



# Daily Compliance Activity Report

Trade Date: 09/25/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ABG	B	20,000	19.39	18-Jun	27-Jul	1,000.00	5.0
AMBER CAPITAL	046	AKS	S	75,000	42.58	n/a	n/a	3,000.00	4.0
LISTED ERR	099	AKS	B	25,000	42.67	n/a	n/a	0.00	0.0
LISTED ERR	099	AKS	S	25,000	42.54	n/a	n/a	0.00	0.0
CATTANI	041	AMX	S	100	63.88	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ANF	B	10,000	76.49	23-Aug	7-Sep	500.00	5.0
HAYGROUND COE	039	ANF	B	50,000	77.43	23-Aug	7-Sep	2,500.00	5.0
THE JAY GOLDMAN	034	ANF	B	20,000	76.60	23-Aug	7-Sep	800.00	4.0
WAGONHOUND	048	ANN	SS	12,350	31.76	6-Aug	7-Sep	494.00	4.0
MERRILL ASSET	032	AOI	S	77,500	6.94	n/a	n/a	3,487.50	4.5
BALYASNY ASSET MGMT	044	AXL	B	4,900	23.19	n/a	n/a	245.00	5.0
CHART WELL ADV	243	AXL	C	2,000	23.42	n/a	n/a	60.00	3.0
CHART WELL ADV	243	AXL	SS	2,000	24.02	n/a	n/a	60.00	3.0
STARK ASSET MGMT	031	AXL	B	3,400	23.09	n/a	n/a	136.00	4.0
DIAMONDBACK CAP MGMT	232	BAC	S	25,000	50.05	20-Apr	20-Sep	1,250.00	5.0
FORD FDN.	032	BA	S	55,000	103.82	n/a	n/a	2,750.00	5.0
J L F ASSET MGMT	039	BBBY	B	49,800	33.29	n/a	n/a	1,992.00	4.0
SSI INVESTORS	048	BEN	S	30,125	126.91	25-Sep	25-Sep	1,205.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS OCONNOR	031	BEN	SS	25,000	126.38	25-Sep	25-Sep	750.00	3.0
VISIUM/BALY HOWARD	038	BMV	B	50,000	28.51	n/a	n/a	2,500.00	5.0
LEDDY	035	BONT	S	1,900	23.75	3-Aug	7-Sep	0.00	0.0
LEDDY	035	CHCG	B	4,000	4.14	n/a	n/a	0.00	0.0
VARDON PARTNERS	035	CHS	SS	25,000	14.03	30-Aug	7-Sep	1,250.00	5.0
WAGONHOUND	048	CHS	SS	17,660	14.60	30-Aug	7-Sep	706.40	4.0
RHO CAPITAL MGMT	041	CHTP	B	100	6.05	n/a	n/a	5.00	5.0
MKT MAKER	099	CHUX	B	59	14.84	n/a	n/a	0.00	0.0
MKT MAKER	099	DBRN	S	9	17.28	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	SS	10,000	20.97	n/a	n/a	400.00	4.0
DIAMONDBACK CAP MGMT	232	DFS	SS	25,000	21.50	n/a	n/a	1,250.00	5.0
GOLDMAN SACHS ASSET MGMT	044	DFS	B	62,976	21.65	n/a	n/a	1,259.52	2.0
REINHART & MAHONEY	031	DNR	S	13,200	44.26	n/a	n/a	660.00	5.0
NEUBERGER BERMAN	036	DV	B	45,300	36.35	n/a	n/a	2,265.00	5.0
SANDLER O'NEILL ASSET	031	EV	B	3,300	38.98	23-May	25-Sep	165.00	5.0
BALYASNY ASSET MGMT	044	FDO	B	20,000	26.10	9-Aug	21-Sep	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	F	S	25,000	8.32	n/a	13-Sep	500.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STARK ASSET MGMT	031	F	B	75,000	8.32	n/a	13-Sep	3,000.00	4.0
TPG-AXON	040	GE	B	1,025,000	41.23	n/a	n/a	51,250.00	5.0
STARK ASSET MGMT	031	GM	B	10,000	34.65	4-May	13-Sep	400.00	4.0
REINHART & MAHONEY	031	HOLX	B	15,710	58.19	n/a	n/a	785.50	5.0
U.S.TRUST COMPANY	012	HRS	B	55,000	57.17	8-Aug	8-Aug	2,475.00	4.5
<b>BUCK</b>	<b>015</b>	<b>HUM</b>	<b>S</b>	<b>500</b>	<b>67.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	IVZ	S	5,000	27.20	8-Aug	25-Sep	250.00	5.0
CLOVIS CAPITAL	012	IVZ	B	225,000	27.08	8-Aug	25-Sep	11,250.00	5.0
SAVANNAH-BALTIMORE	012	IVZ	B	81,700	27.21	8-Aug	25-Sep	4,085.00	5.0
WAGONHOUND	048	IVZ	S	55,365	26.90	8-Aug	25-Sep	2,214.60	4.0
