



Daily Compliance Activity Report

Trade Date: 12/03/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	AA	S	275,000	36.09	n/a	n/a	11,000.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	40,000	23.08	9-Nov	3-Dec	1,600.00	4.0
ROXBURY CAPITAL MGMT	035	AMG	B	8,265	123.85	21-Nov	29-Nov	330.60	4.0
EGS ASSOCIATES LP	091	ARO	B	11,000	25.15	29-Nov	3-Dec	660.00	6.0
PIVOT CAP	034	ARO	S	2,000	25.05	29-Nov	3-Dec	100.00	5.0
MERRILL LYNCH STRATEGICI	034	AVR	S	7,100	10.25	n/a	n/a	213.00	3.0
ASCEND PARTNERS	033	BBBY	SS	25,000	31.38	n/a	n/a	1,250.00	5.0
SCOGGIN CAP	044	BBT	SS	66,500	35.52	n/a	n/a	3,325.00	5.0
ROXBURY CAPITAL MGMT	035	BBW	B	30,570	15.68	11-Sep	18-Oct	1,222.80	4.0
LEDDY	035	BBW	S	600	15.69	11-Sep	18-Oct	0.00	0.0
ADAGE CAPITAL MGMT	030	BBY	S	100,000	51.58	n/a	27-Jul	4,000.00	4.0
PIVOT CAP	034	BBY	S	4,000	51.73	n/a	27-Jul	200.00	5.0
IVORY CAPITAL	034	BEAS	S	125,000	15.99	n/a	3-Apr	6,250.00	5.0
ROYCE TRADING	216	BHE	B	5,000	17.91	n/a	n/a	250.00	5.0
ASCEND PARTNERS	033	BIG	SS	2,700	18.02	30-Nov	3-Dec	135.00	5.0
EGS ASSOCIATES LP	091	BIG	S	3,000	17.85	30-Nov	3-Dec	180.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BKS	SS	40,000	37.35	n/a	n/a	1,600.00	4.0
WHITE PINE CAPITAL	030	BONT	S	125	11.76	9-Nov	3-Dec	6.25	5.0
ROYCE TRADING	216	BWS	B	5,000	17.02	n/a	n/a	250.00	5.0
ROXBURY CAPITAL MGMT	035	CAKE	B	42,625	23.27	n/a	24-Apr	1,705.00	4.0
BUCK CAPITAL MGMT	001	CBK	SS	20,000	16.13	n/a	3-Dec	800.00	4.0
HIGHBRIDGE CAPITAL	038	CBS	B	27,000	27.22	n/a	n/a	1,350.00	5.0
ROYCE TRADING	216	CCC	S	25,000	15.21	n/a	n/a	1,250.00	5.0
ROYCE TRADING	216	CLI	B	5,000	35.43	n/a	n/a	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	COH	SS	18,500	37.40	24-Oct	24-Oct	740.00	4.0
DIAMONDBACK CAP MGMT	232	COH	B	35,000	36.83	24-Oct	24-Oct	1,750.00	5.0
THIRD COAST CAPITAL	035	COH	B	30,000	37.36	24-Oct	24-Oct	1,500.00	5.0
BUCK CAPITAL MGMT	001	CRI	SS	50,000	22.87	n/a	n/a	2,000.00	4.0
MERRILL ASSET	032	CRR	B	15,500	40.30	25-Oct	30-Nov	697.50	4.5
ROYCE TRADING	216	CRS	S	10,000	75.87	n/a	n/a	500.00	5.0
PROSPECTOR PARTNERS LLC	036	DD	B	15,000	47.13	n/a	23-Oct	600.00	4.0
