



## Daily Compliance Activity Report

Trade Date: 03/07/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	ABT	B	365,562	52.72	n/a	22-Apr	14,622.48	4.0
COCL	036	ABT	B	27	52.72	n/a	22-Apr	1.08	4.0
HIGHBRIDGE CAPITAL	038	ADP	SS	7,000	48.14	n/a	n/a	350.00	5.0
RBC CAPITAL MARKETS	034	AEOS	SS	25,000	28.76	4-Jan	5-Mar	1,250.00	5.0
WHITTIER CAP	048	AJG	S	15,723	28.27	n/a	n/a	786.15	5.0
COUGAR TRADING	044	ANF	SS	5,000	74.40	2-Feb	5-Mar	250.00	5.0
COUGAR TRADING	044	ANF	S	10,000	74.68	2-Feb	5-Mar	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	ANN	SS	20,000	35.24	5-Jan	5-Mar	800.00	4.0
THE JAY GOLDMAN	034	ARO	B	30,000	36.64	23-Oct	5-Mar	1,200.00	4.0
S.A.C. CAPITAL MGMT.	044	BKC	SS	25,000	21.03	30-Jan	30-Jan	1,250.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>BQI</b>	<b>B</b>	<b>3,000</b>	<b>3.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	CAM	B	15,000	57.53	n/a	n/a	750.00	5.0
ROYCE TRADING	216	CCC	S	10,000	6.69	n/a	n/a	500.00	5.0
<b>JACOB</b>	<b>068</b>	<b>CEC</b>	<b>S</b>	<b>300</b>	<b>42.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRANAHAN INV	039	CENT	B	26,300	13.62	8-Feb	8-Feb	1,052.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	CHS	SS	10,000	22.40	5-Jan	7-Mar	500.00	5.0
GEORGE WEISS	034	CKR	B	70,000	18.59	n/a	n/a	2,800.00	4.0
BRENCOURT	028	COO	S	35,000	45.33	n/a	n/a	1,750.00	5.0
CAPITAL GROWTH MGMT.	241	CRS	B	20,000	115.37	n/a	n/a	1,000.00	5.0
ROYCE TRADING	216	CSK	S	5,000	14.58	n/a	n/a	250.00	5.0
Õ Glenn Redemann		CSX	B	7	0.1300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CSX	B	7	0.1700	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CSX	S	7	0.8200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CSX	S	7	0.9800	n/a	n/a	0.00	0.0
IRONBOUND CAPITAL	012	CYH	S	138,912	36.66	16-Feb	21-Feb	6,945.60	5.0
Õ Glenn Redemann		DELL	S	406	22.5600	n/a	n/a	0.00	0.0
KAICHER	064	ENER	S	500	32.58	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	EV	B	12,500	34.16	2-Nov	5-Mar	625.00	5.0
MORGAN BANK /JPM	012	EWJ	B	35,971	14.57	n/a	n/a	1,079.13	3.0
RH CAPITAL ASSOCIATES	060	FDC	S	30,000	24.78	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	130,000	28.53	3-Nov	6-Mar	5,200.00	4.0
HARVEST MGMT	039	FDO	SS	20,000	28.59	3-Nov	6-Mar	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT	001	FD	B	80,000	43.98	26-Jan	5-Mar	3,200.00 4.0
PIVOT CAP	034	FD	B	9,000	43.82	26-Jan	5-Mar	360.00 4.0
PIVOT CAP	034	FL	S	11,250	22.53	n/a	9-Feb	450.00 4.0
SEGAL BRYANT HAMMILL	037	HD	S	2,200	38.89	n/a	1-Mar	110.00 5.0
HAYGROUND COE	039	HOTT	B	50,000	10.77	n/a	5-Mar	2,500.00 5.0
BUCK	015	ICECY	B	5	2.35	n/a	n/a	0.00 0.0
STRAUSS ASSET MGMT	040	IDSY	S	15,000	13.49	n/a	n/a	750.00 5.0
MAGUIRE	039	ISE	B	100	47.03	26-Oct	5-Mar	0.00 0.0
Õ Glenn Redemann		JOE	B	3	0.5300	n/a	n/a	0.00 0.0
Õ Glenn Redemann		JOE	B	3	0.7800	n/a	n/a	0.00 0.0
Õ Glenn Redemann		JOE	B	3	0.9200	n/a	n/a	0.00 0.0
COUGAR TRADING	044	JWN	B	5,000	50.00	27-Feb	5-Mar	250.00 5.0
