



# Daily Compliance Activity Report

Trade Date: 10/11/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	10,000	20.53	18-Jun	8-Oct	500.00	5.0
TRELLUS PARTNERS LP	028	ABG	B	32,800	20.40	18-Jun	8-Oct	1,640.00	5.0
J.W. SELIGMAN	041	AEO	S	81,500	25.18	10-Jul	5-Oct	3,260.00	4.0
ROSEDALE CAPITAL	046	AEO	S	10,000	25.52	10-Jul	5-Oct	500.00	5.0
THIRD COAST CAPITAL	035	AEO	B	25,000	25.31	10-Jul	5-Oct	1,250.00	5.0
WOOSTER CAPITAL	035	AEO	B	50,000	25.17	10-Jul	5-Oct	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>30,000</b>	<b>36.15</b>	<b>6-Aug</b>	<b>5-Oct</b>	<b>1,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANN	S	5,000	35.69	6-Aug	5-Oct	250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ARO	S	8,500	21.90	n/a	5-Oct	340.00	4.0
KEEFE BRUYETTE WOODS A	031	BEN	B	2,900	140.33	25-Sep	8-Oct	145.00	5.0
JP MORGAN VENTURES	046	BJ	C	15,000	37.52	n/a	27-Jul	750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	BKE	B	10,800	40.45	n/a	n/a	405.00	3.8
WOOSTER CAPITAL	035	BONT	B	34,200	23.74	3-Aug	5-Oct	1,710.00	5.0
<b>SUTERA</b>	<b>160</b>	<b>BQI</b>	<b>S</b>	<b>5,000</b>	<b>4.62</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>BWS</b>	<b>B</b>	<b>20,000</b>	<b>20.94</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>S</b>	<b>30,000</b>	<b>21.60</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
NORTHPOINT	030	CASY	S	7,800	29.08	n/a	n/a	312.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVID J GREEN & CO	040	CGNX	B	144,100	19.01	n/a	n/a	5,764.00	4.0
MKT MAKER	040	CGNX	B	27	19.01	n/a	n/a	0.00	0.0
<b>PAKLER</b>	<b>N22</b>	<b>CHL</b>	<b>B</b>	<b>56</b>	<b>84.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	CLF	S	7,380	104.08	n/a	n/a	332.12	4.5
<b>OGORMAN</b>	<b>146</b>	<b>CLMS</b>	<b>S</b>	<b>200</b>	<b>31.36</b>	<b>29-May</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	CMI	B	1,000	141.68	n/a	n/a	50.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>15,000</b>	<b>44.57</b>	<b>n/a</b>	<b>10-Sep</b>	<b>600.00</b>	<b>4.0</b>
RHO CAPITAL MGMT	041	COH	SS	400	44.75	n/a	10-Sep	16.00	4.0
THIRD COAST CAPITAL	035	COH	SS	6,000	44.52	n/a	10-Sep	300.00	5.0
CAPITAL GROWTH MGMT.	241	COP	B	50,000	85.54	n/a	n/a	2,000.00	4.0
STRAUSS ASSET MGMT	040	CPBY	S	11,000	9.90	n/a	n/a	550.00	5.0
SENTINAL CAPITAL	067	CRS	S	5,000	135.88	n/a	n/a	250.00	5.0
PRINCIPLE CAPITAL	040	CS	B	23,200	69.09	n/a	n/a	928.00	4.0
PRINCIPLE CAPITAL	040	CS	S	1,000	68.93	n/a	n/a	40.00	4.0
BEAR STEARNS ASSET MGMT.	033	DRI	C	20,700	43.60	n/a	24-Apr	828.00	4.0
CAPITAL GROWTH MGMT.	241	DVN	B	20,000	88.67	19-Sep	11-Oct	1,000.00	5.0
ALLEN & CO	032	EBAY	B	37,500	39.90	n/a	n/a	1,500.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	EPL	SS	66,000	15.13	n/a	n/a	2,640.00	4.0
APEX CAPITAL MGMT.	091	ERIC	SS	100,000	41.02	n/a	n/a	5,000.00	5.0
CATAPULT	040	ETFC	B	50,000	13.71	n/a	n/a	2,500.00	5.0
KEEFE BRUYETTE WOODS A	031	EV	SS	8,200	43.76	23-May	28-Sep	410.00	5.0
