



Daily Compliance Activity Report

Trade Date: 08/10/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	AAPL	B	470	125.47	n/a	n/a	23.50	5.0
WHALE ROCK CAP	030	AAPL	S	20,000	124.59	n/a	n/a	800.00	4.0
EGS ASSOCIATES LP	091	ABG	S	3,000	20.75	18-Jun	27-Jul	180.00	6.0
BUCK CAPITAL MGMT	001	AEO	B	140,000	22.21	10-Jul	10-Aug	5,600.00	4.0
DELTEC ASSET MGMT.	040	AEO	B	9,000	21.99	10-Jul	10-Aug	450.00	5.0
FRIESS MGMT	042	AEO	B	98,300	22.68	10-Jul	10-Aug	4,423.50	4.5
SUN AMERICA ASSET MGMT	030	AEO	B	32,800	21.91	10-Jul	10-Aug	1,640.00	5.0
OTC ERROR	099	AEO	B	1,000	21.60	10-Jul	10-Aug	0.00	0.0
OTC ERROR	099	AEO	S	1,000	21.69	10-Jul	10-Aug	0.00	0.0
NEUBERGER BERMAN	036	AKAM	B	900	33.82	n/a	n/a	45.00	5.0
ROXBURY CAPITAL MGMT	035	AMG	B	40,000	103.36	25-Jul	10-Aug	1,600.00	4.0
SUNOVA CAPITAL	031	AMG	B	25,000	107.12	25-Jul	10-Aug	1,250.00	5.0
NEUBERGER BERMAN	036	AMT	B	400	40.30	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	73.45	12-Jul	10-Aug	800.00	4.0
BALYASNY ASSET MGMT	044	ARO	B	10,000	31.67	n/a	10-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	129,600	31.82	n/a	10-Aug	5,184.00	4.0
NEUBERGER BERMAN	036	ARRS	B	1,600	14.91	n/a	n/a	80.00	5.0
ROTHSCHILD ASSET	040	AW	S	16,460	11.90	n/a	n/a	740.70	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	BAMM	S	25,160	13.34	n/a	n/a	1,006.40	4.0
LISTED ERR	099	BAM	B	760	33.39	n/a	n/a	0.00	0.0
LISTED ERR	099	BAM	S	760	33.30	n/a	n/a	0.00	0.0
LEDDY	035	BBW	B	600	17.27	15-Jun	27-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	BIG	B	10,000	26.41	9-Mar	10-Aug	400.00	4.0
J L F ASSET MGMT	039	BKS	B	12,700	31.97	n/a	n/a	508.00	4.0
LEDDY	035	BONT	B	1,000	21.55	3-Aug	10-Aug	0.00	0.0
NATIONAL BK OF CAN	031	BSC	B	30,000	111.45	10-Aug	10-Aug	1,200.00	4.0
METROPOLITAN CAPITAL	044	BWS	S	1,500	22.08	n/a	n/a	75.00	5.0
GASNER	025	CAT	S	50	77.11	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	CBS	B	2,360	30.64	n/a	n/a	118.00	5.0
WHEELER	008	CCC	S	5,000	12.50	n/a	n/a	0.00	0.0
BARR	096	CEVA	S	1,200	7.80	n/a	n/a	0.00	0.0
BARR	096	CNXT	S	8,000	1.20	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	COH	SS	15,000	43.89	n/a	1-Aug	750.00	5.0
BUCK CAPITAL MGMT	001	COH	S	2,500	42.19	n/a	1-Aug	100.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	CONN	SS	10,000	22.78	n/a	n/a	500.00	5.0
LEDDY	035	COSI	S	2,500	4.95	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	CS	B	30,000	68.06	n/a	n/a	1,200.00	4.0
ZOLIDIS	011	CWTR	C	500	19.95	n/a	n/a	0.00	0.0
AMATURO	018	DAWUW	S	20	3.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	B	10,000	22.56	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	DKS	S	20,000	58.57	n/a	n/a	800.00	4.0
TROUBH PART	067	DPHIQ	B	300,000	0.88	n/a	n/a	15,000.00	5.0