CUMBERLAND	038	JWN	B	10,000	50.40	27-Feb	5-Mar	400.00 4.0
Õ Glenn Redemann		KLAC	B	3	0.7800	n/a	n/a	0.00 0.0
Õ Glenn Redemann		KLAC	B	3	0.8200	n/a	n/a	0.00 0.0
ROYCE TRADING	216	LEA	S	10,000	36.86	n/a	n/a	500.00 5.0
ROYCE TRADING	216	LVB	S	3,000	35.07	n/a	n/a	150.00 5.0
WHEELER	008	MAG	S	100	4.70	n/a	n/a	0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	MCD	SS	69,400	42.88	n/a	6-Feb	2,776.00	4.0
WASHINGTON ASSET	048	MCD	S	5,000	42.75	n/a	6-Feb	250.00	5.0
SAGE ASSET MGMT	012	MCHP	B	84,000	36.25	n/a	n/a	4,200.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>MTRX</b>	<b>S</b>	<b>5,000</b>	<b>17.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITTIER CAP	048	NNI	S	20,085	24.74	n/a	n/a	1,004.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>100,000</b>	<b>13.40</b>	<b>1-Dec</b>	<b>5-Mar</b>	<b>4,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ODP</b>	<b>B</b>	<b>50,000</b>	<b>34.36</b>	<b>n/a</b>	<b>2-Mar</b>	<b>2,000.00</b>	<b>4.0</b>
BRENCOURT	028	PDE	S	75,000	28.17	n/a	n/a	3,750.00	5.0
WHITE PINE CAPITAL	030	PERY	S	250	29.90	n/a	n/a	12.50	5.0
AVESTA CAP	229	PG	B	15,000	62.25	15-Dec	31-Jan	750.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>PRST</b>	<b>S</b>	<b>10,000</b>	<b>5.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	PSS	S	17,500	34.19	n/a	n/a	700.00	4.0
COUGAR TRADING	044	PSUN	B	5,000	17.30	n/a	5-Mar	250.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>RCKY</b>	<b>S</b>	<b>1,000</b>	<b>12.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>RCKY</b>	<b>B</b>	<b>300</b>	<b>10.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	RVI	S	150	19.82	n/a	n/a	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	091	RYN	B	50,000	42.61	24-Jan	24-Jan	2,500.00	5.0
MAGUIRE	039	SBUX	C	100	30.06	n/a	1-Feb	0.00	0.0
GASNER	025	SQXCF	B	5	0.60	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	SSI	B	285	20.93	26-Feb	5-Mar	14.25	5.0
HIGHBRIDGE CAPITAL	038	STLD	B	25,000	36.85	n/a	n/a	1,250.00	5.0
ROYCE TRADING	216	TG	S	5,000	22.02	n/a	n/a	250.00	5.0
FORTRESS CAPITAL	040	THI	S	50,000	29.81	12-Dec	7-Feb	2,500.00	5.0
RAMIUS CAP	040	TIN	B	110,000	58.54	26-Feb	26-Feb	5,500.00	5.0
WHITE PINE CAPITAL	030	TUNE	S	1,075	4.26	n/a	n/a	43.00	4.0
WHITTIER CAP	048	TWTR	B	7,523	1.42	n/a	n/a	225.69	3.0
LEHMAN PROPRIETARY TRAD	039	TWX	B	100,000	20.01	n/a	n/a	4,000.00	4.0
MORGENS WATERFALL	040	TYC	B	300,000	30.51	n/a	6-Feb	15,000.00	5.0
SAILFISH	037	UNH	B	10,000	53.65	n/a	n/a	500.00	5.0
WHITTIER CAP	048	WBSN	S	12,710	22.47	n/a	3-Apr	635.50	5.0
MERRILL ASSET	032	WBS	S	32,700	48.10	n/a	n/a	1,635.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö Glenn Redemann		WFT	B	7	0.1800	n/a	n/a	0.00	0.0
Ö Glenn Redemann		WFT	B	7	0.2300	n/a	n/a	0.00	0.0
Ö Glenn Redemann		WFT	S	7	0.9300	n/a	n/a	0.00	0.0
Ö Glenn Redemann		WFT	S	7	0.9300	n/a	n/a	0.00	0.0
Ö Glenn Redemann		WFT	S	7	0.9800	n/a	n/a	0.00	0.0
