



Daily Compliance Activity Report

Trade Date: 08/15/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Glenn Redemann		AA	B	300	42.5000	n/a	n/a	0.00	0.0
Glenn Redemann		AA	S	300	37.5000	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	ABG	S	3,000	21.11	18-Jun	27-Jul	180.00	6.0
CUMBERLAND	038	ACL	B	55,000	134.01	26-Jul	15-Aug	2,200.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	30,000	22.34	10-Jul	15-Aug	1,200.00	4.0
CRAMER ROSENTHAL/SCOTT	012	AEO	B	30,700	22.33	10-Jul	15-Aug	1,228.00	4.0
FRIESS MGMT	042	AEO	B	146,400	22.37	10-Jul	15-Aug	6,588.00	4.5
BARR	096	AMD	SS	1,600	12.47	n/a	n/a	0.00	0.0
MAGUIRE	090	AMR	B	1,000	21.36	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	ARO	SS	10,000	32.61	n/a	15-Aug	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	BID	B	12,300	43.73	n/a	n/a	461.25	3.8
THE JAY GOLDMAN	034	BJ	B	50,000	29.92	10-Apr	27-Jul	2,000.00	4.0
LEDDY	035	BONT	B	1,000	20.47	3-Aug	15-Aug	0.00	0.0
MAGUIRE	090	CAL	B	1,000	27.00	n/a	n/a	0.00	0.0
WHEELER	008	CFCPRA	B	5,000	14.60	n/a	n/a	0.00	0.0
WHEELER	008	CFCPRB	B	5,000	14.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	CHD	B	55,000	46.11	n/a	8-Aug	2,750.00	5.0
BALYASNY ASSET MGMT	044	CHS	SS	10,000	17.08	10-Aug	10-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	CHS	B	10,000	17.38	10-Aug	10-Aug	400.00	4.0
STANDARD PACIFIC CAPITAL	040	CHS	SS	100,000	17.50	10-Aug	10-Aug	5,000.00	5.0
Õ Glenn Redemann		CMC	B	2	0.6600	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CMC	B	2	1.1200	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	15,000	44.14	n/a	1-Aug	600.00	4.0
CAVU CAP ADV	028	COH	B	15,000	43.75	n/a	1-Aug	750.00	5.0
THIRD COAST CAPITAL	035	CONN	SS	8,400	23.58	n/a	n/a	420.00	5.0
Õ Ted Wheeler		CPNLQ	B	100	0.0000	n/a	29-Jun	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	CPWM	C	100,000	5.13	n/a	n/a	3,000.00	3.0
MAGUIRE	090	DAL	B	1,000	16.03	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	DECK	SS	10,000	87.83	n/a	n/a	500.00	5.0
GALLEON MGMT LP	033	DIA	SS	10,000	129.67	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	52.91	n/a	n/a	400.00	4.0
BARON ASSET MGMT*	012	DSW	B	76,300	31.53	2-Aug	10-Aug	3,815.00	5.0
LISTED ERR	099	DSW	S	30,000	31.71	2-Aug	10-Aug	0.00	0.0
BENCHMARK	028	EXPO	S	5,000	24.24	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY1	036	FACE	S	500	9.27	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	FII	B	5,900	32.28	n/a	10-Aug	295.00	5.0
WAGONHOUND	048	FII	SS	9,390	31.53	n/a	10-Aug	375.60	4.0
Õ Glenn Redemann		FTO	B	3	0.3600	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTO	B	3	0.5900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTO	SS	3	1.4900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTO	SS	3	1.5600	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	10,000	48.10	n/a	n/a	400.00	4.0
LISTED ERR	099	HON	S	800	56.59	19-Jul	19-Jul	0.00	0.0
WHEELER	008	HSTX	S	2,500	19.83	n/a	n/a	0.00	0.0
CROWLEY	000	ICBMX	S	600	12.85	n/a	n/a	0.00	0.0
IRONWOOD CAPITAL	067	ICOC	B	34,300	10.13	n/a	n/a	1,372.00	4.0
CUMBERLAND	038	ISIS	S	15,384	11.60	n/a	n/a	615.36	4.0
OTC ERROR	099	JADE	S	2,500	6.46	n/a	n/a	0.00	0.0
EATON VANCE MGMT	039	JCP	S	82,100	62.95	21-Jun	14-Aug	3,284.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	15,000	46.81	12-Jul	10-Aug	600.00	4.0
CAVU CAP ADV	028	JWN	S	2,400	46.62	12-Jul	10-Aug	120.00	5.0
