



Daily Compliance Activity Report

Trade Date: 10/10/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	ABG	B	67,200	20.46	18-Jun	8-Oct	3,360.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	150,000	24.58	10-Jul	5-Oct	6,000.00	4.0
COUGAR TRADING	044	AEO	S	5,000	24.32	10-Jul	5-Oct	250.00	5.0
COUGAR TRADING	044	ANF	B	10,000	83.39	2-Oct	5-Oct	500.00	5.0
COUGAR TRADING	044	ANN	B	15,000	33.59	6-Aug	5-Oct	750.00	5.0
COUGAR TRADING	044	ARO	B	15,000	19.49	n/a	5-Oct	750.00	5.0
JACOB	068	ASD	S	250	35.32	9-Oct	9-Oct	0.00	0.0
JP MORGAN VENTURES	046	ASHW	S	7,000	6.16	n/a	n/a	210.00	3.0
NATIONAL BK OF CAN	031	BAC	S	20,000	52.14	n/a	5-Oct	800.00	4.0
BUCK	015	BG	S	500	107.22	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	BHP	B	40,000	81.74	n/a	n/a	2,000.00	5.0
JP MORGAN VENTURES	046	BIG	C	20,000	29.46	n/a	9-Oct	1,000.00	5.0
APEX CAPITAL MGMT.	091	BJ	SS	50,000	36.89	n/a	27-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	BWS	S	9,900	20.97	n/a	n/a	396.00	4.0
NOLAN	067	CC	S	20	9.45	n/a	27-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	CLX	SS	10,000	62.31	2-Aug	2-Aug	500.00	5.0
NATIONAL BK OF CAN	031	CME	S	4,000	625.31	n/a	2-Oct	160.00	4.0
COUGAR TRADING	044	COH	S	10,000	45.14	n/a	10-Sep	500.00	5.0
JP MORGAN VENTURES	046	CROX	C	5,000	67.14	n/a	n/a	250.00	5.0
NATIONAL BK OF CAN	031	C	S	40,000	47.06	n/a	5-Oct	1,600.00	4.0
NOLAN	067	C	S	20	46.82	n/a	5-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	S	5,000	66.90	n/a	n/a	200.00	4.0
LISTED ERR	099	DLM	B	1,600	10.48	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	DOV	B	5,000	50.35	n/a	n/a	250.00	5.0
NOLAN	067	DUG	B	25	39.94	n/a	n/a	0.00	0.0
BUCK	015	DVN	S	500	87.43	19-Sep	3-Oct	0.00	0.0
KAICHER	064	DVN	S	500	87.23	19-Sep	3-Oct	0.00	0.0
LEDY	035	EDA	S	1,500	12.26	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	EL	SS	19,400	43.12	16-Aug	16-Aug	776.00	4.0
PZENA INV ADV	044	FRE	S	67,400	62.35	n/a	n/a	2,696.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	53.78	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	GM	SS	800	38.35	n/a	3-Oct	0.00	0.0
BECK MACK & OLIVER LLC	045	HBC	B	3,000	96.58	n/a	n/a	150.00	5.0
HIGHBRIDGE CAPITAL	038	HNT	B	10,000	52.48	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	HNT	SS	10,000	52.48	n/a	n/a	400.00	4.0
HEALY CIRCLE	044	HON	B	20,000	60.03	9-Oct	9-Oct	1,000.00	5.0
MEISENBACH CAP MGMT	041	HSC	B	2,500	60.97	9-Oct	9-Oct	125.00	5.0
BRIGHTPOINT CAP	067	JCG	B	20,000	45.92	22-Jun	6-Sep	800.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	44.39	22-Jun	6-Sep	400.00	4.0
COUGAR TRADING	044	JCG	B	15,000	45.34	22-Jun	6-Sep	750.00	5.0
WOOSTER CAPITAL	035	JCG	B	60,000	44.99	22-Jun	6-Sep	3,000.00	5.0
COUGAR TRADING	044	JCP	B	5,000	68.13	21-Jun	5-Oct	250.00	5.0
NATIONAL BK OF CAN	031	JPM	B	10,000	47.02	n/a	5-Oct	400.00	4.0
DSG CAPITAL	225	KEG	S	34,000	15.45	23-Jul	5-Oct	1,020.00	3.0
REICH AND TANG	067	KEG	B	350,000	15.49	23-Jul	5-Oct	17,500.00	5.0
BUCK	015	KFT	B	1,000	34.18	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	60.87	27-Sep	5-Oct	400.00	4.0
