



Daily Compliance Activity Report

Trade Date: 09/18/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GOLDMAN SACHS ASSET MGMT	044	ADM	S	105,000	32.19	n/a	4-Sep	2,700.00	3.0
IMPALA ASSET MMT	012	AEM	B	70,950	47.71	n/a	n/a	2,128.50	3.0
AMBER CAPITAL	046	AKS	S	127,800	40.06	n/a	n/a	5,112.00	4.0
SUNOVA CAPITAL	031	AMG	S	10,000	113.87	25-Jul	22-Aug	500.00	5.0
IMPALA ASSET MMT	012	AMR	B	10,600	24.25	n/a	n/a	318.00	3.0
IMPALA ASSET MMT	012	AMR	S	335,000	23.74	n/a	n/a	10,050.00	3.0
STRONG/MARK GRONET	030	ANET	S	50,000	17.58	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	20,000	33.19	6-Aug	7-Sep	800.00	4.0
JP MORGAN VENTURES	046	ANN	SS	20,000	32.71	6-Aug	7-Sep	1,000.00	5.0
HIGHBRIDGE CAPITAL	038	APC	B	1,000	50.97	22-Jun	17-Sep	50.00	5.0
IMPALA ASSET MMT	012	ARA	S	208,422	66.83	n/a	n/a	6,252.66	3.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	19.46	n/a	7-Sep	1,200.00	4.0
THE JAY GOLDMAN	034	ARO	SS	30,000	20.68	n/a	7-Sep	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	BAC	C	50,000	49.53	20-Apr	16-Aug	2,500.00	5.0
NATIONAL BK OF CAN	031	BAC	B	20,000	51.16	20-Apr	16-Aug	800.00	4.0
BECK MACK & OLIVER LLC	068	BAX	S	200	55.37	n/a	22-Apr	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIME CAPITAL	048	BA	B	6,300	96.99	n/a	n/a	252.00	4.0
GRANAHAN INV	039	BBW	S	172,200	17.99	11-Sep	13-Sep	6,888.00	4.0
IMPALA ASSET MMT	012	BG	B	163,885	98.62	n/a	n/a	4,916.55	3.0
STRAUSS ASSET MGMT	040	BIDZ	B	13,000	9.10	n/a	n/a	650.00	5.0
BRIGHTPOINT CAP	067	BIG	SS	57,000	30.25	n/a	7-Sep	2,280.00	4.0
RBC CAPITAL MARKETS	034	BK	B	130,000	44.05	20-Jul	20-Jul	5,200.00	4.0
MKT MAKER	099	BONT	B	76	23.26	3-Aug	7-Sep	0.00	0.0
BECK MACK & OLIVER LLC	068	BRKB	S	33,953.50		n/a	n/a	0.15	5.0
SINCLAIR	031	BSCAG	B	10	5.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	B	20,000	20.44	n/a	n/a	800.00	4.0
MKT MAKER	099	CACH	S	55	17.33	n/a	n/a	0.00	0.0
MAGUIRE	090	CALPINE CORPB		100,000	104.00	n/a	n/a	0.00	0.0
FIRST INV MGMT CORP	036	CDL	S	25,863	4.12	n/a	n/a	1,034.52	4.0
MTB INV ADV	034	CHS	S	49,357	15.15	30-Aug	7-Sep	2,467.85	5.0
U.S.TRUST COMPANY	012	CIT	B	55,000	38.84	n/a	n/a	1,925.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	10,000	47.14	n/a	10-Sep	400.00	4.0
THIRD COAST CAPITAL	035	COH	B	15,000	47.42	n/a	10-Sep	750.00	5.0
IMPALA ASSET MMT	012	COL	B	100,000	69.14	n/a	n/a	3,000.00	3.0
SLS CAPITAL LLC	224	COST	B	104,600	61.92	n/a	27-Jul	4,184.00	4.0
GOLD SACHS SPECIAL SIT	041	CROX	SS	80,000	56.52	n/a	n/a	4,000.00	5.0
PAKLER	N22	CROX	S	61	55.73	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	CTSH	B	12,500	74.23	n/a	n/a	625.00	5.0
