



Daily Compliance Activity Report

Trade Date: 01/03/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	AAPL	S	22,250	84.68	n/a	n/a	890.00	4.0
BARR	096	ACF	C	600	25.96	n/a	n/a	0.00	0.0
GAULT	063	AMCC	B	7,000	3.64	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	AMG	B	10,000	105.85	14-Dec	22-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	40,000	70.78	3-Nov	3-Jan	1,600.00	4.0
J L F ASSET MGMT	039	ANF	B	53,500	70.63	3-Nov	3-Jan	2,140.00	4.0
BALYASNY ASSET MGMT	044	ARG	B	10,000	41.41	27-Nov	27-Nov	500.00	5.0
COUGAR TRADING	044	ARO	B	5,000	31.90	23-Oct	3-Jan	250.00	5.0
J L F ASSET MGMT	039	ARO	B	84,600	31.99	23-Oct	3-Jan	3,384.00	4.0
ROBERTSON STEVENS BC	033	ARO	B	107,400	32.11	23-Oct	3-Jan	4,296.00	4.0
STADIA CAPITAL	035	ARO	S	61,800	31.89	23-Oct	3-Jan	2,472.00	4.0
BALYASNY ASSET MGMT	044	ASD	B	10,000	46.27	2-Oct	1-Dec	500.00	5.0
KAICHER	064	ASTM	B	500	1.25	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	AVZ	B	12,300	23.58	29-Dec	29-Dec	615.00	5.0
DSG CAPITAL	225	AVZ	B	10,000	23.62	29-Dec	29-Dec	500.00	5.0
REINHART & MAHONEY	031	AVZ	B	29,880	23.62	29-Dec	29-Dec	1,494.00	5.0
U.S.TRUST COMPANY	012	AVZ	B	55,720	23.67	29-Dec	29-Dec	2,507.40	4.5
TRIBECA/DOUG	040	AWH	B	10,000	43.80	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	BBW	S	37,100	28.42	n/a	n/a	1,855.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	30,000	49.27	13-Dec	13-Dec	1,200.00	4.0
BALYASNY ASSET MGMT	044	BEN	S	5,000	113.43	9-Nov	29-Dec	250.00	5.0
SAILFISH	037	BID	B	10,000	31.21	n/a	n/a	500.00	5.0
STADIA CAPITAL	035	BJ	C	16,000	31.65	n/a	3-Jan	640.00	4.0
ROYCE TRADING	216	BKE	S	20,000	52.32	n/a	n/a	1,000.00	5.0
SUNOVA CAPITAL	031	BLK	B	10,000	155.34	16-Oct	22-Dec	500.00	5.0
CENTURION PARTNERS	249	BONT	B	10,000	35.69	23-Oct	3-Jan	500.00	5.0
WHALE ROCK CAP	030	BONT	B	40,000	36.14	23-Oct	3-Jan	1,600.00	4.0
BUCK CAPITAL MGMT	001	CBK	B	125,400	18.83	11-Dec	3-Jan	5,016.00	4.0
BUCK	015	CMA	S	500	59.23	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	COST	S	40,300	53.10	n/a	3-Jan	1,612.00	4.0
STRAUSS ASSET MGMT	040	CROX	S	3,700	42.96	n/a	n/a	185.00	5.0
BUCK CAPITAL MGMT	001	DDS	SS	20,000	35.58	n/a	n/a	800.00	4.0
MERRILL ASSET	032	DEI	S	30,300	26.83	n/a	n/a	1,515.00	5.0
EFSTATHIOU	044	DIO	S	1,000	0.81	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	EBS	S	1,000	11.42	n/a	n/a	0.00	0.0
VANDER MOOLEN	040	ENDP	B	5,000	27.60	18-Oct	3-Jan	250.00	5.0
KAICHER	064	ESLR	B	200	7.59	n/a	n/a	0.00	0.0
BUCK	015	EWJ	B	1,000	14.25	n/a	n/a	0.00	0.0
RH CAPITAL ASSOCIATES	060	FDC	S	25,000	25.47	n/a	n/a	1,000.00	4.0
CHILTON CAPITAL MGMT.	036	FD	S	101,690	38.22	9-Nov	3-Jan	4,067.60	4.0