AMBER CAPITAL	046	FST	SS	22,000	45.13	n/a	n/a	880.00	4.0
MAGNETAR FINANCIAL	247	F	SS	40,000	8.64	n/a	10-Oct	1,200.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>GM</b>	<b>SS</b>	<b>1,500</b>	<b>40.27</b>	<b>n/a</b>	<b>3-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	GPS	SS	10,000	19.22	n/a	10-Oct	500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>GSI</b>	<b>B</b>	<b>1,000</b>	<b>13.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN LEWIS/MLH	046	HERO	B	25,000	27.67	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	HIBB	B	15,000	25.09	n/a	n/a	750.00	5.0
AMBER CAPITAL	046	HK	SS	55,000	18.44	n/a	n/a	2,200.00	4.0
<b>GRASSANO</b>	<b>001</b>	<b>IDT</b>	<b>B</b>	<b>175</b>	<b>8.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AMBER CAPITAL	046	IEO	B	77,500	63.87	n/a	n/a	3,100.00	4.0
CAPITAL GROWTH MGMT.	241	IHP	B	20,000	66.35	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK</b>	<b>015</b>	<b>INFY</b>	<b>B</b>	<b>300</b>	<b>51.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MATRIX ASSET ADV.	036	INTC	S	20,700	26.01	n/a	n/a	828.00	4.0
COUGAR TRADING	044	JCG	B	10,000	47.16	22-Jun	6-Sep	500.00	5.0
AVESTA CAP	229	JCP	B	10,000	65.40	21-Jun	5-Oct	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	JCP	B	70,000	65.65	21-Jun	5-Oct	2,800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>S</b>	<b>510,100</b>	<b>65.89</b>	<b>21-Jun</b>	<b>5-Oct</b>	<b>20,404.00</b>	<b>4.0</b>
CASTLE ARK	031	JCP	S	230,190	65.63	21-Jun	5-Oct	13,811.40	6.0
COUGAR TRADING	044	JCP	S	10,000	64.61	21-Jun	5-Oct	500.00	5.0
HEALY CIRCLE	044	JCP	B	10,000	65.79	21-Jun	5-Oct	500.00	5.0
LOOMIS SALES/BOSTON	036	JCP	B	88,081	63.00	21-Jun	5-Oct	3,523.24	4.0
ALLEN & CO	032	JNS	B	127,500	35.11	12-Oct	8-Oct	5,100.00	4.0
SSI INVESTORS	048	JNS	S	24,323	35.20	12-Oct	8-Oct	972.92	4.0
COUGAR TRADING	044	JWN	B	15,000	46.71	12-Oct	5-Oct	750.00	5.0
COUGAR TRADING	044	JWN	S	15,000	44.67	12-Oct	5-Oct	750.00	5.0
<b>PAKLER</b>	<b>N22</b>	<b>KNOT</b>	<b>S</b>	<b>217</b>	<b>22.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	KSS	S	50,000	63.68	27-Sep	5-Oct	2,000.00	4.0
COUGAR TRADING	044	KSS	B	5,000	61.06	27-Sep	5-Oct	250.00	5.0
COUGAR TRADING	044	KSS	S	10,000	63.23	27-Sep	5-Oct	500.00	5.0
HIGHBRIDGE CAPITAL	038	KSS	SS	4,000	60.83	27-Sep	5-Oct	200.00	5.0
<b>BUCK</b>	<b>015</b>	<b>KSS</b>	<b>S</b>	<b>1,000</b>	<b>62.52</b>	<b>27-Sep</b>	<b>5-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>KSS</b>	<b>B</b>	<b>5,000</b>	<b>63.35</b>	<b>27-Sep</b>	<b>5-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>KSS</b>	<b>SS</b>	<b>5,000</b>	<b>63.35</b>	<b>27-Sep</b>	<b>5-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOCQUEVILLE ASSET MGMT	048	LEE	B	2,500	17.58	n/a	n/a	150.00	6.0
THIRD COAST CAPITAL	035	LGF	S	50,000	10.17	n/a	n/a	2,500.00	5.0
ADAGE CAPITAL MGMT	030	LIZ	SS	65,700	32.45	n/a	14-Sep	2,628.00	4.0
ENTRUST CAPITAL	040	LIZ	SS	78,200	32.36	n/a	14-Sep	3,910.00	5.0