TRELLUS PARTNERS LP	028	JCI	C	10,000	113.37	19-Jul	19-Jul	500.00	5.0
RIVER RUN MGMT	031	JNY	B	35,000	20.51	n/a	13-Sep	1,750.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>JNY</b>	<b>B</b>	<b>5,000</b>	<b>20.53</b>	<b>n/a</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>JNY</b>	<b>S</b>	<b>5,000</b>	<b>20.50</b>	<b>n/a</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
DEEPHAVEN	031	JWN	B	10,000	48.34	12-Jul	7-Sep	500.00	5.0
DSG CAPITAL	225	KEGS	B	30,000	16.99	23-Jul	25-Sep	1,500.00	5.0
STARK ASSET MGMT	031	LEA	S	20,200	31.55	n/a	n/a	808.00	4.0
BRANDWINE	028	LIZ	S	15,900	34.31	n/a	14-Sep	715.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GOLDMAN SACHS ASSET MGMT	044	LOW	B	61,002	29.16	n/a	27-Jul	1,220.04	2.0
DISCIPLINED GROWTH INV.	030	LVLTT	S	13,600	4.55	6-Sep	21-Sep	408.00	3.0
MS PRINCIPAL STRATEGIES	041	MAR	B	50,000	43.31	n/a	n/a	2,500.00	5.0
<b>KERN</b>	<b>050</b>	<b>MHGC</b>	<b>B</b>	<b>500</b>	<b>21.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	MIL	S	6,110	75.88	n/a	n/a	305.50	5.0
TRUST CO/COWEN/CALF.	040	MOT	B	686,455	18.15	n/a	n/a	27,458.20	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>25,000</b>	<b>49.34</b>	<b>n/a</b>	<b>n/a</b>	<b>1,000.00</b>	<b>4.0</b>
SAC TRADING HOWARD	038	MW	B	5,000	48.18	n/a	n/a	250.00	5.0
GLG PARTNERS	034	M	B	50,000	31.68	24-Sep	24-Sep	2,500.00	5.0
WOOSTER CAPITAL	035	M	B	100,000	31.54	24-Sep	24-Sep	5,000.00	5.0
RIVER RUN MGMT	031	NAVZ	SS	25,000	60.00	n/a	n/a	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>NGI</b>	<b>B</b>	<b>9,975</b>	<b>4.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	NTY	B	10,000	40.60	n/a	n/a	500.00	5.0
CRYSTAL ROCK CAP MGMT	031	PAYX	S	35,103	43.49	n/a	n/a	1,755.15	5.0
<b>BUCK</b>	<b>015</b>	<b>PNRA</b>	<b>C</b>	<b>600</b>	<b>40.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>PVH</b>	<b>B</b>	<b>600</b>	<b>51.90</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>36.00</b>	<b>6.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PERRY PARTNERS	041	RAD	S	300,000	4.97	n/a	n/a	9,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>10,000</b>	<b>74.26</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>400.00</b>	<b>4.0</b>
CUMBERLAND	038	RRGB	B	15,000	43.14	n/a	n/a	600.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>SAPE</b>	<b>S</b>	<b>135</b>	<b>6.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARIENCE CAPITAL	036	TEN	B	11,500	31.04	n/a	n/a	575.00	5.0
CATAPULT	040	TROW	SS	5,000	53.66	n/a	25-Sep	250.00	5.0
SANDLER O'NEILL ASSET	031	TROW	S	1,300	53.84	n/a	25-Sep	65.00	5.0
SENTINAL CAPITAL	067	T	B	5,000	42.38	21-Sep	25-Sep	250.00	5.0
BAYPOINT/PRIMEMOVERS	041	UEIC	S	3,700	32.08	n/a	n/a	185.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>ULTI</b>	<b>S</b>	<b>20</b>	<b>33.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	URBN	B	10,000	21.25	31-Jul	10-Aug	500.00	5.0
REINHART & MAHONEY	031	VCLK	B	20,170	23.68	n/a	n/a	1,008.50	5.0
STARK ASSET MGMT	031	VC	B	35,000	5.13	n/a	n/a	1,400.00	4.0
