



Daily Compliance Activity Report

Trade Date: 09/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| Õ Glenn Redemann | | ACLI | B | 3 | 0.7400 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ACLI | B | 3 | 1.2300 | n/a | n/a | 0.00 | 0.0 |
| WOOSTER CAPITAL | 035 | AEO | B | 50,000 | 25.46 | 10-Jul | 7-Sep | 2,500.00 | 5.0 |
| IMPALA ASSET MMT | 012 | AMR | B | 266,000 | 23.96 | n/a | n/a | 7,980.00 | 3.0 |
| TRIVIUM CAP MGMT | 028 | ANN | B | 1,500 | 31.47 | 6-Aug | 7-Sep | 60.00 | 4.0 |
| IMPALA ASSET MMT | 012 | APA | B | 100,000 | 82.94 | n/a | 4-Sep | 3,000.00 | 3.0 |
| HIGHBRIDGE CAPITAL | 038 | APC | B | 3,000 | 50.67 | 22-Jun | 4-Sep | 150.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | ARW | B | 11,200 | 40.75 | n/a | n/a | 504.00 | 4.5 |
| Õ Glenn Redemann | | BDC | B | 2 | 0.3700 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | BDC | B | 2 | 0.4200 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | BDC | SS | 2 | 1.2400 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | BDC | SS | 2 | 1.5500 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | BDK | B | 2 | 1.0800 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | BDK | B | 2 | 1.1300 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | BDK | SS | 2 | 1.9700 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | BDK | SS | 2 | 2.3400 | n/a | n/a | 0.00 | 0.0 |
| FIRST INV MGMT CORP | 036 | BEAS | B | 15,000 | 13.27 | n/a | 3-Apr | 750.00 | 5.0 |
| Õ Glenn Redemann | | BG | B | 3 | 0.8000 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|-----------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| Õ | Glenn Redemann | | BG | B | 3 | 1.3800 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | BG | SS | 3 | 1.6100 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | BG | SS | 3 | 2.9700 | n/a | n/a | 0.00 | 0.0 |
| | BRIGHTPOINT CAP | 067 | BIG | SS | 300 | 30.00 | n/a | 7-Sep | 15.00 | 5.0 |
| | ENTRUST CAPITAL | 040 | BIG | SS | 135,900 | 29.68 | n/a | 7-Sep | 6,795.00 | 5.0 |
| | MKT MAKER | 099 | BONT | B | 500 | 24.10 | 3-Aug | 7-Sep | 0.00 | 0.0 |
| | MKT MAKER | 099 | BONT | S | 500 | 24.24 | 3-Aug | 7-Sep | 0.00 | 0.0 |
| | CHARTER OAK | 033 | CBE | SS | 13,000 | 50.15 | 19-Jul | 19-Jul | 650.00 | 5.0 |
| Õ | Glenn Redemann | | CBST | B | 3 | 0.1400 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | CBST | B | 3 | 0.1700 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | CBST | SS | 3 | 0.7300 | n/a | n/a | 0.00 | 0.0 |
| Õ | Glenn Redemann | | CBST | SS | 3 | 0.9400 | n/a | n/a | 0.00 | 0.0 |
| | PROVIDENT INV COUNSEL | 048 | CEPH | S | 74,500 | 72.75 | 1-Aug | 13-Sep | 3,725.00 | 5.0 |
| | MORRISON & FRASIER | 040 | CERS | S | 10,800 | 7.40 | n/a | n/a | 540.00 | 5.0 |
| | KORMAN | 003 | CEUC | S | 6,000 | 4.82 | n/a | n/a | 0.00 | 0.0 |
| | CASTANEDA | 001 | CHCG | B | 200 | 4.22 | n/a | n/a | 0.00 | 0.0 |
| | LEDDY | 035 | CHCG | B | 3,300 | 3.97 | n/a | n/a | 0.00 | 0.0 |
| | HART | 056 | CHCG | B | 250 | 4.14 | n/a | n/a | 0.00 | 0.0 |
| | SCOPUS FUND | 039 | CHRW | B | 7,800 | 50.98 | n/a | n/a | 390.00 | 5.0 |
