



Daily Compliance Activity Report

Trade Date: 08/16/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SLS CAPITAL LLC	224	AA	S	250,000	31.99	n/a	n/a	10,000.00	4.0
CAXTON PART	040	AMD	S	150,000	11.31	n/a	n/a	6,000.00	4.0
MAGUIRE	090	AMR	B	1,500	21.85	n/a	n/a	0.00	0.0
LUCHANSKY1	036	AMX	S	150	51.81	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	ARO	B	15,000	33.21	n/a	15-Aug	750.00	5.0
ROTHSCHILD ASSET	040	ARW	B	36,420	38.35	n/a	n/a	1,638.90	4.5
NICHOLAS ADVISORS	034	ASEI	S	10,000	60.56	n/a	n/a	500.00	5.0
MANNING & NAPIER	034	BHI	B	2,060	74.00	n/a	n/a	82.40	4.0
SYSTEMATIC FINANCIAL MGT	035	BID	B	30,000	38.48	n/a	n/a	1,125.00	3.8
THE JAY GOLDMAN	034	BJ	B	20,000	28.31	10-Apr	27-Jul	800.00	4.0
CR INTRINIC INVESTMENT	044	BMV	B	60,000	27.30	n/a	n/a	3,000.00	5.0
WHITE PINE CAPITAL	030	BONT	S	220	17.70	3-Aug	15-Aug	11.00	5.0
PATTEN & PATTEN	067	BP	S	409	62.74	n/a	n/a	20.45	5.0
WHEELER	008	BQI	B	2,997	3.90	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	CAL	B	1,000	28.21	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CCL	B	15,000	42.98	n/a	26-Jan	750.00	5.0
PATTEN & PATTEN	067	CDL	S	191	4.14	n/a	n/a	9.55	5.0
DSG CAPITAL	225	CECE	S	2,000	11.15	n/a	n/a	100.00	5.0
KORMAN	003	CHCG	B	5,000	6.05	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	CHS	SS	110,000	17.18	10-Aug	10-Aug	5,500.00	5.0
NEUBERGER BERMAN	036	CLF	B	22,300	59.07	n/a	n/a	1,115.00	5.0
AMATURO	018	CLF	B	200	58.50	n/a	n/a	0.00	0.0
LUCHANSKY	036	CMG	S	150	94.15	n/a	24-Apr	0.00	0.0
NICHOLAS ADVISORS	034	COGT	S	17,400	13.79	n/a	n/a	870.00	5.0
BRIGHTPOINT CAP	067	COH	B	10,000	41.37	n/a	1-Aug	500.00	5.0
WHEELER	008	CPNLQ	B	10,000	2.18	n/a	29-Jun	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	CPWM	C	227,000	4.89	n/a	n/a	6,810.00	3.0
Õ Glenn Redemann		CRS	B	100130.0000		n/a	n/a	0.00	0.0
Õ Glenn Redemann		CRS	S	100125.0000		n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	CSCO	B	15,000	29.40	n/a	22-Mar	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Glenn Redemann		CSX	??	3	0.1000	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CVX	S	200	80.02	n/a	n/a	10.00	5.0
MAGUIRE	090	DAL	B	1,500	15.83	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	098	DFS	S	17,526	21.19	n/a	n/a	876.30	5.0
PATTEN & PATTEN	067	DFS	S	670	21.19	n/a	n/a	33.50	5.0
BALYASNY ASSET MGMT	044	DKS	B	10,000	51.79	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	DOV	S	300	47.38	n/a	n/a	15.00	5.0
DSG CAPITAL	225	EDA	S	16,000	9.50	n/a	n/a	800.00	5.0
CROWLEY	061	EFT	B	500	15.06	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EQ	S	95	57.15	n/a	n/a	4.75	5.0
LUCHANSKY2	036	EVST	S	300	31.40	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FFIV	B	300	80.0000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FFIV	S	300	75.0000	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	FHN	B	550	31.15	n/a	n/a	27.50	5.0
WAGONHOUND	048	FII	B	28,950	31.33	n/a	10-Aug	1,158.00	4.0
