



## Daily Compliance Activity Report

Trade Date: 05/08/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AB	B	15,000	90.71	25-Apr	1-May	750.00	5.0
RH CAPITAL ASSOCIATES	060	ACXM	S	19,000	24.57	n/a	n/a	950.00	5.0
SEGAL BRYANT HAMMILL	030	ADBE	S	300	41.31	n/a	n/a	15.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>120,000</b>	<b>27.90</b>	<b>4-Jan</b>	<b>8-May</b>	<b>4,800.00</b>	<b>4.0</b>
J L F ASSET MGMT	039	AEO	SS	57,100	27.81	4-Jan	8-May	2,284.00	4.0
LIGHTHOUSE FIN/QUAD	046	AMD	B	5,000	13.03	n/a	n/a	250.00	5.0
SUNOVA CAPITAL	031	AMG	S	10,000	121.51	25-Apr	1-May	500.00	5.0
MAZAMA CAPITAL MGMT.	035	AOS	B	32,300	39.28	18-Apr	18-Apr	1,292.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>SS</b>	<b>70,000</b>	<b>40.34</b>	<b>n/a</b>	<b>8-May</b>	<b>2,800.00</b>	<b>4.0</b>
ROARING BLUE LION MGMT	012	ARO	SS	2,000	40.26	n/a	8-May	100.00	5.0
<b>Glenn Redemann</b>		<b>ATVI</b>	<b>S</b>	<b>1000</b>	<b>20.1500</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	AVA	S	16,950	24.02	n/a	n/a	762.75	4.5
BRIGHTPOINT CAP	067	BIG	SS	10,000	32.78	9-Mar	12-Apr	500.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>BRNC</b>	<b>B</b>	<b>5,000</b>	<b>17.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>BRNC</b>	<b>B</b>	<b>1,000</b>	<b>16.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>JACOB</b>	<b>068</b>	<b>BRNC</b>	<b>B</b>	<b>1,200</b>	<b>16.85</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.	
COUGAR TRADING	044	CBK	S	5,000	16.74	30-Mar	8-May	250.00	5.0
WHITE PINE CAPITAL	030	CBK	B	675	16.81	30-Mar	8-May	33.75	5.0
GEORGE WEISS	034	CBRL	SS	20,000	46.18	n/a	n/a	600.00	3.0
DELTEC ASSET MGMT.	040	CC	B	17,000	16.08	1-May	1-May	850.00	5.0
<b>KERN</b>	<b>050</b>	<b>CC</b>	<b>S</b>	<b>250</b>	<b>16.21</b>	<b>1-May</b>	<b>1-May</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>160</b>	<b>CC</b>	<b>S</b>	<b>1,000</b>	<b>16.01</b>	<b>1-May</b>	<b>1-May</b>	<b>0.00</b>	<b>0.0</b>
BRIGHTPOINT CAP	067	CHS	S	20,000	25.83	27-Mar	8-May	1,000.00	5.0
Õ <b>Glenn Redemann</b>		<b>CNX</b>	<b>B</b>	<b>2</b>	<b>0.9700</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>CNX</b>	<b>B</b>	<b>2</b>	<b>1.2300</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	CVS	S	25,000	36.89	n/a	n/a	1,250.00	5.0
SAGE ASSET MGMT	012	DOW	B	80,200	45.40	n/a	30-Apr	4,010.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>S</b>	<b>40,000</b>	<b>38.03</b>	<b>7-May</b>	<b>7-May</b>	<b>1,600.00</b>	<b>4.0</b>
CAXTON PART	040	FDC	B	18,900	32.51	n/a	n/a	756.00	4.0
COUGAR TRADING	044	FD	B	5,000	43.50	26-Jan	8-May	250.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>FOSL</b>	<b>B</b>	<b>3,000</b>	<b>30.19</b>	<b>7-May</b>	<b>7-May</b>	<b>180.00</b>	<b>6.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>70,000</b>	<b>39.12</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
TRUST CO/COWEN/CALF.	040	GE	B	576,090	37.07	n/a	n/a	28,804.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SEGAL BRYANT HAMMILL	030	GG	S	200	24.58	n/a	n/a	10.00	5.0
