



Daily Compliance Activity Report

Trade Date: 09/26/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ABG	B	10,000	19.42	18-Jun	27-Jul	500.00	5.0
WHEELER	008	AIXD	S	10,000	5.54	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	AKS	S	26,300	43.64	n/a	n/a	1,052.00	4.0
SIGMA CAPITAL ASSOCIATES	044	ANN	S	25,000	32.34	6-Aug	7-Sep	1,250.00	5.0
MERRILL ASSET	032	AOI	S	81,900	6.78	n/a	n/a	3,685.50	4.5
MAZAMA CAPITAL MGMT.	035	ARD	S	23,200	66.69	n/a	n/a	928.00	4.0
THE JAY GOLDMAN	034	ARO	B	84,000	19.39	n/a	7-Sep	3,360.00	4.0
MEISENBACH CAP MGMT	041	AVP	B	10,000	35.76	24-Sep	24-Sep	300.00	3.0
BRIGHTPOINT CAP	067	BIG	SS	25,000	31.38	n/a	7-Sep	1,000.00	4.0
WHEELER	008	BQI	B	7,403	4.38	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	251	BRL	S	25,000	55.81	8-Aug	25-Sep	1,000.00	4.0
FINANCIAL STOCK LP	028	BSC	B	30,000	126.59	4-Sep	21-Sep	1,200.00	4.0
BUCK CAPITAL MGMT	001	BWS	B	10,000	20.25	n/a	n/a	400.00	4.0
JPMSEI/TOM LEDDY	035	BWS	S	15,000	20.32	n/a	n/a	750.00	5.0
BUCK	015	CAH	B	300	62.81	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL MGMT.	041	CAT	B	35,000	76.50	n/a	n/a	1,750.00	5.0
LEDDY	035	CHCG	B	1,010	3.85	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	COH	SS	15,000	46.39	n/a	10-Sep	600.00	4.0
LEDDY	035	CPHI	B	2,700	1.65	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CVS	S	15,000	39.44	n/a	n/a	750.00	5.0
TROUBH PART	067	DPHIQ	B	50,000	0.55	n/a	n/a	2,500.00	5.0
APEX CAPITAL MGMT.	091	EBAY	S	100,000	38.90	n/a	n/a	5,000.00	5.0
SANDLER O'NEILL ASSET	031	EV	B	71,700	39.41	23-May	25-Sep	3,585.00	5.0
GAULT	063	EXH	S	325	78.54	n/a	4-Sep	0.00	0.0
BARON ASSET MGMT*	012	EXP	S	65,000	36.03	n/a	n/a	3,250.00	5.0
BALYASNY ASSET MGMT	044	FDO	SS	20,000	27.09	9-Aug	21-Sep	1,000.00	5.0
MAZAMA CAPITAL MGMT.	035	FVE	S	14,600	8.12	n/a	n/a	584.00	4.0
MAGNETAR FINANCIAL	247	F	SS	40,000	8.80	n/a	13-Sep	1,200.00	3.0
MORGAN LEWIS/MLH	046	F	SS	75,000	8.74	n/a	13-Sep	3,750.00	5.0
LEDDY	035	F	SS	1,200	8.61	n/a	13-Sep	0.00	0.0
NEEDHAM CAP	067	GES	B	5,000	47.10	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PERRY PARTNERS	041	GE	B	200,000	41.06	n/a	n/a	10,000.00	5.0
WAGONHOUND	048	GIL	S	1,030	38.19	19-Sep	19-Sep	41.20	4.0
TRELLUS PARTNERS LP	028	GM	SS	30,000	37.16	4-May	13-Sep	1,500.00	5.0
BALYASNY ASSET MGMT	044	GNTX	SS	10,000	20.76	24-Jul	31-Aug	500.00	5.0
PRIME LOGIC ADV	039	HVT	B	40,000	9.56	n/a	n/a	2,000.00	5.0
LEDDY	035	ICON	S	1,200	23.92	n/a	n/a	0.00	0.0
CROWN ADVISORS	046	ICOP	S	10,000	7.00	n/a	n/a	500.00	5.0
MAZAMA CAPITAL MGMT.	035	IT	S	59,600	24.54	n/a	n/a	2,384.00	4.0
