



## Daily Compliance Activity Report

Trade Date: 08/07/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J.W. SELIGMAN	032	ABT	B	104,400	54.11	n/a	22-Apr	4,176.00	4.0
<b>LUCHANSKY</b>	<b>036</b>	<b>AEMD</b>	<b>S</b>	<b>1,000</b>	<b>0.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SLS CAPITAL LLC	224	AEO	B	208,800	24.00	10-Jul	6-Aug	8,352.00	4.0
ROBX	035	AHR	B	150,000	7.17	n/a	n/a	5,250.00	3.5
<b>LISTED ERR</b>	<b>099</b>	<b>AIG</b>	<b>B</b>	<b>2,700</b>	<b>65.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AMBER CAPITAL	046	AIN	S	151,100	40.08	n/a	n/a	6,044.00	4.0
COUGAR TRADING	044	ANF	S	15,000	71.72	12-Jul	6-Aug	750.00	5.0
J L F ASSET MGMT	039	ANF	B	20,900	71.57	12-Jul	6-Aug	836.00	4.0
U.S.TRUST COMPANY	012	APC	B	55,000	50.45	22-Jun	31-Jul	2,475.00	4.5
THE JAY GOLDMAN	034	ARO	B	80,000	36.65	n/a	6-Aug	3,200.00	4.0
SUFFOLK CAPITAL MGMT	040	BAC	B	181,500	48.19	20-Apr	20-Jul	7,260.00	4.0
<b>LEDY</b>	<b>035</b>	<b>BBW</b>	<b>B</b>	<b>500</b>	<b>18.20</b>	<b>15-Jun</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	BGC	S	60,000	59.81	n/a	n/a	3,000.00	5.0
<b>KERN</b>	<b>050</b>	<b>BHP</b>	<b>B</b>	<b>100</b>	<b>62.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	BONT	S	5,000	20.72	3-Aug	6-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KERN	050	BSCTC	B	10	5.20	n/a	n/a	0.00	0.0
KERN	050	BSCTC	S	10	7.00	n/a	n/a	0.00	0.0
ZOLIDIS	011	BSC	B	39	120.17	n/a	6-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	B	20,000	20.05	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	048	CASY	B	25,000	26.92	n/a	n/a	750.00	3.0
MAGUIRE	090	CCOI	B	3,000	23.39	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	CDWC	S	10,900	83.91	n/a	n/a	545.00	5.0
Õ Glenn Redemann		CEPH	B	3	0.7500	1-Aug	6-Aug	0.00	0.0
Õ Glenn Redemann		CEPH	B	3	1.1200	1-Aug	6-Aug	0.00	0.0
ZOLIDIS	011	CHS	C	700	18.47	12-Jul	6-Aug	0.00	0.0
Õ Glenn Redemann		COGN	B	3	0.1100	n/a	n/a	0.00	0.0
Õ Glenn Redemann		COGN	B	3	0.2000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		COGN	SS	3	0.7500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		COGN	SS	3	0.9100	n/a	n/a	0.00	0.0
BRANDWINE	028	C	B	83,900	48.69	n/a	23-Jul	3,775.50	4.5
ROSENBERG	034	DBD	S	1,100	50.68	2-Aug	2-Aug	0.00	0.0
BARON ASSET MGMT*	012	DKS	B	10,000	58.49	n/a	n/a	500.00	5.0
MCCARTAN	028	DURA OPER CORP	S	25,000	52.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MANNING & NAPIER	034	DWA	S	90,500	30.64	n/a	n/a	3,620.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>EFT</b>	<b>B</b>	<b>1,900</b>	<b>17.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BRUNNER</b>	<b>012</b>	<b>EXPD</b>	<b>S</b>	<b>500</b>	<b>49.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>FIG</b>	<b>B</b>	<b>1,500</b>	<b>19.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	FITB	SS	20,000	39.61	n/a	n/a	1,000.00	5.0
NWQ INVESTMENT MGMT CO	048	GFF	B	15,000	12.84	n/a	n/a	600.00	4.0
J.W. SELIGMAN	032	GT	B	67,500	26.24	n/a	n/a	2,700.00	4.0
LOOMIS SALES/BOSTON	036	HAS	C	32,400	27.08	n/a	n/a	1,296.00	4.0
FARALLON CAP MGMT	040	HD	S	316,100	36.54	n/a	27-Jul	6,322.00	2.0