PHILADELPHIA FINANCIAL	033	LM	B	22,500	87.85	19-Sep	28-Sep	1,125.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>80,000</b>	<b>22.57</b>	<b>16-May</b>	<b>11-Oct</b>	<b>3,200.00</b>	<b>4.0</b>
HOLLIS CAPITAL	033	LVLTT	SS	10,000	4.84	6-Sep	21-Sep	500.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>LVS</b>	<b>B</b>	<b>60</b>	<b>140.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	MAR	S	25,000	42.13	n/a	n/a	1,250.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>MER</b>	<b>S</b>	<b>300</b>	<b>75.65</b>	<b>5-Oct</b>	<b>5-Oct</b>	<b>0.00</b>	<b>0.0</b>
RHO CAPITAL MGMT	041	MGM	S	500	96.74	n/a	3-Aug	20.00	4.0
<b>GAULT</b>	<b>063</b>	<b>MSO</b>	<b>S</b>	<b>2,000</b>	<b>13.50</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>MW</b>	<b>B</b>	<b>155,000</b>	<b>46.20</b>	<b>n/a</b>	<b>n/a</b>	<b>6,200.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	MW	B	40,500	44.38	n/a	n/a	1,620.00	4.0
ROXBURY CAPITAL MGMT	035	MW	B	96,000	44.33	n/a	n/a	3,840.00	4.0
COUGAR TRADING	044	M	B	5,000	33.70	24-Sep	5-Oct	250.00	5.0
<b>OGORMAN</b>	<b>146</b>	<b>NDN</b>	<b>B</b>	<b>400</b>	<b>11.39</b>	<b>13-Aug</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>KAICHER</b>	<b>064</b>	<b>NEXC</b>	<b>S</b>	<b>2,000</b>	<b>6.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGENS WATERFALL	040	NOK	S	25,000	37.89	n/a	n/a	750.00	3.0
<b>KAICHER</b>	<b>064</b>	<b>NRG</b>	<b>B</b>	<b>1,000</b>	<b>45.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ALLEN & CO	032	NYX	B	37,500	85.10	n/a	n/a	1,500.00	4.0
<b>BARR</b>	<b>096</b>	<b>OPLK</b>	<b>SS</b>	<b>1,500</b>	<b>14.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	PJC	S	10,000	58.25	n/a	n/a	400.00	4.0
<b>KAICHER</b>	<b>064</b>	<b>PLLL</b>	<b>S</b>	<b>1,000</b>	<b>19.01</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>PSS</b>	<b>S</b>	<b>100,000</b>	<b>20.91</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
ASCEND PARTNERS	033	PVH	B	25,000	50.44	13-Aug	29-Aug	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>13,400</b>	<b>50.09</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>536.00</b>	<b>4.0</b>
EGS ASSOCIATES LP	091	PVH	B	7,500	50.51	13-Aug	29-Aug	450.00	6.0
AMBER CAPITAL	046	PXD	SS	21,000	47.41	n/a	11-Oct	840.00	4.0
<b>CATTANI</b>	<b>041</b>	<b>PXD</b>	<b>B</b>	<b>250</b>	<b>47.59</b>	<b>n/a</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	RJF	SS	7,500	34.97	n/a	n/a	375.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>20,000</b>	<b>73.04</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	SS	5,000	72.80	9-Aug	29-Aug	250.00	5.0
DENVER INST. ADV	046	RL	S	36,720	72.35	9-Aug	29-Aug	1,468.80	4.0
ROXBURY CAPITAL MGMT	035	RT	S	200,000	16.10	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>SUTERA</b>	<b>160</b>	<b>SCRX</b>	<b>S</b>	<b>1,000</b>	<b>28.15</b>	<b>27-Apr</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	SFD	S	50,000	29.68	n/a	n/a	2,000.00	4.0
AMBER CAPITAL	046	SGY	SS	24,500	40.83	n/a	n/a	980.00	4.0
