



Daily Compliance Activity Report

Trade Date: 12/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	S	20,000	22.34	9-Nov	3-Dec	1,000.00	5.0
IVORY CAPITAL	034	AMD	SS	100,000	9.00	n/a	n/a	4,000.00	4.0
LIGHTHOUSE FIN/QUAD	046	AMD	B	2,500	8.85	n/a	n/a	125.00	5.0
LIGHTHOUSE FIN/QUAD	046	AMD	S	2,500	8.91	n/a	n/a	125.00	5.0
SINCLAIR	031	AMGAH	S	50	1.40	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	AMLN	B	15,000	37.54	n/a	n/a	750.00	5.0
BUCK	015	ANF	C	300	81.90	2-Oct	3-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	ANN	SS	120,000	31.73	6-Aug	3-Dec	4,800.00	4.0
MERRILL LYNCH STRATEGICI	034	APC	SS	25,000	59.54	4-Dec	4-Dec	1,250.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	24.54	29-Nov	3-Dec	1,200.00	4.0
WELLS/STRONG LEDDY	035	ASHW	S	12,700	3.14	n/a	n/a	381.00	3.0
MERRILL LYNCH STRATEGICI	034	AVR	B	5,000	10.13	n/a	n/a	150.00	3.0
SEAROCK CAPITAL MANAGE	012	BA	B	50,000	92.03	n/a	n/a	2,000.00	4.0
ADAGE CAPITAL MGMT	030	BBBY	B	75,000	31.89	n/a	n/a	3,000.00	4.0
LEDY	035	BBW	S	1,300	15.82	11-Sep	18-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	BHP	S	80,000	76.01	n/a	n/a	4,000.00	5.0
ACK ASSET	028	BIG	B	5,000	17.51	30-Nov	3-Dec	200.00	4.0
PORTER-ORLIN-FELDMAN	044	BIG	B	60,000	17.35	30-Nov	3-Dec	3,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	BIG	B	50,000	17.34	30-Nov	3-Dec	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	BKC	S	100,000	25.87	n/a	24-Apr	5,000.00	5.0
NORTHPOINT	030	BRLI	S	1,000	34.39	n/a	n/a	40.00	4.0
SSI INVESTORS	048	CAKE	SS	80,000	22.75	n/a	24-Apr	3,200.00	4.0
NORTHPOINT	030	CFNL	B	4,775	9.63	n/a	n/a	143.25	3.0
TRUSTCO/SUNTRUST	040	CHD	S	36,400	56.04	7-Nov	7-Nov	1,092.00	3.0
ROYCE TRADING	216	CLI	B	10,000	34.66	n/a	n/a	500.00	5.0
MKT MAKER	099	CMCSK	B	100	18.00	n/a	n/a	0.00	0.0
LEDY	035	CPHI	S	1,800	3.55	n/a	n/a	0.00	0.0
MERRILL ASSET	032	CRR	B	12,200	39.14	25-Oct	30-Nov	549.00	4.5
ROYCE TRADING	216	CTS	B	5,000	10.38	n/a	n/a	250.00	5.0
SINCLAIR	031	CWOMH	S	3	10.30	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	DELL	C	50,000	23.86	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DSW	S	30,000	22.32	26-Oct	5-Dec	1,200.00	4.0
METROPOLITAN CAPITAL	044	DSW	S	75,300	22.14	26-Oct	5-Dec	3,765.00	5.0
LISTED ERR	099	DSW	B	100	21.89	26-Oct	5-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	EDA	S	20,000	14.32	n/a	n/a	800.00	4.0
ADAGE CAPITAL MGMT	030	ETH	B	87,780	28.85	n/a	n/a	3,511.20	4.0
GOLD SACHS SPECIAL SIT	030	ETH	B	102,300	28.93	n/a	n/a	5,115.00	5.0
CARLYLE BLUE WAVE PR MG	224	ETN	S	4,000	91.96	5-Dec	5-Dec	200.00	5.0
NORTHPOINT	030	FCSX	S	213	42.40	n/a	n/a	8.52	4.0
CAPITAL GROWTH MGMT.	241	FCX	S	20,000	99.38	n/a	n/a	1,000.00	5.0
NORTHPOINT	030	GBTS	B	4,936	13.70	n/a	n/a	197.44	4.0
ROYCE TRADING	216	GDI	B	5,000	33.54	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GES	S	60,000	47.00	n/a	n/a	2,400.00	4.0
CHILTON CAPITAL MGMT.	036	GGP	B	98,493	46.95	n/a	n/a	3,939.72	4.0
ASCEND PARTNERS	033	GNW	S	25,000	26.53	n/a	n/a	1,250.00	5.0
BULL PATH CAPITAL	044	GPS	S	50,000	20.88	n/a	3-Dec	2,500.00	5.0