MAZAMA CAPITAL MGMT.	035	DHX	S	5,200	9.64	n/a	n/a	208.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	DVR	S	25,000	12.75	n/a	n/a	750.00	3.0
ROXBURY CAPITAL MGMT	035	ELY	B	27,825	17.19	n/a	n/a	1,113.00	4.0
MAIRS AND POWER INV	030	EMR	S	10,000	57.69	n/a	n/a	600.00	6.0
ADAGE CAPITAL MGMT	030	ETH	B	185,000	29.06	n/a	n/a	7,400.00	4.0
ROYCE TRADING	216	FBP	B	5,000	6.73	n/a	n/a	250.00	5.0
MATTHES CAPITAL MGMT	033	FDO	SS	10,000	23.46	5-Nov	3-Dec	400.00	4.0
ROXBURY CAPITAL MGMT	035	FDP	B	28,425	31.49	n/a	n/a	1,137.00	4.0
BENCHMARK	028	FDX	SS	7,500	97.53	n/a	n/a	375.00	5.0
BALYASNY ASSET MGMT	044	FII	B	40,000	39.53	n/a	26-Nov	2,000.00	5.0
CAXTON PART	040	GE	S	159,588	37.35	n/a	n/a	5,585.60	3.5
JP MORGAN VENTURES	046	GE	S	50,000	36.87	n/a	n/a	2,500.00	5.0
BARR	096	GE	S	105	37.63	n/a	n/a	0.00	0.0
PIVOT CAP	034	GPS	S	10,446	20.46	n/a	3-Dec	522.30	5.0
AMATURO	018	GSI	S	4,000	10.27	n/a	n/a	0.00	0.0
PIVOT CAP	034	GT	S	5,000	28.62	n/a	n/a	250.00	5.0
ROXBURY CAPITAL MGMT	035	GYMB	B	18,980	32.99	10-Aug	3-Dec	759.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SOCIETY GENERALE	040	HCR	B	5,000	64.05	n/a	15-Nov	250.00	5.0
LATEFF MGMT	040	HD	B	1,000	28.71	n/a	27-Jul	230.00	23.0
MATTHES CAPITAL MGMT	033	HIBB	SS	10,000	21.58	n/a	n/a	400.00	4.0
ROXBURY CAPITAL MGMT	035	HLF	B	24,525	41.46	n/a	n/a	981.00	4.0
LEDDY	035	HYP	S	2,949	3.11	n/a	n/a	0.00	0.0
LEDDY	035	ICON	S	627	23.11	n/a	n/a	0.00	0.0
PIVOT CAP	034	IM	S	5,150	19.62	n/a	n/a	257.50	5.0
IRONBOUND CAPITAL	012	IP	B	5,100	33.50	n/a	5-Nov	255.00	5.0
CROWLEY	061	ISLN	S	1,000	5.55	n/a	n/a	0.00	0.0
LUCHANISKY	036	ITCD	S	1,000	6.60	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	ITT	SS	10,000	63.73	n/a	13-Nov	500.00	5.0
BALYASNY ASSET MGMT	044	IVZ	B	50,000	25.30	21-Nov	3-Dec	2,500.00	5.0
CR INTRINIC INVESTMENT	044	IVZ	SS	250,000	27.02	21-Nov	3-Dec	12,500.00	5.0
DEEPHAVEN	031	IVZ	B	200,000	26.07	21-Nov	3-Dec	8,000.00	4.0
HEALY CIRCLE	044	IVZ	B	40,000	26.80	21-Nov	3-Dec	2,000.00	5.0
LOCUS WOOD CAPITAL MGMT	044	IVZ	B	25,000	26.91	21-Nov	3-Dec	1,000.00	4.0
MISSOURI VALLEY PART	046	IVZ	B	23,625	25.68	21-Nov	3-Dec	1,181.25	5.0
SSI INVESTORS	048	IVZ	B	112,328	27.10	21-Nov	3-Dec	4,493.12	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EMP ERROR	099	IVZ	B	100	25.33	21-Nov	3-Dec	0.00	0.0