| | IMPALA ASSET MMT | 012 | CNQ | SS | 131,659 | 75.47 | n/a | n/a | 3,949.77 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|--------------|---------------|------------|---------------|---------------|------------|
| BUCK CAPITAL MGMT | 001 | COH | B | 5,000 | 47.96 | n/a | 10-Sep | 200.00 | 4.0 |
| FRIESS MGMT | 042 | COH | B | 192,400 | 47.63 | n/a | 10-Sep | 8,658.00 | 4.5 |
| WEISS PECK | 040 | COH | SS | 8,800 | 46.94 | n/a | 10-Sep | 440.00 | 5.0 |
| KNOTT PARTNERS | 044 | CROX | SS | 15,000 | 57.83 | n/a | n/a | 750.00 | 5.0 |
| WEISS PECK | 040 | DHI | S | 93,800 | 13.70 | n/a | n/a | 4,690.00 | 5.0 |
| MERRILL ASSET | 032 | DRS | S | 10,400 | 52.50 | n/a | n/a | 468.00 | 4.5 |
| KNOTT PARTNERS | 044 | ELN | SS | 75,000 | 18.25 | n/a | n/a | 3,750.00 | 5.0 |
| CHARTER OAK | 033 | EMR | SS | 14,000 | 48.65 | n/a | n/a | 700.00 | 5.0 |
| Õ Glenn Redemann | | ESRX | B | 3 | 0.7200 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ESRX | B | 3 | 1.2600 | n/a | n/a | 0.00 | 0.0 |
| IMPALA ASSET MMT | 012 | FLR | B | 104,200 | 133.07 | n/a | n/a | 3,126.00 | 3.0 |
| KORMAN | 003 | FSIN | S | 1,644 | 11.06 | n/a | n/a | 0.00 | 0.0 |
| PRINCIPLE CAPITAL | 040 | GCO | B | 35,000 | 44.24 | n/a | 10-Jan | 1,400.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | GNTX | SS | 15,000 | 20.03 | 24-Jul | 31-Aug | 750.00 | 5.0 |
| IMPALA ASSET MMT | 012 | HERO | SS | 350,000 | 27.08 | n/a | n/a | 10,500.00 | 3.0 |
| KAICHER | 064 | HOV | B | 3,000 | 11.11 | n/a | n/a | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | IHP | B | 15,000 | 65.11 | n/a | n/a | 750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|---------------|---------------|--------------|---------------|------------|
| GOLDMAN SACHS ASSET MGMT | 044 | INTU | B | 133,551 | 28.52 | n/a | n/a | 2,003.27 | 1.5 |
| HIGHBRIDGE CAPITAL | 038 | IP | SS | 5,000 | 34.92 | 4-May | 20-Aug | 250.00 | 5.0 |
| IMPALA ASSET MMT | 012 | JBHT | S | 125,000 | 27.45 | n/a | n/a | 3,750.00 | 3.0 |
| BACKUS | 005 | JCP | B | 2,000 | 64.27 | 21-Jun | 7-Sep | 0.00 | 0.0 |
| PHILADELPHIA FINANCIAL | 033 | JNC | SS | 95,769 | 62.26 | 20-Jun | 22-Aug | 4,788.45 | 5.0 |
| CUMBERLAND | 038 | JWN | SS | 15,000 | 48.67 | 12-Jul | 7-Sep | 600.00 | 4.0 |
| J.W. SELIGMAN | 032 | KSS | B | 113,100 | 56.77 | 14-Jun | 27-Jul | 4,524.00 | 4.0 |
| HEALY CIRCLE | 044 | LEH | B | 30,000 | 58.51 | 12-Jun | 4-Sep | 1,500.00 | 5.0 |
| MERRILL ASSET | 032 | LEN | B | 22,700 | 25.47 | n/a | n/a | 1,021.50 | 4.5 |
| MS PRINCIPAL STRATEGIES | 040 | MAR | SS | 32,300 | 43.53 | n/a | n/a | 1,615.00 | 5.0 |
| FIRST INV MGMT CORP | 036 | MCK | B | 10,000 | 54.02 | n/a | n/a | 500.00 | 5.0 |
| Õ Neil Stratton | | MIR | S | 3 | 1.2500 | n/a | n/a | 0.00 | 0.0 |
| J.W. SELIGMAN | 032 | MO | S | 118,800 | 66.95 | n/a | n/a | 4,752.00 | 4.0 |
| WASHINGTON ASSET | 048 | MTZ | S | 10,700 | 12.65 | n/a | n/a | 535.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | MW | SS | 20,000 | 47.62 | n/a | n/a | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|----------------|---------------|------------|------------|-----------------|------------|
| TRIVIUM CAP MGMT | 028 | M | B | 2,400 | 28.74 | 13-Jul | 7-Sep | 96.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | NTRS | B | 25,000 | 62.09 | n/a | 16-Aug | 1,250.00 | 5.0 |
