



Daily Compliance Activity Report

Trade Date: 11/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	AAI	B	4,800	9.64	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ABG	S	10,000	17.74	31-Oct	2-Nov	400.00	4.0
COUGAR TRADING	044	AEO	B	15,000	23.73	9-Nov	12-Nov	750.00	5.0
APEX CAPITAL MGMT.	091	ANF	S	10,000	79.31	2-Oct	12-Nov	500.00	5.0
COUGAR TRADING	044	ANF	B	10,000	79.84	2-Oct	12-Nov	500.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	78.34	2-Oct	12-Nov	500.00	5.0
COLE	N24	AOB	S	600	12.03	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	25.66	9-Nov	12-Nov	2,000.00	4.0
GAULT	063	AXE	S	500	67.74	9-Oct	23-Oct	0.00	0.0
NATIONAL BK OF CAN	031	BAC	B	10,000	47.18	13-Nov	13-Nov	400.00	4.0
Glenn Redemann		BAX	B	12	0.1600	n/a	22-Apr	0.00	0.0
Glenn Redemann		BAX	B	12	0.4200	n/a	22-Apr	0.00	0.0
Glenn Redemann		BAX	SS	8	0.4600	n/a	22-Apr	0.00	0.0
Glenn Redemann		BAX	SS	8	0.7900	n/a	22-Apr	0.00	0.0
Glenn Redemann		BBBY	B	12	0.1300	n/a	n/a	0.00	0.0
Glenn Redemann		BBBY	B	12	0.3000	n/a	n/a	0.00	0.0
Glenn Redemann		BBBY	SS	8	0.3900	n/a	n/a	0.00	0.0
Glenn Redemann		BBBY	SS	8	0.7400	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BIG	SS	50,000	21.15	26-Oct	9-Nov	2,000.00	4.0
NATIONAL BK OF CAN	031	BSC	B	2,500	106.91	4-Sep	8-Nov	100.00	4.0
BALYASNY ASSET MGMT	044	BWA	B	15,600	100.06	26-Oct	5-Nov	780.00	5.0
STRAUSS ASSET MGMT	040	CADA	B	1,400	39.84	n/a	n/a	70.00	5.0
BUCK CAPITAL MGMT	001	CCE	SS	10,000	25.57	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	CLX	SS	10,000	66.00	2-Aug	1-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	COH	S	250,000	35.14	24-Oct	24-Oct	10,000.00	4.0
COUGAR TRADING	044	COH	B	5,000	36.46	24-Oct	24-Oct	250.00	5.0
COUGAR TRADING	044	COH	S	5,000	36.12	24-Oct	24-Oct	250.00	5.0
SCOPUS FUND	041	COH	S	50,000	36.62	24-Oct	24-Oct	2,500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	CPLP	S	10,484	23.14	n/a	n/a	419.36	4.0
MERRILL ASSET	032	CRR	B	50,700	42.46	25-Oct	25-Oct	2,362.00	4.7
NCM CAPITAL MGMT	035	DE	B	24,150	148.45	n/a	n/a	1,207.50	5.0
PRINCIPLE CAPITAL	040	DKS	B	57,400	30.02	n/a	26-Oct	1,722.00	3.0
MAGUIRE	039	DUG	S	100	42.66	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	ECA	S	3,500	69.81	n/a	n/a	175.00	5.0
COLE	N24	ETFC	B	1,000	5.99	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KEEFE BRUYETTE WOODS A	031	EV	B	23,800	47.94	15-Oct	24-Oct	1,190.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	23.25	5-Nov	9-Nov	800.00	4.0
STRATTON	N21	FNF	B	200	14.95	n/a	n/a	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	FRO	SS	20,000	40.04	n/a	n/a	800.00	4.0
Ö Glenn Redemann		FTO	B	6	0.2200	n/a	n/a	0.00	0.0
Ö Glenn Redemann		FTO	B	6	0.3600	n/a	n/a	0.00	0.0
Ö Glenn Redemann		FTO	SS	4	0.9400	n/a	n/a	0.00	0.0