<b>KAICHER</b>	<b>064</b>	<b>SNCR</b>	<b>B</b>	<b>1,000</b>	<b>44.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KAICHER</b>	<b>064</b>	<b>SNCR</b>	<b>S</b>	<b>1,000</b>	<b>47.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	SSCC	C	25,000	12.40	4-May	21-Sep	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>SYNP</b>	<b>B</b>	<b>1,300</b>	<b>6.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>TPXMF</b>	<b>S</b>	<b>10</b>	<b>2.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	URBN	S	25,000	24.80	31-Jul	10-Aug	1,000.00	4.0
MEISENBACH CAP MGMT	041	UTX	S	15,000	79.40	n/a	n/a	450.00	3.0
BELMONT GLOBAL ADV	248	VC	B	160,000	6.17	n/a	10-Oct	6,400.00	4.0
KENNEDY CAPITAL	046	VTR	S	43,410	44.90	n/a	n/a	1,736.40	4.0
<b>BARR</b>	<b>096</b>	<b>WBMD</b>	<b>B</b>	<b>200</b>	<b>62.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROCKEFELLER & CO.	045	WFT	S	4,090	67.51	n/a	n/a	204.50	5.0
WASHINGTON ASSET	048	WMB	S	8,000	34.92	n/a	n/a	400.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WMT</b>	<b>SS</b>	<b>50,000</b>	<b>47.01</b>	<b>4-Jun</b>	<b>27-Jul</b>	<b>2,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	WMT	SS	55,000	47.12	4-Jun	27-Jul	2,750.00	5.0
JP MORGAN VENTURES	046	WSM	B	10,000	33.27	n/a	n/a	500.00	5.0
ZOLIDIS	011	WYNN	B	92	159.91	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								173,723.38	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/09	BUCK CAPITAL MGMT	001	AEO	B	20,000	24.60	10-Jul	5-Oct	800.00 4.0
AO,CXL	10/09	BUCK CAPITAL MGMT	001	AEO	B	20,000	24.60	10-Jul	5-Oct	800.00 4.0
AO,CRT	10/10	HIGHBRIDGE CAPITAL	038	HNT	SS	10,000	52.48	n/a	n/a	500.00 5.0
AO,CXL	10/10	HIGHBRIDGE CAPITAL	038	HNT	SS	10,000	52.48	n/a	n/a	400.00 4.0
AO,CXL	10/10	MEISENBACH CAP MGMT	041	HSC	B	2,500	60.97	9-Oct	9-Oct	125.00 5.0
AO,CRT	10/10	MEISENBACH CAP MGMT	041	HSC	B	2,500	60.97	9-Oct	9-Oct	75.00 3.0
AO,	10/10	ALLEN & CO	032	INTC	S	69,000	25.78	n/a	n/a	2760.00 4.0
AO,CRT	10/10	ACK ASSET	028	NTQ	S	25,000	9.47	n/a	n/a	1000.00 4.0
AO,CXL	10/10	ACK ASSET	028	NTQ	S	25,000	9.47	n/a	n/a	1250.00 5.0
AO,	10/10	ALLEN & CO	032	TXN	B	54,750	36.43	n/a	n/a	2190.00 4.0
AO,CRT	10/10	BALYASNY ASSET MGMT	044	VC	B	15,000	5.52	n/a	10-Oct	600.00 4.0
AO,CXL	10/10	BALYASNY ASSET MGMT	044	VC	B	15,000	5.52	n/a	10-Oct	750.00 5.0
AO,CRT	10/09	TRELLUS PARTNERS LP	028	VC	B	17,040	5.27	n/a	10-Oct	511.20 3.0
AO,CXL	10/09	TRELLUS PARTNERS LP	028	VC	B	17,040	5.27	n/a	10-Oct	511.20 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,600.00</b>

TOTAL (Trade Date):	173,723.38
TOTAL (AO, CXL, CRT):	4,600.00

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TOTAL (RUN DATE) / NFS:

178,323.38

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MRI Securities with Trade Activity on 11-Oct.  
NONE

MRI Securities without Trade Activity on 11-Oct.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 17%

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