COUGAR TRADING	044	GPS	B	40,000	20.32	n/a	3-Dec	2,000.00	5.0
SINCUTMA	031	GS	B	10	214.34	21-Sep	5-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND	048	GYMB	B	7,500	34.14	10-Aug	3-Dec	300.00	4.0
MORGAN LEWIS/MLH	046	HERO	S	10,000	24.01	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	IFF	B	500	48.77	31-Oct	5-Dec	25.00	5.0
NORTHPOINT	030	INT	S	900	31.22	n/a	n/a	36.00	4.0
CARLYLE BLUE WAVE PR MG	224	IR	S	5,000	51.81	n/a	n/a	250.00	5.0
CR INTRINIC INVESTMENT	044	IVZ	SS	50,000	27.69	21-Nov	3-Dec	2,500.00	5.0
SERENGETI MGMT	030	IVZ	B	100,000	27.66	21-Nov	3-Dec	5,000.00	5.0
MONARCH CAPITAL	041	JBHT	B	5,000	26.32	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	350,000	45.62	15-Nov	3-Dec	14,000.00	4.0
ROYCE TRADING	216	JNY	B	5,000	18.56	n/a	1-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	50,000	36.77	20-Nov	3-Dec	2,000.00	4.0
COUGAR TRADING	044	JWN	S	25,000	36.24	20-Nov	3-Dec	1,250.00	5.0
JPMSI/TOM LEDDY	035	JWN	SS	15,000	36.43	20-Nov	3-Dec	750.00	5.0
WHITE PINE CAPITAL	030	KEG	B	1,475	13.70	29-Oct	30-Nov	73.75	5.0
CROWLEY	061	KEG	S	1,000	13.69	29-Oct	30-Nov	0.00	0.0
ROYCE TRADING	216	KEM	B	10,000	6.12	n/a	n/a	500.00	5.0
ADAGE CAPITAL MGMT	030	KMX	B	75,000	22.65	n/a	10-Jan	3,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	KNDL	S	65	42.67	n/a	n/a	2.60	4.0
ROYCE TRADING	216	KWD	B	5,000	15.15	n/a	n/a	250.00	5.0
ROYCE TRADING	216	LDL	B	5,000	9.75	n/a	n/a	250.00	5.0
VISIUM/BALY HOWARD	038	LIZ	SS	50,000	24.45	n/a	31-Oct	2,500.00	5.0
NORTHPOINT	030	LKQX	S	940	20.22	n/a	n/a	37.60	4.0
ADAGE CAPITAL MGMT	030	LOW	B	100,000	24.50	n/a	27-Jul	4,000.00	4.0
NORTHPOINT	030	LUFK	S	90	52.31	n/a	n/a	3.60	4.0
ROYCE TRADING	216	LZB	B	10,000	5.93	n/a	n/a	500.00	5.0
MERRILL LYNCH STRATEGICI	034	LZ	SS	35,000	63.90	n/a	n/a	2,100.00	6.0
SIGMA CAPITAL ASSOCIATES	237	MAT	S	300,000	19.91	n/a	n/a	15,000.00	5.0
ROYCE TRADING	216	MEG	B	5,000	22.53	n/a	n/a	250.00	5.0
AMATURO	018	MPXL	B	3,000	13.59	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	MRVL	S	50,000	15.40	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	MW	B	22,500	31.83	n/a	n/a	900.00	4.0
TRUST CO OF THE WEST/NY	040	MXIM	B	22,275	24.37	n/a	n/a	891.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	MXIM	B	5,915	24.37	n/a	n/a	236.60	4.0
CROWLEY	061	MZT	S	25,000	0.09	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	195,000	31.13	9-Nov	3-Dec	7,800.00	4.0
CARLSON CAPITAL	031	NCC	SS	154,000	19.40	n/a	n/a	7,700.00	5.0
RHO CAPITAL MGMT	041	NETL	S	28,931	28.11	n/a	n/a	1,157.24	4.0
ROYCE TRADING	216	NPO	B	5,000	31.02	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	NWY	B	1,200	7.49	n/a	20-Nov	60.00	5.0
MOORE CAPITAL	036	OMC	SS	100,000	48.14	n/a	n/a	4,000.00	4.0
ROYCE TRADING	216	ONB	B	5,000	15.85	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	PERY	B	675	16.02	n/a	n/a	33.75	5.0
MATRIX ASSET ADV.	036	PFE	S	3,000	23.85	n/a	31-Mar	120.00	4.0
WAGONHOUND	048	PLCE	B	7,500	29.08	3-Dec	3-Dec	300.00	4.0
MKT MAKER	099	PLCE	S	200	29.20	3-Dec	3-Dec	0.00	0.0
ROYCE TRADING	216	PMC	B	10,000	14.69	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	PNRA	S	80,000	39.03	n/a	n/a	4,000.00	5.0