MATRIX ASSET ADV.	036	CVX	S	6,700	91.25	n/a	n/a	268.00	4.0
GOLDMAN SACHS ASSET MGMT	044	CXO	B	60,000	15.54	n/a	n/a	1,200.00	2.0
IMPALA ASSET MMT	012	DE	B	125,000	141.11	n/a	n/a	3,750.00	3.0
BUCK CAPITAL MGMT	001	DRI	B	20,000	43.48	n/a	24-Apr	800.00	4.0
Õ Jason Cohen		DXD	B	19	47.9000	n/a	n/a	0.00	0.0
PRIME CAPITAL	048	EBAY	B	14,900	37.30	n/a	n/a	596.00	4.0
LEDDY	035	EDA	B	1,000	9.94	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	012	ESPD	B	13,000	7.98	n/a	n/a	520.00	4.0
BUCK CAPITAL MGMT	001	FDO	B	30,000	29.04	9-Aug	7-Sep	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	FIG	B	700	19.00	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	FII	B	250,425	38.75	n/a	22-Aug	10,017.00	4.0
CAPITAL GROWTH MGMT.	241	FNM	S	250,000	60.24	n/a	n/a	10,000.00	4.0
PRIME CAPITAL	048	FRE	B	2,800	57.27	n/a	n/a	112.00	4.0
REINHART & MAHONEY	031	GET	B	9,260	52.35	n/a	n/a	463.00	5.0
BECK MACK & OLIVER LLC	068	GE	S	5,100	41.50	n/a	n/a	255.00	5.0
SAXON WOODS ADVISORS	038	GE	S	20,000	41.35	n/a	n/a	1,000.00	5.0
OGORMAN	146	GLD	B	190	71.35	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	GLW	S	50,000	23.63	n/a	14-Sep	1,500.00	3.0
BECK MACK & OLIVER LLC	068	HCC	S	1,000	27.91	n/a	n/a	50.00	5.0
REINHART & MAHONEY	031	HCC	B	6,860	27.94	n/a	n/a	343.00	5.0
LEDDY	035	HLYS	S	1,460	7.80	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	HRB	S	5,000	20.65	n/a	n/a	200.00	4.0
BECK MACK & OLIVER LLC	068	HUBB	S	3,000	52.86	n/a	n/a	150.00	5.0
BUCK	015	IBN	S	800	45.84	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	IP	SS	90,000	35.20	4-May	20-Aug	4,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CROWLEY	061	ISLN	B	1,500	9.03	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	B	76,300	24.00	8-Aug	11-Sep	3,052.00	4.0
LEDDY	035	JADE	B	2,000	4.97	n/a	n/a	0.00	0.0
WEISS PECK	040	JAH	B	40,360	30.84	n/a	n/a	2,018.00	5.0
BUCK CAPITAL MGMT	001	JBX	B	20,000	62.55	n/a	24-Apr	800.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	60,000	45.03	22-Jun	6-Sep	2,400.00	4.0
COUGAR TRADING	044	JCP	S	5,000	66.75	21-Jun	7-Sep	250.00	5.0
JP MORGAN VENTURES	046	JCP	B	10,000	65.03	21-Jun	7-Sep	500.00	5.0
PRINCIPLE CAPITAL	040	JNS	B	43,000	27.54	27-Jul	30-Aug	1,290.00	3.0
THE JAY GOLDMAN	034	JWN	SS	10,000	50.88	12-Jul	7-Sep	400.00	4.0
BECK MACK & OLIVER LLC	068	LCAPA	S	3,000	117.92	n/a	n/a	150.00	5.0
HEALY CIRCLE	044	LEH	S	30,000	61.99	12-Jun	4-Sep	1,500.00	5.0
NATIONAL BK OF CAN	031	LEH	S	15,000	64.35	12-Jun	4-Sep	600.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	30,000	33.40	n/a	14-Sep	1,200.00	4.0
LUCID PARTNERS	067	LM	B	6,000	79.92	24-Jul	22-Aug	300.00	5.0
