



Daily Compliance Activity Report

Trade Date: 08/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	038	ACL	SS	10,000	139.84	26-Jul	14-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	140,000	22.55	10-Jul	10-Aug	5,600.00	4.0
FRIESS MGMT	042	AEO	B	98,400	22.54	10-Jul	10-Aug	4,428.00	4.5
SUNOVA CAPITAL	031	AMG	S	40,000	108.22	25-Jul	10-Aug	2,000.00	5.0
COUGAR TRADING	044	ANF	B	5,000	73.50	12-Jul	10-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	61,300	32.98	n/a	10-Aug	2,452.00	4.0
STADIA CAPITAL	035	BBY	SS	25,000	43.87	1-May	27-Jul	1,000.00	4.0
Glenn Redemann		BGC	??	3	0.0500	n/a	n/a	0.00	0.0
Glenn Redemann		BG	??	3	0.0800	n/a	n/a	0.00	0.0
Glenn Redemann		BG	??	3	0.2200	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	B	5,000	19.64	n/a	n/a	200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	BWS	S	80,600	19.88	n/a	n/a	3,022.50	3.8
ROTHSCHILD ASSET	040	CAT	S	7,920	77.55	n/a	n/a	356.40	4.5
BALYASNY ASSET MGMT	044	CCL	B	25,000	45.33	n/a	26-Jan	1,250.00	5.0
HEALY CIRCLE	044	CCO	SS	4,300	25.05	n/a	n/a	215.00	5.0
BARR	096	CCRT	SS	1,500	22.77	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	COH	S	15,000	43.85	n/a	1-Aug	750.00	5.0
BUCK CAPITAL MGMT	001	COH	B	20,000	44.03	n/a	1-Aug	800.00	4.0
WYCKOFF	013	CPHI	B	1,000	1.78	n/a	n/a	0.00	0.0
PAKLER	N22	CROX	B	128	52.59	n/a	n/a	0.00	0.0
ROCKEFELLER & CO.	045	CVX	S	9,930	82.44	n/a	n/a	496.50	5.0
BUCK CAPITAL MGMT	001	DKS	S	50,000	55.26	n/a	n/a	2,000.00	4.0
BANK OF NEW YORK	040	DSW	B	7,780	32.92	2-Aug	10-Aug	311.20	4.0
WALKER SMITH	031	DSW	B	30,000	31.89	2-Aug	10-Aug	1,500.00	5.0
LISTED ERR	099	DSW	B	30,000	31.70	2-Aug	10-Aug	0.00	0.0
DAVIDSON TRUST CO	033	DUK	B	1,000	18.66	n/a	n/a	90.00	9.0
GALLEON MGMT LP	033	EEM	C	7,500	126.43	n/a	n/a	375.00	5.0
LUCHANSKY	036	FACE	S	300	9.70	n/a	n/a	0.00	0.0
LUCHANSKY1	036	FACE	S	500	9.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FDO	SS	10,000	25.51	9-Aug	10-Aug	400.00	4.0
WAGONHOUND	048	FII	SS	19,560	31.65	n/a	10-Aug	782.40	4.0
BUCK CAPITAL MGMT	001	FL	S	20,000	15.86	24-May	2-Aug	800.00	4.0
Ö Glenn Redemann		FWLT	B	4	2.2900	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Glenn Redemann		FWLT	B	4	2.4600	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		FWLT	SS	4	3.5800	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		FWLT	SS	4	3.7200	n/a	n/a	0.00	0.0
	FRIESS MGMT	042	GME	B	19,100	39.95	n/a	n/a	859.50	4.5
	BARR	096	GM	SS	500	34.23	4-May	9-Aug	0.00	0.0
Õ	Glenn Redemann		GSF	B	1	1.6700	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		GSF	B	1	2.2000	n/a	n/a	0.00	0.0