SIGMA CAPITAL ASSOCIATES	237	KSS	B	16,500	61.06	27-Sep	5-Oct	825.00	5.0
SUFFOLK CAPITAL MGMT	040	KSS	B	204,900	60.86	27-Sep	5-Oct	8,196.00	4.0
ACT II PARTNERS	067	LBTYA	B	20,000	42.31	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOCQUEVILLE ASSET MGMT	048	LEE	B	5,500	17.35	n/a	n/a	330.00	6.0
ADAGE CAPITAL MGMT	030	LIZ	SS	84,300	33.25	n/a	14-Sep	3,372.00	4.0
ENTRUST CAPITAL	040	LIZ	SS	76,100	33.17	n/a	14-Sep	3,805.00	5.0
SCOGGIN CAP	044	LIZ	SS	3,000	33.81	n/a	14-Sep	150.00	5.0
PHILADELPHIA FINANCIAL	033	LM	B	80,000	86.51	19-Sep	28-Sep	4,000.00	5.0
BUCK CAPITAL MGMT	001	LTM	S	5,000	63.47	n/a	n/a	200.00	4.0
MAGUIRE	090	MAG	S	3,000	5.25	n/a	n/a	0.00	0.0
BARR	096	MAG	S	5,000	5.25	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	MAR	B	25,000	41.42	n/a	n/a	1,250.00	5.0
CATAPULT	040	MER	B	2,500	74.13	5-Oct	5-Oct	125.00	5.0
HOOVER INV. MGMT	033	MW	S	108,100	48.56	n/a	n/a	5,405.00	5.0
ROXBURY CAPITAL MGMT	035	MW	S	117,000	48.53	n/a	n/a	4,680.00	4.0
BUCK CAPITAL MGMT	001	M	B	120,000	34.08	24-Sep	5-Oct	4,800.00	4.0
ACK ASSET	028	NTQ	S	25,000	9.47	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	OMI	B	4,480	38.43	n/a	n/a	201.60	4.5
HOOVER INV. MGMT	033	PCR	B	77,400	65.51	n/a	n/a	3,870.00	5.0
ELM RIDGE ADVISORS	044	PNRA	SS	121,500	48.69	n/a	n/a	4,860.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PSS	S	15,000	21.05	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	51.02	13-Aug	29-Aug	400.00	4.0
WHITE PINE CAPITAL	030	RCKY	S	3,000	10.06	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	75.12	9-Aug	29-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	RL	S	5,000	74.04	9-Aug	29-Aug	200.00	4.0
COUGAR TRADING	044	RL	B	5,000	75.12	9-Aug	29-Aug	250.00	5.0
COUGAR TRADING	044	RL	SS	5,000	74.16	9-Aug	29-Aug	250.00	5.0
MORGAN LEWIS/MLH	046	RSH	SS	10,000	20.78	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	15,000	21.38	n/a	13-Mar	600.00	4.0
STRAUSS ASSET MGMT	040	SMSI	SS	25,000	16.42	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	SSI	S	69,515	17.54	3-Aug	5-Oct	2,780.60	4.0
FINANCIAL STOCK LP	028	TCB	SS	100,000	26.64	n/a	n/a	4,000.00	4.0
RIVER RUN MGMT	031	TPX	SS	50,000	33.23	n/a	n/a	2,500.00	5.0
RIVER RUN MGMT	031	TRMP	SS	41,200	7.90	n/a	n/a	1,648.00	4.0
BALYASNY ASSET MGMT	044	TWB	B	10,000	30.95	2-Oct	2-Oct	500.00	5.0
BALYASNY ASSET MGMT	044	VC	B	15,000	5.52	n/a	10-Oct	750.00	5.0
BELMONT GLOBAL ADV	248	VC	B	190,000	5.80	n/a	10-Oct	7,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	VC	B	20,000	5.67	n/a	10-Oct	1,000.00	5.0
JACOB	068	WBC	S	83	50.93	n/a	9-Oct	0.00	0.0
KAICHER	064	WBMD	B	500	61.89	n/a	n/a	0.00	0.0
BUCK	015	WY	B	500	73.41	21-Sep	21-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	10,000	15.04	n/a	7-Sep	400.00	4.0
TOTAL (Trade Date):								127,041.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/09	METROPOLITAN CAPITAL (METRGS BUL)	044	BIG	SS	30,200	29.32	n/a	9-Oct	1.47	0.0
AO,CRT	10/09	METROPOLITAN CAPITAL (METRGS BUL)	044	BIG	SS	30,200	29.32	n/a	9-Oct	1510.00	5.0
