



Daily Compliance Activity Report

Trade Date: 08/22/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	AAPL	B	10	131.30	n/a	n/a	0.40	4.0
NEUBERGER BERMAN	036	ABT	B	15	52.75	n/a	22-Apr	0.75	5.0
BALYASNY ASSET MGMT	044	AB	S	10,000	82.30	9-Aug	22-Aug	500.00	5.0
WOOSTER CAPITAL	035	AB	B	25,000	83.65	9-Aug	22-Aug	1,250.00	5.0
NEUBERGER BERMAN	036	ADBE	B	20	40.40	n/a	n/a	0.80	4.0
DSG CAPITAL	225	AEO	B	10,000	23.11	10-Jul	21-Aug	500.00	5.0
RH CAPITAL ASSOCIATES	060	AEO	B	50,000	23.28	10-Jul	21-Aug	2,500.00	5.0
NEUBERGER BERMAN	036	AMT	B	15	38.33	n/a	n/a	0.75	5.0
COUGAR TRADING	044	ANF	SS	10,000	77.22	12-Jul	10-Aug	500.00	5.0
COUGAR TRADING	044	ANF	S	5,000	78.87	12-Jul	10-Aug	250.00	5.0
NEUBERGER BERMAN	036	ANF	B	5	79.55	12-Jul	10-Aug	0.25	5.0
BALYASNY ASSET MGMT	044	ARO	B	15,000	23.50	n/a	15-Aug	750.00	5.0
COUGAR TRADING	044	ARO	B	5,000	23.50	n/a	15-Aug	250.00	5.0
COUGAR TRADING	044	ARO	SS	5,000	23.52	n/a	15-Aug	250.00	5.0
ROTHSCHILD ASSET	040	ARO	S	2,540	23.45	n/a	15-Aug	114.30	4.5
B BUCK CAPITAL MGMT		AVCI	SS	35,000	8.55	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	AXP	B	15	59.42	n/a	n/a	0.75	5.0
NEUBERGER BERMAN	036	BAX	B	15	51.00	n/a	22-Apr	0.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	BDX	B	10	77.90	n/a	22-Apr	0.50	5.0
PATTEN & PATTEN	067	BHP	B	200	59.49	n/a	n/a	10.00	5.0
NEUBERGER BERMAN	036	BIIB	B	5	59.94	n/a	n/a	0.20	4.0
NEUBERGER BERMAN	036	BNI	B	5	80.71	n/a	n/a	0.25	5.0
PATTEN & PATTEN	067	CAT	S	50	75.33	n/a	n/a	2.50	5.0
ROTHSCHILD ASSET	040	CLF	S	12,550	69.78	n/a	n/a	564.75	4.5
NEUBERGER BERMAN	036	CL	B	15	67.00	n/a	25-Jul	0.75	5.0
MORGENS WATERFALL	040	CMA	SS	10,000	58.18	n/a	n/a	500.00	5.0
HARVEST MGMT	039	CMRG	B	25,000	11.43	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	CNQ	B	15	64.75	n/a	n/a	0.75	5.0
COUGAR TRADING	044	COH	S	5,000	43.20	n/a	1-Aug	250.00	5.0
NEUBERGER BERMAN	036	CPLA	B	2,600	48.28	n/a	n/a	104.00	4.0
NEUBERGER BERMAN	036	CSCO	B	40	30.45	n/a	22-Mar	1.60	4.0
BACKUS	005	CSCT	S	6,000	17.90	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	CSX	C	141,669	43.82	n/a	n/a	5,666.76	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	CVA	B	525	22.15	n/a	n/a	26.25	5.0
IRIDIAN ASSET MGMT.	036	C	B	52,540	47.93	n/a	16-Aug	2,627.00	5.0
NEUBERGER BERMAN	036	C	B	10	48.50	n/a	16-Aug	0.50	5.0
NEUBERGER BERMAN	036	DHR	B	5	76.64	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	DOX	B	15	35.00	n/a	n/a	0.75	5.0
PAW PARTNERS	033	DSW	B	30,000	33.07	2-Aug	10-Aug	1,500.00	5.0
NEUBERGER BERMAN	036	EMC	B	45	19.70	n/a	n/a	2.25	5.0
NEUBERGER BERMAN	036	EMR	B	10	46.67	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	EOG	B	5	68.80	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	ERIC	B	15	35.87	n/a	n/a	0.60	4.0
PATTEN & PATTEN	067	ERTS	B	100	51.87	n/a	n/a	5.00	5.0
BACKUS	005	EVST	S	2,000	32.11	n/a	n/a	0.00	0.0
SATELLITE ASSET MGMT	012	EV	SS	20,000	40.03	23-May	22-Aug	800.00	4.0
PATTEN & PATTEN	067	EWG	S	375	31.40	n/a	n/a	18.75	5.0
PATTEN & PATTEN	067	EWI	B	150	17.68	n/a	n/a	7.50	5.0
NEUBERGER BERMAN	036	EXC	B	10	71.80	n/a	n/a	0.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRONET	030	EXH	S	400	77.70	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	FCN	B	800	53.07	n/a	n/a	40.00	5.0
HARVEST MGMT	039	FRED	B	50,000	10.92	n/a	10-Aug	2,500.00	5.0
BACKUS	005	GCO	S	1,000	51.70	n/a	10-Jan	0.00	0.0