IRONBOUND CAPITAL	012	WLP	B	63,655	80.00	n/a	n/a	3,182.75	5.0
PILOT ADV	038	WLSC	SS	25,000	19.14	n/a	n/a	1,000.00	4.0
XYLEM GLOBAL	091	WY	B	130,000	83.78	15-Dec	9-Feb	6,500.00	5.0
LUCHANSKY	036	WY	S	100	83.67	15-Dec	9-Feb	0.00	0.0
ACT II PARTNERS	067	XOHO	B	50,000	4.45	n/a	n/a	2,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>121,067.88</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	03/05	MKT MAKER (MKT MAKER)	099	AEOS	B	46	29.30	4-Jan	5-Mar	0.00	0.0
AO,	03/05	MKT MAKER (MKT MAKER)	099	AEOS	S	700	29.30	4-Jan	5-Mar	0.00	0.0
AO,CXL	03/06	J L F ASSET MGMT (JLFA\$0.04)	039	ANN	B	40,000	35.75	5-Jan	5-Mar	1.43	0.0
AO,CRT	03/06	J L F ASSET MGMT (JLFA\$0.04)	039	ANN	B	40,000	35.75	5-Jan	5-Mar	1600.00	4.0
AO,CXL	03/06	CHART WELL ADV (CHATHNW038)	243	BBY	B	27	45.99	13-Dec	21-Feb	1.21	4.5
AO,	03/06	CHART WELL ADV (CHATHNW038)	243	BBY	B	27	45.99	13-Dec	21-Feb	1.22	4.5
AO,CXL	03/06	CHART WELL ADV (CHATH025DC)	243	BBY	B	143	45.99	13-Dec	21-Feb	6.42	4.5
AO,	03/06	CHART WELL ADV (CHATH025DC)	243	BBY	B	143	45.99	13-Dec	21-Feb	6.44	4.5
AO,CXL	03/06	CHART WELL ADV (CHATH024DC)	243	BBY	B	95	45.99	13-Dec	21-Feb	4.27	4.5
AO,	03/06	CHART WELL ADV (CHATH024DC)	243	BBY	B	95	45.99	13-Dec	21-Feb	4.28	4.5
AO,CXL	03/06	CHART WELL ADV (CHATH026DC)	243	BBY	B	143	45.99	13-Dec	21-Feb	6.42	4.5
AO,	03/06	CHART WELL ADV (CHATH026DC)	243	BBY	B	143	45.99	13-Dec	21-Feb	6.44	4.5
AO,CXL	03/06	CHART WELL ADV (CHATH027DC)	243	BBY	B	191	45.99	13-Dec	21-Feb	8.58	4.5
AO,	03/06	CHART WELL ADV (CHATH027DC)	243	BBY	B	191	45.99	13-Dec	21-Feb	8.60	4.5
AO,CXL	03/06	CHART WELL ADV (CHATHNW020)	243	BBY	B	35	45.99	13-Dec	21-Feb	1.57	4.5
AO,	03/06	CHART WELL ADV (CHATHNW020)	243	BBY	B	35	45.99	13-Dec	21-Feb	1.58	4.5
AO,CXL	03/06	UBS OCONNOR (UBSOWARBUR)	031	BIG	SS	10,000	23.64	16-Nov	6-Mar	0.00	0.0
AO,CRT	03/06	UBS OCONNOR (UBSOWARBUR)	031	BIG	SS	10,000	23.64	16-Nov	6-Mar	300.00	3.0
AO,CXL	03/06	UBS OCONNOR (UBSOWARBUR)	031	FDO	SS	10,000	28.16	3-Nov	6-Mar	500.00	5.0
AO,CRT	03/06	UBS OCONNOR (UBSOWARBUR)	031	FDO	SS	10,000	28.16	3-Nov	6-Mar	300.00	3.0
AO,CXL	03/06	BALYASNY ASSET MGMT (BALY)	044	FII	B	20,000	35.83	n/a	6-Mar	1.79	0.0
AO,CRT	03/06	BALYASNY ASSET MGMT (BALY)	044	FII	B	20,000	35.83	n/a	6-Mar	1000.00	5.0
AO,CRT	03/02	PROSPECTOR PARTNERS LLC (PROSFOLKKO)	036	HE	B	4,300	26.20	n/a	n/a	172.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
AO,CXL	03/02	PROSPECTOR PARTNERS LLC (PROSFOLKSA)	036	HE	B	4,300	26.20	n/a	n/a	172.00	4.0
AO,CXL	03/06	SAGE ASSET MGMT (SAGEBANC O)	012	MCHP	B	25,000	36.52	n/a	n/a	1.83	0.0
AO,CRT	03/06	SAGE ASSET MGMT (SAGEBANC O)	012	MCHP	B	25,000	36.52	n/a	n/a	1250.00	5.0
TOTAL (AO, CXL, CRT) :										3,945.04	

TOTAL (Trade Date):	121,067.88
TOTAL (AO, CXL, CRT):	3,945.04

<b>TOTAL (RUN DATE) / NFS:</b>	<b>125,012.92</b>
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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