COLONIAL FUND LLC	036	FD	SS	100,000	37.79	9-Nov	3-Jan	5,000.00	5.0
THE JAY GOLDMAN	034	FD	B	10,000	37.41	9-Nov	3-Jan	400.00	4.0
BALYASNY ASSET MGMT	044	FII	S	20,000	34.09	n/a	22-Dec	1,000.00	5.0
BARR	096	FLT	S	575	1.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	B	30,000	22.19	n/a	7-Dec	1,200.00	4.0
TROUBH PART	067	FL	S	20,000	22.04	n/a	7-Dec	1,000.00	5.0
NEEDHAM CAP	067	FOSL	SS	20,000	23.23	15-Nov	15-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	GES	B	40,000	64.60	n/a	n/a	1,600.00	4.0
WHITE PINE CAPITAL	030	GGG	B	100	40.18	n/a	n/a	5.00	5.0
MAZAMA CAPITAL MGMT.	035	GHL	S	52,100	74.01	n/a	n/a	2,084.00	4.0
BONANZA PARTNERS	031	GIII	SS	35,000	19.84	n/a	n/a	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MKT MAKER	099	GIII	SS	251	19.84	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	GM	S	50,000	29.36	n/a	n/a	2,500.00	5.0
LISTED ERR	099	GM	B	15,000	29.48	n/a	n/a	0.00	0.0
LISTED ERR	099	GM	S	15,000	29.48	n/a	n/a	0.00	0.0
OGORMAN	146	GQUMH	B	5	1.80	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GS	B	5,000	199.85	13-Dec	13-Dec	250.00	5.0
TRELLUS PARTNERS LP	028	GYMB	SS	10,000	39.15	1-Dec	3-Jan	500.00	5.0
GASNER	025	HBP	S	2,150	5.39	n/a	n/a	0.00	0.0
REICH AND TANG	037	HPC	S	25,000	19.51	n/a	n/a	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	ID	B	81,800	15.14	n/a	n/a	4,090.00	5.0
WHITE PINE CAPITAL	030	IFF	B	100	48.84	10-Nov	22-Nov	5.00	5.0
RIVER RUN MGMT	031	ITCD	B	19,200	2.56	n/a	n/a	576.00	3.0
BARR	096	ITCD	S	2,000	2.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	38.27	n/a	20-Dec	800.00	4.0
THE JAY GOLDMAN	034	JCP	B	5,000	77.84	10-Nov	3-Jan	2.00	0.0
CUMBERLAND	038	JWN	B	30,000	50.40	11-Dec	3-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	130,000	67.77	27-Dec	3-Jan	5,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	KSS	B	35,000	68.04	27-Dec	3-Jan	1,750.00	5.0
TRIVIUM CAP MGMT	028	KSS	C	48,000	67.05	27-Dec	3-Jan	1,920.00	4.0
BARR	096	LEND	C	300	27.35	n/a	n/a	0.00	0.0
TRIBECA/DOUG	040	LM	SS	5,000	96.85	31-Jul	22-Dec	200.00	4.0
NCM CAPITAL MGMT	035	LRCX	B	29,400	50.13	n/a	n/a	915.00	4.4
SAILFISH	037	LSI	B	10,000	9.01	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	LTD	S	125,000	29.48	1-Dec	3-Jan	5,000.00	4.0
BULL PATH CAPITAL	044	LTD	B	50,000	29.86	1-Dec	3-Jan	2,500.00	5.0
SEAROCK CAPITAL MANAGE	012	LTD	SS	80,000	29.35	1-Dec	3-Jan	3,200.00	4.0
BALYASNY ASSET MGMT	044	LVS	S	5,000	91.08	n/a	n/a	250.00	5.0
BUCK	015	LVS	S	500	90.91	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	LXK	S	38,602	72.73	n/a	n/a	1,353.80	4.4
BALYASNY ASSET MGMT	044	MEL	S	29,800	42.51	5-Dec	12-Dec	1,490.00	5.0
CAPITAL GROWTH MGMT.	241	MET	B	90,000	60.00	n/a	n/a	4,500.00	5.0