NEUBERGER BERMAN	036	GD	B	5	77.96	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	GE	B	10	38.72	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	GG	B	15	22.25	n/a	n/a	0.75	5.0
COLONIAL FUND LLC	036	GIII	B	10,000	15.19	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	GLW	B	450	23.52	n/a	21-Aug	22.50	5.0
ADAGE CAPITAL MGMT	030	GPS	B	34,500	17.58	n/a	10-Aug	1,380.00	4.0
B BUCK CAPITAL MGMT		GPS	B	20,000	17.50	n/a	10-Aug	non-brg	5.0
ROTHSCHILD ASSET	040	GPS	B	130,490	17.69	n/a	10-Aug	5,872.05	4.5
MUHLENKAMP FUND	046	GT	B	208,762	29.31	n/a	n/a	10,438.10	5.0
COLONIAL FUND LLC	036	GYMB	B	25,000	41.51	10-Aug	21-Aug	1,250.00	5.0
SSI INVESTORS	048	GYMB	B	11,700	41.86	10-Aug	21-Aug	468.00	4.0
NEUBERGER BERMAN	036	HPQ	B	15	46.54	n/a	n/a	0.75	5.0
NEUBERGER BERMAN	036	IBM	B	5	110.09	n/a	n/a	0.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BACKUS	005	ICON	S	5,000	20.19	n/a	n/a	0.00	0.0
KORMAN	003	IMBUC	S	100	1.05	n/a	n/a	0.00	0.0
KORMAN	003	IMBUV	S	100	0.75	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	INTC	B	35	24.05	n/a	n/a	1.40	4.0
NEUBERGER BERMAN	036	INTU	B	20	28.76	n/a	n/a	0.80	4.0
MILLENIUM PARTNERS	028	IP	SS	1,000	33.78	4-May	20-Aug	50.00	5.0
BACKUS	005	ISE	S	1,000	66.09	30-Apr	16-Aug	0.00	0.0
NEUBERGER BERMAN	036	ITT	B	10	63.07	n/a	27-Jul	0.50	5.0
PATTEN & PATTEN	067	ITT	B	50	64.19	n/a	27-Jul	2.50	5.0
COUGAR TRADING	044	JCG	S	5,000	49.30	22-Jun	6-Aug	250.00	5.0
NEUBERGER BERMAN	036	JCI	B	5	113.10	19-Jul	19-Jul	0.25	5.0
NEUBERGER BERMAN	036	JNJ	B	5	61.70	n/a	22-Apr	0.25	5.0
BUCK CAPITAL MGMT	001	JWN	B	5,000	46.61	12-Jul	17-Aug	200.00	4.0
NEUBERGER BERMAN	036	KFT	B	10	31.66	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	KO	B	15	54.37	n/a	n/a	0.75	5.0
CAPITAL GROWTH MGMT.	241	KR	S	20,000	26.31	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	B	10,000	59.51	14-Jun	27-Jul	400.00	4.0
BUCK CAPITAL MGMT		KSS	B	10,000	59.68	14-Jun	27-Jul	non-brg	5.0
NEUBERGER BERMAN	036	LLL	B	5	98.53	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	MCD	B	15	48.93	24-Apr	24-Apr	0.75	5.0
BUCK CAPITAL MGMT		MDTL	SS	25,000	10.33	n/a	n/a	non-brg	5.0
CHARTER OAK	033	MDT	B	48,301	52.37	n/a	22-Apr	2,415.05	5.0
NEUBERGER BERMAN	036	MDT	B	15	52.40	n/a	22-Apr	0.75	5.0
PATTEN & PATTEN	067	MDT	S	75	52.57	n/a	22-Apr	3.75	5.0
BARR	096	MENT	B	3,000	12.18	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MHP	S	250	50.06	n/a	n/a	12.50	5.0
PATTEN & PATTEN	067	MMC	S	600	26.91	n/a	n/a	30.00	5.0
NEUBERGER BERMAN	036	MON	B	15	64.85	n/a	21-Aug	0.75	5.0
NEUBERGER BERMAN	036	MO	B	10	67.90	n/a	n/a	0.50	5.0
AMATURO	018	MPEL	S	4,000	12.86	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	MSFT	B	30	28.20	n/a	3-Apr	1.20	4.0
PATTEN & PATTEN	067	MS	B	125	63.90	2-Jul	16-Aug	6.25	5.0
MILLENIUM PARTNERS	028	MWV	B	2,000	31.25	31-Jul	20-Aug	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	MW	C	150,000	51.75	n/a	n/a	6,000.00	4.0
ROXBURY CAPITAL MGMT	035	MW	S	128,000	51.71	n/a	n/a	5,120.00	4.0
MAGUIRE	090	MZZ	B	5,000	56.95	n/a	n/a	0.00	0.0
BARR	096	MZZ	B	800	57.00	n/a	n/a	0.00	0.0
BARR	096	NCC	SS	1,000	27.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NDN	S	168,100	11.58	13-Aug	13-Aug	non-brg	5.0
LEDDY	035	NEXC	B	2,300	6.24	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	NKE	B	5	54.35	n/a	n/a	0.25	5.0
NEUBERGER BERMAN	036	NOV	B	5	112.99	n/a	n/a	0.25	5.0
COUGAR TRADING	044	NWY	S	30,000	7.54	25-May	10-Aug	1,500.00	5.0
NEUBERGER BERMAN	036	OEH	B	2,100	47.50	n/a	n/a	105.00	5.0