MERRILL ASSET	032	WBS	S	15,700	42.85	n/a	n/a	785.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	15,800	26.56	13-Jul	25-Sep	790.00	5.0
SCOPUS FUND	041	WNC	SS	27,100	11.95	n/a	n/a	1,355.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUTTONBROOK CAPITAL	044	WY	B	18,400	70.57	21-Sep	21-Sep	736.00	4.0
DOUBLE V/PBX	044	YHOO	S	8,800	26.38	n/a	n/a	440.00	5.0
REINHART & MAHONEY	031	ZBRA	S	18,140	35.53	n/a	n/a	907.00	5.0
<b>TOTAL (Trade Date) :</b>							<b>177,103.41</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/24	CHART WELL ADV (CHATZEKEHO)	243	AXL	C	20,000	24.14	n/a	n/a	600.00 3.0
AO,	09/24	CHART WELL ADV (CHATZEKEHO)	243	AXL	SS	20,000	24.60	n/a	n/a	600.00 3.0
<b>AO,</b>	<b>09/24</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>BEBE</b>	<b>B</b>	<b>302</b>	<b>15.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
CRT	09/25	UBS OCONNOR (UBSOCSFBCO)	031	BEN	SS	14,825	126.38	25-Sep	25-Sep	444.75 3.0
AO,CXL	09/24	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	BSC	SS	17,500	115.60	4-Sep	21-Sep	875.00 5.0
AO,CRT	09/24	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	BSC	SS	17,500	115.60	4-Sep	21-Sep	1050.00 6.0
AO,CXL	09/24	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	CFC	SS	100,000	19.18	n/a	n/a	5000.00 5.0
AO,CRT	09/24	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	CFC	SS	100,000	19.18	n/a	n/a	4000.00 4.0
AO,CXL	09/24	METROPOLITAN CAPITAL (METRDEUTSC)	044	DSW	B	2,000	27.91	5-Sep	5-Sep	80.00 4.0
AO,CRT	09/24	METROPOLITAN CAPITAL (METRDEUTSC)	044	DSW	B	2,000	27.91	5-Sep	5-Sep	100.00 5.0
AO,CXL	09/24	METROPOLITAN CAPITAL (METRGS BUL)	044	DSW	B	27,800	27.91	5-Sep	5-Sep	1112.00 4.0
AO,CRT	09/24	METROPOLITAN CAPITAL (METRGS BUL)	044	DSW	B	27,800	27.91	5-Sep	5-Sep	1390.00 5.0
AO,CXL	09/24	METROPOLITAN CAPITAL (METRSPEAR)	044	DSW	B	1,200	27.91	5-Sep	5-Sep	48.00 4.0
AO,CRT	09/24	METROPOLITAN CAPITAL (METRSPEAR)	044	DSW	B	1,200	27.91	5-Sep	5-Sep	60.00 5.0
AO,	09/24	TRELLUS PARTNERS LP (TRELGS)	028	JCI	B	1,517	114.88	19-Jul	19-Jul	75.85 5.0
AO,	09/24	TRELLUS PARTNERS LP (TRELMAIN)	028	JCI	B	8,483	114.88	19-Jul	19-Jul	424.15 5.0
AO,CXL	09/21	MATRIX ASSET ADV. (MATXVALUE)	036	JNJ	S	700	65.45	n/a	22-Apr	35.00 5.0
AO,CRT	09/21	MATRIX ASSET ADV. (MATXVALUE)	036	JNJ	S	700	65.45	n/a	22-Apr	28.00 4.0
CRT	09/25	RIVER RUN MGMT (RIVEGSPB)	031	NAVZ	SS	25,000	60.00	n/a	n/a	1250.00 5.0
CRT	09/25	CATAPULT (CATAMSPB)	040	TROW	SS	5,000	53.66	n/a	25-Sep	250.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/24	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	XL	B	25,500	77.60	n/a	n/a	1275.00 5.0
AO,CRT	09/24	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	XL	B	25,500	77.60	n/a	n/a	1530.00 6.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,377.75</b>

TOTAL (Trade Date) :	177,103.41
TOTAL (AO, CXL, CRT) :	3,377.75

<b>TOTAL (RUN DATE) / NFS :</b>	<b>180,481.16</b>
---------------------------------	-------------------



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