



Daily Compliance Activity Report

Trade Date: 11/16/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PALMYRA CAPITAL	048	AIG	SS	130,000	56.68	n/a	n/a	6,500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	74.98	2-Oct	12-Nov	400.00	4.0
COUGAR TRADING	044	ANF	B	5,000	75.10	2-Oct	12-Nov	250.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	75.63	2-Oct	12-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	25.95	9-Nov	12-Nov	1,600.00	4.0
GAULT	063	AXE	B	500	65.53	9-Oct	23-Oct	0.00	0.0
MERRILL LYNCH STRATEGICI	034	BBG	S	9,900	41.40	n/a	n/a	495.00	5.0
RAMIUS CAP	040	BIG	SS	61,200	19.83	26-Oct	9-Nov	3,060.00	5.0
SSI INVESTORS	048	BIIB	B	17,200	69.91	n/a	n/a	688.00	4.0
MERRILL LYNCH STRATEGICI	034	BJS	B	40,000	25.17	n/a	n/a	1,600.00	4.0
MERRILL LYNCH STRATEGICI	034	BJS	SS	50,000	25.40	n/a	n/a	2,000.00	4.0
SENTINAL CAPITAL	067	BRCM	S	17,400	28.44	n/a	n/a	870.00	5.0
BUCK CAPITAL MGMT	001	CAB	B	20,000	16.99	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	CAB	S	20,000	16.51	n/a	n/a	800.00	4.0
STRAUSS ASSET MGMT	040	CADA	B	300	41.06	n/a	n/a	15.00	5.0
BUCK	015	CAH	B	500	58.19	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	CNQ	B	10,000	72.57	n/a	n/a	600.00	6.0
BUCK CAPITAL MGMT	001	COH	S	40,000	33.85	24-Oct	24-Oct	1,600.00	4.0
COUGAR TRADING	044	COH	S	5,800	34.51	24-Oct	24-Oct	290.00	5.0
THIRD COAST CAPITAL	035	COH	S	25,000	33.71	24-Oct	24-Oct	1,250.00	5.0
LISTED ERR	099	COH	B	240	33.70	24-Oct	24-Oct	0.00	0.0
LISTED ERR	099	COH	S	240	33.71	24-Oct	24-Oct	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	CPLP	S	3,000	22.88	n/a	n/a	120.00	4.0
STRATTON	N21	CSR	B	100	19.00	n/a	n/a	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	CVO	S	25,000	19.92	n/a	n/a	1,000.00	4.0
MERRILL LYNCH STRATEGICI	034	CY	B	33,000	32.75	n/a	n/a	1,320.00	4.0
MERRILL LYNCH STRATEGICI	034	CY	S	53,800	31.78	n/a	n/a	2,152.00	4.0
WHEELER	008	C	S	5,000	33.83	5-Nov	8-Nov	0.00	0.0
MERRILL LYNCH STRATEGICI	034	DO	S	15,000	109.25	n/a	n/a	900.00	6.0
JP MORGAN VENTURES	046	DTV	B	50,000	23.49	15-Nov	15-Nov	2,500.00	5.0
MERRILL LYNCH STRATEGICI	034	DVN	B	20,000	85.10	22-Oct	15-Nov	1,200.00	6.0
PRINCIPLE CAPITAL	040	EL	B	50,000	44.72	25-Oct	25-Oct	2,000.00	4.0
MERRILL LYNCH STRATEGICI	034	EQR	B	20,000	37.50	n/a	n/a	800.00	4.0
MERRILL LYNCH STRATEGICI	034	FCH	B	44,000	17.71	n/a	n/a	1,760.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	FDO	B	20,000	22.23	5-Nov	9-Nov	1,000.00	5.0
MERRILL LYNCH STRATEGICI	034	FTO	SS	20,000	44.88	n/a	n/a	1,000.00	5.0
BUCK	015	GENZ	B	300	72.88	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	20,000	43.35	n/a	n/a	800.00	4.0
MERRILL LYNCH STRATEGICI	034	GGP	B	20,000	49.04	n/a	n/a	1,000.00	5.0
DELTEC ASSET MGMT.	040	GLW	S	15,000	23.32	n/a	24-Oct	750.00	5.0
SINCLAIR	031	GMMF	S	100	2.45	n/a	n/a	0.00	0.0
LEDDY	035	GM	C	1,200	29.70	n/a	8-Nov	0.00	0.0
MATRIX ASSET ADV.	036	GPS	S	15,000	20.03	n/a	12-Nov	600.00	4.0
CATAPULT	040	HBAN	SS	7,500	14.97	n/a	n/a	375.00	5.0