Ö Glenn Redemann		FTO	SS	4	1.0900	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	FWLT	S	725	147.49	n/a	n/a	36.25	5.0
CASTLE ARK	031	GIL	S	99,560	41.72	5-Nov	5-Nov	5,973.60	6.0
TRIVIUM CAP MGMT	251	GLBC	B	100,000	17.73	n/a	n/a	4,000.00	4.0
TRIVIUM CAP MGMT	251	GLW	B	145,000	23.85	n/a	24-Oct	5,800.00	4.0
LEVIN CAPITAL STRATEGIES	012	GM	C	8,435	31.16	n/a	8-Nov	337.40	4.0
WAGONHOUND	048	GM	B	10,400	31.62	n/a	8-Nov	416.00	4.0
BUCK CAPITAL MGMT	001	GPS	SS	100,000	20.03	n/a	12-Nov	4,000.00	4.0
Ö Glenn Redemann		HES	B	6	1.2800	n/a	n/a	0.00	0.0
Ö Glenn Redemann		HES	B	6	1.6800	n/a	n/a	0.00	0.0
Ö Glenn Redemann		HES	SS	4	2.5600	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Glenn Redemann		HES	SS	4	3.0500	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	HNI	B	23,800	40.73	n/a	n/a	952.00	4.0
MAGUIRE	039	ICO	S	1,000	4.80	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	251	IGT	S	30,046	43.15	n/a	2-Nov	1,201.84	4.0
BUCK CAPITAL MGMT	001	IHP	SS	10,000	57.25	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	IRF	B	24,600	34.70	n/a	n/a	1,230.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	B	60,080	27.88	8-Oct	12-Nov	3,004.00	5.0
LEDDY	035	JADE	S	3,000	2.48	n/a	n/a	0.00	0.0
MAGUIRE	090	JBLU	B	5,000	8.01	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	38.79	24-Oct	24-Oct	400.00	4.0
COUGAR TRADING	044	JCG	B	5,000	38.99	24-Oct	24-Oct	250.00	5.0
JPMSI/TOM LEDDY	035	JCG	B	10,000	38.96	24-Oct	24-Oct	500.00	5.0
MERRILL LYNCH STRATEGICI	034	JCI	S	28,000	39.43	6-Nov	6-Nov	1,120.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	20,000	49.00	9-Nov	12-Nov	800.00	4.0
DELTEC ASSET MGMT.	040	JCP	B	15,000	48.13	9-Nov	12-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	50,000	35.56	12-Oct	12-Nov	2,000.00	4.0
COUGAR TRADING	044	JWN	B	10,000	35.59	12-Oct	12-Nov	500.00	5.0
COUGAR TRADING	044	JWN	S	15,000	34.82	12-Oct	12-Nov	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	JWN	B	30,000	34.55	12-Oct	12-Nov	1,500.00	5.0
THE JAY GOLDMAN	034	JWN	SS	60,000	35.05	12-Oct	12-Nov	2,400.00	4.0
LEDDY	035	KEG	S	700	14.24	29-Oct	9-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	KMB	SS	10,000	68.46	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	52.00	9-Nov	12-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	49.22	9-Nov	12-Nov	800.00	4.0
COUGAR TRADING	044	KSS	B	10,000	50.59	9-Nov	12-Nov	500.00	5.0
COUGAR TRADING	044	KSS	SS	10,000	50.27	9-Nov	12-Nov	500.00	5.0
DELTEC ASSET MGMT.	040	KSS	S	10,000	50.43	9-Nov	12-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	30,000	17.94	n/a	n/a	1,200.00	4.0
SAGE ASSET MGMT	012	LEH	B	138,500	66.35	12-Jun	8-Nov	6,925.00	5.0
SLS CAPITAL LLC	224	LEH	B	239,500	66.47	12-Jun	8-Nov	9,580.00	4.0
SINCLAIR	031	LESAM	S	45	6.00	n/a	n/a	0.00	0.0