GASNER	025	DSLTM	S	2	15.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DSW	B	15,000	33.47	2-Aug	10-Aug	600.00	4.0
Õ Doug Rogers		DURA	S	50	8.6750	n/a	n/a	0.00	0.0
LOOMIS SALES/BOSTON	036	DW	B	5,000	34.95	n/a	n/a	200.00	4.0
CROWLEY	061	EFR	B	2,000	16.90	n/a	n/a	0.00	0.0
CROWLEY	061	EFT	B	500	16.86	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	EMN	SS	10,000	65.94	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GASNER	025	EXM	S	150	28.72	n/a	n/a	0.00	0.0
GLENHILL CAPITAL	038	EXP	B	275,000	41.13	n/a	n/a	13,750.00	5.0
THIRD COAST CAPITAL	035	FDO	SS	15,000	26.39	9-Aug	10-Aug	750.00	5.0
TRIBECA/DOUG	040	FITB	SS	10,000	38.62	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	FL	S	88,800	16.34	24-May	2-Aug	3,552.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	B	20,000	8.23	n/a	9-Aug	600.00	3.0
CASTLE ARK	031	GIL	B	74,500	35.73	21-Jun	2-Aug	4,470.00	6.0
BUCK	015	GIS	B	1,000	54.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	B	60,000	15.74	n/a	10-Aug	2,400.00	4.0
MORGENS WATERFALL	040	GPS	B	225,000	16.39	n/a	10-Aug	6,750.00	3.0
COUGAR TRADING	044	GYMB	B	10,000	38.83	10-Aug	10-Aug	500.00	5.0
HAYGROUND COE	039	HD	B	7,400	35.45	n/a	27-Jul	370.00	5.0
LEDDY	035	HLYS	B	1,000	9.87	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	HPQ	B	50,000	47.73	n/a	n/a	2,000.00	4.0
PLATTE RIVER CAPITAL	240	IBM	S	2,000	111.75	n/a	n/a	80.00	4.0
LEDDY	035	ICON	S	2,000	22.42	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	B	5,000	48.89	22-Jun	6-Aug	250.00	5.0
NEUBERGER BERMAN	036	JEF	B	61,100	25.94	n/a	n/a	3,055.00	5.0
THE JAY GOLDMAN	034	JNY	B	50,000	16.97	n/a	6-Aug	2,000.00	4.0
BUCK	015	JPM	C	800	43.53	n/a	19-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	B	60,000	57.97	14-Jun	27-Jul	2,400.00	4.0
REICH AND TANG	067	LDL	B	35,000	9.05	n/a	n/a	700.00	2.0
NEUBERGER BERMAN	036	LEAP	B	1,400	60.05	n/a	n/a	70.00	5.0
APEX CAPITAL MGMT.	091	LIZ	SS	50,000	34.15	n/a	6-Aug	2,500.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	40,000	34.25	n/a	6-Aug	1,600.00	4.0
BUCK CAPITAL MGMT	001	LTM	S	40,000	58.18	n/a	n/a	1,600.00	4.0
LEDDY	035	LULU	B	300	34.75	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	LVLTT	SS	100,000	5.51	26-Jul	9-Aug	3,000.00	3.0
BARR	096	MBI	SS	300	57.75	n/a	n/a	0.00	0.0
BUCK	015	MCK	B	1,000	55.62	n/a	n/a	0.00	0.0
BARR	096	MCO	C	600	54.43	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	MEDX	S	140,000	16.64	n/a	n/a	7,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DALTON GREINER	012	MLI	B	6,900	29.57	24-Jul	10-Aug	345.00	5.0
BUCK	015	MTG	C	500	35.25	n/a	n/a	0.00	0.0
BUCK	015	MTG	SS	500	38.01	n/a	n/a	0.00	0.0
LEDDY	035	MTRX	B	700	17.86	n/a	n/a	0.00	0.0
HAYGROUND COE	039	NKE	B	93,000	55.70	n/a	n/a	4,650.00	5.0
DAWSON SANBERG & CO	036	NOC	SS	114,600	76.51	n/a	n/a	5,730.00	5.0