	COUGAR TRADING	044	GYMB	S	5,000	39.52	10-Aug	10-Aug	250.00	5.0
	EGS ASSOCIATES LP	091	GYMB	S	3,000	38.84	10-Aug	10-Aug	180.00	6.0
	DAVIDSON TRUST CO	033	HD	B	1,000	33.63	n/a	27-Jul	90.00	9.0
	FORD FDN.	032	HON	S	25,000	57.36	19-Jul	19-Jul	1,250.00	5.0
	LISTED ERR	099	HON	B	800	56.37	19-Jul	19-Jul	0.00	0.0
	INWOOD CAPITAL	031	ICOC	B	42,900	10.29	n/a	n/a	1,716.00	4.0
	MKT MAKER	031	ICOC	B	70	10.29	n/a	n/a	2.80	4.0
	XYLEM GLOBAL	091	IP	B	100,000	32.73	4-May	3-Aug	5,000.00	5.0
	CUMBERLAND	038	ISIS	S	4,616	11.60	n/a	n/a	184.64	4.0
	BARR	096	ITCD	S	3,000	8.50	n/a	n/a	0.00	0.0
	WAGONHOUND	048	IVZ	S	37,950	23.67	8-Aug	10-Aug	1,518.00	4.0
	LEDDY	035	JADE	B	2,500	7.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OTC ERROR	099	JADE	B	2,500	6.83	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	5,000	46.72	22-Jun	6-Aug	200.00	4.0
SSI INVESTORS	048	JCP	B	39,600	63.91	21-Jun	14-Aug	1,584.00	4.0
EATON VANCE MGMT	039	JPM	S	250,000	43.37	n/a	19-Jul	10,000.00	4.0
TRUST CO/COWEN/CALF.	040	LSI	B	388,700	6.68	n/a	n/a	15,548.00	4.0
TPG-AXON	040	LYO	B	415,000	44.60	14-May	14-May	20,750.00	5.0
STERLING JOHNSTON	035	MCCC	B	37,000	8.03	7-Aug	14-Aug	1,480.00	4.0
BULL PATH CAPITAL	044	MCD	B	45,000	48.06	24-Apr	24-Apr	2,250.00	5.0
CAPITAL GROWTH MGMT.	241	MET	B	10,000	61.82	n/a	n/a	500.00	5.0
AMATURO	018	MPXL	B	1,000	12.71	n/a	n/a	0.00	0.0
CAXTON PART	040	MSFT	B	100,000	28.35	n/a	3-Apr	4,000.00	4.0
DSG CAPITAL	225	MTRX	B	2,000	19.98	n/a	n/a	100.00	5.0
BECK MACK & OLIVER LLC	068	NLC	B	20,800	24.85	n/a	n/a	1,040.00	5.0
Õ Glenn Redemann		NVDA	B	7	0.5800	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	B	7	1.2300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	SS	7	1.0900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	SS	7	1.9400	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON TRUST CO	033	NVS	B	950	52.83	n/a	n/a	85.50	9.0
TRUST CO/COWEN/CALF.	040	OATS	S	10,000	15.04	n/a	n/a	400.00	4.0
HIGHFIELDS CAP MGMT	039	ODP	B	150,000	22.82	n/a	27-Jul	6,000.00	4.0
BARR	096	PDFS	B	1,500	9.85	n/a	n/a	0.00	0.0
BARR	096	PDFS	C	2,900	9.82	n/a	n/a	0.00	0.0
S.A.C. CAPITAL MGMT.	044	PFE	B	25,000	23.88	n/a	31-Mar	1,250.00	5.0
Õ Glenn Redemann		PH	B	1	1.8700	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PH	B	1	1.9800	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PRU	S	2	9.5000	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	PVH	B	25,000	50.86	13-Aug	13-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	5,000	50.96	13-Aug	13-Aug	200.00	4.0
BALYASNY ASSET MGMT	044	RCL	B	25,000	38.50	27-Jul	27-Jul	1,250.00	5.0
