



Daily Compliance Activity Report

Trade Date: 11/26/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRISANTI BROWN & PARTNER	048	AA	C	11,500	35.77	n/a	n/a	575.00	5.0
SCOPUS FUND	041	ABH	B	60,000	16.00	n/a	21-Sep	3,000.00	5.0
GRUSS CAPITAL	045	ACLI	S	10,000	14.87	n/a	n/a	400.00	4.0
BARROW HANLEY MEWHINNEY	031	AFR	S	15,100	7.66	n/a	n/a	604.00	4.0
SINCLAIR	031	AMGAF	B	10	3.80	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	AMG	S	30,000	120.11	21-Nov	26-Nov	1,500.00	5.0
BARR	096	AMR	S	1,600	20.46	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	76.23	2-Oct	21-Nov	800.00	4.0
BUCK	015	ANF	SS	300	76.41	2-Oct	21-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	ANN	S	50,000	30.69	6-Aug	16-Nov	2,000.00	4.0
SARAS CAPITAL	038	AN	B	60,000	16.10	n/a	25-Oct	3,000.00	5.0
NEUBERGER BERMAN	036	ARO	S	8,700	25.68	9-Nov	20-Nov	435.00	5.0
GRUSS CAPITAL	045	ASHW	S	10,000	3.95	n/a	n/a	200.00	2.0
FORCE CAPITAL MGMT	030	BAC	B	50,000	42.78	13-Nov	20-Nov	2,500.00	5.0
PRINCIPLE CAPITAL	040	BBBY	B	50,000	30.22	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	BC	SS	21,010	19.28	n/a	n/a	840.40	4.0
BALYASNY ASSET MGMT	044	BEN	S	20,000	116.40	25-Sep	26-Nov	1,000.00	5.0
ROYCE TRADING	216	BNE	S	5,000	16.88	n/a	n/a	250.00	5.0
MKT MAKER	099	BONT	S	1,000	14.13	9-Nov	21-Nov	0.00	0.0
SINCLAIR	031	BSCAG	S	20	0.25	n/a	n/a	0.00	0.0
ROYCE TRADING	216	BWS	B	5,000	16.08	n/a	n/a	250.00	5.0
GRISANTTI BROWN & PARTNER	048	CAL	C	27,000	27.22	n/a	n/a	1,350.00	5.0
SYSTEMATIC FINANCIAL MGT	035	CBE	B	125,000	48.71	19-Jul	23-Oct	4,687.50	3.8
ACT II PARTNERS	067	CCU	B	100,000	34.19	n/a	n/a	5,000.00	5.0
MKT MAKER	099	CENT	S	1,200	6.45	n/a	18-Sep	0.00	0.0
SINCLAIR	031	CFU	S	5	2.10	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	CHH	B	9,000	34.92	n/a	n/a	450.00	5.0
WELLS/STRONG LEDDY	035	CHIC	S	15,100	14.90	n/a	n/a	604.00	4.0
Õ Ted Wheeler		CLPBND	B	100	0.0000	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	CML	S	10,500	13.67	n/a	n/a	420.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	CNB	S	41,400	15.51	n/a	n/a	2,070.00	5.0
GRACIE CAPITAL	028	COCO	S	45,000	15.72	n/a	n/a	2,250.00	5.0
HIGHBRIDGE CAPITAL	038	CSGS	B	12,000	16.49	n/a	n/a	600.00	5.0
GRISANTI BROWN & PARTNER	048	CSX	C	10,000	41.66	n/a	n/a	500.00	5.0
WELLS/STRONG LEDDY	035	CTR	S	13,350	19.14	n/a	n/a	534.00	4.0
WELLS/STRONG LEDDY	035	CTS	S	14,900	10.86	n/a	n/a	596.00	4.0
ROYCE TRADING	216	CY	S	2,300	31.05	n/a	n/a	115.00	5.0
FORCE CAPITAL MGMT	030	C	B	35,000	30.72	5-Nov	20-Nov	1,750.00	5.0
SINCLAIR	031	C	S	100	29.88	5-Nov	20-Nov	0.00	0.0