BALYASNY ASSET MGMT	044	MRVL	B	15,000	19.72	n/a	n/a	750.00	5.0
BALYASNY ASSET MGMT	044	MXIM	B	30,000	31.72	n/a	n/a	1,500.00	5.0
NCM CAPITAL MGMT	035	NFX	B	5,250	42.00	n/a	n/a	262.50	5.0
BUCK CAPITAL MGMT	001	NWY	B	30,000	13.12	1-Dec	3-Jan	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS O'CONNOR/TOM LEDDY	035	ODP	SS	30,000	37.91	n/a	1-Dec	1,500.00	5.0
FRIESS MGMT	042	ORCL	B	1,223,000	17.58	n/a	n/a	55,035.00	4.5
COUGAR TRADING	044	PLCE	B	5,000	62.74	n/a	3-Jan	250.00	5.0
KACELA CAPITAL	034	PLCE	B	5,400	62.91	n/a	3-Jan	216.00	4.0
COUGAR TRADING	044	PSUN	S	5,000	20.29	n/a	3-Jan	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	60,000	50.98	22-Nov	22-Nov	2,250.00	3.8
STRAUSS ASSET MGMT	040	RCL	S	15,000	42.67	n/a	1-Nov	750.00	5.0
KORMAN	003	RLF	B	5,000	27.88	n/a	n/a	0.00	0.0
KORMAN	003	RPF	B	5,000	27.02	n/a	n/a	0.00	0.0
KORMAN	003	RQI	B	5,000	25.20	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	RSTO	S	16,000	8.65	n/a	n/a	640.00	4.0
WHALE ROCK CAP	030	RTH	B	25,000	101.25	n/a	n/a	1,000.00	4.0
BUCK	015	RYN	S	1,000	41.20	n/a	14-Dec	0.00	0.0
J L F ASSET MGMT	039	SHLD	S	11,100	168.51	n/a	n/a	444.00	4.0
FRIESS MGMT	042	SKX	B	79,200	33.61	n/a	7-Dec	3,564.00	4.5
Õ Manny Korman		SRO	B	3000	19.38	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Manny Korman		SRO	B	5000	19.39	n/a	n/a	0.00	0.0
	KORMAN	003	SRO	B	5,000	19.39	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	SSI	B	10,000	29.66	n/a	n/a	400.00	4.0
	ROXBURY CAPITAL MGMT	035	SSI	S	65,145	29.90	n/a	n/a	2,605.80	4.0
	THE JAY GOLDMAN	034	SSI	B	10,000	29.90	n/a	n/a	400.00	4.0
	NEW JERSEY DIV OF INV.	220	SVM	B	50,000	13.16	n/a	n/a	2,000.00	4.0
	BUCK	015	SXL	B	700	49.95	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	TJX	B	35,000	29.07	6-Oct	3-Jan	1,400.00	4.0
	LEVIN CAPITAL STRATEGIES	012	TJX	SS	10,000	29.44	6-Oct	3-Jan	400.00	4.0
	SAILFISH	037	TJX	SS	10,000	29.08	6-Oct	3-Jan	500.00	5.0
	JP MORGAN VENTURES	046	TLB	B	10,000	23.36	18-Oct	16-Nov	500.00	5.0
	Manny Korman		TRQI	B	4000	25.20	n/a	n/a	0.00	0.0
	GALLEON MGMT LP	033	URBN	SS	30,000	23.73	7-Dec	11-Dec	1,500.00	5.0
	GAULT	063	VG	B	1,300	6.61	5-Sep	20-Dec	0.00	0.0
	WHITE PINE CAPITAL	030	WDR	B	18,250	27.25	15-Dec	22-Dec	912.50	5.0
	BARROW HANLEY MEWHINNEY	031	WLP	B	48,400	78.25	n/a	n/a	1,936.00	4.0
	EFSTATHIOU	044	WMTAW	S	20	0.80	n/a	n/a	0.00	0.0
	BALYASNY ASSET MGMT	044	WMT	SS	50,000	47.69	5-Oct	3-Jan	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	WMT	S	15,000	47.88	5-Oct	3-Jan	750.00	5.0
COUGAR TRADING	044	WMT	SS	5,000	47.89	5-Oct	3-Jan	250.00	5.0
SIGMA CAP BOBBY	044	WMT	B	30,000	47.92	5-Oct	3-Jan	1,500.00	5.0
SIGMA CAP BOBBY	044	WMT	SS	30,000	47.92	5-Oct	3-Jan	1,500.00	5.0