MAZAMA CAPITAL MGMT.	035	HF	S	281,300	5.76	n/a	n/a	11,252.00	4.0
MERRILL LYNCH STRATEGICI	034	HIW	B	20,000	32.74	n/a	n/a	800.00	4.0
SARAS CAPITAL	038	HRH	S	54,358	41.74	n/a	n/a	2,717.90	5.0
LOCUS WOOD CAPITAL MGMT	044	ICF	SS	5,000	84.87	n/a	n/a	200.00	4.0
MERRILL LYNCH STRATEGICI	034	IGT	S	28,000	41.71	n/a	2-Nov	1,400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAYPOINT/PRIMEMOVERS	041	IVZ	B	14,000	26.64	8-Oct	16-Nov	700.00	5.0
BUCK CAPITAL MGMT	001	JBX	B	40,000	29.77	n/a	24-Apr	1,600.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	150,000	38.87	24-Oct	24-Oct	6,000.00	4.0
COUGAR TRADING	044	JCG	B	5,000	38.47	24-Oct	24-Oct	250.00	5.0
UBS OCONNOR	031	JCP	B	50,000	43.14	15-Nov	16-Nov	1,500.00	3.0
BUCK	015	KBH	C	1,000	25.07	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	KIM	S	34,000	37.90	n/a	n/a	1,360.00	4.0
BUCK	015	KSSWK	B	5	6.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	B	80,000	48.72	9-Nov	16-Nov	3,200.00	4.0
BUCK CAPITAL MGMT	001	KWD	B	10,000	18.29	n/a	n/a	400.00	4.0
SINCLAIR	031	LESAM	B	10	4.50	n/a	n/a	0.00	0.0
SECURITY MGMT	046	LPX	B	98,600	15.54	30-Oct	30-Oct	2,958.00	3.0
BUCK CAPITAL MGMT	001	LTM	S	10,000	53.57	n/a	n/a	400.00	4.0
TROUBH PART	067	LVLTT	S	150,000	3.10	24-Oct	1-Nov	7,500.00	5.0
MERRILL LYNCH STRATEGICI	034	LZ	SS	10,000	62.51	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	MAR	B	24,000	35.44	n/a	n/a	960.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	MAR	SS	24,000	35.46	n/a	n/a	960.00	4.0
CAPITAL GROWTH MGMT.	241	MDR	S	200,000	50.32	n/a	n/a	10,000.00	5.0
BUCK	015	MHP	SS	700	46.57	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	MON	S	20,000	94.40	n/a	9-Nov	1,200.00	6.0
MERRILL LYNCH STRATEGICI	034	MRO	S	25,400	57.49	n/a	n/a	1,270.00	5.0
BUCK CAPITAL MGMT	001	MW	SS	40,000	41.04	n/a	n/a	1,600.00	4.0
LEDDY	035	MZZ	S	400	56.89	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	10,000	28.31	9-Nov	15-Nov	400.00	4.0
UBS OCONNOR	031	M	B	50,000	27.97	9-Nov	15-Nov	1,500.00	3.0
MERRILL LYNCH STRATEGICI	034	NBR	B	60,000	27.69	n/a	n/a	2,400.00	4.0
MERRILL LYNCH STRATEGICI	034	NCX	B	20,000	33.24	n/a	n/a	800.00	4.0
MERRILL LYNCH STRATEGICI	034	NE	B	30,000	50.59	n/a	n/a	1,500.00	5.0
MAZAMA CAPITAL MGMT.	035	NPD	B	5,900	19.54	n/a	n/a	236.00	4.0
MERRILL LYNCH STRATEGICI	034	NTG	B	10,000	49.28	n/a	n/a	500.00	5.0
MERRILL LYNCH STRATEGICI	034	O	B	10,000	29.49	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	PAYX	B	74,000	39.83	n/a	n/a	3,700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	PKG	SS	20,000	30.33	18-Oct	8-Nov	800.00	4.0
TRIVIUM CAP MGMT	251	PLXS	SS	25,000	28.63	n/a	n/a	1,000.00	4.0
MERRILL LYNCH STRATEGICI	034	PTV	B	30,000	24.69	n/a	n/a	1,200.00	4.0
BUCK	015	QQQQ	B	200	49.92	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	RDSA	B	35,000	80.19	n/a	n/a	2,100.00	6.0
MERRILL LYNCH STRATEGICI	034	RIG	S	15,000	118.01	n/a	n/a	900.00	6.0