PATTEN & PATTEN	067	OIH	S	100	168.32	n/a	n/a	5.00	5.0
MERRILL ASSET	032	ONB	S	34,700	16.44	n/a	n/a	1,561.50	4.5
NEUBERGER BERMAN	036	OXY	B	5	54.98	n/a	n/a	0.25	5.0
STRONG/WELL HOWARD	038	PBG	S	35,000	34.88	n/a	n/a	1,400.00	4.0
NEUBERGER BERMAN	036	PBR	B	5	55.44	n/a	n/a	0.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	PCP	B	5	132.04	n/a	n/a	0.25	5.0
BARR	096	PDFS	B	1,000	9.52	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	PEP	B	10	68.63	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	PG	B	15	64.99	n/a	3-Aug	0.75	5.0
CHARTER OAK	033	PRXI	B	35,546	15.01	n/a	n/a	1,777.30	5.0
BUCK CAPITAL MGMT	001	PVH	B	92,900	53.13	13-Aug	13-Aug	3,716.00	4.0
B BUCK CAPITAL MGMT		PVH	B	15,000	53.24	13-Aug	13-Aug	non-brg	2.0
PATTEN & PATTEN	067	PWR	B	400	26.40	n/a	n/a	20.00	5.0
HIGHBRIDGE CAPITAL	038	RBC	SS	30,600	51.09	n/a	n/a	1,530.00	5.0
COUGAR TRADING	044	RL	S	5,000	78.73	9-Aug	9-Aug	250.00	5.0
APEX CAPITAL MGMT.	091	ROST	B	150,000	27.26	n/a	n/a	7,500.00	5.0
PATTEN & PATTEN	067	RSG	S	90	30.30	n/a	n/a	4.50	5.0
NEUBERGER BERMAN	036	SE	B	15	22.04	n/a	n/a	0.75	5.0
B BUCK CAPITAL MGMT		SKX	B	5,000	19.96	n/a	13-Mar	non-brg	5.0
NEUBERGER BERMAN	036	SLB	B	10	90.57	n/a	n/a	0.50	5.0
CUMBERLAND	038	SLG	S	10,000	113.32	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MENCKE	055	SMSI	S	100	13.96	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	SSCC	S	80,000	10.97	4-May	20-Aug	4,000.00	5.0
NEUBERGER BERMAN	036	STT	B	10	63.40	n/a	n/a	0.50	5.0
PATTEN & PATTEN	067	SWN	B	225	37.12	n/a	3-Aug	11.25	5.0
NEUBERGER BERMAN	036	TCK	B	17,900	42.49	n/a	n/a	716.00	4.0
NEUBERGER BERMAN	036	TGT	B	10	61.36	n/a	27-Jul	0.50	5.0
WOOSTER CAPITAL	035	TGT	B	50,000	61.79	n/a	27-Jul	2,500.00	5.0
ASCEND PARTNERS	033	TJX	S	25,000	29.66	13-Jul	15-Aug	1,250.00	5.0
ß BUCK CAPITAL MGMT		TJX	S	202,900	29.69	13-Jul	15-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		TJX	S	30,000	29.76	13-Jul	15-Aug	non-brg	2.0
ß BUCK CAPITAL MGMT		TJX	S	50,000	29.55	13-Jul	15-Aug	non-brg	5.0
WESTLANE CAPITAL	044	TJX	S	10,000	29.93	13-Jul	15-Aug	500.00	5.0
NEUBERGER BERMAN	036	TMO	B	15	51.04	n/a	n/a	0.75	5.0
ß BUCK CAPITAL MGMT		TRLG	B	10,000	17.58	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	28.15	2-Jul	16-Aug	800.00	4.0
ß BUCK CAPITAL MGMT		TWB	S	20,000	29.55	2-Jul	16-Aug	non-brg	5.0
GOLD SACHS SPECIAL SIT	030	TWB	B	75,000	29.83	2-Jul	16-Aug	3,750.00	5.0
PATTEN & PATTEN	067	TWTC	B	150	21.43	4-May	16-Aug	7.50	5.0
NEUBERGER BERMAN	036	TWX	B	25	18.81	n/a	n/a	1.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	TXN	B	25	33.99	n/a	n/a	1.25	5.0
NEUBERGER BERMAN	036	T	B	15	39.14	25-Jul	16-Aug	0.75	5.0
NEUBERGER BERMAN	036	UNH	B	10	49.00	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	UTX	B	10	73.14	n/a	n/a	0.50	5.0
SAXON WOODS ADVISORS	038	UTX	S	10,000	73.20	n/a	n/a	500.00	5.0
MENCKE	055	VIP	B	75	21.12	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	VMC	B	3,000	90.25	n/a	n/a	150.00	5.0
MERRILL ASSET	032	WBS	S	20,400	43.56	n/a	n/a	1,020.00	5.0
NEUBERGER BERMAN	036	WFR	B	10	60.40	n/a	n/a	0.50	5.0
NEUBERGER BERMAN	036	WLT	S	80,700	23.75	n/a	n/a	4,035.00	5.0
SUN AMERICA ASSET MGMT	030	WYE	B	56,200	46.02	n/a	31-Mar	2,810.00	5.0
PATTEN & PATTEN	067	XBI	S	490	54.27	n/a	n/a	24.50	5.0
SATELLITE ASSET MGMT	012	ZION	B	5,000	73.95	n/a	n/a	200.00	4.0
BACKUS	005	ZQK	S	4,750	13.84	9-Mar	27-Jun	0.00	0.0
HARVEST MGMT	039	ZUMZ	B	10,000	47.02	n/a	n/a	500.00	5.0