Õ <b>Glenn Redemann</b>		<b>HNT</b>	<b>B</b>	<b>3</b>	<b>0.6200</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>HNT</b>	<b>B</b>	<b>3</b>	<b>1.1800</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	INTC	S	235,000	23.78	n/a	n/a	9,400.00	4.0
<b>BARR</b>	<b>096</b>	<b>IPGP</b>	<b>S</b>	<b>1,900</b>	<b>17.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JCG	S	20,500	50.32	22-Jun	6-Aug	1,025.00	5.0
BEAR STEARNS ASSET MGMT.	033	JCP	C	66,900	68.13	21-Jun	6-Aug	2,676.00	4.0
TRELLUS PARTNERS LP	028	JCP	B	20,000	68.47	21-Jun	6-Aug	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	B	50,000	47.56	12-Jul	6-Aug	2,000.00	4.0
MAGUIRE	039	KSS	B	100	60.26	14-Jun	27-Jul	0.00	0.0
KERN	050	LEH	B	100	61.19	12-Jun	2-Aug	0.00	0.0
CAMBIAR CAP	046	LPNT	B	38,940	28.32	n/a	25-Jul	1,557.60	4.0
LEDDY	035	LULU	B	500	35.50	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	LUV	S	32,600	15.75	n/a	n/a	978.00	3.0
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	4.90	26-Jul	7-Aug	1,200.00	6.0
LEDDY	035	MER	B	400	76.52	18-Jul	2-Aug	0.00	0.0
MORGAN LEWIS/MLH	046	MGI	B	15,000	23.69	n/a	n/a	750.00	5.0
BARR	096	MTG	SS	700	35.50	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	M	B	123,400	34.63	13-Jul	6-Aug	4,936.00	4.0
PRINCIPLE CAPITAL	040	M	B	100,000	34.57	13-Jul	6-Aug	3,000.00	3.0
WAGONHOUND	048	M	B	4,770	33.75	13-Jul	6-Aug	190.80	4.0
PAKLER	N22	NILE	S	71	93.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NWY	B	100,000	8.82	25-May	6-Aug	4,000.00	4.0
LEDDY	035	OPY	B	300	47.75	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	PMD	S	7,200	19.86	n/a	n/a	360.00	5.0
<b>BARR</b>	<b>096</b>	<b>PMI</b>	<b>SS</b>	<b>250</b>	<b>30.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	PSUN	SS	10,000	17.92	n/a	6-Aug	500.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>PVH</b>	<b>B</b>	<b>200</b>	<b>55.47</b>	<b>31-May</b>	<b>6-Aug</b>	<b>0.00</b>	<b>0.0</b>
STANDARD PACIFIC CAPITAL	040	RAD	SS	500,000	5.03	n/a	n/a	15,000.00	3.0
<b>BARR</b>	<b>096</b>	<b>RDN</b>	<b>SS</b>	<b>500</b>	<b>23.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	RL	B	10,000	91.31	21-Jun	7-Aug	400.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>RTH</b>	<b>C</b>	<b>300</b>	<b>101.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	RX	S	47,160	29.54	n/a	n/a	2,358.00	5.0
<b>PAKLER</b>	<b>N22</b>	<b>SAM</b>	<b>B</b>	<b>141</b>	<b>46.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>30,000</b>	<b>19.85</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
<b>OTC ERROR</b>	<b>099</b>	<b>SLB</b>	<b>B</b>	<b>100</b>	<b>89.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OTC ERROR</b>	<b>099</b>	<b>SLB</b>	<b>S</b>	<b>100</b>	<b>88.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BELMONT GLOBAL ADV	248	SMBL	B	20,000	8.90	n/a	n/a	1,000.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>SUNW</b>	<b>B</b>	<b>1,500</b>	<b>5.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY2</b>	<b>036</b>	<b>S</b>	<b>SS</b>	<b>1,000</b>	<b>19.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
U.S.TRUST COMPANY	012	TEL	S	111,607	34.75	n/a	n/a	5,022.33	4.5
<b>LUCHANSKY2</b>	<b>036</b>	<b>TGIC</b>	<b>C</b>	<b>1,000</b>	<b>24.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	TJX	S	5,000	28.68	13-Jul	6-Aug	250.00	5.0