SIGMA CAP BOBBY	044	WMT	S	30,000	48.05	5-Oct	3-Jan	1,500.00	5.0
THE JAY GOLDMAN	034	WMT	S	30,000	47.80	5-Oct	3-Jan	1,200.00	4.0
BARR	096	WM	C	250	45.65	n/a	n/a	0.00	0.0
FORD FDN.	032	WYE	S	25,000	51.57	n/a	31-Mar	1,250.00	5.0
NCM CAPITAL MGMT	035	XL	S	3,475	72.48	n/a	n/a	173.75	5.0
TOTAL (Trade Date) :								192,119.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/29	FRIESS MGMT (FRISRJIM)	042	AGR	S	300	19.39	n/a	n/a	13.50 4.5
AO,CXL	12/29	FRIESS MGMT (FRISNUKE)	042	AGR	S	300	19.39	n/a	n/a	13.50 4.5
AO,CRT	12/27	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	CC	B	20,000	19.74	20-Dec	20-Dec	1000.00 5.0
AO,CXL	12/27	UBS OCONNOR (UBSOWARBUR)	031	CC	B	20,000	19.74	20-Dec	20-Dec	1000.00 5.0
AO,CXL	12/29	BONANZA PARTNERS (BONZBAC PB)	031	GIII	SS	5,000	19.15	n/a	n/a	250.00 5.0
AO,CRT	12/29	BONANZA PARTNERS (BONZBAC PB)	031	GIII	SS	5,000	19.15	n/a	n/a	250.00 5.0
AO,CXL	12/29	COUGAR TRADING (COUGPB MS)	044	GYMB	B	5,000	38.84	1-Dec	3-Jan	250.00 5.0
AO,CRT	12/29	COUGAR TRADING (COUGPB MS)	044	GYMB	B	5,000	38.84	1-Dec	3-Jan	250.00 5.0
AO,CXL	12/29	TRELLUS PARTNERS LP (TRELMAIN)	028	GYMB	SS	50,000	38.30	1-Dec	3-Jan	2500.00 5.0
AO,CRT	12/29	TRELLUS PARTNERS LP (TRELMAIN)	028	GYMB	SS	50,000	38.30	1-Dec	3-Jan	2500.00 5.0
AO,CXL	12/29	SEAROCK CAPITAL MANAGE (SEARMS)	012	ICON	B	100,000	19.35	n/a	n/a	3000.00 3.0
AO,CRT	12/29	SEAROCK CAPITAL MANAGE (SEARMS)	012	ICON	B	100,000	19.35	n/a	n/a	3000.00 3.0
AO,CRT	12/29	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	ODP	SS	65,000	38.50	n/a	1-Dec	3250.00 5.0
AO,CXL	12/29	UBS OCONNOR (UBSOWARBUR)	031	ODP	SS	65,000	38.50	n/a	1-Dec	3250.00 5.0
AO,CXL	12/29	APEX CAPITAL MGMT. (APEXMORGAN)	002	SNDK	B	10,000	42.88	n/a	n/a	500.00 5.0
AO,CRT	12/29	APEX CAPITAL MGMT. (APEXMORGAN)	002	SNDK	B	10,000	42.88	n/a	n/a	500.00 5.0
AO,CXL	12/28	CHILTON CAPITAL MGMT. (CHILMORGAN)	036	SWY	S	100,000	35.06	n/a	n/a	0.04 0.0
AO,CRT	12/28	CHILTON CAPITAL MGMT. (CHILMORGAN)	036	SWY	S	100,000	35.06	n/a	n/a	4000.00 4.0
AO,CXL	12/29	LOCUS WOOD CAPITAL MGMT (LOCOBRO.04)	044	WMT	B	50,000	46.37	5-Oct	3-Jan	2000.00 4.0
AO,CRT	12/29	LOCUS WOOD CAPITAL MGMT (LOCOMS\$.04)	044	WMT	B	50,000	46.37	5-Oct	3-Jan	2000.00 4.0
AO,CRT	12/28	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	WMT	B	50,000	46.07	5-Oct	3-Jan	2500.00 5.0
AO,CXL	12/28	UBS OCONNOR (UBSOWARBUR)	031	WMT	B	50,000	46.07	5-Oct	3-Jan	2500.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									3,999.96
TOTAL (Trade Date) :									192,119.35
TOTAL (AO, CXL, CRT) :									3,999.96
TOTAL (RUN DATE) / NFS :									196,119.31

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