BECK MACK & OLIVER LLC	068	LUK	S	200	47.70	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAKLER	N22	LULU	B	95	35.32	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	044	LVLTT	B	100,000	4.43	6-Sep	6-Sep	3,000.00	3.0
BEAR STEARNS ASSET MGMT.	033	MCD	B	30,000	55.03	24-Apr	24-Apr	1,200.00	4.0
RBC CAPITAL MARKETS	034	MCO	S	45,000	47.05	n/a	n/a	1,800.00	4.0
BUCK	015	MCO	SS	700	46.49	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MER	B	3,800	76.04	18-Jul	16-Aug	152.00	4.0
SANDLER O'NEILL ASSET	031	MER	B	15,000	73.36	18-Jul	16-Aug	750.00	5.0
JPMSI/TOM LEDDY	035	MPEL	S	10,000	14.81	n/a	n/a	500.00	5.0
REINHART & MAHONEY	031	MTG	S	33,495	33.44	n/a	n/a	1,674.75	5.0
MAGUIRE	090	MZZ	S	20,000	55.83	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	50,000	31.44	13-Jul	7-Sep	2,000.00	4.0
KACELA CAPITAL	034	M	B	15,000	30.53	13-Jul	7-Sep	750.00	5.0
CATAPULT	040	NCC	B	5,000	25.96	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	034	NITE	B	50,000	12.02	n/a	n/a	2,000.00	4.0
LATEFF MGMT	040	NOK	S	2,500	35.87	n/a	n/a	425.00	17.0
IMPALA ASSET MMT	012	NOV	B	174,312	133.65	n/a	n/a	5,229.36	3.0
JP MORGAN VENTURES	046	NTGR	C	34,000	28.06	n/a	n/a	1,700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	NVLS	C	20,000	27.20	n/a	n/a	1,000.00	5.0
BARR	096	NXG	S	6,000	2.90	n/a	n/a	0.00	0.0
MORRISON & FRASIER	040	ODP	B	121,600	19.11	n/a	27-Jul	6,080.00	5.0
FARALLON CAP MGMT	040	PCU	B	51,800	110.02	n/a	n/a	2,072.00	4.0
IMPALA ASSET MMT	012	PCU	SS	100,000	114.32	n/a	n/a	3,000.00	3.0
BECK MACK & OLIVER LLC	068	PFE	S	6,000	24.37	n/a	31-Mar	300.00	5.0
AAD CAPITAL	048	PLCE	S	20,512	25.63	n/a	7-Sep	820.48	4.0
COUGAR TRADING	044	PLCE	S	10,000	26.67	n/a	7-Sep	500.00	5.0
SSI INVESTORS	048	PLCE	S	51,973	25.55	n/a	7-Sep	2,078.92	4.0
ROTHSCHILD ASSET	040	PMI	S	40,440	32.02	n/a	n/a	1,819.80	4.5
RBC CAPITAL MARKETS	034	PRU	B	44,000	94.63	n/a	n/a	1,760.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	50,000	21.11	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	PSUN	B	10,000	16.28	n/a	7-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	53.90	13-Aug	29-Aug	800.00	4.0
RBC CAPITAL MARKETS	034	RDN	SS	50,000	21.80	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	RL	S	5,000	80.26	9-Aug	29-Aug	250.00	5.0
GOLDMAN SACHS ASSET MGMT	044	RRC	S	44,000	40.61	n/a	n/a	660.00	1.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	SAPE	B	41,000	6.29	n/a	n/a	1,640.00	4.0
REINHART & MAHONEY	031	SFD	B	19,890	30.68	n/a	n/a	994.50	5.0
MAGUIRE	090	SKF	S	2,000	84.00	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	STX	B	27,300	24.50	n/a	n/a	1,365.00	5.0