BUCK	015	DDR	B	500	42.10	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	DFS	S	12,000	16.42	n/a	n/a	360.00	3.0
BUCK CAPITAL MGMT	001	DKS	S	20,000	30.28	n/a	20-Nov	800.00	4.0
CAPITAL GROWTH MGMT.	099	DVN	B	50,000	85.60	22-Oct	21-Nov	2,500.00	5.0
PRINCIPLE CAPITAL	040	EL	B	50,000	42.34	25-Oct	25-Oct	2,000.00	4.0
MKT MAKER	099	FINL	S	200	3.01	n/a	28-Sep	0.00	0.0
ROYCE TRADING	216	FRM	S	3,300	10.30	n/a	n/a	165.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAPIDES ASSET MGMT	034	FSS	B	17,800	11.83	n/a	n/a	712.00	4.0
BUCK	015	FXE	B	500	148.99	n/a	n/a	0.00	0.0
BARR	096	FXP	B	1,750	88.90	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	247	F	B	50,000	7.19	n/a	16-Nov	1,500.00	3.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	37.47	5-Nov	5-Nov	400.00	4.0
CASTLE ARK	031	GIL	S	3,500	38.32	5-Nov	5-Nov	210.00	6.0
DELTEC ASSET MGMT.	040	GLW	S	15,100	23.25	n/a	24-Oct	755.00	5.0
LISTED ERR	099	GLW	S	5	23.25	n/a	24-Oct	0.00	0.0
GRISANTI BROWN & PARTNER	048	GM	C	14,000	27.23	n/a	8-Nov	700.00	5.0
BUCK	015	GPI	SS	800	26.78	31-Oct	31-Oct	0.00	0.0
GRISANTI BROWN & PARTNER	048	HOG	C	8,200	46.94	n/a	n/a	410.00	5.0
HIGHBRIDGE CAPITAL	038	HOT	B	6,000	52.31	n/a	n/a	300.00	5.0
COLUMBIA PARTNERS	028	HOV	SS	5,800	6.96	n/a	n/a	174.00	3.0
HEALY CIRCLE	044	HP	B	15,000	35.08	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	HST	B	15,000	17.58	n/a	n/a	750.00	5.0
OPTIMUM INV ADV	030	INTU	B	12,000	28.51	n/a	n/a	480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHEELER	008	IUVET	S	30	6.30	n/a	n/a	0.00	0.0
NEEDHAM CAP	067	JCG	S	15,000	38.50	24-Oct	24-Oct	600.00	4.0
BUCK CAPITAL MGMT	001	JCP	S	20,000	41.39	15-Nov	16-Nov	800.00	4.0
OPPENHEIMER MGMT.	036	JCP	B	175,000	41.47	15-Nov	16-Nov	7,000.00	4.0
WELLS/STRONG LEDDY	035	JDAS	S	20,500	19.40	n/a	n/a	820.00	4.0
GRUSS CAPITAL	045	JMBA	S	15,000	3.55	n/a	n/a	600.00	4.0
BALYASNY ASSET MGMT	044	JNS	B	15,000	30.09	21-Nov	26-Nov	750.00	5.0
ROYCE TRADING	216	JNY	B	10,000	18.55	n/a	1-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	20,000	35.14	20-Nov	20-Nov	800.00	4.0
LAPIDES ASSET MGMT	034	KCI	S	2,100	59.67	n/a	n/a	84.00	4.0
GRACIE CAPITAL	028	KFT	S	125,000	33.40	n/a	n/a	6,250.00	5.0
BENCHMARK	028	KLAC	SS	5,000	47.48	n/a	n/a	250.00	5.0
CAPITAL GROWTH MGMT.	099	KR	B	61,300	28.39	n/a	n/a	3,065.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	49.56	9-Nov	16-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	48.07	9-Nov	16-Nov	800.00	4.0
MERRILL LYNCH STRATEGICI	034	KSS	B	50,000	48.96	9-Nov	16-Nov	2,500.00	5.0
GRISANTI BROWN & PARTNER	048	LCC	S	18,800	19.44	n/a	n/a	940.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	LESAM	B	10	2.80	n/a	n/a	0.00	0.0
