



Daily Compliance Activity Report

Trade Date: 11/08/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	AAWW	B	4,675	57.05	n/a	n/a	187.00	4.0
BALYASNY ASSET MGMT	044	ABG	S	5,000	17.48	31-Oct	2-Nov	250.00	5.0
SCOPUS FUND	041	ABH	B	50,000	22.98	n/a	21-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	30,000	21.87	12-Oct	5-Nov	1,200.00	4.0
ENTRUST CAPITAL	040	AEO	B	189,000	22.09	12-Oct	5-Nov	9,450.00	5.0
RH CAPITAL ASSOCIATES	060	AEO	S	10,000	21.22	12-Oct	5-Nov	400.00	4.0
WHITE PINE CAPITAL	030	AGO	S	16,675	19.54	n/a	n/a	833.75	5.0
SUNOVA CAPITAL	031	AMG	B	30,000	121.90	8-Nov	8-Nov	1,500.00	5.0
COUGAR TRADING	044	ANF	B	15,000	73.38	2-Oct	5-Nov	750.00	5.0
COUGAR TRADING	044	ANF	SS	15,000	73.24	2-Oct	5-Nov	750.00	5.0
CREF	032	ANF	B	91,547	73.66	2-Oct	5-Nov	1,830.94	2.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	22.49	n/a	5-Nov	1,600.00	4.0
COUGAR TRADING	044	ARO	S	15,000	22.84	n/a	5-Nov	750.00	5.0
PRINCIPLE CAPITAL	040	ARO	S	50,000	22.32	n/a	5-Nov	1,500.00	3.0
SIGMA CAPITAL ASSOCIATES	237	ARO	SS	101,000	22.82	n/a	5-Nov	5,050.00	5.0
THE JAY GOLDMAN	034	ARO	S	30,000	22.89	n/a	5-Nov	1,200.00	4.0
Ö Ted Wheeler		ASEI	B	1000	49.5000	n/a	n/a	0.00	0.0
EFSTATHIOU	044	ATVI	B	200	21.39	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	BBD	SS	160,000	30.97	n/a	n/a	6,400.00	4.0
BUCK CAPITAL MGMT	001	BBY	S	180,000	45.90	n/a	27-Jul	7,200.00	4.0
BENCHMARK	028	BGG	B	7,500	22.25	n/a	n/a	375.00	5.0
LUCHANSKY	036	BIDU	S	10	365.00	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	BID	B	25,000	35.57	n/a	n/a	937.50	3.8
WENTWORTH HAUSER VIOLICH	033	BID	S	15,050	32.14	n/a	n/a	752.50	5.0
KAICHER	064	BID	B	1,000	32.62	n/a	n/a	0.00	0.0
KAICHER	064	BID	S	1,000	34.78	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	BIG	S	150,022	21.03	26-Oct	5-Nov	5,625.84	3.8
GRUBER MACBAINE	033	BLK	B	3,000	190.21	17-Oct	6-Nov	120.00	4.0
XYLEM GLOBAL	091	BMS	SS	7,000	28.36	n/a	n/a	350.00	5.0
Õ Glenn Redemann		BNI	B	6	1.0900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BNI	B	6	1.5400	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BNI	SS	4	2.1400	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BNI	SS	4	2.9800	n/a	n/a	0.00	0.0
MKT MAKER	099	BONT	B	200	15.00	17-Oct	5-Nov	0.00	0.0
MAGUIRE	090	BSC	B	500	98.20	4-Sep	8-Nov	0.00	0.0
BECK MACK & OLIVER LLC	044	BSX	S	16,800	12.47	n/a	22-Apr	840.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	CAKE	S	5,372	21.98	n/a	24-Apr	0.00	0.0
KORMAN	003	CAST	S	2,000	6.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	S	20,000	14.82	n/a	5-Nov	800.00	4.0