| SCOPUS FUND | 039 | OI | S | 5,000 | 39.98 | n/a | n/a | 250.00 | 5.0 |
| COUGAR TRADING | 044 | PLCE | B | 10,000 | 25.62 | 12-Apr | 7-Sep | 500.00 | 5.0 |
| KNOTT PARTNERS | 044 | PRX | B | 45,900 | 19.89 | 21-May | 12-Sep | 1,836.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | PSS | B | 175,900 | 21.31 | n/a | n/a | 7,036.00 | 4.0 |
| COUGAR TRADING | 044 | PSUN | B | 20,000 | 15.71 | n/a | 7-Sep | 1,000.00 | 5.0 |
| HOTCHKIS & WILEY | 035 | PSUN | B | 100,000 | 15.70 | n/a | 7-Sep | 5,000.00 | 5.0 |
| HART | 056 | RAD | B | 250 | 4.89 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET | 032 | RGC | B | 7,000 | 21.28 | n/a | n/a | 315.00 | 4.5 |
| COUGAR TRADING | 044 | RL | B | 5,000 | 78.37 | 9-Aug | 29-Aug | 250.00 | 5.0 |
| CUMBERLAND | 038 | RRGB | B | 15,000 | 41.60 | n/a | n/a | 600.00 | 4.0 |
| Õ Glenn Redemann | | RSH | B | 3 | 0.8700 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | RSH | B | 3 | 0.9600 | n/a | n/a | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | SAPE | B | 37,300 | 6.23 | n/a | n/a | 1,492.00 | 4.0 |
| MKT MAKER | 030 | SAPE | B | 76 | 6.23 | n/a | n/a | 3.04 | 4.0 |
| BARR | 096 | SKF | S | 300 | 84.19 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------|------|--------|-----|---------|-------|--------|------------|--------------|-----|
| BACKUS | 005 | SNEN | S | 10,000 | 2.85 | n/a | n/a | 0.00 | 0.0 |
| FIRST NEW YORK LEDDY | 035 | SPLS | B | 15,000 | 22.22 | n/a | 27-Jul | 750.00 | 5.0 |
| ARIENCE CAPITAL | 036 | STX | B | 27,475 | 24.39 | n/a | n/a | 1,373.75 | 5.0 |
| CAXTON PART | 040 | TSM | B | 250,000 | 9.98 | n/a | n/a | 10,000.00 | 4.0 |
| GARX | 301 | T | B | 64,700 | 40.49 | 25-Jul | 6-Sep | 2,588.00 | 4.0 |
| CHILTON CAPITAL MGMT. | 036 | UBA | S | 20,000 | 16.32 | n/a | n/a | 800.00 | 4.0 |
| CHARTER OAK | 033 | WWY | B | 34,042 | 62.07 | n/a | n/a | 1,702.10 | 5.0 |
| XYLEM GLOBAL | 091 | WY | S | 20,000 | 69.47 | 13-Jul | 20-Aug | 1,000.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | 131,671.88 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|------------------------------|------|--------|-----|--------|--------|--------|----------|-------------|
| AO, | 09/13 | LISTED ERR (LISTED ERR) | 099 | F | B | 25,000 | 7.71 | n/a | 13-Sep | 0.00 0.0 |
| AO, | 09/13 | LISTED ERR (LISTED ERR) | 099 | F | S | 25,000 | 7.63 | n/a | 13-Sep | 0.00 0.0 |
| AO, | 09/13 | IMPALA ASSET MMT (IMPACITI) | 012 | PKX | SS | 89,381 | 163.86 | n/a | n/a | 2681.43 3.0 |
| AO,CXL | 09/12 | THE JAY GOLDMAN (GOLDGSBULK) | 034 | VZ | SS | 35,000 | 42.13 | 31-Jul | 6-Sep | 1400.00 4.0 |
| AO,CRT | 09/12 | THE JAY GOLDMAN (GOLDGSBULK) | 034 | VZ | SS | 35,000 | 42.13 | 31-Jul | 6-Sep | 1750.00 5.0 |

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| TOTAL (AO, CXL, CRT) : | 3,031.43 |
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| TOTAL (Trade Date) : | 131,671.88 |
| TOTAL (AO, CXL, CRT) : | 3,031.43 |

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| TOTAL (RUN DATE) / NFS : | 134,703.31 |
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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