FARALLON CAP MGMT	040	FIS	B	18,000	45.87	n/a	n/a	720.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NICHOLAS ADVISORS	034	FLIR	S	5,800	46.39	n/a	n/a	290.00	5.0
CLOVIS CAPITAL	012	FLR	SS	81,600	112.81	n/a	n/a	4,080.00	5.0
ROARING BLUE LION MGMT	012	FRED	B	20,000	10.45	n/a	10-Aug	800.00	4.0
BENCHMARK	028	FXI	B	2,500	115.89	n/a	n/a	125.00	5.0
PATTEN & PATTEN	067	GD	S	200	74.92	n/a	n/a	10.00	5.0
BUCK CAPITAL MGMT	001	GES	B	5,000	44.92	n/a	n/a	200.00	4.0
GALLEON MGMT LP	033	GEX	B	15,000	38.89	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	30,000	30.12	21-Jun	2-Aug	1,200.00	4.0
BUCK	015	GIS	S	1,000	55.68	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	GRMN	S	9,000	88.90	n/a	n/a	450.00	5.0
LEDDY	035	HSC	B	300	48.00	26-Jul	26-Jul	0.00	0.0
BUCK	015	IBB	S	300	76.36	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	ICE	S	4,000	122.80	n/a	n/a	200.00	5.0
DSG CAPITAL	225	ICON	S	800	19.75	n/a	n/a	40.00	5.0
NICHOLAS ADVISORS	034	ID	S	12,200	16.14	n/a	n/a	610.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY1	036	IEO	SS	500	50.89	n/a	n/a	0.00	0.0
KORMAN	003	IMB	B	400	19.17	n/a	n/a	0.00	0.0
MORGAN LEWIS/MLH	046	INTV	S	50,000	7.57	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	ITT	B	400	60.60	n/a	27-Jul	20.00	5.0
MAGUIRE	090	IVZ	B	2,500	22.00	8-Aug	10-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	15,000	63.39	21-Jun	16-Aug	750.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	10,000	45.63	12-Jul	10-Aug	400.00	4.0
WOOSTER CAPITAL	035	JWN	B	25,000	45.22	12-Jul	10-Aug	1,250.00	5.0
BALYASNY ASSET MGMT	044	KSS	SS	15,000	55.94	14-Jun	27-Jul	750.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	40,000	56.87	14-Jun	27-Jul	1,600.00	4.0
REICH AND TANG	067	LDL	B	30,800	9.23	n/a	n/a	616.00	2.0
OTC ERROR	090	LEH	B	1,000	52.17	12-Jun	16-Aug	0.00	0.0
OTC ERROR	099	LEH	S	1,000	52.49	12-Jun	16-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	SS	30,000	32.00	n/a	6-Aug	1,200.00	4.0
LUCHANSKY1	036	LM	SS	200	83.18	24-Jul	10-Aug	0.00	0.0
TRUST CO/COWEN/CALF.	040	LSI	B	500,000	6.12	n/a	n/a	20,000.00	4.0
Glenn Redemann		LUFK	B	300	60.0000	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ö	Glenn Redemann		LUFK	SS	3	7.1000	n/a	n/a	0.00	0.0
Ö	Glenn Redemann		LUFK	S	300	52.8900	n/a	n/a	0.00	0.0
	GENERAL ELECTIC CO	033	LUV	S	140,000	15.07	n/a	n/a	6,300.03	4.5
	KORMAN	003	LVQLH	S	100	4.20	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	MAA	S	1,000	45.25	n/a	n/a	50.00	5.0
	NEW JERSEY DIV OF INV.	220	MAC	B	77,400	78.41	n/a	n/a	3,096.00	4.0
	PATTEN & PATTEN	067	MBI	B	150	52.63	n/a	n/a	7.50	5.0
Ö	Glenn Redemann		MBT	??	3	0.1000	n/a	n/a	0.00	0.0
	BUCK	015	MCK	S	1,000	56.52	n/a	n/a	0.00	0.0
	BUCK	015	MER	S	200	67.26	18-Jul	16-Aug	0.00	0.0
	GOLDMAN SACHS ASSET MGMT	044	MFA	S	107,000	6.01	n/a	n/a	2,140.00	2.0
	PATTEN & PATTEN	067	MHP	B	1,500	49.60	n/a	n/a	75.00	5.0
	PATTEN & PATTEN	067	MIC	B	300	38.76	n/a	n/a	15.00	5.0
	PATTEN & PATTEN	067	MMC	S	300	25.81	n/a	n/a	15.00	5.0
	PATTEN & PATTEN	067	MOLXA	S	1,464	22.83	n/a	n/a	73.20	5.0