HIGHBRIDGE CAPITAL	038	CBS	B	89,000	27.06	n/a	n/a	4,450.00	5.0
NEUBERGER BERMAN	036	CEG	S	4,300	96.33	n/a	n/a	215.00	5.0
KORMAN	003	CFSG	S	255	14.89	n/a	n/a	0.00	0.0
SUTERA	160	CHCG	S	2,000	4.22	n/a	n/a	0.00	0.0
KORMAN	003	CHLN	S	2,000	5.80	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	CHS	C	110,600	10.83	12-Oct	5-Nov	5,530.00	5.0
MKT MAKER	099	CMCSA	B	100	20.00	26-Oct	8-Nov	0.00	0.0
CROWLEY	061	CMU	B	509	5.23	n/a	n/a	0.00	0.0
FORD FDN.	032	COF	S	72,200	51.63	n/a	n/a	3,610.00	5.0
BUCK CAPITAL MGMT	001	COH	S	20,000	31.58	24-Oct	24-Oct	800.00	4.0
COUGAR TRADING	044	COH	S	5,000	31.42	24-Oct	24-Oct	250.00	5.0
HARRIS ASSOCIATES	031	COV	B	2,500	40.07	n/a	n/a	75.00	3.0
LUCHANSKY	036	COV	S	25	39.76	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	CROX	SS	200	37.04	n/a	n/a	0.00	0.0
MERRILL ASSET	032	CRR	B	11,200	43.16	25-Oct	25-Oct	504.00	4.5
FARALLON CAP MGMT	040	CVC	B	115,000	25.93	25-Oct	8-Nov	4,600.00	4.0
SUTERA	160	CXTI	S	5,000	0.16	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	C	S	50,000	32.34	5-Nov	8-Nov	2,000.00	4.0
MAGUIRE	090	C	B	2,000	32.86	5-Nov	8-Nov	0.00	0.0
STRAUSS ASSET MGMT	040	DKS	S	7,600	28.52	n/a	26-Oct	380.00	5.0
SSI INVESTORS	048	DLTR	B	41,000	30.91	10-Aug	5-Nov	1,640.00	4.0
FRONTPOINT	044	DO	B	19,000	113.91	n/a	n/a	760.00	4.0
NEUBERGER BERMAN	036	DPL	S	13,800	30.06	n/a	n/a	690.00	5.0
BUCK CAPITAL MGMT	001	DRI	SS	10,000	40.70	n/a	24-Apr	400.00	4.0
PAKLER	N22	DRYS	S	38	98.06	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DSW	B	40,000	21.13	26-Oct	5-Nov	1,600.00	4.0
KORMAN	003	DSW	S	2,000	20.05	26-Oct	5-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	EDA	S	20,000	12.73	n/a	n/a	800.00	4.0
SUTERA	160	EFT	B	1,000	15.89	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	EMC	S	350,000	20.28	n/a	n/a	14,000.00	4.0
HIGHBRIDGE CAPITAL	038	ETM	B	94,000	17.35	n/a	n/a	4,700.00	5.0
ZOLIDIS	011	FHHI	S	6,000	0.02	n/a	n/a	0.00	0.0
CATAPULT	040	FHN	S	15,000	21.95	n/a	n/a	750.00	5.0
MORGAN LEWIS/MLH	046	GE	S	75,000	39.09	n/a	n/a	3,750.00	5.0
DELTEC ASSET MGMT.	040	GLW	B	15,000	21.79	n/a	24-Oct	750.00	5.0
BULL PATH CAPITAL	044	GPS	B	50,000	19.05	n/a	5-Nov	2,500.00	5.0
HARRIS ASSOCIATES	031	GPS	S	10,200	19.37	n/a	5-Nov	306.00	3.0
HARRIS ASSOCIATES	031	GSK	B	2,000	50.46	n/a	n/a	60.00	3.0
NATIONAL BK OF CAN	031	GS	B	10,000	215.22	21-Sep	8-Nov	400.00	4.0
NATIONAL BK OF CAN	031	GS	S	10,000	209.01	21-Sep	8-Nov	400.00	4.0
KORMAN	003	HAR	S	2,000	77.56	n/a	26-Oct	0.00	0.0