VISIUM/BALY HOWARD	038	PNRA	B	10,000	38.70	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	170,000	18.76	n/a	n/a	6,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	PSS	B	10,000	18.71	n/a	n/a	600.00	6.0
COUGAR TRADING	044	PSUN	B	20,000	15.96	n/a	3-Dec	1,000.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	100,000	38.31	5-Dec	5-Dec	4,000.00	4.0
WAGONHOUND	048	PVH	B	9,870	38.27	5-Dec	5-Dec	394.80	4.0
BALYASNY ASSET MGMT	044	RDY	SS	25,000	16.71	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	67.35	8-Nov	8-Nov	400.00	4.0
STRAUSS ASSET MGMT	040	SCOR	S	10,000	37.01	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	SKS	B	20,000	21.26	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	120,000	22.50	n/a	13-Mar	4,800.00	4.0
NORTHPOINT	030	SMSI	S	190	7.50	n/a	n/a	5.70	3.0
SANDELL ADV	040	SRP	SS	50,000	17.65	n/a	n/a	2,500.00	5.0
CARLYLE BLUE WAVE PR MG	224	SSCC	S	10,000	10.92	n/a	26-Oct	500.00	5.0
NORTHPOINT	030	SWIM	S	555	16.19	n/a	n/a	22.20	4.0
REINHART & MAHONEY	031	TDY	S	20,300	54.45	n/a	n/a	1,015.00	5.0
BUCK CAPITAL MGMT	001	TIF	SS	40,000	47.34	18-Oct	3-Dec	1,600.00	4.0
IRONBOUND CAPITAL	012	TIN	B	30,000	43.75	9-Nov	9-Nov	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
XYLEM GLOBAL	091	TIN	B	15,000	43.48	9-Nov	9-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	50,000	28.97	21-Sep	3-Dec	2,000.00	4.0
U.S.TRUST COMPANY	012	TYC	B	50,000	40.31	9-Nov	15-Nov	2,250.01	4.5
NORTHPOINT	030	UAPH	S	47,820	38.25	n/a	n/a	1,912.80	4.0
DIAMONDBACK CAP MGMT	232	UNH	C	10,600	54.45	n/a	n/a	530.00	5.0
WHITE PINE CAPITAL	030	UNT	B	350	44.90	n/a	30-Nov	17.50	5.0
CARLYLE BLUE WAVE PR MG	224	WMI	B	10,000	34.06	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	WY	SS	26,000	72.21	1-Nov	1-Nov	1,300.00	5.0
HIGHBRIDGE CAPITAL	038	WY	S	2,000	72.20	1-Nov	1-Nov	100.00	5.0
CLOVIS CAPITAL	012	XLE	B	400,000	74.76	n/a	n/a	12,000.00	3.0
TOTAL (Trade Date) :								205,717.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/04	AMBER CAPITAL (AMBRGS)	046	ARM	SS	100,000	9.41	n/a	n/a	4000.00 4.0
AO,CXL	12/04	AMBER CAPITAL (AMBRLEH)	046	ARM	SS	100,000	9.41	n/a	n/a	4000.00 4.0
AO,CXL	12/04	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	AVR	S	50,000	10.62	n/a	n/a	1500.00 3.0
AO,	12/04	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	AVR	S	20,000	10.70	n/a	n/a	600.00 3.0
AO,	12/04	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	AVR	S	20,000	10.60	n/a	n/a	600.00 3.0
AO,CRT	12/04	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	AVR	S	10,000	10.49	n/a	n/a	300.00 3.0
AO,CXL	12/04	MKT MAKER (MKT MAKER)	099	BONT	B	300	10.93	9-Nov	3-Dec	0.00 0.0
AO,CXL	12/04	MKT MAKER (MKT MAKER)	099	BONT	B	200	10.93	9-Nov	3-Dec	0.00 0.0
CRT	12/05	MKT MAKER (MKT MAKER)	099	CMCSK	B	100	18.00	n/a	n/a	0.00 0.0
AO,CXL	12/04	MKT MAKER (MKT MAKER)	097	CTRN	B	27	15.49	n/a	n/a	0.00 0.0
AO,CRT	12/04	LISTED ERR (LISTED ERR)	099	DSW	S	100	20.86	26-Oct	5-Dec	0.00 0.0
AO,	12/04	LISTED ERR (LISTED ERR)	099	DSW	S	100	20.86	26-Oct	5-Dec	0.00 0.0