PILOT ADV	038	RRD	SS	10,000	37.94	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	RSH	B	20,000	18.62	n/a	n/a	1,000.00	5.0
WHEELER	008	RUSHA	B	4,500	15.40	n/a	n/a	0.00	0.0
FORD FDN.	032	SCHW	B	75,000	23.30	n/a	n/a	3,750.00	5.0
MERRILL LYNCH STRATEGICI	034	SEE	S	30,000	23.40	n/a	n/a	1,200.00	4.0
MERRILL LYNCH STRATEGICI	034	SPY	B	25,000	144.85	n/a	n/a	1,500.00	6.0
MERRILL LYNCH STRATEGICI	034	SUN	SS	20,000	71.06	n/a	n/a	1,200.00	6.0
TRIVIUM CAP MGMT	251	SY	C	50,000	25.26	n/a	n/a	2,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	TEL	B	5,700	34.75	n/a	n/a	228.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TGT	B	50,000	53.95	n/a	27-Jul	2,000.00	4.0
BALYASNY ASSET MGMT	044	TLB	B	30,000	13.90	n/a	12-Nov	1,500.00	5.0
MATTHES CAPITAL MGMT	033	TWB	B	96,000	30.05	2-Oct	16-Nov	3,840.00	4.0
RAMIUS CAP	040	TWC	B	170,000	25.33	26-Oct	8-Nov	8,500.00	5.0
MERRILL LYNCH STRATEGICI	034	UDR	S	40,000	21.84	n/a	n/a	1,600.00	4.0
COUGAR TRADING	044	URBN	SS	10,000	24.48	9-Nov	12-Nov	500.00	5.0
MORTAR ROCK	033	VC	B	40,000	4.37	n/a	1-Nov	1,200.00	3.0
TRELLUS PARTNERS LP	028	VC	B	50,000	4.60	n/a	1-Nov	1,500.00	3.0
HART	056	VC	B	250	4.27	n/a	1-Nov	0.00	0.0
MILLENIUM PARTNERS	028	VZ	SS	20,000	43.62	21-Sep	15-Nov	1,000.00	5.0
MENCKE	055	WCG	B	30	33.94	n/a	n/a	0.00	0.0
BUCK	015	WFMI	SS	1,000	44.91	n/a	n/a	0.00	0.0
BUCK	015	WLP	B	300	81.24	n/a	n/a	0.00	0.0
UBS OCONNOR	031	WMT	S	100,000	45.92	n/a	27-Jul	3,000.00	3.0
MERRILL LYNCH STRATEGICI	034	WRI	B	24,800	36.97	n/a	n/a	992.00	4.0
SARAS CAPITAL	038	WSH	B	20,000	39.02	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THIRD COAST CAPITAL	035	WSM	SS	20,000	27.03	n/a	n/a	1,000.00	5.0
BUCK	015	WSM	C	800	27.09	n/a	n/a	0.00	0.0
GENERAL ELECTIC CO	033	WU	B	19,495	22.28	n/a	n/a	389.90	2.0
HIGHBRIDGE CAPITAL	038	WY	SS	79,000	71.79	1-Nov	1-Nov	3,950.00	5.0
HIGHBRIDGE CAPITAL	038	WY	S	3,000	71.91	1-Nov	1-Nov	150.00	5.0
BUCK	015	YRCW	C	1,000	18.15	n/a	n/a	0.00	0.0
BUCK	015	YRCW	SS	1,000	18.97	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								162,258.80	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/15	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	CAL	B	82,600	31.75	n/a	n/a	4130.00 5.0
AO,	11/14	BUCK CAPITAL MGMT (BUCKGIL)	001	COH	S	200	35.14	24-Oct	24-Oct	8.00 4.0
AO,CXL	11/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	S	250,000	35.14	24-Oct	24-Oct	10000.00 4.0
AO,CRT	11/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	S	249,800	35.14	24-Oct	24-Oct	9992.00 4.0
AO,	11/15	COUGAR TRADING (COUGPB MS)	044	KSS	S	10,000	47.44	9-Nov	16-Nov	500.00 5.0
AO,	11/15	HOLLIS CAPITAL (HOLLBS)	033	SWN	B	3,000	52.62	15-Nov	15-Nov	150.00 5.0
AO,	11/15	BUCK CAPITAL MGMT (BUCK)	015	TIN	B	800	50.00	9-Nov	9-Nov	0.00 0.0
TOTAL (AO, CXL, CRT) :										4,780.00
TOTAL (Trade Date) :										162,258.80
TOTAL (AO, CXL, CRT) :										4,780.00
TOTAL (RUN DATE) / NFS :										167,038.80

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