EMP ERROR	099	IVZ	S	100	25.33	21-Nov	3-Dec	0.00	0.0
KORMAN	003	JADE	B	5,000	3.56	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	SS	10,000	47.60	28-Nov	30-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	90,000	44.21	15-Nov	3-Dec	3,600.00	4.0
THE JAY GOLDMAN	034	JCP	B	10,000	43.68	15-Nov	3-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	50,000	34.46	20-Nov	3-Dec	2,000.00	4.0
THE JAY GOLDMAN	034	JWN	SS	10,000	34.45	20-Nov	3-Dec	400.00	4.0
ROXBURY CAPITAL MGMT	035	KNL	B	29,050	17.47	n/a	n/a	1,162.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	40,000	49.65	9-Nov	3-Dec	1,600.00	4.0
ROYCE TRADING	216	KWD	B	5,000	14.86	n/a	n/a	250.00	5.0
KORMAN	003	LDK	B	6,000	32.31	n/a	n/a	0.00	0.0
ROYCE TRADING	216	LDL	B	5,000	9.92	n/a	n/a	250.00	5.0
BUCK	015	LEH	C	500	61.01	n/a	20-Nov	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	LTD	SS	100,000	19.78	n/a	3-Dec	5,000.00	5.0
SATELLITE ASSET MGMT	012	LVS	S	8,000	110.08	n/a	n/a	320.00	4.0
BUCK	015	MBI	C	700	33.78	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SATELLITE ASSET MGMT	012	MGM	B	5,000	85.06	n/a	31-Oct	200.00	4.0
NORTHPOINT	030	MODT	S	10,200	0.93	n/a	n/a	306.00	3.0
AMATURO	018	MPEL	B	3,000	12.97	n/a	n/a	0.00	0.0
ROYCE TRADING	216	MRN	S	5,000	6.09	n/a	n/a	250.00	5.0
ROXBURY CAPITAL MGMT	035	MSA	B	12,695	48.85	n/a	n/a	507.80	4.0
BUCK CAPITAL MGMT	001	M	B	80,000	29.93	9-Nov	3-Dec	3,200.00	4.0
JPMSI/TOM LEDDY	035	M	B	20,000	30.01	9-Nov	3-Dec	1,000.00	5.0
PILOT ADV	038	M	S	10,000	29.63	9-Nov	3-Dec	400.00	4.0
PIVOT CAP	034	M	S	4,650	29.93	9-Nov	3-Dec	232.50	5.0
SATELLITE ASSET MGMT	012	M	B	10,000	30.08	9-Nov	3-Dec	400.00	4.0
THIRD COAST CAPITAL	035	M	B	25,000	29.94	9-Nov	3-Dec	1,250.00	5.0
TROUBH PART	067	M	B	50,000	30.11	9-Nov	3-Dec	2,500.00	5.0
PIVOT CAP	034	NKE	S	3,400	66.15	n/a	n/a	170.00	5.0
PIVOT CAP	034	NWSA	S	7,500	21.00	n/a	n/a	375.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	150,000	7.38	n/a	20-Nov	6,000.00	4.0
WHITE PINE CAPITAL	030	NWY	S	225	7.47	n/a	20-Nov	11.25	5.0
ROYCE TRADING	216	OSK	B	4,125	47.91	n/a	n/a	206.25	5.0