AO,	12/04	FIRST NY SEC/CHRIS (FNYCHRIS)	041	IVZ	S	10,000	27.72	21-Nov	3-Dec	600.00 6.0
CRT	12/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JCP	B	349,500	45.62	15-Nov	3-Dec	13980.00 4.0
AO,CRT	12/04	AMBER CAPITAL (AMBRGS)	046	LEA	SS	180,000	27.87	n/a	n/a	7200.00 4.0
AO,CXL	12/04	AMBER CAPITAL (AMBRLEH)	046	LEA	SS	180,000	27.87	n/a	n/a	7200.00 4.0
CRT	12/05	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	LZ	SS	35,000	63.90	n/a	n/a	2100.00 6.0
CRT	12/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	B	194,900	31.13	9-Nov	3-Dec	7796.00 4.0
CRT	12/05	AMATURO (AMATURO)	018	MPXL	B	100	13.59	n/a	n/a	0.00 0.0
CRT	12/05	AMATURO (AMATURO)	018	MPXL	B	100	13.59	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	12/05	AMATURO (AMATURO)	018	MPEL	B	100	13.59	n/a	n/a	0.00	0.0
CRT	12/05	AMATURO (AMATURO)	018	MPEL	B	400	13.59	n/a	n/a	0.00	0.0
CRT	12/05	AMATURO (AMATURO)	018	MPEL	B	200	13.59	n/a	n/a	0.00	0.0
CRT	12/05	AMATURO (AMATURO)	018	MPEL	B	200	13.59	n/a	n/a	0.00	0.0
CRT	12/05	AMATURO (AMATURO)	018	MPEL	B	100	13.59	n/a	n/a	0.00	0.0
CRT	12/05	AMATURO (AMATURO)	018	MPEL	B	100	13.59	n/a	n/a	0.00	0.0
CRT	12/05	AMATURO (AMATURO)	018	MPEL	B	100	13.59	n/a	n/a	0.00	0.0
AO, CRT	12/04	AMATURO (AMATURO)	018	MPEL	S	3,000	14.35	n/a	n/a	0.00	0.0
AO, CXL	12/04	AMATURO (AMATURO)	018	MPEL	S	3,000	14.35	n/a	n/a	0.00	0.0
AO,	12/04	NOMURA CAPITAL (NOMUSTRATE)	045	NRG	S	1,100	41.65	n/a	n/a	55.00	5.0
AO,	12/04	NOMURA CAPITAL (NOMUBATT2)	045	NRG	S	1,300	41.65	n/a	n/a	65.00	5.0
AO,	12/04	NOMURA CAPITAL (NOMUBSMAN)	045	NRG	S	1,900	41.65	n/a	n/a	95.00	5.0
AO, CXL	12/04	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	PICO	S	27,832	37.03	n/a	n/a	1113.28	4.0
AO,	12/04	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	PICO	S	10,620	37.09	n/a	n/a	424.80	4.0
AO, CRT	12/04	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	PICO	S	13,770	37.02	n/a	n/a	550.80	4.0
AO,	12/04	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	PICO	S	3,442	36.90	n/a	n/a	137.68	4.0
CRT	12/05	MKT MAKER (MKT MAKER)	099	PLCE	S	100	29.20	3-Dec	3-Dec	0.00	0.0
CRT	12/05	MKT MAKER (MKT MAKER)	099	PLCE	S	100	29.20	3-Dec	3-Dec	0.00	0.0
CRT	12/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	PVH	B	99,800	38.31	5-Dec	5-Dec	3992.00	4.0
AO,	12/04	CENTURION PARTNERS (CENTGSCO)	255	PVH	B	10,000	38.17	5-Dec	5-Dec	500.00	5.0
AO, CXL	12/04	APEX CAPITAL MGMT. (APEXUBS)	039	URBN	B	30,000	26.60	9-Nov	3-Dec	1500.00	5.0
AO, CRT	12/04	APEX CAPITAL MGMT. (APEXUBS)	091	URBN	B	17,290	25.42	9-Nov	3-Dec	864.50	5.0
AO, CXL	12/04	APEX CAPITAL MGMT. (APEXMORGAN)	091	URBN	B	17,290	25.42	9-Nov	3-Dec	864.50	5.0
AO, CRT	12/04	HARVEST MGMT (HARVGSCO)	039	URBN	B	30,000	26.60	9-Nov	3-Dec	1500.00	5.0

TOTAL (AO, CXL, CRT) :

29,183.00

TOTAL (Trade Date):	205,717.28
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TOTAL (AO, CXL, CRT):	29,183.00
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TOTAL (RUN DATE) / NFS:	234,900.28
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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