



Daily Compliance Activity Report

Trade Date: 02/13/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ANF	B	5,000	80.91	2-Feb	9-Feb	250.00	5.0
SINCLAIR	031	APC	B	300	41.70	n/a	22-Jan	0.00	0.0
B BUCK CAPITAL MGMT		ASD	B	10,000	53.15	12-Feb	12-Feb	non-brg	5.0
BALYASNY ASSET MGMT	044	AVZ	B	10,000	24.21	13-Feb	13-Feb	500.00	5.0
B BUCK CAPITAL MGMT		AVZ	B	150,000	24.39	13-Feb	13-Feb	non-brg	5.0
GRISANTI BROWN & PARTNER	048	AWH	S	19,000	44.09	n/a	n/a	950.00	5.0
SCHEINER	037	AXE	B	1,000	57.57	12-Feb	12-Feb	0.00	0.0
NCM CAPITAL MGMT	035	BEAV	B	15,525	30.62	n/a	n/a	776.25	5.0
NEUBERGER BERMAN	238	BER	S	13,100	33.77	n/a	n/a	655.00	5.0
NEUBERGER BERMAN	238	BER	S	136,000	33.77	n/a	n/a	6,800.00	5.0
BUCK	015	BFB	B	600	65.75	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BHP	B	200	44.79	n/a	n/a	10.00	5.0
B BUCK CAPITAL MGMT		BRL	B	10,000	53.39	26-Jan	13-Feb	non-brg	5.0
B BUCK CAPITAL MGMT		BWLD	SS	10,000	48.66	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		CACH	B	30,000	22.53	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	CC	S	700	21.27	20-Dec	10-Jan	0.00	0.0
ROARING BLUE LION MGMT	012	CLMS	SS	10,000	26.65	30-Jan	12-Feb	500.00	5.0
AELTUS/ING IVESTMENT MGT	237	CLX	B	31,300	65.68	5-Dec	2-Feb	1,252.00	4.0
PATTEN & PATTEN	067	CL	S	200	67.32	31-Jan	31-Jan	10.00	5.0
ROYCE TRADING	216	CTV	S	5,000	33.34	n/a	n/a	250.00	5.0
MKT MAKER	099	CWCO	B	77	25.77	n/a	n/a	0.00	0.0
MCCARTAN	028	DFZ	S	400	8.65	n/a	n/a	0.00	0.0
BINDER	007	DHI	C	200	27.63	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	DIS	S	400	34.50	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	DKS	B	5,000	51.92	n/a	n/a	200.00	4.0
IRON HORSE CAPITAL MGMT	038	EAT	B	10,000	35.07	n/a	23-Jan	500.00	5.0
BARR	096	EMU	B	1,000	9.93	n/a	n/a	0.00	0.0
GULF STREAM EQUITY MGMT	039	EP	S	5,000	15.10	n/a	n/a	200.00	4.0
HERMES	048	EXPD	S	10,500	41.74	n/a	n/a	500.00	2.5
BRUNNER	012	EXPD	B	1,000	41.46	n/a	n/a	0.00	0.0
SAILFISH	037	FCX	B	3,700	55.72	n/a	n/a	185.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PORTER-ORLIN-FELDMAN	044	FDO	SS	50,000	30.93	3-Nov	9-Feb	2,500.00	5.0
J L F ASSET MGMT	039	FD	B	82,900	43.83	26-Jan	9-Feb	3,316.00	4.0
MAZAMA CAPITAL MGMT.	035	FIX	S	2,200	13.00	n/a	n/a	88.00	4.0
MAZAMA CAPITAL MGMT.	035	FIX	S	26,100	13.00	n/a	n/a	1,044.00	4.0
MAZAMA CAPITAL MGMT.	035	FMR	S	7,800	21.28	n/a	n/a	312.00	4.0
B BUCK CAPITAL MGMT		GIII	B	2,000	24.56	n/a	n/a	non-brg	5.0
SINCLAIR	031	GM	S	200	36.56	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	035	HD	B	3,000	41.44	n/a	13-Feb	180.00	6.0
PATTEN & PATTEN	067	IGW	B	125	60.89	n/a	n/a	6.25	5.0
VANDER MOOLEN	040	ILA	S	9,500	4.18	n/a	n/a	475.00	5.0
MKT MAKER	099	INFY	B	114	57.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		INTC	B	25,000	20.85	n/a	n/a	non-brg	5.0
COLONIAL FUND LLC	036	JCP	B	25,000	83.07	10-Nov	9-Feb	1,250.00	5.0
BARON ASSET MGMT*	012	JEF	B	25,000	28.46	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	JNS	SS	30,000	21.23	1-Feb	12-Feb	1,500.00	5.0
THE JAY GOLDMAN	034	KO	B	25,000	48.25	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	KSS	SS	27,400	72.12	27-Dec	9-Feb	1,096.00	4.0