WOOSTER CAPITAL	035	JWN	B	25,000	45.94	12-Jul	10-Aug	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	JWN	B	400	46.68	12-Jul	10-Aug	0.00	0.0
PAKLER	N22	KNOT	B	217	21.26	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	LGF	S	20,000	9.17	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	25,000	33.11	n/a	6-Aug	1,000.00	4.0
STADIA CAPITAL	035	LIZ	SS	25,000	33.15	n/a	6-Aug	1,000.00	4.0
TRUST CO/COWEN/CALF.	040	LSI	B	700,000	6.39	n/a	n/a	28,000.00	4.0
SLS CAPITAL LLC	224	LTD	S	103,400	22.05	16-May	10-Aug	4,136.00	4.0
Õ Glenn Redemann		LUFK	B	300	60.0000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		LUFK	SS	3	6.6000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		LUFK	S	300	53.0700	n/a	n/a	0.00	0.0
LEDDY	035	LULU	B	300	32.62	n/a	n/a	0.00	0.0
TPG-AXON	040	LYO	C	121,000	44.52	14-May	14-May	6,050.00	5.0
LEDDY	035	MER	B	300	71.00	18-Jul	2-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	MGM	S	15,000	71.06	n/a	3-Aug	750.00	5.0
SLS CAPITAL LLC	224	MOT	S	300,000	16.38	n/a	n/a	12,000.00	4.0
MAGUIRE	090	MZZ	B	7,500	59.38	n/a	n/a	0.00	0.0
COUGAR TRADING	044	M	B	30,000	31.51	13-Jul	14-Aug	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PALMYRA CAPITAL	048	M	S	130,000	31.42	13-Jul	14-Aug	6,500.00	5.0
PRINCIPLE CAPITAL	040	M	B	58,000	31.47	13-Jul	14-Aug	1,740.00	3.0
WHEELER	008	NLCLE	S	100	2.00	n/a	n/a	0.00	0.0
IRONWOOD CAPITAL	067	NLS	B	71,000	9.30	n/a	n/a	2,840.00	4.0
LUCHANSKY4	036	NTRZ	S	1,000	1.85	n/a	n/a	0.00	0.0
LUCHANSKY	036	NTRZ	S	1,600	1.81	n/a	n/a	0.00	0.0
LUCHANSKY1	036	NTRZ	S	500	2.18	n/a	n/a	0.00	0.0
WAGONHOUND	048	NVT	B	2,540	60.46	n/a	n/a	101.60	4.0
BUCK CAPITAL MGMT	001	OXM	S	35,000	37.55	n/a	n/a	1,400.00	4.0
NEUBERGER BERMAN	036	PEP	B	33,725	68.07	n/a	n/a	1,686.25	5.0
BEAR STEARNS ASSET MGMT.	033	PIR	C	336,300	6.32	n/a	n/a	10,089.00	3.0
APEX CAPITAL MGMT.	091	PRFT	B	10,000	21.98	n/a	n/a	500.00	5.0
MKT MAKER	099	PSUN	B	1,000	13.87	n/a	15-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	49.43	13-Aug	13-Aug	800.00	4.0
COUGAR TRADING	044	RL	B	10,000	77.78	9-Aug	9-Aug	500.00	5.0
APEX CAPITAL MGMT.	091	ROST	S	98,600	26.07	n/a	n/a	4,930.00	5.0
APEX CAPITAL MGMT.	091	RSH	B	65,000	22.42	n/a	n/a	3,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HEALY CIRCLE	044	SKS	SS	25,000	18.05	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	18.51	n/a	13-Mar	1,200.00	4.0
SARAS CAPITAL	038	SKX	S	100,000	18.84	n/a	13-Mar	5,000.00	5.0
SANDLER CAPITAL	038	SNE	SS	110,000	47.13	n/a	n/a	6,600.00	6.0
BARR	096	SNPS	S	1,000	24.99	n/a	n/a	0.00	0.0
BARR	096	STI	SS	300	76.45	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	TIF	B	25,000	43.74	1-Jun	13-Jun	1,250.00	5.0
COUGAR TRADING	044	TJX	S	25,000	28.48	13-Jul	15-Aug	1,250.00	5.0
BARR	096	TLT	B	500	86.63	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	TROW	B	40,000	49.46	n/a	10-Aug	2,000.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	5,000	36.85	2-Jul	6-Aug	200.00	4.0
MAGUIRE	090	UAUA	B	1,000	38.43	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	UNS	S	24,310	30.18	n/a	n/a	1,093.95	4.5
Õ Glenn Redemann		URBN	B	7	0.3200	31-Jul	10-Aug	0.00	0.0
Õ Glenn Redemann		URBN	B	7	0.3700	31-Jul	10-Aug	0.00	0.0
Õ Glenn Redemann		URBN	SS	7	0.9400	31-Jul	10-Aug	0.00	0.0
Õ Glenn Redemann		URBN	SS	7	1.0300	31-Jul	10-Aug	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	VQ	B	24,800	15.83	n/a	n/a	1,116.00	4.5
IVORY CAPITAL	034	VRSN	B	100,000	29.33	n/a	n/a	5,000.00	5.0