CASTLE ARK	031	HRS	B	40,000	63.32	30-Oct	2-Nov	2,400.00	6.0
SENTINAL CAPITAL	067	IBM	B	3,000	105.18	n/a	n/a	150.00	5.0
BARR	096	IOM	B	7,000	3.43	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	IP	B	140,000	34.14	n/a	5-Nov	7,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	JADE	S	2,000	2.92	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	70,000	37.02	24-Oct	24-Oct	2,800.00	4.0
COUGAR TRADING	044	JCG	B	5,000	38.00	24-Oct	24-Oct	250.00	5.0
COUGAR TRADING	044	JCG	S	5,000	36.46	24-Oct	24-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	25,000	51.09	12-Oct	5-Nov	1,000.00	4.0
CHILTON CAPITAL MGMT.	036	JCP	C	29,930	50.22	12-Oct	5-Nov	1,197.20	4.0
COUGAR TRADING	044	JCP	B	5,000	49.96	12-Oct	5-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	JNY	SS	20,000	19.31	n/a	1-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	32.81	12-Oct	5-Nov	800.00	4.0
FARALLON CAP MGMT	040	KND	S	30,000	24.66	n/a	n/a	1,200.00	4.0
PAKLER	N22	KNOT	B	214	17.78	n/a	n/a	0.00	0.0
OGORMAN	046	KSS	C	100	48.61	2-Nov	5-Nov	0.00	0.0
ZOLIDIS	011	KSWs	C	500	18.02	n/a	13-Mar	0.00	0.0
MKT MAKER	099	KSWs	S	114	18.07	n/a	13-Mar	0.00	0.0
KORMAN	003	LNCr	S	3,300	34.62	17-Sep	5-Nov	0.00	0.0
APEX CAPITAL MGMT.	091	LOW	S	254,100	24.30	n/a	27-Jul	12,705.00	5.0
SOROS	036	LOW	SS	124,500	24.03	n/a	27-Jul	4,980.00	4.0
APEX CAPITAL MGMT.	091	LTD	B	110,000	18.99	n/a	17-Oct	5,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	110,000	19.77	n/a	17-Oct	4,400.00	4.0
NORTHPOINT	030	LUFK	S	5,215	55.29	n/a	n/a	208.60	4.0
MKT MAKER	099	LVL	B	100	2.70	24-Oct	1-Nov	0.00	0.0
GALLEON MGMT LP	033	MBI	S	40,000	32.63	n/a	n/a	2,000.00	5.0
MANNING & NAPIER	034	MCCC	B	181,200	5.00	7-Nov	7-Nov	5,436.00	3.0
BARR	096	MCO	SS	1,000	38.39	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	MS	B	100,000	53.11	2-Jul	8-Nov	4,000.00	4.0
MAGUIRE	090	MZZ	S	10,000	53.78	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	30,000	29.14	24-Sep	5-Nov	1,200.00	4.0
NEUBERGER BERMAN	036	NOV	B	21,100	71.43	n/a	n/a	1,055.00	5.0
MKT MAKER	099	NTRI	S	25	25.34	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NWY	S	20,000	6.69	n/a	5-Nov	800.00	4.0
COUGAR TRADING	044	NWY	S	10,000	6.70	n/a	5-Nov	500.00	5.0
APEX CAPITAL MGMT.	091	ODP	S	206,900	17.25	n/a	27-Jul	10,345.00	5.0
HIGHBRIDGE CAPITAL	038	PAYX	B	29,000	40.04	n/a	n/a	1,450.00	5.0
LUCHANSKY	036	PBW	B	200	26.13	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MKT MAKER	099	PLCE	S	200	23.63	26-Sep	8-Nov	0.00	0.0