SAC DOUG RODGERS	040	TROW	SS	50,000	53.05	n/a	2-Aug	2,500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>TWB</b>	<b>B</b>	<b>700</b>	<b>36.98</b>	<b>2-Jul</b>	<b>6-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>TWM</b>	<b>S</b>	<b>1,800</b>	<b>74.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FARALLON CAP MGMT	040	TXU	S	373,964	64.82	n/a	n/a	7,479.28	2.0
HEALY CIRCLE	044	TYC	S	10,000	47.41	6-Aug	7-Aug	500.00	5.0
CAXTON PART	040	UFS	B	100,000	8.69	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	URBN	SS	10,000	23.02	31-Jul	7-Aug	500.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>VLCM</b>	<b>S</b>	<b>100</b>	<b>40.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRUBER MACBAINE	033	XLY	B	10,000	36.69	n/a	n/a	400.00	4.0
COUGAR TRADING	044	ZQK	S	5,000	14.47	9-Mar	27-Jun	250.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>ZQK</b>	<b>S</b>	<b>325</b>	<b>13.91</b>	<b>9-Mar</b>	<b>27-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>137,934.51</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	08/07	SLS CAPITAL LLC (SLSCMSMAIN)	224	AEO	B	208,800	24.00	10-Jul	6-Aug	8352.00	4.0
AO,	08/03	LISTED ERR (LISTED ERR)	099	AIG	S	2,700	61.79	n/a	n/a	0.00	0.0
AO,	08/06	COUGAR TRADING (COUGPB MS)	044	ANF	B	5,000	69.45	12-Jul	6-Aug	250.00	5.0
AO,CXL	08/06	RAMIUS CAP (RAMIM S EX)	040	BIG	C	25,000	25.36	9-Mar	7-Aug	0.00	0.0
AO,	08/06	RAMIUS CAP (RAMIM S EX)	040	BIG	C	25,000	25.36	9-Mar	7-Aug	1250.00	5.0
AO,CXL	08/06	COUGAR TRADING (COUGPB MS)	044	BONT	S	5,000	20.47	3-Aug	6-Aug	0.00	0.0
AO,	08/06	COUGAR TRADING (COUGPB MS)	044	BONT	S	5,000	20.47	3-Aug	6-Aug	250.00	5.0
AO,	08/06	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	FDC	S	200,000	31.90	n/a	n/a	6000.00	3.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFBLUE)	040	GLW	B	3,100	23.02	n/a	1-Aug	124.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFRUSS)	040	GLW	B	21,100	23.02	n/a	1-Aug	844.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFBGROWT)	040	GLW	B	200	23.02	n/a	1-Aug	8.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFMSM)	040	GLW	B	1,300	23.02	n/a	1-Aug	52.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFUAL)	040	GLW	B	1,900	23.02	n/a	1-Aug	76.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFBRI)	040	GLW	B	2,400	23.02	n/a	1-Aug	96.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFSUE)	040	GLW	B	1,900	23.02	n/a	1-Aug	76.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFSOCALE)	040	GLW	B	3,600	23.02	n/a	1-Aug	144.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFRIFM)	040	GLW	B	2,000	23.02	n/a	1-Aug	80.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFRFG)	040	GLW	B	3,900	23.02	n/a	1-Aug	156.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFHAL)	040	GLW	B	200	23.02	n/a	1-Aug	8.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFGP)	040	GLW	B	4,000	23.02	n/a	1-Aug	160.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFRFF)	040	GLW	B	600	23.02	n/a	1-Aug	24.00	4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFOMNI)	040	GLW	B	1,400	23.02	n/a	1-Aug	56.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFKPL)	040	GLW	B	16,900	23.02	n/a	1-Aug	676.