



## Daily Compliance Activity Report

Trade Date: 09/21/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	AKS	S	89,400	43.33	n/a	n/a	3,576.00	4.0
SSI INVESTORS	048	AMGN	B	9,855	55.86	n/a	26-Jan	394.20	4.0
COUGAR TRADING	044	ARO	B	5,000	20.24	n/a	7-Sep	250.00	5.0
OPTIMUM INV ADV	030	BEC	B	12,000	72.81	n/a	n/a	480.00	4.0
JP MORGAN VENTURES	046	BIG	SS	20,000	31.23	n/a	7-Sep	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	BMS	SS	1,900	30.09	n/a	n/a	76.00	4.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>BOW</b>	<b>B</b>	<b>91,000</b>	<b>15.09</b>	<b>n/a</b>	<b>21-Sep</b>	<b>4,550.00</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>B</b>	<b>40,000</b>	<b>21.69</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
WAGONHOUND	048	CAB	B	3,880	25.10	n/a	n/a	155.20	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CHS</b>	<b>C</b>	<b>500</b>	<b>14.71</b>	<b>30-Aug</b>	<b>7-Sep</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	CMCSA	SS	23,200	23.92	21-Sep	21-Sep	1,160.00	5.0
<b>LUCHANSKY4</b>	<b>036</b>	<b>CMG</b>	<b>B</b>	<b>100</b>	<b>113.59</b>	<b>n/a</b>	<b>24-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>GRONET</b>	<b>030</b>	<b>CMOS</b>	<b>S</b>	<b>1,000</b>	<b>3.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	CNS	S	25,000	35.40	n/a	n/a	1,000.00	4.0