CUMBERLAND	038	RESP	S	5,400	46.06	n/a	n/a	216.00	4.0
COUGAR TRADING	044	RL	B	5,000	79.88	9-Aug	9-Aug	250.00	5.0
DAVIDSON TRUST CO	033	RYL	S	2,000	32.25	n/a	n/a	120.00	6.0
FRIESS MGMT	042	SCHW	S	1,859,100	18.04	n/a	n/a	83,659.50	4.5
BUCK CAPITAL MGMT	001	SKX	B	10,000	18.57	n/a	13-Mar	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	SNPS	S	4,000	25.14	n/a	n/a	0.00	0.0
ROCKEFELLER & CO.	045	SPY	S	1,050	143.66	n/a	n/a	52.50	5.0
WELLS/STRONG LEDDY	035	SR	B	17,900	12.69	n/a	n/a	716.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	20,000	16.47	3-Aug	10-Aug	800.00	4.0
CAPITAL GROWTH MGMT.	241	SWY	S	20,000	31.67	n/a	n/a	1,000.00	5.0
DAVIDSON TRUST CO	033	TFX	S	1,350	72.99	n/a	n/a	121.50	9.0
BUCK CAPITAL MGMT	001	TJX	B	10,000	27.14	13-Jul	13-Aug	400.00	4.0
COUGAR TRADING	044	TJX	B	5,000	27.21	13-Jul	13-Aug	250.00	5.0
ROCKEFELLER & CO.	045	TOT	S	12,825	72.59	n/a	n/a	641.25	5.0
SUNOVA CAPITAL	031	TROW	B	25,000	49.49	n/a	10-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	5,000	37.22	2-Jul	6-Aug	200.00	4.0
MANNING & NAPIER	034	UL	B	148,240	29.74	n/a	n/a	5,929.60	4.0
LUCHANSKY	036	UNTD	B	1,000	14.25	n/a	n/a	0.00	0.0
STRONG/WELL HOWARD	038	VMW	S	37,300	52.00	n/a	n/a	1,492.00	4.0
BARR	096	WM	SS	400	34.76	n/a	n/a	0.00	0.0
ROCKEFELLER & CO.	045	XOM	S	3,000	82.43	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	ZQK	S	30,000	12.94	9-Mar	27-Jun	1,200.00	4.0
TOTAL (Trade Date):								207,265.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/10	NEUBERGER BERMAN (NBER9WK6)	036	AAPL	B	470	125.47	n/a	n/a	23.50 5.0
AO,	08/10	NEUBERGER BERMAN (NBER9WK6)	036	AAPL	B	470	125.47	n/a	n/a	18.80 4.0
AO,CXL	08/10	NEUBERGER BERMAN (NBER9WK6)	036	AKAM	B	900	33.82	n/a	n/a	45.00 5.0
AO,	08/10	NEUBERGER BERMAN (NBER9WK6)	036	AKAM	B	900	33.82	n/a	n/a	36.00 4.0
AO,CXL	08/10	NEUBERGER BERMAN (NBER9WK6)	036	ARRS	B	1,600	14.91	n/a	n/a	80.00 5.0
AO,	08/10	NEUBERGER BERMAN (NBER9WK6)	036	ARRS	B	1,600	14.91	n/a	n/a	64.00 4.0
AO,CXL	08/13	KORMAN (KORMAN)	003	CXTI	S	5,000	2.98	n/a	n/a	0.00 0.0
AO,CRT	08/13	KORMAN (KORMAN)	003	CXTI	S	5,000	3.15	n/a	n/a	0.00 0.0
AO,CRT	08/13	KORMAN (KORMAN)	003	CXTI	S	5,000	2.98	n/a	n/a	0.00 0.0
AO,CXL	08/13	KORMAN (KORMAN)	003	CXTI	S	5,000	3.15	n/a	n/a	0.00 0.0
AO,	08/13	SIGMA CAPITAL ASSOCIATES (SIGMGS-USE)	044	DRI	B	38,800	42.37	24-Apr	24-Apr	1940.00 5.0
AO,CXL	08/13	WALKER SMITH (WALKUBS SE)	031	DSW	B	30,000	31.57	2-Aug	10-Aug	0.00 0.0
AO,CRT	08/13	WALKER SMITH (WALKUBS SE)	031	DSW	B	30,000	31.57	2-Aug	10-Aug	1500.00 5.0
AO,	08/13	LISTED ERR (LISTED ERR)	099	HET	B	34,500	83.84	8-Aug	8-Aug	0.00 0.0