EFSTATHIOU	044	PPCO	S	500	6.14	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PSUN	B	5,000	15.74	n/a	5-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	42.15	13-Aug	29-Aug	400.00	4.0
MAGUIRE	090	QID	S	5,000	37.76	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	30,000	64.68	8-Nov	8-Nov	1,200.00	4.0
COUGAR TRADING	044	RL	B	15,000	65.72	8-Nov	8-Nov	750.00	5.0
COUGAR TRADING	044	RL	SS	5,000	66.08	8-Nov	8-Nov	250.00	5.0
HIGHBRIDGE CAPITAL	038	ROIAC	B	215,400	3.08	n/a	n/a	10,770.00	5.0
BUCK CAPITAL MGMT	001	RSH	SS	20,000	18.14	n/a	n/a	800.00	4.0
NOMURA CAPITAL	045	SCT	S	30,000	2.48	n/a	n/a	1,500.00	5.0
MAGUIRE	090	SKF	S	3,500	98.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	50,000	21.28	n/a	13-Mar	2,000.00	4.0
NORTHPOINT	030	SMSI	B	815	9.96	n/a	n/a	32.60	4.0
STRAUSS ASSET MGMT	040	SONO	SS	5,000	34.54	n/a	n/a	250.00	5.0
KORMAN	003	SORL	S	2,830	8.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	SSCC	S	250,000	10.94	n/a	26-Oct	12,500.00	5.0
BUCK CAPITAL MGMT	001	SSI	S	67,900	16.43	3-Aug	5-Nov	2,716.00	4.0
Õ Glenn Redemann		SUN	B	6	0.9100	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SUN	B	6	1.5900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SUN	SS	4	1.8300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SUN	SS	4	2.7300	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	SWN	S	28,030	54.39	n/a	7-Nov	1,401.50	5.0
BUCK CAPITAL MGMT	001	TGT	B	90,000	58.86	n/a	27-Jul	3,600.00	4.0
APEX CAPITAL MGMT.	091	TIF	SS	50,000	45.71	18-Oct	18-Oct	2,500.00	5.0
BUCK CAPITAL MGMT	001	TIF	SS	10,000	46.80	18-Oct	18-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	50,000	28.66	21-Sep	5-Nov	2,000.00	4.0
GLG PARTNERS	034	TJX	S	50,000	28.08	21-Sep	5-Nov	2,500.00	5.0
KORMAN	003	TTM	S	4,000	17.87	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	28.78	2-Oct	2-Oct	400.00	4.0
APEX CAPITAL MGMT.	091	TWTC	S	168,000	22.09	n/a	7-Nov	8,400.00	5.0
HARRIS ASSOCIATES	031	TXN	B	3,100	31.58	n/a	n/a	93.00	3.0
BUCK CAPITAL MGMT	001	UA	SS	20,000	48.23	n/a	n/a	800.00	4.0
MCCARTAN	028	UA	C	100	47.46	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	VC	S	15,000	5.40	n/a	1-Nov	750.00	5.0
NEUBERGER BERMAN	036	VMW	S	10,000	97.14	n/a	n/a	500.00	5.0
NORTHPOINT	030	VTIV	B	940	34.56	n/a	n/a	37.60	4.0
KORMAN	003	WCRX	S	5,000	17.79	n/a	5-Nov	0.00	0.0
SCHWARZWAL	N18	WLSN	B	5,000	1.39	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	WMB	B	140,000	36.50	n/a	n/a	5,600.00	4.0
FRONTPOINT	044	WRES	S	48,475	14.00	n/a	n/a	1,696.63	3.5
COLUMBIA PARTNERS	028	WSM	SS	26,180	28.33	n/a	n/a	785.40	3.0