NEWL	067	WBC	B	10,000	47.13	n/a	14-Aug	400.00	4.0
Õ Glenn Redemann		WB	B	2	1.2200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WB	B	2	1.7600	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	240	WMT	S	17,100	43.25	4-Jun	27-Jul	684.00	4.0
LEDDY	035	WY	B	300	64.58	13-Jul	6-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	13.43	9-Mar	27-Jun	2,000.00	4.0
COUGAR TRADING	044	ZQK	S	5,000	13.42	9-Mar	27-Jun	250.00	5.0
TOTAL (Trade Date) :								160,621.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/14	MKT MAKER (MKT MAKER)	031	ICOC	B	70	10.29	n/a	n/a	2.80	4.0
AO,	08/14	MKT MAKER (MKT MAKER)	031	ICOC	B	70	10.29	n/a	n/a	0.00	0.0
AO,CRT	08/14	OTC ERROR (OTC ERROR)	099	JADE	B	2,500	7.10	n/a	n/a	0.00	0.0
AO,CXL	08/14	LEDDY (LEDDY)	035	JADE	B	2,500	7.10	n/a	n/a	0.00	0.0
AO,	08/14	GENERAL ELECTIC CO (GEIC8XA5)	033	MCHP	B	22	38.19	n/a	n/a	0.99	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZW80)	033	MCHP	B	124	38.19	n/a	n/a	5.58	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICGH16)	033	MCHP	B	609	38.19	n/a	n/a	27.41	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICGE29)	033	MCHP	B	10,435	38.19	n/a	n/a	469.58	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZW35)	033	MCHP	B	959	38.19	n/a	n/a	43.16	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZQ10)	033	MCHP	B	658	38.19	n/a	n/a	29.61	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZW60)	033	MCHP	B	676	38.19	n/a	n/a	30.42	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZQ50)	033	MCHP	B	7,032	38.19	n/a	n/a	316.44	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZQ7D)	033	MCHP	B	191	38.19	n/a	n/a	8.60	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZQ92)	033	MCHP	B	217	38.19	n/a	n/a	9.77	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZW59)	033	MCHP	B	128	38.19	n/a	n/a	5.76	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICGEI3)	033	MCHP	B	640	38.19	n/a	n/a	28.80	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZW3Q)	033	MCHP	B	714	38.19	n/a	n/a	32.13	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZW4Q)	033	MCHP	B	3,055	38.19	n/a	n/a	137.48	4.5
AO,	08/14	GENERAL ELECTIC CO (GEICZW7Q)	033	MCHP	B	257	38.19	n/a	n/a	11.57	4.5
AO,	08/14	GENERAL ELECTIC CO (GEIC8XA9)	033	MCHP	B	283	38.19	n/a	n/a	12.74	4.5
AO,CXL	08/13	BALYASNY ASSET MGMT (BALY)	044	NWY	S	35,000	7.55	25-May	10-Aug	1750.00	5.0
AO,CRT	08/13	BALYASNY ASSET MGMT (BALY)	044	NWY	S	35,000	7.55	25-May	10-Aug	1400.00	4.0
AO,CRT	08/14	MKT MAKER (MKT MAKER)	099	PSUN	S	1,700	14.02	n/a	15-Aug	0.00	0.0
AO,CRT	08/14	MKT MAKER (MKT MAKER)	099	PSUN	S	800	14.01	n/a	15-Aug	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/14	MKT MAKER (MKT MAKER)	099	SCHW	S	300	18.01	n/a	n/a	0.00 0.0
AO,CXL	08/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	S	30,000	12.94	9-Mar	27-Jun	1200.00 4.0
AO,CRT	08/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	S	29,900	12.94	9-Mar	27-Jun	1196.00 4.0
AO,	08/14	BUCK CAPITAL MGMT (BUCKGIL)	001	ZQK	S	100	12.94	9-Mar	27-Jun	4.00 4.0
CRT	08/15	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	S	49,900	13.43	9-Mar	27-Jun	1996.00 4.0

TOTAL (AO, CXL, CRT) :	2,813.24
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TOTAL (Trade Date) :	160,621.01
TOTAL (AO, CXL, CRT) :	2,813.24

TOTAL (RUN DATE) / NFS:	163,434.25
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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