ROYCE TRADING	216	PBY	B	5,000	10.88	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	PERY	S	125	16.41	n/a	n/a	6.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	040	PFE	B	1,000	23.46	n/a	31-Mar	210.00	21.0
BELMONT GLOBAL ADV	248	PLCE	B	22,000	28.89	3-Dec	3-Dec	1,100.00	5.0
METROPOLITAN CAPITAL	044	PLCE	S	20,800	28.95	3-Dec	3-Dec	832.00	4.0
LUCHANSKY	036	PLCE	B	150	28.91	3-Dec	3-Dec	0.00	0.0
ROYCE TRADING	216	PMC	B	5,000	14.47	n/a	n/a	250.00	5.0
ROYCE TRADING	216	PSS	B	5,000	15.32	n/a	n/a	250.00	5.0
COUGAR TRADING	044	PVH	B	10,000	43.79	21-Nov	21-Nov	500.00	5.0
COLE	N24	QQECX	B	17	1.35	n/a	n/a	0.00	0.0
MERRILL ASSET	032	RGA	B	14,900	53.28	n/a	n/a	745.00	5.0
ROYCE TRADING	216	RHB	S	2,500	23.34	n/a	n/a	125.00	5.0
RIVER RUN MGMT	031	SCSS	B	100,000	10.47	n/a	n/a	5,000.00	5.0
WELLS/STRONG LEDDY	035	SCVL	S	4,700	11.40	n/a	n/a	188.00	4.0
BUCK CAPITAL MGMT	001	SKS	B	12,500	20.74	n/a	n/a	500.00	4.0
SIGMA CAPITAL ASSOCIATES	237	SKS	S	70,000	20.68	n/a	n/a	3,500.00	5.0
LEDDY	035	SLB	S	200	93.33	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	SLG	B	12,000	101.58	n/a	n/a	720.00	6.0
WILLOW CREEK	033	SNS	B	19,000	11.67	n/a	n/a	570.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING HOWARD	038	SPLS	B	38,800	23.76	n/a	27-Jul	1,940.00	5.0
SENECA CAPITAL LP NY	028	SPY	S	42,000	147.61	n/a	n/a	2,100.00	5.0
PIVOT CAP	034	SWY	S	4,250	35.14	n/a	n/a	212.50	5.0
BUCK	015	TGT	S	500	59.97	n/a	27-Jul	0.00	0.0
SATELLITE ASSET MGMT	012	TIF	SS	5,000	48.10	18-Oct	3-Dec	200.00	4.0
XYLEM GLOBAL	091	TIN	B	14,000	44.86	9-Nov	9-Nov	700.00	5.0
SATELLITE ASSET MGMT	012	TTWO	S	5,000	16.58	n/a	n/a	200.00	4.0
ROXBURY CAPITAL MGMT	035	TXRH	B	40,080	12.51	n/a	n/a	1,603.20	4.0
SCOGGIN CAP	044	UBS	B	66,500	49.68	n/a	n/a	3,325.00	5.0
ROXBURY CAPITAL MGMT	035	UNFI	B	34,250	28.77	n/a	n/a	1,370.00	4.0
ROYCE TRADING	216	VOL	B	5,000	12.85	n/a	n/a	250.00	5.0
ADAGE CAPITAL MGMT	030	WMT	B	300,000	47.97	20-Nov	3-Dec	12,000.00	4.0
PIVOT CAP	034	WMT	S	4,373	48.18	20-Nov	3-Dec	218.65	5.0
STERLING JOHNSTON	035	WRNC	B	35,800	37.54	6-Nov	12-Nov	1,790.00	5.0
GALLEON MGMT LP	033	WTSLA	B	125,000	2.25	n/a	n/a	3,750.00	3.0
RHO CAPITAL MGMT	041	XSI	S	300	3.17	n/a	n/a	12.00	4.0