HIGHBRIDGE CAPITAL	038	WY	S	34,000	68.60	1-Nov	1-Nov	1,700.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	25,540	11.87	n/a	31-Oct	1,021.60	4.0
ZOLIDIS	011	ZUMZ	S	250	28.26	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								249,353.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	11/08	MKT MAKER (MKT MAKER)	099	BONT	B	100	15.00	17-Oct	5-Nov	0.00	0.0
CRT	11/08	MKT MAKER (MKT MAKER)	099	BONT	B	100	14.00	17-Oct	5-Nov	0.00	0.0
CRT	11/08	MKT MAKER (MKT MAKER)	099	CMCSA	B	100	20.00	26-Oct	8-Nov	0.00	0.0
AO,	11/07	NOMURA CAPITAL (NOMUSTRATE)	045	GRA	S	1,070	28.59	n/a	n/a	53.50	5.0
AO,	11/07	NOMURA CAPITAL (NOMUBATT2)	045	GRA	S	1,389	28.59	n/a	n/a	69.45	5.0
AO,	11/07	NOMURA CAPITAL (NOMUBSMAN)	045	GRA	S	1,841	28.59	n/a	n/a	92.05	5.0
AO,	11/07	NOMURA CAPITAL (NOMUSTRATE)	045	HOS	S	1,200	45.29	n/a	n/a	60.00	5.0
AO,	11/07	NOMURA CAPITAL (NOMUBATT2)	045	HOS	S	1,500	45.29	n/a	n/a	75.00	5.0
AO,	11/07	NOMURA CAPITAL (NOMUBSMAN)	045	HOS	S	2,000	45.29	n/a	n/a	100.00	5.0
AO,	11/07	KINGDON ASSET MGMT (KINDMORGAN)	041	LEH	B	100,000	57.00	12-Jun	8-Nov	5000.00	5.0
CRT	11/08	MKT MAKER (MKT MAKER)	099	LVLTT	B	100	2.70	24-Oct	1-Nov	0.00	0.0
AO,CXL	11/07	CATAPULT (CATAMSPB)	040	MS	B	5,000	52.28	2-Jul	8-Nov	2.61	0.0
AO,CRT	11/07	CATAPULT (CATAMSPB)	040	MS	B	5,000	52.28	2-Jul	8-Nov	250.00	5.0
CRT	11/08	MKT MAKER (MKT MAKER)	099	NTRI	S	25	25.34	n/a	n/a	0.00	0.0
AO,CRT	11/05	PROSPECTOR PARTNERS LLC (PROSPCAP)	036	PPS	B	100	38.64	n/a	n/a	4.00	4.0
AO,CXL	11/05	PROSPECTOR PARTNERS LLC (PROSPENSIO)	036	PPS	B	100	38.64	n/a	n/a	4.00	4.0
AO,	11/07	NOMURA CAPITAL (NOMUBSMAN)	045	SCT	S	25,647	2.55	n/a	n/a	1282.35	5.0
AO,	11/07	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	19,353	2.55	n/a	n/a	967.65	5.0

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AO,	11/07	NOMURA CAPITAL (NOMUSTRATE)	045	USG	S	149	38.67	24-Oct	24-Oct	7.45 5.0
AO,	11/07	NOMURA CAPITAL (NOMUBATT2)	045	USG	S	194	38.67	24-Oct	24-Oct	9.70 5.0
AO,	11/07	NOMURA CAPITAL (NOMUBSMAN)	045	USG	S	257	38.67	24-Oct	24-Oct	12.85 5.0
AO,CXL	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	B	14,500	5.80	n/a	1-Nov	725.00 5.0
AO,	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	B	14,500	5.80	n/a	1-Nov	435.00 3.0

TOTAL (AO, CXL, CRT) :	7,687.39
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TOTAL (Trade Date):	249,353.66
TOTAL (AO, CXL, CRT):	7,687.39

TOTAL (RUN DATE) / NFS:	257,041.05
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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