



Daily Compliance Activity Report

Trade Date: 05/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GENERAL MOTORS INV CO	040	ABG	B	7,600	26.98	n/a	25-Apr	304.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	70,000	28.69	4-Jan	11-May	2,800.00	4.0
J L F ASSET MGMT	039	AEO	SS	117,900	28.52	4-Jan	11-May	4,716.00	4.0
DAVIDSON KEMPNER ADVISOR	217	AMP	B	50,000	60.90	n/a	n/a	2,500.00	5.0
HARVEST MGMT	039	BBW	S	2,800	29.51	19-Mar	11-May	140.00	5.0
MCCARTAN	028	BDSBW	B	1,400	4.55	n/a	n/a	0.00	0.0
GENERAL MOTORS INV CO	040	BIO	B	1,100	71.22	n/a	n/a	32.00	2.0
KORMAN	003	BRLC	B	20,000	6.40	n/a	n/a	0.00	0.0
KORMAN	003	CBAK	S	5,000	3.30	n/a	n/a	0.00	0.0
ZOLIDIS	011	CBK	S	1,000	16.47	30-Mar	11-May	0.00	0.0
GENERAL MOTORS INV CO	040	CBR	B	11,000	8.54	n/a	n/a	440.00	4.0
REINHART & MAHONEY	031	CDNS	S	46,315	22.16	n/a	n/a	2,315.75	5.0
COUGAR TRADING	044	CHS	SS	5,000	24.99	27-Mar	11-May	250.00	5.0
GENERAL MOTORS INV CO	040	CMGI	B	41,500	2.48	n/a	n/a	1,660.00	4.0
BUCK CAPITAL MGMT	001	COH	S	20,000	47.51	23-Feb	25-Apr	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CRI	B	10,000	24.95	n/a	n/a	400.00	4.0
LEDDY	035	CRI	S	600	25.03	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	CWTR	B	50,000	19.43	n/a	n/a	2,500.00	5.0
TOCQUEVILLE ASSET MGMT	048	DEPO	B	5,000	3.98	n/a	n/a	150.00	3.0
ZOLIDIS	011	DFZ	S	1,000	10.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DSW	B	65,000	37.28	7-May	11-May	2,600.00	4.0
ENTRUST CAPITAL	040	ELOS	B	80,000	25.58	n/a	n/a	4,000.00	5.0
J L F ASSET MGMT	039	FD	SS	119,800	41.25	26-Jan	14-May	4,792.00	4.0
KACELA CAPITAL	034	FD	SS	10,000	41.05	26-Jan	14-May	400.00	4.0
EGS ASSOCIATES LP	091	FL	S	7,500	21.50	n/a	11-May	450.00	6.0
HIGHBRIDGE CAPITAL	038	FRP	SS	25,000	18.01	n/a	n/a	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	F	SS	20,000	8.68	n/a	27-Apr	600.00	3.0
TRELLUS PARTNERS LP	028	F	SS	51,800	8.78	n/a	27-Apr	1,554.00	3.0
BUCK CAPITAL MGMT	001	GCO	SS	10,000	49.23	n/a	10-Jan	400.00	4.0
GENERAL MOTORS INV CO	040	GGL	B	2,300	19.12	n/a	n/a	92.00	4.0
BULL PATH CAPITAL	044	GS	S	11,500	226.65	13-Dec	11-May	575.00	5.0
CSFB GLOBAL PROPRIETARY	035	IP	SS	63,600	38.89	4-May	4-May	3,180.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	035	IP	S	400	38.84	4-May	4-May	20.00	5.0
IRONBOUND CAPITAL	012	IP	SS	10,000	38.97	4-May	4-May	500.00	5.0
GENERAL MOTORS INV CO	040	JBX	S	1,300	74.18	24-Apr	24-Apr	52.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	20,000	76.20	20-Apr	14-May	800.00	4.0
COUGAR TRADING	044	JCP	S	5,000	76.08	20-Apr	14-May	250.00	5.0
CAPITAL GROWTH MGMT.	241	JEC	B	22,000	53.97	n/a	n/a	1,100.00	5.0
TRIVIAM CAP MGMT	028	JNY	C	127,100	28.73	n/a	3-May	5,084.00	4.0
MAGUIRE	090	JRCC	B	5,000	11.01	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	LOW	B	15,000	31.24	n/a	26-Feb	600.00	4.0
MAGUIRE	090	MEE	B	2,000	27.98	n/a	n/a	0.00	0.0
LEDDY	035	MER	S	200	92.64	20-Apr	11-May	0.00	0.0
DALTON GREINER	012	MLI	B	11,200	34.86	6-Feb	24-Apr	560.00	5.0