STRATTON	N21	LFG	B	100	28.80	n/a	n/a	0.00	0.0
DURANGO INVESTMENTS	031	LRW	B	64,300	16.11	n/a	n/a	2,572.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	B	83,700	19.50	n/a	13-Nov	4,185.00	5.0
MAGUIRE	090	LUV	B	5,000	14.74	n/a	n/a	0.00	0.0
DISCIPLINED GROWTH INV.	030	LVLTT	B	285,100	3.03	24-Oct	1-Nov	8,553.00	3.0
BARR	096	MAG	B	2,400	4.31	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	MBT	B	13,900	90.05	n/a	n/a	695.00	5.0
NOMURA CAPITAL	045	MDTH	B	8,000	22.02	n/a	n/a	400.00	5.0
LEDDY	035	MIR	S	400	37.69	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	MON	S	31,100	95.03	n/a	9-Nov	1,866.00	6.0
KAICHER	064	MOVE	B	200	2.60	n/a	n/a	0.00	0.0
COLE	N24	MSHL	B	440	3.00	n/a	n/a	0.00	0.0
UBS OCONNOR	031	MS	B	60,000	57.38	2-Jul	8-Nov	1,800.00	3.0
MAGUIRE	090	MZZ	B	15,000	54.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	110,000	31.40	9-Nov	12-Nov	4,400.00	4.0
BUCK CAPITAL MGMT	001	M	S	100,000	29.34	9-Nov	12-Nov	4,000.00	4.0
COUGAR TRADING	044	M	B	20,000	29.55	9-Nov	12-Nov	1,000.00	5.0
COUGAR TRADING	044	M	SS	20,000	30.24	9-Nov	12-Nov	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	M	B	5,000	31.50	9-Nov	12-Nov	200.00	4.0
THE JAY GOLDMAN	034	M	B	20,000	29.44	9-Nov	12-Nov	800.00	4.0
BECK MACK & OLIVER LLC	045	NE	S	1,600	52.03	n/a	n/a	80.00	5.0
NEUBERGER BERMAN	036	NTY	B	12,400	31.59	n/a	n/a	620.00	5.0
OPPENHEIMER MGMT.	036	OMX	B	144,600	26.48	n/a	15-Apr	5,784.00	4.0
ROXBURY CAPITAL MGMT	035	OSTK	S	30,000	30.73	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PEP	SS	10,000	74.25	n/a	n/a	400.00	4.0
WEISS PECK	040	PLCE	B	8,400	26.05	26-Sep	12-Nov	420.00	5.0
GALLEON MGMT LP	033	PMI	SS	70,000	15.83	n/a	n/a	3,500.00	5.0
MKT MAKER	099	PSUN	B	74	15.34	n/a	12-Nov	0.00	0.0
ZOLIDIS	011	PXG	S	2,500	2.14	n/a	n/a	0.00	0.0
NOLAN	067	PXG	S	100	2.01	n/a	n/a	0.00	0.0
IVORY CAPITAL	034	RVBD	B	125,000	29.28	n/a	n/a	6,250.00	5.0
NOMURA CAPITAL	045	SCT	S	19,300	2.15	n/a	n/a	0.00	0.0
ZOLIDIS	011	SHOE	SS	3,500	1.29	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	20,000	21.02	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	21.91	n/a	13-Mar	1,600.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	59.49	n/a	27-Jul	400.00	4.0
DISCIPLINED GROWTH INV.	030	TJX	B	100,100	29.81	21-Sep	14-Nov	5,005.00	5.0
NEUBERGER BERMAN	036	TTWO	B	4,100	15.58	n/a	n/a	164.00	4.0
WEISS PECK	040	TWB	S	7,900	30.80	2-Oct	2-Oct	395.00	5.0
MAGUIRE	090	UAUA	S	4,473	48.49	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	UA	SS	10,000	50.98	n/a	n/a	400.00	4.0
NOMURA CAPITAL	045	USG	S	3,200	38.54	24-Oct	24-Oct	160.00	5.0
MCCARTAN	028	VC	B	800	4.98	n/a	1-Nov	0.00	0.0
NCM CAPITAL MGMT	035	WAG	B	133,880	39.90	n/a	n/a	6,694.00	5.0
TPG-AXON	040	WAG	SS	125,000	39.90	n/a	n/a	5,000.00	4.0