REICH AND TANG	037	LDL	S	1,000	14.03	n/a	n/a	50.00	5.0
BALYASNY ASSET MGMT	044	LEH	B	15,000	82.55	6-Dec	16-Jan	750.00	5.0
ROYCE TRADING	216	LII	S	10,000	34.79	n/a	n/a	500.00	5.0
ADAGE CAPITAL MGMT	030	LIZ	SS	50,000	45.50	n/a	2-Feb	2,000.00	4.0
SCHEINER	037	LIZ	B	1,000	45.50	n/a	2-Feb	0.00	0.0
STADIA CAPITAL	035	LTD	B	35,000	28.72	5-Jan	9-Feb	1,400.00	4.0
ROTHSCHILD ASSET	040	MAA	S	15,170	59.54	n/a	n/a	682.65	4.5
NEUBERGER BERMAN	238	MANT	S	9,300	35.89	n/a	n/a	372.00	4.0
HIGHBRIDGE CAPITAL	038	MDR	S	20,000	51.66	n/a	n/a	1,000.00	5.0
AELTUS/ING INVESTMENT MGT	237	MHS	S	112,932	60.09	n/a	n/a	4,517.28	4.0
AELTUS/ING INVESTMENT MGT	237	MHS	S	148,939	60.09	n/a	n/a	5,957.56	4.0
PATTEN & PATTEN	067	MS	S	100	81.48	20-Dec	16-Jan	5.00	5.0
MAZAMA CAPITAL MGMT.	035	MTH	S	1,300	42.34	n/a	n/a	52.00	4.0
MAZAMA CAPITAL MGMT.	035	MTH	S	15,900	42.34	n/a	n/a	636.00	4.0
BARR	096	MTIC	S	2,854	0.97	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	MWV	S	40,000	31.62	8-Jan	1-Feb	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GAULT	063	NEXC	B	3,000	9.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NWY	S	10,000	14.96	1-Dec	9-Feb	400.00	4.0
PRINCIPLE CAPITAL	040	NYT	SS	34,300	25.23	n/a	n/a	1,029.00	3.0
PATTEN & PATTEN	067	PBW	B	350	18.06	n/a	n/a	17.50	5.0
AELTUS/ING INVESTMENT MGT	237	PD	S	60,600	123.20	n/a	n/a	2,424.00	4.0
KORMAN	003	PEET	S	2,000	25.93	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	PEP	S	222,300	63.70	n/a	n/a	8,892.00	4.0
SUFFOLK CAPITAL MGMT	040	PEP	S	53,800	63.70	n/a	n/a	2,152.00	4.0
PATTEN & PATTEN	067	PHO	B	400	19.11	n/a	n/a	20.00	5.0
WASHINGTON ASSET	048	PNR	B	12,000	31.40	n/a	n/a	600.00	5.0
BUCK	015	PPCO	S	1,370	14.37	n/a	n/a	0.00	0.0
KNOTT PARTNERS	044	PRX	B	35,000	25.28	30-Jan	13-Feb	1,400.00	4.0
MKT MAKER	099	PSUN	S	4	19.41	n/a	9-Feb	0.00	0.0
PATTEN & PATTEN	067	PUW	B	300	27.03	n/a	n/a	15.00	5.0
S.A.C. CAPITAL MGMT.	044	RGC	S	25,000	21.92	n/a	n/a	1,250.00	5.0
MANNING & NAPIER	034	SMG	S	27,710	54.64	24-Jan	24-Jan	1,108.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MANNING & NAPIER	034	SMG	S	97,290	54.64	24-Jan	24-Jan	3,891.60	4.0
IRONBOUND CAPITAL	012	SSCC	SS	50,000	11.80	26-Oct	25-Jan	2,500.00	5.0
AELTUS/ING INVESTMENT MGT	237	SVU	S	50,400	37.44	n/a	n/a	2,016.00	4.0
GRISANTI BROWN & PARTNER	048	TA	B	6,000	38.53	n/a	n/a	222.00	3.5
B BUCK CAPITAL MGMT		TEVA	B	20,000	36.08	13-Feb	13-Feb	non-brg	5.0
ROYCE TRADING	216	TG	S	10,000	24.17	n/a	n/a	500.00	5.0
COUGAR TRADING	044	TLB	S	5,000	25.80	10-Jan	9-Feb	250.00	5.0
ROYCE TRADING	216	TRA	S	1,200	15.81	n/a	n/a	60.00	5.0
ROYCE TRADING	216	TRA	S	8,800	15.81	n/a	n/a	440.00	5.0
B BUCK CAPITAL MGMT		TWB	S	40,000	34.41	9-Jan	23-Jan	non-brg	5.0
WD PARTNERS ILP	067	TWB	B	5,000	34.38	9-Jan	23-Jan	250.00	5.0
PATTEN & PATTEN	067	TWTC	B	300	23.04	8-Feb	12-Feb	15.00	5.0
B BUCK CAPITAL MGMT		TXN	SS	5,000	30.26	n/a	n/a	non-brg	5.0
SANDLER CAPITAL	038	TXT	B	50,000	96.89	n/a	n/a	3,000.00	6.0
STERLING JOHNSTON	035	UCO	B	1,600	68.67	n/a	5-Feb	80.00	5.0
B BUCK CAPITAL MGMT		WSO	B	10,000	52.44	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		WSO	B	20,000	52.96	n/a	n/a	non-brg	5.0