CAXTON PART	040	MMM	B	50,001	84.98	2-May	2-May	2,000.04	4.0
GENERAL MOTORS INV CO	040	MM	B	1,300	51.11	n/a	n/a	52.00	4.0
CSFB GLOBAL PROPRIETARY	035	MWV	B	60,000	32.35	3-May	3-May	3,000.00	5.0
FIRST NEW YORK LEDDY	035	MWV	B	7,000	32.28	3-May	3-May	420.00	6.0
BARROW HANLEY MEWHINNEY	031	NOK	S	51,700	26.06	n/a	n/a	2,068.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	NSR	B	34,700	27.96	n/a	n/a	1,735.00	5.0
J L F ASSET MGMT	039	OMX	SS	154,700	43.28	n/a	15-Apr	6,188.00	4.0
GENERAL MOTORS INV CO	040	PCR	B	1,500	50.90	n/a	n/a	60.00	4.0
BALYASNY ASSET MGMT	044	PPG	B	7,500	74.55	n/a	19-Apr	375.00	5.0
CAXTON PART	040	PRU	S	71,758	101.76	n/a	n/a	2,870.32	4.0
BUCK CAPITAL MGMT	001	PSS	S	10,000	32.03	n/a	n/a	400.00	4.0
STERLING JOHNSTON	035	PVH	B	2,000	54.35	28-Mar	28-Mar	100.00	5.0
GENERAL MOTORS INV CO	040	SAH	S	6,900	29.23	n/a	2-May	276.00	4.0
GENERAL MOTORS INV CO	040	SAI	B	2,700	18.09	n/a	n/a	108.00	4.0
GENERAL MOTORS INV CO	040	STE	S	2,700	27.77	n/a	22-Apr	108.00	4.0
MAIRS AND POWER INV	030	SVU	S	20,000	46.81	n/a	n/a	1,200.00	6.0
BARR	096	SWIM	B	8,943	13.20	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	028	SWK	SS	50,000	59.96	n/a	n/a	2,000.00	4.0
J L F ASSET MGMT	039	TGT	SS	78,000	57.99	n/a	10-May	3,120.00	4.0
KAICHER	064	TRMM	B	500	2.62	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SSI INVESTORS	048	T	B	34,700	40.00	25-Apr	10-May	1,388.00	4.0
CSFB GLOBAL PROPRIETARY	035	UFS	B	20,000	9.74	n/a	n/a	1,000.00	5.0
GALLEON MGMT LP	033	WFR	S	10,000	60.30	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	WFR	S	25,000	60.98	n/a	n/a	1,250.00	5.0
GENERAL MOTORS INV CO	040	WNG	S	1,100	68.21	n/a	n/a	44.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	10,000	12.80	9-Mar	17-Apr	400.00	4.0
TOTAL (Trade Date):								78,529.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/11	ARDSLEY PARTNERS (ARDS-I)	038	FCEL	B	33,050	6.65	n/a	n/a	1322.00 4.0
AO,CXL	05/11	ARDSLEY PARTNERS (ARDSBULK)	038	FCEL	B	150,000	6.65	n/a	n/a	7500.00 5.0
AO,CRT	05/11	ARDSLEY PARTNERS (ARDSBULK)	038	FCEL	B	116,950	6.65	n/a	n/a	4678.00 4.0
AO,	05/10	MILLENIUM PARTNERS (MILPSTACEY)	028	GE	SS	20,000	37.01	n/a	n/a	1000.00 5.0
AO,	05/11	CARLYLE BLUE WAVE PR MG (CBLUMS)	040	HLT	S	10,992	34.16	n/a	n/a	549.60 5.0
AO,CXL	05/11	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	PX	SS	10,000	66.17	n/a	25-Apr	400.00 4.0
AO,CRT	05/11	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	PX	SS	10,000	66.17	n/a	25-Apr	600.00 6.0
AO,CXL	05/11	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	ROH	SS	20,000	52.72	12-Feb	23-Apr	800.00 4.0
AO,CRT	05/11	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	ROH	SS	20,000	52.72	12-Feb	23-Apr	1000.00 5.0
AO,CXL	05/11	HIGHBRIDGE CAPITAL (HIGBNEW)	038	WFR	S	25,000	61.08	n/a	n/a	1250.00 5.0

TOTAL (AO, CXL, CRT) :**-800.40**

TOTAL (Trade Date):

78,529.11

TOTAL (AO, CXL, CRT):

-800.40

TOTAL (RUN DATE) / NFS:**77,728.71**

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