AO,	08/13	LISTED ERR (LISTED ERR)	097	HET	S	34,500	83.82	8-Aug	8-Aug	0.00 0.0
AO,	08/13	EPOCH INV MGMT (EPOCNORTOP)	030	HET	S	8,700	83.84	8-Aug	8-Aug	348.00 4.0
AO,	08/13	EPOCH INV MGMT (EPOCNYPDEP)	030	HET	S	500	83.84	8-Aug	8-Aug	20.00 4.0
AO,	08/13	EPOCH INV MGMT (EPOCNYPFD)	030	HET	S	1,050	83.84	8-Aug	8-Aug	42.00 4.0
AO,	08/13	EPOCH INV MGMT (EPOCNYPMT)	030	HET	S	500	83.84	8-Aug	8-Aug	20.00 4.0
AO,	08/13	EPOCH INV MGMT (EPOCOKLAHO)	030	HET	S	17,050	83.84	8-Aug	8-Aug	682.00 4.0
AO,	08/13	EPOCH INV MGMT (EPOCRUXTON)	030	HET	S	50	83.84	8-Aug	8-Aug	2.00 4.0
AO,	08/13	EPOCH INV MGMT (EPOCFLINNL)	030	HET	S	650	83.84	8-Aug	8-Aug	26.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/13	EPOCH INV MGMT (EPOCFLINNT)	030	HET	S	300	83.84	8-Aug	8-Aug	12.00	4.0
AO,	08/13	EPOCH INV MGMT (EPOCSIMONF)	030	HET	S	100	83.84	8-Aug	8-Aug	4.00	4.0
AO,	08/13	EPOCH INV MGMT (EPOCFORDMR)	030	HET	S	1,450	83.84	8-Aug	8-Aug	58.00	4.0
AO,	08/13	EPOCH INV MGMT (EPOCSTRAUS)	030	HET	S	50	83.84	8-Aug	8-Aug	2.00	4.0
AO,	08/13	EPOCH INV MGMT (EPOCEPACX)	030	HET	S	3,900	83.84	8-Aug	8-Aug	156.00	4.0
AO,	08/13	EPOCH INV MGMT (EPOCTITUST)	030	HET	S	200	83.84	8-Aug	8-Aug	8.00	4.0
AO,CXL	08/13	LEDDY (LEDDY)	035	JADE	S	2,500	6.84	n/a	n/a	0.00	0.0
AO,CRT	08/13	OTC ERROR (OTC ERROR)	035	JADE	S	2,500	6.84	n/a	n/a	0.00	0.0
AO,CXL	08/10	NEUBERGER BERMAN (NBER9WK6)	036	LEAP	B	1,400	60.05	n/a	n/a	70.00	5.0
AO,	08/10	NEUBERGER BERMAN (NBER9WK6)	036	LEAP	B	1,400	60.05	n/a	n/a	56.00	4.0
AO,	08/13	EPOCH INV MGMT (EPOCMARQTP)	030	S	S	9,000	19.01	n/a	n/a	360.00	4.0
AO,	08/13	EPOCH INV MGMT (EPOCMARQGR)	030	S	S	1,600	19.01	n/a	n/a	64.00	4.0
AO,	08/13	HIGHFIELDS CAP MGMT (HIGFMORGAN)	039	S	S	35,578	18.91	n/a	n/a	1423.12	4.0
AO,	08/13	HIGHFIELDS CAP MGMT (HIGFBSPB)	039	S	S	164,422	18.91	n/a	n/a	6576.88	4.0
AO,CXL	08/13	ROCKEFELLER & CO. (ROCKRCOBLO)	091	SPY	S	1,000	146.30	n/a	n/a	5.00	0.0
AO,CRT	08/13	ROCKEFELLER & CO. (ROCKRCOBLO)	091	SPY	S	1,000	146.30	n/a	n/a	50.00	5.0
AO,	08/13	SUNOVA CAPITAL (SUNOMORGAN)	031	TROW	B	25,000	52.03	n/a	10-Aug	1250.00	5.0
AO,CXL	08/13	LISTED ERR (LISTED ERR)	099	XOM	S	8,500	83.70	n/a	n/a	425.00	5.0
AO,	08/13	DAVIDSON TRUST CO (DAVTOMNI)	033	XRAY	S	2,200	38.47	n/a	n/a	132.00	6.0
TOTAL (AO, CXL, CRT) :										14,202.30	

TOTAL (Trade Date):	207,265.79
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TOTAL (AO, CXL, CRT):	14,202.30
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TOTAL (RUN DATE) / NFS:	221,468.09
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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