MERRILL ASSET	032	NOC	S	611,900	75.36	n/a	n/a	27,535.50	4.5
NEUBERGER BERMAN	036	NTY	B	2,050	35.77	n/a	n/a	102.50	5.0
NEUBERGER BERMAN	036	NWSA	B	3,450	20.57	n/a	n/a	172.50	5.0
GAULT	063	NWYJU	B	50	0.95	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	B	30,000	7.42	25-May	10-Aug	1,500.00	5.0
DEMARTINI	065	NWY	B	5,000	7.41	25-May	10-Aug	0.00	0.0
GASNER	025	OPY	S	75	39.76	n/a	n/a	0.00	0.0
BARR	096	ORB	S	500	19.66	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	PAG	SS	4,500	21.46	n/a	1-Aug	270.00	6.0
BARR	096	PDFS	C	900	12.13	n/a	n/a	0.00	0.0
BARR	096	PDFS	SS	2,300	11.33	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	PFE	S	1,500	23.87	n/a	31-Mar	0.00	0.0
BUCK	015	PNRA	C	400	45.55	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	PPG	SS	6,000	71.90	n/a	23-Jul	300.00	5.0
COUGAR TRADING	044	PSUN	B	15,000	14.07	n/a	10-Aug	750.00	5.0
SAC TRADING HOWARD	038	PSUN	B	25,000	14.45	n/a	10-Aug	1,250.00	5.0
STERLING JOHNSTON	035	PSUN	S	218,400	14.27	n/a	10-Aug	10,920.00	5.0
THE JAY GOLDMAN	034	PSUN	B	15,000	14.45	n/a	10-Aug	600.00	4.0
MKT MAKER	099	PSUN	B	100	14.73	n/a	10-Aug	0.00	0.0
PRINCIPLE CAPITAL	040	RCL	SS	309,400	40.18	27-Jul	27-Jul	12,376.00	4.0
CUMBERLAND	038	RESP	B	10,000	44.28	n/a	n/a	400.00	4.0
SCOPUS FUND	039	RKT	B	5,000	25.55	n/a	n/a	250.00	5.0
SCOPUS FUND	039	RKT	S	15,000	28.36	n/a	n/a	750.00	5.0
COUGAR TRADING	044	RL	B	5,000	77.75	9-Aug	9-Aug	250.00	5.0
HIGHBRIDGE CAPITAL	038	ROH	SS	8,000	57.02	n/a	24-Jul	400.00	5.0
ZOLIDIS	011	SDS	S	200	57.29	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	SGMS	S	125,000	36.58	n/a	n/a	6,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	21.00	n/a	13-Mar	400.00	4.0
LEDDY	035	SNEN	S	3,000	2.35	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	SPY	S	1,500	145.18	n/a	n/a	75.00	5.0
WHALE ROCK CAP	030	SPY	SS	35,000	143.48	n/a	n/a	1,400.00	4.0
GEORGE WEISS	034	SSCC	B	8,000	10.25	4-May	9-Aug	240.00	3.0
FIRST NEW YORK LEDDY	035	SUNW	B	30,000	4.55	n/a	n/a	1,800.00	6.0
COLUMBIA PARTNERS	028	SUN	B	5,240	66.02	n/a	n/a	209.60	4.0
BARR	096	SWIM	C	800	13.44	n/a	n/a	0.00	0.0
BARR	096	SWIM	SS	800	13.70	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TIF	B	10,000	43.66	1-Jun	13-Jun	500.00	5.0
FIRST NEW YORK LEDDY	035	TRA	S	10,000	20.48	n/a	n/a	600.00	6.0
SUNOVA CAPITAL	031	TROW	B	50,000	50.53	n/a	10-Aug	2,500.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	39.43	2-Jul	6-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	20,000	40.30	2-Jul	6-Aug	800.00	4.0
LEDDY	035	TWB	S	1,500	40.75	2-Jul	6-Aug	0.00	0.0
COLUMBIA PARTNERS	028	UCO	B	12,743	73.64	10-May	8-Aug	509.72	4.0
BARR	096	WM	SS	500	35.63	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	2,000	14.62	9-Mar	27-Jun	80.00	4.0