IMPALA ASSET MMT	012	SU	SS	17,400	98.88	n/a	n/a	522.00	3.0
BECK MACK & OLIVER LLC	068	SYX	S	5,000	33.84	n/a	24-Apr	250.00	5.0
CATAPULT	040	TCB	B	2,500	24.34	n/a	n/a	125.00	5.0
FIRST INV MGMT CORP	036	TEL	B	10,100	32.90	n/a	n/a	505.00	5.0
KACELA CAPITAL	034	TGT	B	10,000	64.22	n/a	27-Jul	500.00	5.0
SLS CAPITAL LLC	224	TGT	B	92,400	66.02	n/a	27-Jul	3,696.00	4.0
BUCK CAPITAL MGMT	001	THI	B	20,000	34.27	n/a	24-Apr	800.00	4.0
S.A.C. CAPITAL MGMT.	041	TIN	B	25,000	52.40	25-Jul	20-Aug	1,250.00	5.0
COUGAR TRADING	044	TJX	S	5,000	31.26	13-Jul	7-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	TOL	B	253,000	22.18	n/a	n/a	10,120.00	4.0
LUCHANSKY	036	TSU	B	200	38.43	n/a	n/a	0.00	0.0
PRIME CAPITAL	048	TXN	B	212,800	34.56	n/a	n/a	10,640.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	UAUA	S	97,000	45.01	n/a	n/a	2,910.00	3.0
HIGHBRIDGE CAPITAL	038	UFS	B	680,700	8.19	n/a	n/a	34,035.00	5.0
CATAPULT	040	WB	B	2,500	49.93	n/a	n/a	125.00	5.0
LEDDY	035	WCI	B	1,200	7.57	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	WDR	S	40,000	25.51	13-Jul	22-Aug	2,000.00	5.0
KACELA CAPITAL	034	WFMI	B	8,000	43.74	n/a	n/a	400.00	5.0
STADIA CAPITAL	035	WSM	B	30,000	32.61	n/a	n/a	1,200.00	4.0
COUGAR TRADING	044	ZQK	S	5,000	14.33	n/a	7-Sep	250.00	5.0
TOTAL (Trade Date) :								248,038.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/17	SOMERSET ADV (SOMEMAINUB)	044	AEM	B	7,700	47.86	n/a	n/a	385.00	5.0
AO,CRT	09/17	SOMERSET ADV (SOMEMAINUB)	044	AEM	B	7,700	47.86	n/a	n/a	308.00	4.0
AO,CRT	09/17	MKT MAKER (MKT MAKER)	099	CENT	B	100	10.00	n/a	18-Sep	0.00	0.0
AO,	09/17	TRELLUS PARTNERS LP (TRELGS)	028	F	SS	12,828	8.21	n/a	13-Sep	384.84	3.0
AO,	09/17	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	137,172	8.21	n/a	13-Sep	4115.16	3.0
AO,CXL	09/14	MKT MAKER (MKT MAKER)	030	SAPE	B	76	6.23	n/a	n/a	3.04	4.0
AO,CRT	09/14	MKT MAKER (MKT MAKER)	030	SAPE	B	76	6.23	n/a	n/a	0.00	0.0
AO,	09/17	IMPALA ASSET MMT (IMPAGOLDMA)	012	UAUA	B	40,657	44.87	n/a	n/a	1219.71	3.0
AO,	09/17	MKT MAKER (MKT MAKER)	099	ULTI	B	20	31.20	n/a	n/a	0.00	0.0
AO,CXL	09/17	STRAUSS ASSET MGMT (STRAJEFUSE)	040	ULTI	B	4,720	31.20	n/a	n/a	236.00	5.0
AO,CRT	09/17	STRAUSS ASSET MGMT (STRAJEFUSE)	040	ULTI	B	4,700	31.20	n/a	n/a	235.00	5.0
AO,CXL	09/17	WEISS PECK (PECKMS)	040	WFC	SS	14,000	35.65	n/a	n/a	7.00	0.1
AO,	09/17	WEISS PECK (PECKMS)	040	WFC	SS	14,000	35.65	n/a	n/a	700.00	5.0
TOTAL (AO, CXL, CRT) :										6,331.67	

TOTAL (Trade Date):	248,038.04
TOTAL (AO, CXL, CRT):	6,331.67

TOTAL (RUN DATE) / NFS:

254,369.71

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