BALYASNY ASSET MGMT	044	JCG	S	10,000	45.37	22-Jun	6-Sep	500.00	5.0
COUGAR TRADING	044	JCG	S	3,400	46.10	22-Jun	6-Sep	170.00	5.0
LIGHTHOUSE FIN/QUAD	046	JCP	B	10,000	63.69	21-Jun	7-Sep	500.00	5.0
APEX CAPITAL MGMT.	091	JOSB	SS	50,000	35.55	n/a	n/a	2,500.00	5.0
CUMBERLAND	038	JWN	SS	5,000	48.51	12-Jul	7-Sep	200.00	4.0
CATAPULT	040	LEH	B	10,000	60.70	12-Jun	20-Sep	500.00	5.0
FINANCIAL STOCK LP	028	LEH	B	40,000	62.23	12-Jun	20-Sep	1,600.00	4.0
SANDLER O'NEILL ASSET	031	LM	B	21,000	81.21	19-Sep	25-Sep	1,050.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	LTD	B	15,000	22.84	16-May	7-Sep	750.00	5.0
BUCK CAPITAL MGMT	001	LTM	S	2,000	59.63	n/a	n/a	80.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	5,000	42.89	n/a	n/a	250.00	5.0
STERLING JOHNSTON	035	MCCC	S	48,050	7.32	21-Sep	21-Sep	1,922.00	4.0
SLS CAPITAL LLC	224	MER	SS	200,000	71.70	18-Jul	20-Sep	8,000.00	4.0
WHEELER	008	MNZAS	B	50	3.40	n/a	n/a	0.00	0.0
LIGHTHOUSE FIN/QUAD	046	MSFT	S	10,000	29.73	n/a	3-Apr	500.00	5.0
GAULT	063	MSO	B	1,000	12.01	n/a	n/a	0.00	0.0
DEMARTINI	065	MSO	B	300	11.98	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	50,000	32.33	24-Sep	24-Sep	2,000.00	4.0
NEUBERGER BERMAN	036	NOV	S	300	145.01	n/a	n/a	15.00	5.0
SAC TRADING/BILLY	063	OPXT	S	100,000	10.95	n/a	n/a	5,000.00	5.0
NORP	030	PCH	B	30,000	45.27	21-Sep	21-Sep	1,200.00	4.0
CIRCLE T PART	035	PLCE	B	15,000	25.80	26-Sep	26-Sep	600.00	4.0
COUGAR TRADING	044	PLCE	B	5,000	25.41	26-Sep	26-Sep	250.00	5.0
FIRST NEW YORK LEDDY	035	PLCE	S	10,000	25.68	26-Sep	26-Sep	600.00	6.0
MERRILL LYNCH STRATEGICI	034	PLCE	B	5,000	25.80	26-Sep	26-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PSS	B	50,000	20.94	n/a	n/a	2,000.00	4.0
DEEPHAVEN	031	QQQQ	SS	25,000	51.43	n/a	n/a	1,000.00	4.0
DKR CAPITAL	048	QQQQ	SS	20,000	51.26	n/a	n/a	1,000.00	5.0
WHEELER	008	RAE	S	15,000	3.13	n/a	n/a	0.00	0.0
WHEELER	008	RUSHA	S	3,000	26.99	n/a	n/a	0.00	0.0
BELMONT GLOBAL ADV	248	SMBL	B	7,000	11.39	n/a	n/a	350.00	5.0
DEEPHAVEN	031	SPY	SS	25,000	152.00	n/a	n/a	1,000.00	4.0
NORP	030	TAXI	S	2,900	11.02	n/a	n/a	116.00	4.0
ZOLIDIS	011	TBL	S	190	19.55	n/a	13-Mar	0.00	0.0
S.A.C. CAPITAL MGMT.	041	TIN	B	15,000	51.80	21-Sep	21-Sep	750.00	5.0
BUCK	015	TOYS R US INCB		100,000	81.88	n/a	n/a	0.00	0.0
PZENA INV ADV	044	TPX	S	48,275	36.10	n/a	n/a	1,931.00	4.0
RIVER RUN MGMT	031	TRMP	B	8,900	6.44	n/a	n/a	356.00	4.0
MEISENBACH CAP MGMT	041	UAUA	B	10,000	44.72	n/a	n/a	300.00	3.0
BEAR STEARNS ASSET MGMT.	033	WSM	B	40,000	31.38	n/a	n/a	1,600.00	4.0
BUCK	015	XGM	S	3,000	18.38	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

