



Daily Compliance Activity Report

Trade Date: 10/12/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ABG	S	9,000	20.12	18-Jun	8-Oct	360.00	4.0
WOOSTER CAPITAL	035	ABG	B	25,000	20.13	18-Jun	8-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	480,000	24.46	12-Oct	12-Oct	19,200.00	4.0
COUGAR TRADING	044	AEO	B	25,000	24.69	12-Oct	12-Oct	1,250.00	5.0
WOOSTER CAPITAL	035	AEO	B	100,000	24.39	12-Oct	12-Oct	5,000.00	5.0
UBS OCONNOR	031	AMG	B	25,000	134.20	25-Jul	12-Oct	750.00	3.0
CATAPULT	040	AMTD	S	25,000	19.67	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	ANN	B	5,000	35.62	6-Aug	12-Oct	250.00	5.0
J L F ASSET MGMT	039	ANN	S	3,200	35.00	6-Aug	12-Oct	128.00	4.0
CATAPULT	040	AYR	B	2,500	32.05	n/a	n/a	125.00	5.0
BUCK	015	BAC	S	300	52.37	n/a	5-Oct	0.00	0.0
ROTHSCHILD ASSET	040	BDC	S	8,140	55.58	n/a	n/a	366.30	4.5
DISCIPLINED GROWTH INV.	030	BEAS	S	99,750	18.06	n/a	3-Apr	4,987.50	5.0
DIDI	030	BEAS	S	250	18.06	n/a	3-Apr	12.50	5.0
SUNOVA CAPITAL	031	BLK	SS	30,000	183.28	18-Jul	12-Oct	1,500.00	5.0
PATTEN & PATTEN	067	CAL	S	500	36.97	n/a	n/a	25.00	5.0
NORTHPOINT	030	CASY	S	7,600	29.00	n/a	n/a	304.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND	048	CCMP	S	1,050	44.20	14-Sep	14-Sep	42.00	4.0
KORMAN	003	CFSG	B	255	12.20	n/a	n/a	0.00	0.0
DAVID J GREEN & CO	040	CGNX	B	15,300	18.92	n/a	n/a	612.00	4.0
KORMAN	003	CHLN	B	2,000	6.35	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	CHRS	S	102,650	8.08	n/a	22-Mar	3,079.50	3.0
ASCEND PARTNERS	033	CHS	SS	4,200	14.53	12-Oct	12-Oct	210.00	5.0
BUCK CAPITAL MGMT	001	CHS	B	100,000	14.26	12-Oct	12-Oct	4,000.00	4.0
SUN AMERICA ASSET MGMT	030	CMCSA	B	132,000	23.99	21-Sep	21-Sep	6,600.00	5.0
PAW PARTNERS	041	CNW	B	12,500	45.15	n/a	n/a	625.00	5.0
BUCK CAPITAL MGMT	001	COH	S	215,000	44.62	n/a	10-Sep	8,600.00	4.0
COUGAR TRADING	044	COH	B	5,000	44.80	n/a	10-Sep	250.00	5.0
SIRIS	013	COH	S	200	44.51	n/a	10-Sep	0.00	0.0
PATTEN & PATTEN	067	CSD	S	1,750	29.79	n/a	n/a	87.50	5.0
BUCK CAPITAL MGMT	001	CVS	S	7,900	39.52	n/a	n/a	316.00	4.0
MUHLENKAMP FUND	046	C	S	500,000	47.85	n/a	12-Oct	25,000.00	5.0
BUCK CAPITAL MGMT	001	DKS	S	5,000	67.69	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	24.27	5-Sep	2-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DSW	S	20,000	24.76	5-Sep	2-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	EDA	S	25,000	12.07	n/a	n/a	1,000.00	4.0
SUTERA	160	EFT	B	1,500	16.67	n/a	n/a	0.00	0.0
CATAPULT	040	ETFC	B	25,000	13.47	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	EWI	B	400	22.09	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	EWJ	S	1,500	14.51	n/a	n/a	75.00	5.0
PRINCIPLE CAPITAL	040	FOSL	SS	26,000	39.02	12-Sep	12-Sep	780.00	3.0
BUCK	015	FRB	B	400	17.13	n/a	n/a	0.00	0.0
Õ Alice Longley		FXI	S	150199.8100		n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	F	SS	200,000	8.96	n/a	10-Oct	6,000.00	3.0
BUCK CAPITAL MGMT	001	GES	S	10,000	52.79	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	40.53	19-Sep	19-Sep	400.00	4.0