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<b>GRONET</b>	<b>030</b>	<b>COV</b>	<b>S</b>	<b>200</b>	<b>42.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	CRI	SS	10,000	20.32	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	C	SS	25,000	47.32	n/a	20-Sep	1,250.00	5.0
WEISS PECK	040	DBRN	B	35,000	17.45	n/a	n/a	1,750.00	5.0
IRIDIAN ASSET MGMT.	036	DCEL	S	242,010	12.71	n/a	n/a	12,100.50	5.0
METROPOLITAN CAPITAL	044	DSW	B	37,200	28.14	5-Sep	5-Sep	1,860.00	5.0
WASHINGTON ASSET	048	DTV	B	15,000	24.85	21-Sep	21-Sep	750.00	5.0
<b>BUCK</b>	<b>015</b>	<b>DVN</b>	<b>B</b>	<b>500</b>	<b>85.07</b>	<b>19-Sep</b>	<b>19-Sep</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	EL	S	10,000	42.69	16-Aug	16-Aug	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>EMS</b>	<b>B</b>	<b>1,000</b>	<b>26.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	ESI	S	18,250	116.98	n/a	n/a	821.25	4.5
SERENGETI MGMT	030	ETFC	SS	25,000	13.81	n/a	n/a	1,000.00	4.0
OPTIMUM INV ADV	030	EV	B	15,000	39.93	23-May	19-Sep	600.00	4.0
REINHART & MAHONEY	031	FRX	B	12,545	37.66	30-Jul	21-Sep	627.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>48.01</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	GE	S	25,000	41.35	n/a	n/a	1,250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>GM</b>	<b>SS</b>	<b>1,200</b>	<b>34.92</b>	<b>4-May</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
BRENCOURT	028	HD	B	25,000	34.54	n/a	27-Jul	1,250.00	5.0
WTRA	045	HK	B	9,000	16.87	n/a	n/a	270.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>HLYS</b>	<b>S</b>	<b>600</b>	<b>8.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	HSC	B	5,000	57.34	26-Jul	26-Jul	250.00	5.0
MATRIX ASSET ADV.	036	INTC	S	5,000	25.90	n/a	n/a	200.00	4.0
<b>CROWLEY</b>	<b>061</b>	<b>ISLN</b>	<b>B</b>	<b>1,000</b>	<b>8.10</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>JCG</b>	<b>B</b>	<b>10,000</b>	<b>46.02</b>	<b>22-Jun</b>	<b>6-Sep</b>	<b>400.00</b>	<b>4.0</b>
TRELLUS PARTNERS LP	028	JCI	SS	10,000	117.31	19-Jul	19-Jul	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>50,000</b>	<b>66.90</b>	<b>21-Jun</b>	<b>7-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>KBH</b>	<b>SS</b>	<b>1,000</b>	<b>27.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>KEGS</b>	<b>B</b>	<b>600</b>	<b>16.55</b>	<b>23-Jul</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>KSS</b>	<b>B</b>	<b>1,000</b>	<b>60.00</b>	<b>14-Jun</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	LEAP	B	10,000	79.60	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK</b>	<b>015</b>	<b>LESAO</b>	<b>B</b>	<b>20</b>	<b>1.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DOUBLE V/PBX	044	LINTA	B	10,000	18.11	n/a	n/a	500.00	5.0
BRANDWINE	028	LIZ	S	25,400	35.06	n/a	14-Sep	1,143.00	4.5
OPTIMUM INV ADV	030	LNCR	B	12,000	36.69	17-Sep	17-Sep	480.00	4.0
REINHART & MAHONEY	031	LNT	B	18,065	38.13	n/a	n/a	903.25	5.0
CHARTER OAK	033	MAS	B	100,107	24.00	n/a	n/a	5,005.35	5.0
<b>REALBUTO</b>	<b>N10</b>	<b>MSFT</b>	<b>S</b>	<b>75</b>	<b>28.69</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>220,000</b>	<b>32.85</b>	<b>13-Jul</b>	<b>7-Sep</b>	<b>8,800.00</b>	<b>4.0</b>
GALLEON MGMT LP	033	NITE	S	26,691	12.64	n/a	n/a	1,334.55	5.0
BALYASNY ASSET MGMT	044	NTY	S	15,000	41.62	n/a	n/a	750.00	5.0
JP MORGAN VENTURES	046	NTY	B	10,000	41.84	n/a	n/a	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>NVS</b>	<b>B</b>	<b>1,000</b>	<b>54.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	ONB	S	36,000	17.00	n/a	n/a	1,620.00	4.5
SCOPUS FUND	041	PCH	S	22,900	44.97	21-Sep	21-Sep	1,145.00	5.0
WEISS PECK	040	PLCE	S	50,000	25.02	n/a	7-Sep	2,500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>PNRA</b>	<b>SS</b>	<b>600</b>	<b>43.46</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.	
<b>KORMAN</b>	<b>003</b>	<b>QJPLJ</b>	<b>S</b>	<b>50</b>	<b>4.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WTRA	045	QMAR	B	7,000	18.54	n/a	n/a	210.00	3.0
BALYASNY ASSET MGMT	044	RCL	B	25,000	39.32	27-Jul	27-Jul	1,250.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>RLOG</b>	<b>B</b>	<b>4,000</b>	<b>5.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	RL	B	5,000	79.77	9-Aug	29-Aug	250.00	5.0
ROSEDALE CAPITAL	046	ROST	S	10,000	26.40	n/a	n/a	500.00	5.0
WTRA	045	RRI	B	10,000	25.97	n/a	n/a	300.00	3.0
BALYASNY ASSET MGMT	044	RSH	SS	10,000	22.31	n/a	n/a	500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>RVI</b>	<b>S</b>	<b>1,700</b>	<b>11.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
METROPOLITAN CAPITAL	044	SHOO	B	85,200	18.52	n/a	n/a	4,260.00	5.0
PROVIDENT INV COUNSEL	048	SINA	B	25,400	49.48	n/a	n/a	762.00	3.0
BALYASNY ASSET MGMT	044	SKS	B	15,000	16.40	n/a	n/a	750.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>SNCR</b>	<b>B</b>	<b>1,000</b>	<b>39.67</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>42.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARIENCE CAPITAL	036	STX	B	26,800	25.35	n/a	n/a	1,340.00	5.0
ARIENCE CAPITAL	036	TEN	B	21,300	32.14	n/a	n/a	1,065.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MEISENBACH CAP MGMT	041	TIF	B	13,000	51.96	31-Aug	31-Aug	390.00	3.0
GOLDMAN SACHS ASSET MGMT	044	TMO	S	158,501	57.62	n/a	n/a	2,377.52	1.5
GRISANTI BROWN & PARTNER	048	TWTC	B	35,500	22.73	4-May	21-Sep	1,775.00	5.0
SENTINAL CAPITAL	067	T	B	5,000	42.57	21-Sep	21-Sep	250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>UENUU</b>	<b>B</b>	<b>50</b>	<b>3.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SENTINAL CAPITAL	067	VZ	B	2,000	44.40	21-Sep	21-Sep	100.00	5.0
WEISS PECK	040	WFC	SS	15,750	36.37	n/a	n/a	787.50	5.0
<b>LEDDY</b>	<b>035</b>	<b>WY</b>	<b>S</b>	<b>400</b>	<b>72.11</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	YHOO	S	25,000	26.00	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>85,818.57</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/20	DURANGO INVESTMENTS (DURAMORGAN)	031	AMD	B	40,500	13.21	n/a	n/a	1620.00 4.0
AO,	09/20	DURANGO INVESTMENTS (DURAMORGAN)	031	AMD	B	40,500	13.11	n/a	n/a	1620.00 4.0
CRT	09/21	MILLENIUM PARTNERS (MILPMELANI)	028	CMCSA	SS	23,200	23.92	21-Sep	21-Sep	1160.00 5.0
AO,CXL	09/20	BAYPOINT/PRIMEMOVERS (BAYPSLK)	041	ELY	B	12,000	16.00	n/a	n/a	600.00 5.0
AO,CRT	09/20	BAYPOINT/PRIMEMOVERS (BAYPSLK)	041	ELY	B	12,000	16.00	n/a	n/a	480.00 4.0
AO,CXL	09/19	BRIGHTPOINT CAP (BRIGMAIN)	067	GES	B	20,000	50.86	n/a	n/a	1000.00 5.0
AO,CRT	09/19	BRIGHTPOINT CAP (BRIGMAIN)	067	GES	B	20,000	50.86	n/a	n/a	800.00 4.0
AO,CXL	09/19	BRIGHTPOINT CAP (BRIGMAIN)	067	JCG	B	20,000	48.26	22-Jun	6-Sep	1000.00 5.0
AO,CRT	09/19	BRIGHTPOINT CAP (BRIGMAIN)	067	JCG	B	20,000	48.26	22-Jun	6-Sep	800.00 4.0
AO,	09/20	DKR CAPITAL (DKRCMERRIL)	048	KEGS	B	6,000	16.10	23-Jul	20-Sep	300.00 5.0
AO,	09/20	DKR CAPITAL (DKRCDEUTCH)	048	KEGS	B	4,800	16.10	23-Jul	20-Sep	240.00 5.0
AO,CXL	09/20	HIGHBRIDGE CAPITAL (HIGBNEW)	038	UFS	B	143,400	8.28	n/a	n/a	7170.00 5.0
AO,CRT	09/20	HIGHBRIDGE CAPITAL (HIGBNEW)	038	UFS	B	143,400	8.28	n/a	n/a	4302.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,688.00</b>

TOTAL (Trade Date):	85,818.57
TOTAL (AO, CXL, CRT):	-1,688.00

TOTAL (RUN DATE) / NFS:

84,130.57



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