95,359.70

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/25	CROWN ADVISORS (CROW-UBS)	046	BIG	B	2,000	30.10	n/a	7-Sep	100.00 5.0
AO,CRT	09/25	MKT MAKER (MKT MAKER)	099	CHTP	B	100	6.05	n/a	n/a	0.00 0.0
AO,CXL	09/25	RHO CAPITAL MGMT (RHOCBSPB)	041	CHTP	B	100	6.05	n/a	n/a	5.00 5.0
AO,CXL	09/25	SAVANNAH-BALTIMORE (SAVAGOLDMA)	012	IVZ	B	81,700	27.21	8-Aug	25-Sep	4085.00 5.0
AO,CRT	09/25	SAVANNAH-BALTIMORE (SAVAGOLDMA)	012	IVZ	B	81,700	27.21	8-Aug	25-Sep	3268.00 4.0
AO,CRT	09/25	STARK ASSET MGMT (STRK-DB)	031	LEA	S	20,200	31.55	n/a	n/a	808.00 4.0
AO,CXL	09/25	STARK ASSET MGMT (STRKCREDIT)	031	LEA	S	20,200	31.55	n/a	n/a	808.00 4.0
AO,CXL	09/25	BUCK CAPITAL MGMT (BUCKMSAGCR)	001	MW	SS	3,700	48.10	n/a	n/a	148.00 4.0
AO,CRT	09/25	BUCK CAPITAL MGMT (BUCKMSAGCR)	001	MW	SS	3,700	48.10	n/a	n/a	148.00 4.0
CRT	09/26	DKR CAPITAL (DKRCMERRIL)	048	QQQQ	SS	11,500	51.26	n/a	n/a	575.00 5.0
CRT	09/26	DKR CAPITAL (DKRCDEUTCH)	048	QQQQ	SS	8,500	51.26	n/a	n/a	425.00 5.0
AO,CXL	09/25	BAYPOINT/PRIMEMOVERS (BAYPSLK)	041	UEIC	S	3,700	32.08	n/a	n/a	185.00 5.0
AO,CRT	09/25	BAYPOINT/PRIMEMOVERS (BAYPSLK)	041	UEIC	S	3,700	32.08	n/a	n/a	148.00 4.0
AO,CRT	09/25	STARK ASSET MGMT (STRK-DB)	031	VC	B	35,000	5.13	n/a	n/a	1400.00 4.0
AO,CXL	09/25	STARK ASSET MGMT (STRKCREDIT)	031	VC	B	35,000	5.13	n/a	n/a	1400.00 4.0
AO,	09/21	EMP ERROR (EMP ERROR)	099	WY	B	400	72.04	21-Sep	21-Sep	0.00 0.0
AO,CXL	09/21	LEDDY (LEDDY)	035	WY	S	100	72.11	21-Sep	21-Sep	0.00 0.0
AO,CXL	09/21	LEDDY (LEDDY)	035	WY	S	100	72.11	21-Sep	21-Sep	0.00 0.0
AO,CXL	09/21	LEDDY (LEDDY)	035	WY	S	200	72.11	21-Sep	21-Sep	0.00 0.0
AO,CRT	09/21	LEDDY (LEDDY)	035	WY	S	400	72.04	21-Sep	21-Sep	0.00 0.0
AO,CRT	09/21	EMP ERROR (EMP ERROR)	099	WY	S	100	72.11	21-Sep	21-Sep	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/21	EMP ERROR (EMP ERROR)	099	WY	S	100	72.11	21-Sep	21-Sep	0.00 0.0
AO,CRT	09/21	EMP ERROR (EMP ERROR)	099	WY	S	200	72.11	21-Sep	21-Sep	0.00 0.0
TOTAL (AO, CXL, CRT) :										241.00

TOTAL (Trade Date):	95,359.70
TOTAL (AO, CXL, CRT):	241.00
TOTAL (RUN DATE) / NFS:	95,600.70

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