	PATTEN & PATTEN	067	MOLX	S	625	24.05	n/a	n/a	31.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	MRK	B	40,000	48.88	n/a	n/a	2,000.00	5.0
PATTEN & PATTEN	067	MS	B	1,000	56.31	2-Jul	16-Aug	50.00	5.0
ROTHSCHILD ASSET	040	MTD	B	5,570	89.96	n/a	n/a	250.65	4.5
DSG CAPITAL	225	MTRX	S	12,000	18.59	n/a	n/a	600.00	5.0
MAGUIRE	090	MZZ	S	7,500	62.81	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	80,000	30.44	13-Jul	16-Aug	3,200.00	4.0
PATTEN & PATTEN	067	NEM	S	1,650	39.50	n/a	n/a	82.50	5.0
NICHOLAS ADVISORS	034	NICE	S	20,000	32.59	n/a	n/a	1,000.00	5.0
DSG CAPITAL	225	NPO	S	8,000	39.44	n/a	n/a	400.00	5.0
Õ Ted Wheeler		NPO	B	3000	39.6000	n/a	n/a	0.00	0.0
LUCHANSKY1	036	NTRZ	S	500	1.66	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	NWSA	S	276	19.69	n/a	n/a	13.80	5.0
BALYASNY ASSET MGMT	044	NWY	S	20,000	7.21	25-May	10-Aug	800.00	4.0
LUCHANSKY	036	OPY	S	150	44.26	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	OSIS	S	20,000	24.60	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	OSK	B	350	53.45	n/a	n/a	17.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	PBE	S	2,000	17.99	n/a	n/a	100.00	5.0
LEDDY	035	PCH	S	1,000	43.45	27-Jul	27-Jul	0.00	0.0
Õ Glenn Redemann		PCLN	??	4	0.0300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PCLN	??	4	0.1200	n/a	n/a	0.00	0.0
CLOVIS CAPITAL	012	PCR	SS	50,000	47.52	n/a	n/a	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	044	PETM	B	50,000	30.45	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	PHO	B	2,300	19.55	n/a	n/a	115.00	5.0
BEAR STEARNS ASSET MGMT.	033	PIR	C	100,000	6.00	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	067	PNC	S	8	68.23	n/a	n/a	0.40	5.0
SAC TRADING HOWARD	038	PTRY	S	10,000	32.93	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	PVH	B	3,700	47.66	13-Aug	13-Aug	185.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	5,000	47.00	13-Aug	13-Aug	200.00	4.0
PATTEN & PATTEN	067	PWR	B	6,300	24.72	n/a	n/a	315.00	5.0
KORMAN	003	QIAKD	S	200	2.15	n/a	n/a	0.00	0.0
AMATURO	018	RAD	B	1,000	4.75	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	RDSA	S	300	71.08	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARON ASSET MGMT*	012	RL	B	25,000	77.02	9-Aug	9-Aug	1,250.00	5.0
CUMBERLAND	038	RRGB	S	20,000	38.06	n/a	n/a	800.00	4.0
Ö Glenn Redemann		SCHN	??	3	0.0500	n/a	n/a	0.00	0.0
MKT MAKER	099	SCHW	B	300	18.08	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SFL	S	59,900	23.71	n/a	n/a	2,995.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	40,000	18.05	n/a	13-Mar	1,600.00	4.0
PATTEN & PATTEN	067	SLB	S	200	84.99	n/a	n/a	10.00	5.0
LUCHANSKY1	036	SLB	S	100	82.26	n/a	n/a	0.00	0.0
CASTLE ARK	031	SWN	B	86,030	36.54	n/a	3-Aug	5,161.80	6.0
PATTEN & PATTEN	067	SWN	B	3,600	37.26	n/a	3-Aug	180.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TBL	B	52,200	19.91	n/a	13-Mar	1,957.50	3.8
MAGUIRE	090	TIN	B	1,000	50.60	25-Jul	26-Jul	0.00	0.0
ASCEND PARTNERS	033	TJX	S	36,000	29.06	13-Jul	15-Aug	1,800.00	5.0