CROWLEY	061	WEDX	S	4,000	0.28	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	WMB	S	7,100	35.17	n/a	n/a	355.00	5.0
ADAGE CAPITAL MGMT	030	WMT	B	150,000	46.36	n/a	27-Jul	6,000.00	4.0
BUCK CAPITAL MGMT	001	WMT	SS	50,000	46.68	n/a	27-Jul	2,000.00	4.0
SANDELL ADV	040	XEL	B	100,000	22.31	n/a	n/a	5,000.00	5.0
NATIONAL BK OF CAN	031	XLF	B	25,000	32.25	n/a	n/a	1,000.00	4.0
LEDDY	035	XOHO	S	2,800	2.75	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	XOM	S	1,775	87.81	n/a	n/a	88.75	5.0
TOTAL (Trade Date):							174,788.70		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/13	NOMURA CAPITAL (NOMUSTRATE)	045	HOS	S	1,300	42.10	n/a	n/a	65.00 5.0
AO,	11/13	NOMURA CAPITAL (NOMUBATT2)	045	HOS	S	1,650	42.10	n/a	n/a	82.50 5.0
AO,	11/13	NOMURA CAPITAL (NOMUBSMAN)	045	HOS	S	2,300	42.10	n/a	n/a	115.00 5.0
AO,	11/13	APEX CAPITAL MGMT. (APEXUBS)	091	JWN	B	1,700	34.52	12-Oct	12-Nov	85.00 5.0
AO,CXL	11/13	APEX CAPITAL MGMT. (APEXUBS)	091	JWN	S	1,700	34.52	12-Oct	12-Nov	85.00 5.0
CRT	11/14	BUCK CAPITAL MGMT (BUCKMSMAN)	001	JWN	B	50,000	35.56	12-Oct	12-Nov	2000.00 4.0
CRT	11/14	COUGAR TRADING (COUGPB MS)	044	JWN	B	10,000	35.59	12-Oct	12-Nov	500.00 5.0
CRT	11/14	COUGAR TRADING (COUGPB MS)	044	JWN	S	15,000	34.82	12-Oct	12-Nov	750.00 5.0
CRT	11/14	DELTEC ASSET MGMT. (DELTMAIN)	040	JWN	B	30,000	34.55	12-Oct	12-Nov	1500.00 5.0
CRT	11/14	THE JAY GOLDMAN (GOLDGSBULK)	034	JWN	SS	60,000	35.05	12-Oct	12-Nov	2400.00 4.0
AO,	11/13	NOMURA CAPITAL (NOMUSTRATE)	045	LCC	S	3,150	23.31	n/a	n/a	157.50 5.0
AO,	11/13	NOMURA CAPITAL (NOMUBATT2)	045	LCC	S	4,500	23.31	n/a	n/a	225.00 5.0
AO,	11/13	NOMURA CAPITAL (NOMUBSMAN)	045	LCC	S	6,200	23.31	n/a	n/a	310.00 5.0
AO,	11/13	DURANGO INVESTMENTS (DURACREDIT)	031	LRW	B	10,700	15.89	n/a	n/a	428.00 4.0
AO,	11/13	NOMURA CAPITAL (NOMUSTRATE)	045	NWA	S	3,100	18.67	n/a	n/a	155.00 5.0
AO,	11/13	NOMURA CAPITAL (NOMUBATT2)	045	NWA	S	4,000	18.67	n/a	n/a	200.00 5.0
AO,	11/13	NOMURA CAPITAL (NOMUBSMAN)	045	NWA	S	5,500	18.67	n/a	n/a	275.00 5.0
CRT	11/14	MKT MAKER (MKT MAKER)	099	PSUN	B	74	15.34	n/a	12-Nov	0.00 0.0
AO,	11/13	NOMURA CAPITAL (NOMUSTRATE)	045	RHD	S	1,450	46.14	n/a	n/a	72.50 5.0
AO,	11/13	NOMURA CAPITAL (NOMUBATT2)	045	RHD	S	1,800	46.14	n/a	n/a	90.00 5.0
AO,	11/13	NOMURA CAPITAL (NOMUBSMAN)	045	RHD	S	2,500	46.14	n/a	n/a	125.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/07	PROSPECTOR PARTNERS LLC (PROSPCAP)	036	TR	B	600	23.75	n/a	n/a	24.00 4.0
AO,CRT	11/07	PROSPECTOR PARTNERS LLC (PROSPG)	036	TR	B	600	23.75	n/a	n/a	24.00 4.0
CRT	11/14	TPG-AXON (TPGA-MS)	040	WAG	SS	125,000	39.90	n/a	n/a	5000.00 4.0
TOTAL (AO, CXL, CRT) :									14,450.50	
TOTAL (Trade Date):									174,788.70	
TOTAL (AO, CXL, CRT):									14,450.50	
TOTAL (RUN DATE) / NFS:									189,239.20	

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