CRT	10/10	APEX CAPITAL MGMT. (APEXUBS)	091	BJ	SS	25,000	36.89	n/a	27-Jul	1250.00	5.0
CRT	10/10	APEX CAPITAL MGMT. (APEXMORGAN)	091	BJ	SS	25,000	36.89	n/a	27-Jul	1250.00	5.0
CRT	10/10	FIRST NY SEC/CHRIS (FNYCHRIS)	041	CLX	SS	10,000	62.31	2-Aug	2-Aug	500.00	5.0
AO,CXL	10/09	LISTED ERR (LISTED ERR)	099	DLM	S	1,600	10.61	n/a	n/a	0.00	0.0
AO,	10/09	LISTED ERR (LISTED ERR)	099	DLM	S	1,600	10.51	n/a	n/a	0.00	0.0
CRT	10/10	PZENA INV ADV (PZEN710)	044	FRE	S	1,950	62.35	n/a	n/a	78.00	4.0
CRT	10/10	PZENA INV ADV (PZEN1176)	044	FRE	S	350	62.35	n/a	n/a	14.00	4.0
CRT	10/10	PZENA INV ADV (PZEN645)	044	FRE	S	22,875	62.35	n/a	n/a	915.00	4.0
AO,CXL	10/09	UBS OCONNOR (UBSOWARUBS)	031	JWN	SS	13,900	48.89	12-Jul	5-Oct	417.00	3.0
AO,CRT	10/09	UBS OCONNOR (UBSOCSFBCO)	031	JWN	SS	13,900	48.89	12-Jul	5-Oct	417.00	3.0
CRT	10/10	DSG CAPITAL (DSGCBANK O)	225	KEG	S	34,000	15.45	23-Jul	5-Oct	1020.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLCALI)	033	PRX	B	6,200	19.92	28-Sep	9-Oct	186.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLCARM)	033	PRX	B	1,300	19.92	28-Sep	9-Oct	39.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLOSTRSC)	033	PRX	B	7,200	19.92	28-Sep	9-Oct	216.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLUFCWVA)	033	PRX	B	2,400	19.92	28-Sep	9-Oct	72.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLBVF)	033	PRX	B	18,600	19.92	28-Sep	9-Oct	558.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLWBH-SI)	033	PRX	B	600	19.92	28-Sep	9-Oct	18.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLWBH-OF)	033	PRX	B	1,200	19.92	28-Sep	9-Oct	36.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLWBH-ER)	033	PRX	B	3,100	19.92	28-Sep	9-Oct	93.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLIUOE)	033	PRX	B	2,800	19.92	28-Sep	9-Oct	84.00	3.0
AO,	10/09	FULLER & THALER ASSET (FULLIDAHO)	033	PRX	B	1,100	19.92	28-Sep	9-Oct	33.00	3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/09	FULLER & THALER ASSET (FULLGOODLX)	033	PRX	B	1,100	19.92	28-Sep	9-Oct	33.00 3.0
AO,	10/09	FULLER & THALER ASSET (FULLEMPYR)	033	PRX	B	400	19.92	28-Sep	9-Oct	12.00 3.0
AO,	10/09	FULLER & THALER ASSET (FULLBROWN)	033	PRX	B	700	19.92	28-Sep	9-Oct	21.00 3.0
AO,	10/09	FULLER & THALER ASSET (FULLGERMAN)	033	PRX	B	700	19.92	28-Sep	9-Oct	21.00 3.0
AO,	10/09	FULLER & THALER ASSET (FULLWATER)	033	PRX	B	1,600	19.92	28-Sep	9-Oct	48.00 3.0
AO,	10/09	FULLER & THALER ASSET (FULLUFCW2)	033	PRX	B	200	19.92	28-Sep	9-Oct	6.00 3.0
AO,	10/09	FULLER & THALER ASSET (FULLS-IRON)	033	PRX	B	500	19.92	28-Sep	9-Oct	15.00 3.0
AO,	10/09	FULLER & THALER ASSET (FULLMARTHA)	033	PRX	B	300	19.92	28-Sep	9-Oct	9.00 3.0
CRT	10/10	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	SS	15,000	75.07	9-Aug	29-Aug	600.00 4.0
CRT	10/10	COUGAR TRADING (COUGPB MS)	044	RL	B	5,000	75.12	9-Aug	29-Aug	250.00 5.0
TOTAL (AO, CXL, CRT) :										8,885.53
TOTAL (Trade Date) :										127,041.20
TOTAL (AO, CXL, CRT) :										8,885.53
TOTAL (RUN DATE) / NFS :										135,926.73

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