TOTAL (Trade Date):

80,030.49

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/12	THIRD COAST CAPITAL	035	AEOS	SS	40,000	31.21	4-Jan	9-Feb	2000.00	5.0
AO,CXL	02/12	THIRD COAST CAPITAL	035	AEOS	SS	40,000	31.21	4-Jan	9-Feb	1.56	0.0
AO,	02/12	LISTED ERR	096	AVZ	B	10,000	24.64	13-Feb	13-Feb	0.00	0.0
AO,	02/12	LISTED ERR	099	AVZ	S	10,000	24.64	13-Feb	13-Feb	0.00	0.0
AO,	02/12	MKT MAKER	099	CENTA	B	79	12.96	n/a	n/a	0.00	0.0
AO,CRT	02/12	CHARTER OAK	037	IDIX	B	11,761	9.06	n/a	n/a	588.05	5.0
AO,CXL	02/12	LAZARD ASSET MGMT	032	IDIX	B	11,761	9.06	n/a	n/a	588.05	5.0
AO,CRT	02/12	MORGAN LEWIS/MLH	046	KFT	SS	10,000	34.53	n/a	n/a	500.00	5.0
AO,CXL	02/12	MORGAN LEWIS/MLH	046	KFT	SS	10,000	34.54	n/a	n/a	500.00	5.0
AO,CRT	02/07	THE JAY GOLDMAN	034	NWY	B	15,000	14.77	1-Dec	9-Feb	600.00	4.0
AO,CXL	02/07	THE JAY GOLDMAN	034	NWY	B	15,000	14.77	1-Dec	9-Feb	600.00	4.0
AO,CXL	02/08	NEUBERGER BERMAN	238	RSTI	B	10,774	63.02	n/a	n/a	538.70	5.0
AO,CRT	02/08	NEUBERGER BERMAN	238	RSTI	B	10,774	63.02	n/a	n/a	430.96	4.0
AO,CRT	02/09	NEUBERGER BERMAN	238	RSTI	B	16,300	62.15	n/a	n/a	652.00	4.0
AO,CXL	02/09	NEUBERGER BERMAN	238	RSTI	B	16,300	62.15	n/a	n/a	815.00	5.0
AO,CRT	02/12	NEUBERGER BERMAN	238	RSTI	B	8,172	61.85	n/a	n/a	326.88	4.0
AO,CXL	02/12	NEUBERGER BERMAN	238	RSTI	B	8,172	61.85	n/a	n/a	408.60	5.0
AO,CXL	02/09	LISTED ERR	099	ZQK	B	79,970	13.95	9-Feb	9-Feb	0.00	0.0
AO,CRT	02/09	LISTED ERR	099	ZQK	S	79,970	13.95	9-Feb	9-Feb	0.00	0.0
TOTAL (AO, CXL, CRT) :										1,645.98	

TOTAL (Trade Date):	80,030.49
TOTAL (AO, CXL, CRT):	1,645.98

TOTAL (RUN DATE) / NFS:	81,676.47
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MRI Securities with Trade Activity on 13-Feb. AVZ, TEVA
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MRI Securities without Trade Activity on 13-Feb. CEPH, CYTC, PXD, WPL
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 3% YTD = 18%

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