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFINT)	040	GLW	B	300	23.02	n/a	1-Aug	12.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFFRTC)	040	GLW	B	2,400	23.02	n/a	1-Aug	96.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFFREQ1)	040	GLW	B	5,900	23.02	n/a	1-Aug	236.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFILGWU)	040	GLW	B	1,200	23.02	n/a	1-Aug	48.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFFRDIV)	040	GLW	B	15,600	23.02	n/a	1-Aug	624.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFFPPI)	040	GLW	B	5,000	23.02	n/a	1-Aug	200.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFFLC)	040	GLW	B	1,300	23.02	n/a	1-Aug	52.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFEMG)	040	GLW	B	800	23.02	n/a	1-Aug	32.00 4.0
AO,	08/06	SUFFOLK CAPITAL MGMT (SUFFDAL)	040	GLW	B	3,000	23.02	n/a	1-Aug	120.00 4.0
AO,	08/06	HIGHFIELDS CAP MGMT (HIGFMORGAN)	039	NT	S	256,418	18.29	n/a	22-Mar	12820.90 5.0
AO,	08/06	SNYDER CAPITAL (SNYD1316)	038	OMX	B	1,400	34.00	n/a	15-Apr	56.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1313)	038	OMX	B	200	34.00	n/a	15-Apr	8.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1313)	038	OMX	B	2,900	34.00	n/a	15-Apr	116.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1400)	038	OMX	B	8,000	34.00	n/a	15-Apr	320.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1312)	038	OMX	B	600	34.00	n/a	15-Apr	24.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1164)	038	OMX	B	5,000	34.00	n/a	15-Apr	200.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1301A)	038	OMX	B	800	34.00	n/a	15-Apr	32.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1311)	038	OMX	B	100	34.00	n/a	15-Apr	4.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1310)	038	OMX	B	1,400	34.00	n/a	15-Apr	56.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1301B)	038	OMX	B	1,200	34.00	n/a	15-Apr	48.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1307)	038	OMX	B	1,100	34.00	n/a	15-Apr	44.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1304)	038	OMX	B	900	34.00	n/a	15-Apr	36.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1301)	038	OMX	B	8,200	34.00	n/a	15-Apr	328.00 4.0
AO,	08/06	SNYDER CAPITAL (SNYD1000)	038	OMX	B	1,700	34.00	n/a	15-Apr	68.00 4.0
AO,CXL	08/06	COUGAR TRADING (COUGPB MS)	044	RL	SS	15,000	28.93	21-Jun	7-Aug	750.00 5.0
AO,	08/06	COUGAR TRADING (COUGPB MS)	044	RL	SS	10,000	86.06	21-Jun	7-Aug	500.00 5.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	08/07	OTC ERROR (OTC ERROR)	099	SLB	B	100	89.02	n/a	n/a	0.00	0.0
AO,	08/06	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	TXU	B	50,000	64.10	n/a	n/a	1500.00	3.0
AO,	08/06	MKT MAKER (MKT MAKER)	099	URBN	S	20,455	20.96	31-Jul	7-Aug	0.00	0.0
AO,CXL	07/17	SOCIETY GENERALE (SOCIGSPB)	040	WBC	S	7,000	58.00	n/a	n/a	350.00	5.0
AO,CRT	07/17	SOCIETY GENERALE (SOCIGSPB)	040	WBC	S	7,000	58.00	n/a	n/a	280.00	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>35,442.90</b>	
TOTAL (Trade Date) :										137,934.51	
TOTAL (AO, CXL, CRT) :										35,442.90	
<b>TOTAL (RUN DATE) / NFS:</b>										<b>173,377.41</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