APEX CAPITAL MGMT.	091	TLB	SS	69,300	20.00	n/a	10-Aug	3,465.00	5.0
PRINCIPLE CAPITAL	040	TPX	B	100,800	27.20	n/a	n/a	3,024.00	3.0
LUCHANSKY	036	TSU	S	300	27.71	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TWB	B	15,000	37.52	2-Jul	16-Aug	600.00	4.0
ROTHSCHILD ASSET	040	TXN	B	36,930	32.44	n/a	n/a	1,661.85	4.5
Glenn Redemann		TYC	B	3	0.8600	6-Aug	7-Aug	0.00	0.0
Glenn Redemann		TYC	B	3	0.9600	6-Aug	7-Aug	0.00	0.0
MAGUIRE	090	UAUA	B	1,500	38.38	n/a	n/a	0.00	0.0
TRIBECA/DOUG	040	UNM	SS	15,000	23.91	n/a	n/a	600.00	4.0
LUCHANSKY	036	UNTD	S	500	12.62	n/a	n/a	0.00	0.0
MKT MAKER	099	URBN	B	1,000	21.16	31-Jul	10-Aug	0.00	0.0
ELM RIDGE ADVISORS	044	VC	B	250,000	5.45	n/a	n/a	7,500.00	3.0
ELM RIDGE ADVISORS	044	VMC	C	23,300	86.08	n/a	n/a	932.00	4.0
STRAUSS ASSET MGMT	040	VOCS	SS	15,000	24.87	n/a	n/a	750.00	5.0
MERRILL ASSET	032	VQ	B	10,000	15.67	n/a	n/a	450.00	4.5
FARALLON CAP MGMT	040	WLP	S	80,000	77.88	n/a	n/a	3,200.00	4.0
PATTEN & PATTEN	067	WWY	S	150	58.98	n/a	n/a	7.50	5.0
MAGUIRE	090	WY	B	1,000	60.34	13-Jul	6-Aug	0.00	0.0
PATTEN & PATTEN	067	XOM	S	200	81.24	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ZQK	S	30,000	13.14	9-Mar	27-Jun	1,200.00	4.0
COUGAR TRADING	044	ZQK	S	10,000	12.91	9-Mar	27-Jun	500.00	5.0
TOTAL (Trade Date) :								152,620.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/16	THE JAY GOLDMAN (GOLDGSBULK)	034	BJ	B	20,000	28.31	10-Apr	27-Jul	800.00 4.0
AO,	08/15	CAVU CAP ADV (CAVUUBS)	028	COH	B	750	43.75	n/a	1-Aug	37.50 5.0
AO,CXL	08/15	CAVU CAP ADV (CAVU)	028	COH	B	15,000	43.75	n/a	1-Aug	750.00 5.0
AO,CRT	08/15	CAVU CAP ADV (CAVU)	028	COH	B	14,250	43.75	n/a	1-Aug	712.50 5.0
AO,	08/15	DAVIDSON KEMPNER ADVISOR (DAVIGS)	217	F	SS	52,305	8.18	n/a	9-Aug	2615.25 5.0
CRT	08/16	CLOVIS CAPITAL (CLOVGOLDMA)	012	FLR	SS	81,600	112.81	n/a	n/a	4080.00 5.0
AO,CRT	08/15	CROWLEY (CROWLEY)	061	ICBMX	S	600	12.85	n/a	n/a	0.00 0.0
AO,CXL	08/15	CROWLEY (CROWLEY)	000	ICBMX	S	600	12.85	n/a	n/a	0.00 0.0
AO,	08/15	LISTED ERR (LISTED ERR)	099	JWN	S	400	46.62	12-Jul	10-Aug	0.00 0.0
AO,	08/15	CAVU CAP ADV (CAVUUBS)	028	JWN	S	100	46.62	12-Jul	10-Aug	5.00 5.0
AO,CXL	08/15	CAVU CAP ADV (CAVU)	028	JWN	S	2,400	46.62	12-Jul	10-Aug	120.00 5.0
AO,CRT	08/15	CAVU CAP ADV (CAVU)	028	JWN	S	1,900	46.62	12-Jul	10-Aug	95.00 5.0
CRT	08/16	OTC ERROR (OTC ERROR)	090	LEH	B	1,000	52.17	12-Jun	16-Aug	0.00 0.0
AO,CRT	08/15	WHEELER (WHEELER)	008	NLCLE	S	100	2.00	n/a	n/a	0.00 0.0
AO,CXL	08/15	WHEELER (WHEELER)	008	NLCLE	S	100	2.00	n/a	n/a	0.00 0.0
AO,CXL	08/15	COUGAR TRADING (COUGPB MS)	044	TJX	S	25,000	28.48	13-Jul	15-Aug	1250.00 5.0
AO,CRT	08/15	COUGAR TRADING (COUGPB MS)	044	TJX	S	30,000	28.48	13-Jul	15-Aug	1500.00 5.0
CRT	08/16	APEX CAPITAL MGMT. (APEXMORGAN)	091	TLB	SS	69,300	20.00	n/a	10-Aug	3465.00 5.0
TOTAL (AO, CXL, CRT) :										11,190.25

TOTAL (Trade Date):	152,620.83
TOTAL (AO, CXL, CRT):	11,190.25

TOTAL (RUN DATE) / NFS:	163,811.08
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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