GRISANTI BROWN & PARTNER	048	LII	C	12,000	33.17	n/a	n/a	600.00	5.0
XYLEM GLOBAL	091	LPX	B	235,000	14.03	30-Oct	30-Oct	9,400.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	S	25,000	35.18	n/a	n/a	1,250.00	5.0
BARROW HANLEY MEWHINNEY	031	MCD	S	40,000	56.98	n/a	24-Apr	1,600.00	4.0
SINCLAIR	031	MERAV	S	30	0.30	n/a	n/a	0.00	0.0
WELLS/STRONG LEDDY	035	MFB	S	17,500	12.74	n/a	n/a	700.00	4.0
GOLD SACHS SPECIAL SIT	030	MGA	B	25,000	84.92	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	MOT	SS	40,000	15.24	n/a	n/a	1,600.00	4.0
BUCK	015	MO	B	1,000	72.95	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	MRO	B	10,000	55.99	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	M	B	180,000	29.74	9-Nov	15-Nov	7,200.00	4.0
PILOT ADV	038	M	S	25,000	29.50	9-Nov	15-Nov	118.00	0.0
PRINCIPLE CAPITAL	040	M	B	100,000	29.61	9-Nov	15-Nov	3,000.00	3.0
SAC TRADING HOWARD	038	M	B	20,000	28.40	9-Nov	15-Nov	1,000.00	5.0
THE JAY GOLDMAN	034	M	B	35,000	28.68	9-Nov	15-Nov	1,400.00	4.0
LAPIDES ASSET MGMT	034	NLS	B	7,500	4.96	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	NWK	S	3,400	11.22	n/a	n/a	170.00	5.0
ROYCE TRADING	216	OSG	S	1,000	68.63	n/a	n/a	50.00	5.0
HIGHBRIDGE CAPITAL	038	PAYX	B	8,000	37.53	n/a	n/a	400.00	5.0
BUCK CAPITAL MGMT	001	PBG	SS	10,000	41.90	n/a	n/a	400.00	4.0
XYLEM GLOBAL	091	PCH	B	10,000	42.48	21-Sep	26-Oct	500.00	5.0
BARR	096	PDFS	B	1,800	7.76	n/a	n/a	0.00	0.0
BUCK	015	PDLI	S	1,400	18.13	n/a	n/a	0.00	0.0
ROYCE TRADING	216	PKE	B	5,000	28.95	n/a	n/a	250.00	5.0
ROYCE TRADING	216	PSS	B	10,000	15.81	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	PTT	S	100	9.50	n/a	n/a	4.00	4.0
MERRILL ASSET	032	PVA	S	26,600	44.67	n/a	n/a	1,197.00	4.5
ASCEND PARTNERS	033	PVH	B	25,000	41.19	21-Nov	21-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	41.14	21-Nov	21-Nov	800.00	4.0
SINCLAIR	031	QHWAV	S	25	2.80	n/a	n/a	0.00	0.0
AMATURO	018	RAD	S	1,000	3.54	n/a	n/a	0.00	0.0
ROYCE TRADING	216	RAS	B	10,000	7.63	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	10,000	66.19	8-Nov	8-Nov	400.00	4.0
MERRILL LYNCH STRATEGICI	034	RL	B	20,000	66.07	8-Nov	8-Nov	1,200.00	6.0
ROYCE TRADING	216	RSTO	S	25,000	6.98	n/a	n/a	1,250.00	5.0
BARROW HANLEY MEWHINNEY	031	SCI	S	12,800	12.97	n/a	n/a	512.00	4.0
BUCK CAPITAL MGMT	001	SKS	B	115,000	19.26	n/a	n/a	4,600.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	60,000	21.30	n/a	13-Mar	2,400.00	4.0
IRON HORSE CAPITAL MGMT	038	SVU	S	20,000	41.84	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	TGT	S	20,000	55.39	n/a	27-Jul	800.00	4.0