TOTAL (Trade Date):

100,836.56

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/13	OTC ERROR	099	CROX	S	108	52.12	n/a	n/a	0.00 0.0
AO,CRT	08/13	EMP ERROR	099	CROX	S	108	52.12	n/a	n/a	0.00 0.0
AO,	08/21	MANNING & NAPIER	034	CVC	S	310,000	32.87	8-Aug	16-Aug	12400.00 4.0
AO,CXL	08/14	OTC ERROR	099	JADE	B	2,500	6.83	n/a	n/a	0.00 0.0
AO,CRT	08/14	EMP ERROR	099	JADE	B	2,500	6.83	n/a	n/a	0.00 0.0
AO,CRT	08/15	OTC ERROR	099	JADE	S	2,500	6.46	n/a	n/a	0.00 0.0
AO,CXL	08/15	OTC ERROR	099	JADE	S	2,500	6.46	n/a	n/a	0.00 0.0
AO,	08/21	ROTHSCHILD ASSET	040	LYV	B	7,900	20.64	n/a	n/a	355.50 4.5
AO,CRT	08/21	BALYASNY ASSET MGMT	044	NWY	S	20,000	7.39	25-May	10-Aug	800.00 4.0
AO,CXL	08/21	BALYASNY ASSET MGMT	044	NWY	S	20,000	7.39	25-May	10-Aug	1000.00 5.0
AO,	08/21	US BANCORP	030	NWY	S	187,800	7.42	25-May	10-Aug	9390.00 5.0
AO,CRT	08/21	ACT II PARTNERS	067	TWTC	B	20,000	20.64	4-May	16-Aug	1000.00 5.0
AO,CXL	08/21	ACT II PARTNERS	067	TWTC	B	40,000	20.64	4-May	16-Aug	2000.00 5.0
AO,CRT	08/06	OTC ERROR	099	URBN	S	20,400	20.89	31-Jul	10-Aug	0.00 0.0
AO,CXL	08/06	OTC ERROR	099	URBN	S	20,455	20.89	31-Jul	10-Aug	0.00 0.0
AO,	08/06	MKT MAKER	099	URBN	S	55	20.89	31-Jul	10-Aug	0.00 0.0
TOTAL (AO, CXL, CRT) :										20,945.50

TOTAL (Trade Date):	100,836.56
TOTAL (AO, CXL, CRT):	20,945.50

TOTAL (RUN DATE) / NFS:	121,782.06
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MRI Securities with Trade Activity on 22-Aug. NONE

MRI Securities without Trade Activity on 22-Aug. FL
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 16% YTD = 16%
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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