.81	n/a	n/a	0.00	0.0
SNYDER CAPITAL	038	WRNC	S	90,100	39.50	18-Jul	18-Jul	3,604.00	4.0
MKT MAKER	038	WRNC	S	77	39.50	18-Jul	18-Jul	3.08	4.0
PILOT ADV	038	WY	SS	2,100	81.50	13-Jul	13-Jul	84.00	4.0
AMBER CAPITAL	046	XLB	SS	35,000	42.20	n/a	n/a	1,400.00	4.0

TOTAL (Trade Date):

194,139.54

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/23	AMBER CAPITAL (AMBRGS)	046	AA	B	200,000	41.86	n/a	n/a	8000.00 4.0
AO,CRT	07/23	AMBER CAPITAL (AMBRLEH)	046	AA	B	200,000	41.86	n/a	n/a	8000.00 4.0
AO,CXL	07/23	SCOPUS FUND (SCOPBANC O)	039	DD	B	4,050	53.08	n/a	24-Jul	202.50 5.0
AO,CRT	07/23	SCOPUS FUND (SCOPBANC O)	039	DD	B	11,309	53.08	n/a	24-Jul	565.45 5.0
AO,CXL	07/23	SCOPUS FUND (SCOPUBS)	039	DD	B	10,950	53.08	n/a	24-Jul	547.50 5.0
AO,CRT	07/23	SCOPUS FUND (SCOPUBS)	039	DD	B	3,691	53.08	n/a	24-Jul	184.55 5.0
AO,	07/23	CAVU CAP ADV (CAVUUBS)	028	MU	B	2,500	13.52	n/a	n/a	125.00 5.0
AO,	07/23	MKT MAKER (MKT MAKER)	099	RCKY	B	10	16.80	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) :	125.00
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TOTAL (Trade Date) :	194,139.54
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TOTAL (AO, CXL, CRT) :	125.00
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TOTAL (RUN DATE) / NFS :	194,264.54
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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