BUCK	015	TGT	B	800	55.54	n/a	27-Jul	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	TIF	C	48,700	46.95	18-Oct	18-Oct	1,948.00	4.0
IRONBOUND CAPITAL	012	TIN	B	29,500	42.19	9-Nov	9-Nov	1,475.00	5.0
TROUBH PART	067	TIN	B	50,000	42.70	9-Nov	9-Nov	2,500.00	5.0
ROYCE TRADING	216	TKR	B	10,000	30.77	n/a	n/a	500.00	5.0
GRISANTII BROWN & PARTNER	048	TK	C	10,000	55.13	n/a	n/a	500.00	5.0
GRISANTII BROWN & PARTNER	048	TRA	C	11,000	35.90	n/a	n/a	550.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	25.15	19-Nov	19-Nov	400.00	4.0
U.S.TRUST COMPANY	012	TYC	B	100,000	39.69	9-Nov	15-Nov	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	UAUA	C	500	39.91	n/a	n/a	0.00	0.0
CATAPULT	040	USB	SS	5,000	30.77	n/a	n/a	250.00	5.0
MS PRINCIPAL STRATEGIES	041	VCLK	B	34,600	21.98	n/a	n/a	1,730.00	5.0
WELLS/STRONG LEDDY	035	WG	S	10,900	33.58	n/a	n/a	436.00	4.0
BUCK CAPITAL MGMT	001	WWY	SS	10,000	61.70	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	WY	SS	147,000	68.94	1-Nov	1-Nov	7,350.00	5.0
NICHOLAS ADVISORS	034	XLFI	S	50,000	28.75	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date) :								151,945.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	11/26	MKT MAKER (MKT MAKER)	099	BONT	S	100	14.13	9-Nov	21-Nov	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	BONT	S	100	13.98	9-Nov	21-Nov	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	BONT	S	300	13.98	9-Nov	21-Nov	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	CENT	S	100	6.45	n/a	18-Sep	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	CENT	S	100	6.45	n/a	18-Sep	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	CENT	S	100	6.45	n/a	18-Sep	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	CENT	S	300	6.43	n/a	18-Sep	0.00	0.0
AO,CXL	11/23	CSFB GLOBAL PROPRIETARY (CSFBGLOBAL)	035	CFC	B	71,600	9.99	n/a	n/a	3580.00	5.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	FINL	S	99	3.01	n/a	28-Sep	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	FINL	S	1	3.01	n/a	28-Sep	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	FINL	S	99	3.01	n/a	28-Sep	0.00	0.0
CRT	11/26	MKT MAKER (MKT MAKER)	099	FINL	S	1	3.01	n/a	28-Sep	0.00	0.0
AO,CXL	11/20	SCOGGIN CAP (SCOGSCOGGI)	044	MSFT	SS	50,000	34.76	n/a	3-Apr	2500.00	5.0
AO,	11/20	SCOGGIN CAP (SCOGSCOGGI)	044	MSFT	SS	25,000	34.76	n/a	3-Apr	1250.00	5.0
AO,	11/20	SCOGGIN CAP (SCOGINTERN)	044	MSFT	SS	25,000	34.76	n/a	3-Apr	1250.00	5.0
AO,CXL	11/23	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	B	50,000	65.50	8-Nov	8-Nov	2000.00	4.0
AO,CRT	11/23	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	B	49,500	65.50	8-Nov	8-Nov	1980.00	4.0