TOTAL (Trade Date):

190,806.92

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	08/10	OTC ERROR (OTC ERROR)	099	AEO	B	1,000	21.60	10-Jul	10-Aug	0.00	0.0
AO,	08/09	MKT MAKER (MKT MAKER)	099	CACH	B	55	17.69	n/a	n/a	0.00	0.0
AO,CXL	08/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	B	35,900	45.61	n/a	1-Aug	1436.00	4.0
AO,CRT	08/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	B	40,000	45.61	n/a	1-Aug	1600.00	4.0
AO,CRT	08/09	MKT MAKER (MKT MAKER)	099	ECIL	B	63	9.28	n/a	n/a	0.00	0.0
AO,CXL	08/06	MTB INV ADV (MTBIMCSLEV)	034	ENG	S	2,400	10.15	n/a	n/a	120.00	5.0
AO,CRT	08/06	MTB INV ADV (MTBISMSLEE)	034	ENG	S	1,000	10.15	n/a	n/a	50.00	5.0
AO,CXL	08/06	MTB INV ADV (MTBIMAIN O)	034	ENG	S	1,000	10.15	n/a	n/a	50.00	5.0
AO,CRT	08/06	MTB INV ADV (MTBIMAIN O)	034	ENG	S	2,400	10.15	n/a	n/a	120.00	5.0
AO,	08/09	DIAMONDBACK CAP MGMT (DIAMMSMAIN)	232	KEY	B	25,000	34.51	n/a	n/a	1250.00	5.0
AO,CRT	08/09	STRAUSS ASSET MGMT (STRAJEFF)	040	LEAP	B	7,500	57.97	n/a	n/a	375.00	5.0
AO,CXL	08/09	STRAUSS ASSET MGMT (STRAMS)	040	LEAP	B	7,500	57.97	n/a	n/a	375.00	5.0
AO,CXL	08/09	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ROH	SS	20,000	57.49	n/a	24-Jul	0.00	0.0
AO,CRT	08/09	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ROH	SS	20,000	57.49	n/a	24-Jul	1000.00	5.0
AO,CXL	08/09	IRONBOUND CAPITAL (IROBGS)	012	SSCC	B	100,000	10.00	4-May	9-Aug	5000.00	5.0
AO,CRT	08/09	IRONBOUND CAPITAL (IROBGS)	012	SSCC	B	100,000	10.00	4-May	9-Aug	3000.00	3.0
AO,	08/09	ROXBURY CAPITAL MGMT (ROXB40375)	035	SSI	B	8,960	17.94	3-Aug	10-Aug	358.40	4.0
AO,CXL	08/09	ROXBURY CAPITAL MGMT (ROXB40549)	035	SSI	B	8,960	17.94	3-Aug	10-Aug	358.40	4.0
AO,CRT	08/09	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	SWY	B	96,500	31.23	n/a	n/a	4825.00	5.0
AO,CXL	08/09	HUNTER GLOBAL INVESTOR (HUNTM.S. P)	067	SWY	B	96,500	31.23	n/a	n/a	4825.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/09	MKT MAKER (MKT MAKER)	099	TIBX	B	100	7.00	n/a	3-Apr	0.00 0.0
AO,CRT	08/09	MKT MAKER (MKT MAKER)	099	TRMP	B	40	7.54	n/a	n/a	0.00 0.0
AO,CXL	08/06	REICH AND TANG (RICHBENCH)	067	TYC	B	3,000	47.94	6-Aug	7-Aug	150.00 5.0
TOTAL (AO, CXL, CRT) :										264.00

TOTAL (Trade Date):	190,806.92
TOTAL (AO, CXL, CRT):	264.00

TOTAL (RUN DATE) / NFS:	191,070.92
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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