MAGUIRE	039	GLW	S	200	26.06	n/a	14-Sep	0.00	0.0
SINCLAIR	031	GMMF	B	100	0.52	n/a	n/a	0.00	0.0
LEDDY	035	GM	SS	1,500	41.42	n/a	3-Oct	0.00	0.0
MAGUIRE	039	GR	S	100	69.98	9-Oct	9-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	IHP	B	15,000	64.38	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	ILF	B	40	257.62	n/a	n/a	2.00	5.0
APEX CAPITAL MGMT.	091	JCP	B	20,000	62.55	12-Oct	12-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	JCP	S	5,000	62.25	12-Oct	12-Oct	200.00	4.0
EGS ASSOCIATES LP	091	JCP	B	5,000	62.06	12-Oct	12-Oct	300.00	6.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	43.83	12-Oct	12-Oct	400.00	4.0
COUGAR TRADING	044	KSS	B	5,000	60.77	27-Sep	12-Oct	250.00	5.0
TRIVIUM CAP MGMT	251	KSS	B	11,300	60.21	27-Sep	12-Oct	452.00	4.0
TOCQUEVILLE ASSET MGMT	048	LEE	B	64,500	17.27	n/a	n/a	3,870.00	6.0
KAICHER	064	LMEC	B	700	1.85	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	LTD	C	31,800	22.12	16-May	12-Oct	1,590.00	5.0
BELMONT GLOBAL ADV	248	MON	B	9,400	93.39	n/a	11-Oct	470.00	5.0
BUCK CAPITAL MGMT	001	MW	B	30,000	43.18	n/a	n/a	1,200.00	4.0
PRINCIPLE CAPITAL	040	MW	B	21,800	43.13	n/a	n/a	872.00	4.0
BUCK CAPITAL MGMT	001	M	B	20,000	33.78	24-Sep	12-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	M	S	15,000	33.52	24-Sep	12-Oct	600.00	4.0
PRINCIPLE CAPITAL	040	M	S	66,000	33.42	24-Sep	12-Oct	1,980.00	3.0
BASIX	033	NDN	B	27,000	11.18	13-Aug	12-Oct	1,080.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGUIRE	039	NRG	S	200	45.25	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	NTY	B	69,445	40.70	n/a	n/a	2,777.80	4.0
WHITE PINE CAPITAL	030	NWY	B	99,225	6.51	25-May	24-Aug	4,961.25	5.0
PATTEN & PATTEN	067	PBW	B	850	24.03	n/a	n/a	42.50	5.0
MTB INV ADV	034	PLCE	S	34,775	24.50	26-Sep	12-Oct	1,738.75	5.0
BUCK CAPITAL MGMT	001	PSS	S	160,000	20.42	n/a	n/a	6,400.00	4.0
BULL PATH CAPITAL	044	PSUN	B	25,000	17.23	n/a	12-Oct	1,250.00	5.0
PATTEN & PATTEN	067	QQQQ	B	375	53.34	n/a	n/a	18.75	5.0
WHEELER	008	QXWBF	S	50	2.65	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	RCKY	S	8,200	9.73	n/a	n/a	410.00	5.0
CAPITAL GROWTH MGMT.	241	RIO	S	30,000	35.71	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	71.46	9-Aug	29-Aug	800.00	4.0
ASCEND PARTNERS	033	ROST	B	29,000	29.03	n/a	n/a	1,450.00	5.0
ROXBURY CAPITAL MGMT	035	RT	S	191,183	15.83	n/a	n/a	7,647.32	4.0
NATIONAL BK OF CAN	031	SCHW	B	60,000	22.59	n/a	n/a	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	SHOE	SS	12,399	2.43	n/a	n/a	0.00	0.0
JPM SI/TOM LEDDY	035	SKS	B	10,000	18.06	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	20.87	n/a	13-Mar	400.00	4.0
THE BOSTON COMPANY	214	SPLS	S	468,020	21.98	n/a	27-Jul	18,720.80	4.0
ASCEND PARTNERS	033	STKL	SS	25,000	14.45	n/a	n/a	1,250.00	5.0
CATAPULT	040	STT	S	5,000	69.99	n/a	n/a	250.00	5.0
MAGUIRE	039	SWN	S	100	45.83	n/a	1-Oct	0.00	0.0
CHILTON CAPITAL MGMT.	036	SWY	B	30,000	34.21	n/a	n/a	1,200.00	4.0
J L F ASSET MGMT	039	SWY	B	21,900	33.99	n/a	n/a	876.00	4.0