AO,	11/23	BUCK CAPITAL MGMT (BUCKGIL)	001	RL	B	500	65.50	8-Nov	8-Nov	20.00	4.0
AO,CXL	11/20	SCOGGIN CAP (SCOGSCOGGI)	044	SFSF	S	5,000	12.95	n/a	n/a	250.00	5.0
AO,CRT	11/20	SCOGGIN CAP (SCOGSCOGGI)	044	SFSF	S	2,500	12.95	n/a	n/a	125.00	5.0
AO,	11/20	SCOGGIN CAP (SCOGINTERN)	044	SFSF	S	2,500	12.95	n/a	n/a	125.00	5.0
AO,CXL	11/23	ELM RIDGE ADVISORS (ELMRGS\$.04)	044	VC	B	75,000	3.93	n/a	19-Nov	2250.00	3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/23	ELM RIDGE ADVISORS (ELMRGS\$.04)	044	VC	B	75,000	3.93	n/a	19-Nov	2250.00 3.0
AO,	11/23	COOKBIELER (COOK40179)	033	WSM	S	300	28.40	n/a	n/a	12.00 4.0
AO,	11/23	COOKBIELER (COOK13354)	033	WSM	S	500	28.40	n/a	n/a	20.00 4.0
AO,	11/23	COOKBIELER (COOK20466)	033	WSM	S	4,300	28.40	n/a	n/a	172.00 4.0
AO,	11/23	COOKBIELER (COOK20467)	033	WSM	S	1,700	28.40	n/a	n/a	68.00 4.0
AO,	11/23	COOKBIELER (COOK30662)	033	WSM	S	1,400	28.40	n/a	n/a	56.00 4.0
AO,	11/23	COOKBIELER (COOK30663)	033	WSM	S	200	28.40	n/a	n/a	8.00 4.0
AO,	11/23	COOKBIELER (COOK32004)	033	WSM	S	2,100	28.40	n/a	n/a	84.00 4.0
AO,	11/23	COOKBIELER (COOK32003)	033	WSM	S	3,400	28.40	n/a	n/a	136.00 4.0
AO,	11/23	COOKBIELER (COOK25555)	033	WSM	S	2,400	28.40	n/a	n/a	96.00 4.0
AO,	11/23	COOKBIELER (COOK20958)	033	WSM	S	9,580	28.40	n/a	n/a	383.20 4.0
AO,	11/23	COOKBIELER (COOK20888)	033	WSM	S	1,100	28.40	n/a	n/a	44.00 4.0
AO,	11/23	COOKBIELER (COOK20501)	033	WSM	S	5,400	28.40	n/a	n/a	216.00 4.0
AO,	11/23	COOKBIELER (COOK40003)	033	WSM	S	1,300	28.40	n/a	n/a	52.00 4.0
AO,	11/23	COOKBIELER (COOK40001)	033	WSM	S	4,700	28.40	n/a	n/a	188.00 4.0
AO,	11/23	COOKBIELER (COOK30449)	033	WSM	S	4,100	28.40	n/a	n/a	164.00 4.0
AO,	11/23	COOKBIELER (COOK30011)	033	WSM	S	2,000	28.40	n/a	n/a	80.00 4.0
AO,	11/23	COOKBIELER (COOK20007)	033	WSM	S	9,000	28.40	n/a	n/a	360.00 4.0
AO,	11/23	COOKBIELER (COOK30666)	033	WSM	S	10,200	28.40	n/a	n/a	408.00 4.0
AO,	11/23	COOKBIELER (COOK20281)	033	WSM	S	10,500	28.40	n/a	n/a	420.00 4.0
AO,	11/23	COOKBIELER (COOK20262)	033	WSM	S	16,700	28.40	n/a	n/a	668.00 4.0
AO,	11/23	COOKBIELER (COOK20089)	033	WSM	S	6,900	28.40	n/a	n/a	276.00 4.0
AO,	11/23	COOKBIELER (COOK20033)	033	WSM	S	15,700	28.40	n/a	n/a	628.00 4.0
AO,	11/23	COOKBIELER (COOK10113)	033	WSM	S	1,800	28.40	n/a	n/a	72.00 4.0

TOTAL (AO, CXL, CRT) :

1,031.20

TOTAL (Trade Date):	151,945.90
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TOTAL (AO, CXL, CRT):	1,031.20
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TOTAL (RUN DATE) / NFS:	152,977.10
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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