TOTAL (Trade Date):

181,021.52

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/30	FARALLON CAP MGMT (FARABULK F)	040	BIG	SS	110,000	19.08	30-Nov	3-Dec	4400.00 4.0
AO,CRT	11/30	FARALLON CAP MGMT (FARABULK F)	040	BIG	SS	110,000	19.08	30-Nov	3-Dec	3300.00 3.0
AO,CXL	11/30	KNOTT PARTNERS (KNOTGS)	044	BIG	B	216,500	19.22	30-Nov	3-Dec	8660.00 4.0
AO,CRT	11/30	KNOTT PARTNERS (KNOTGS)	044	BIG	B	216,500	19.22	30-Nov	3-Dec	8660.00 4.0
AO,CXL	11/30	FIRST NEW YORK LEDDY (FNYS)	035	GE	B	25,000	38.14	n/a	n/a	1250.00 5.0
AO,CRT	11/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	GE	B	25,000	38.14	n/a	n/a	1250.00 5.0
CRT	12/03	EMP ERROR (EMP ERROR)	099	IVZ	B	100	25.33	21-Nov	3-Dec	0.00 0.0
CRT	12/03	CR INTRINIC INVESTMENT (CRINGSPB)	044	IVZ	SS	250,000	27.02	21-Nov	3-Dec	12500.00 5.0
AO,CXL	11/30	FIRST NEW YORK LEDDY (FNYS)	035	IVZ	B	10,000	26.25	21-Nov	3-Dec	600.00 6.0
AO,CRT	11/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	IVZ	B	10,000	26.25	21-Nov	3-Dec	600.00 6.0
AO,	11/30	FRONTPOINT (FROPGS)	035	IVZ	B	114,000	26.21	21-Nov	3-Dec	4560.00 4.0
AO,	11/30	FRONTPOINT (FROPGS)	035	IVZ	B	27,800	26.21	21-Nov	3-Dec	1112.00 4.0
CRT	12/03	SSI INVESTORS (SSIIMORGAN)	048	IVZ	B	48,425	27.10	21-Nov	3-Dec	1937.00 4.0
CRT	12/03	SSI INVESTORS (SSIIUBS PA)	048	IVZ	B	30,800	27.10	21-Nov	3-Dec	1232.00 4.0
CRT	12/03	SSI INVESTORS (SSIISMITH)	048	IVZ	B	33,103	27.10	21-Nov	3-Dec	1324.12 4.0
AO,CXL	11/30	STADIA CAPITAL (STADGOLDMA)	035	IVZ	B	114,000	26.21	21-Nov	3-Dec	4560.00 4.0
AO,CXL	11/30	STADIA CAPITAL (STADGOLDMA)	035	IVZ	B	27,800	26.21	21-Nov	3-Dec	1112.00 4.0
CRT	12/03	COUGAR TRADING (COUGPB MS)	044	JCG	SS	10,000	47.60	28-Nov	30-Nov	500.00 5.0
AO,	11/30	GARDNER LEWIS ASSET MGMT (GLAMCCG)	028	MET	S	44,100	66.83	n/a	n/a	2205.00 5.0
AO,CXL	11/30	VISIUM/BALY HOWARD (VISHMS)	038	TEVA	B	50,000	44.20	2-Aug	27-Nov	2500.00 5.0
AO,CRT	11/30	VISIUM/DIV OF BALY BOBBY (VISBMSBOB)	044	TEVA	B	50,000	44.20	2-Aug	27-Nov	2500.00 5.0
AO,CRT	11/29	STRAUSS ASSET MGMT (STRATTON)	N21	WINN	B	300	18.40	n/a	n/a	0.00 0.0
AO,CXL	11/29	STRAUSS ASSET MGMT (STRATTON)	N21	WINN	B	300	18.40	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/30	STRAUSS ASSET MGMT (STRATTON)	N21	WINN	S	300	19.01	n/a	n/a	0.00 0.0
AO,CXL	11/30	STRAUSS ASSET MGMT (STRATTON)	N21	WINN	S	300	19.01	n/a	n/a	0.00 0.0
AO,	11/30	STG INVESTORS (STGIGOLDMA)	041	YHOO	B	600	26.97	n/a	n/a	24.00 4.0
AO,	11/30	STG INVESTORS (STGIBANC O)	041	YHOO	B	11,500	26.97	n/a	n/a	460.00 4.0
AO,CXL	11/30	STG INVESTORS (STGIMAIN.)	041	YHOO	B	30,000	26.97	n/a	n/a	1200.00 4.0
AO,CRT	11/30	STG INVESTORS (STGIMAIN.)	041	YHOO	B	17,900	26.97	n/a	n/a	716.00 4.0

TOTAL (AO, CXL, CRT) : **18,598.12**

TOTAL (Trade Date) : 181,021.52
TOTAL (AO, CXL, CRT) : 18,598.12

TOTAL (RUN DATE) / NFS: **199,619.64**

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