NORTHPOINT	030	TAXI	S	2,300	10.95	n/a	n/a	92.00	4.0
BUCK CAPITAL MGMT	001	TFR	S	5,200	7.00	n/a	n/a	208.00	4.0
BUCK	015	TGT	B	1,300	64.94	n/a	27-Jul	0.00	0.0
ENTRUST CAPITAL	040	THO	SS	44,100	51.08	n/a	n/a	2,205.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	5,000	30.60	21-Sep	12-Oct	200.00	4.0
KAICHER	064	TM	B	7	112.49	n/a	n/a	0.00	0.0
WHEELER	008	TRBR	S	3,600	14.91	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORMAN	003	TTM	B	4,000	20.67	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	30.58	2-Oct	2-Oct	400.00	4.0
JP MORGAN VENTURES	046	VFC	SS	6,300	79.62	n/a	n/a	315.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	25,000	27.10	5-Oct	12-Oct	1,250.00	5.0
MAGUIRE	039	WRNC	S	200	42.36	19-Sep	28-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	9,200	14.46	n/a	7-Sep	368.00	4.0
TOTAL (Trade Date):							172,652.47		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/11	CAPITAL GROWTH MGMT. (CAPG4892)	241	DVN	B	20,000	88.67	19-Sep	11-Oct	1000.00 5.0
AO,CRT	10/11	CAPITAL GROWTH MGMT. (CAPG4811)	241	DVN	B	20,000	88.67	19-Sep	11-Oct	1000.00 5.0
AO,	10/11	NUMERIC (NUMICATVEB)	060	ETN	S	900	99.16	9-Oct	9-Oct	27.00 3.0
AO,	10/11	NUMERIC (NUMICAT401)	060	ETN	S	800	99.16	9-Oct	9-Oct	24.00 3.0
AO,	10/11	NUMERIC (NUMIDOZEN)	060	ETN	S	3,900	99.16	9-Oct	9-Oct	117.00 3.0
AO,	10/11	NUMERIC (NUMIHEARST)	060	ETN	S	500	99.16	9-Oct	9-Oct	15.00 3.0
AO,	10/11	NUMERIC (NUMIKSPAN)	060	ETN	S	800	99.16	9-Oct	9-Oct	24.00 3.0
AO,	10/11	NUMERIC (NUMIKSPANM)	060	ETN	S	100	99.16	9-Oct	9-Oct	3.00 3.0
AO,	10/11	NUMERIC (NUMIPACMED)	060	ETN	S	400	99.16	9-Oct	9-Oct	12.00 3.0
AO,	10/11	NUMERIC (NUMIPACRET)	060	ETN	S	3,000	99.16	9-Oct	9-Oct	90.00 3.0
AO,	10/11	NUMERIC (NUMIBOA)	060	ETN	S	4,100	99.16	9-Oct	9-Oct	123.00 3.0
AO,	10/11	NUMERIC (NUMICATALP)	060	ETN	S	800	99.16	9-Oct	9-Oct	24.00 3.0
AO,	10/11	NUMERIC (NUMISHELGR)	060	ETN	S	1,700	99.16	9-Oct	9-Oct	51.00 3.0
AO,	10/11	NUMERIC (NUMISIMEON)	060	ETN	S	600	99.16	9-Oct	9-Oct	18.00 3.0
AO,	10/11	NUMERIC (NUMITEA210)	060	ETN	S	300	99.16	9-Oct	9-Oct	9.00 3.0
AO,	10/11	NUMERIC (NUMIUNOCAL)	060	ETN	S	3,200	99.16	9-Oct	9-Oct	96.00 3.0
AO,	10/11	NUMERIC (NUMIGS)	060	ETN	S	10,600	99.16	9-Oct	9-Oct	318.00 3.0
AO,	10/11	NUMERIC (NUMIMORGAN)	060	ETN	S	3,300	99.16	9-Oct	9-Oct	99.00 3.0
AO,	10/11	ROXBURY CAPITAL MGMT (ROXB40521)	035	MW	B	390	44.33	n/a	n/a	15.60 4.0
AO,CXL	10/11	ROXBURY CAPITAL MGMT (ROXB40504)	035	MW	B	390	44.33	n/a	n/a	15.60 4.0
AO,	10/11	WILLOW CREEK (WILLMAIN)	033	NLS	B	20,000	8.24	n/a	n/a	800.00 4.0
AO,	10/11	SCOGGIN CAP (SCOGSCOGGI)	044	VC	S	50,000	6.21	n/a	10-Oct	2500.00 5.0
AO,	10/11	SCOGGIN CAP (SCOGINTERN)	044	VC	S	50,000	6.21	n/a	10-Oct	2500.00 5.0
TOTAL (AO, CXL, CRT) :										6,850.00

TOTAL (Trade Date):	172,652.47
TOTAL (AO, CXL, CRT):	6,850.00

TOTAL (RUN DATE) / NFS:	179,502.47
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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