CASTLE ARK	031	GIL	B	11,670	68.10	n/a	3-May	700.20	6.0
COLONIAL FUND LLC	036	GIL	B	10,000	68.29	n/a	3-May	500.00	5.0
TPG-AXON	040	GM	B	166,000	29.89	4-May	4-May	8,300.00	5.0
BENCHMARK	028	GYMB	SS	10,000	37.83	4-Jan	8-May	500.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>HBISF</b>	<b>B</b>	<b>50</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WAGONHOUND	048	ISE	S	13,600	67.00	30-Apr	30-Apr	544.00	4.0
SIGMA CAPITAL ASSOCIATES	044	JBL	B	25,000	24.03	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>40,000</b>	<b>78.51</b>	<b>20-Apr</b>	<b>8-May</b>	<b>1,600.00</b>	<b>4.0</b>
WHITE PINE CAPITAL	030	JCS	B	1,350	11.40	n/a	n/a	67.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>SS</b>	<b>10,000</b>	<b>73.55</b>	<b>n/a</b>	<b>8-May</b>	<b>400.00</b>	<b>4.0</b>
J L F ASSET MGMT	039	KSS	SS	92,400	73.59	n/a	8-May	3,696.00	4.0
ROARING BLUE LION MGMT	012	KSS	SS	1,100	73.59	n/a	8-May	55.00	5.0
J L F ASSET MGMT	039	LTD	SS	73,900	27.71	2-Mar	8-May	2,956.00	4.0
WD PARTNERS ILP	067	LTD	B	20,000	27.74	2-Mar	8-May	1,000.00	5.0
STERLING JOHNSTON	035	MCCC	B	40,000	8.51	28-Feb	8-May	1,600.00	4.0
<b>AMATURO</b>	<b>018</b>	<b>MPEL</b>	<b>B</b>	<b>500</b>	<b>16.80</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>BARR</b>	<b>096</b>	<b>NGI</b>	<b>S</b>	<b>500</b>	<b>4.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ZIFF BROS	038	NIHD	S	37,200	77.65	n/a	n/a	1,860.00	5.0
<b>KERN</b>	<b>050</b>	<b>NLS</b>	<b>S</b>	<b>250</b>	<b>13.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	PSUN	B	10,000	20.08	n/a	8-May	500.00	5.0
GRUSS CAPITAL	040	PSUN	S	5,000	20.18	n/a	8-May	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>20,000</b>	<b>53.70</b>	<b>28-Mar</b>	<b>28-Mar</b>	<b>800.00</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	PVH	B	161,675	53.64	28-Mar	28-Mar	6,062.82	3.8
WHITE PINE CAPITAL	030	RCKY	B	1,725	13.96	n/a	n/a	86.25	5.0
<b>KORMAN</b>	<b>003</b>	<b>RLF</b>	<b>S</b>	<b>3,000</b>	<b>24.79</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>RL</b>	<b>SS</b>	<b>10,000</b>	<b>91.62</b>	<b>2-Feb</b>	<b>13-Apr</b>	<b>400.00</b>	<b>4.0</b>
<b>KORMAN</b>	<b>003</b>	<b>RPF</b>	<b>B</b>	<b>3,000</b>	<b>24.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	RWC	B	1,750	4.28	n/a	n/a	70.00	4.0
WHITE PINE CAPITAL	030	SBN	B	6,325	2.00	n/a	n/a	126.50	2.0
WHITE PINE CAPITAL	030	SCSS	B	700	18.05	n/a	n/a	35.00	5.0
Ö Glenn Redemann		SEPR	B	8	0.7600	n/a	n/a	0.00	0.0
Ö Glenn Redemann		SEPR	B	8	0.7700	n/a	n/a	0.00	0.0
Ö Glenn Redemann		SEPR	SS	8	1.7400	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ö	Glenn Redemann		SEPR	SS	8	1.7400	n/a	n/a	0.00	0.0
	COUGAR TRADING	044	SMRT	B	5,000	14.83	n/a	n/a	250.00	5.0
	WHITE PINE CAPITAL	030	SRDX	B	750	39.07	n/a	n/a	37.50	5.0
	BARR	096	SWIM	SS	2,000	12.85	n/a	n/a	0.00	0.0
	ZIFF BROS	038	SYMC	S	296,000	19.49	n/a	3-Apr	14,800.00	5.0
	WHITE PINE CAPITAL	030	TCBI	B	1,225	22.48	n/a	n/a	61.25	5.0
	WHITE PINE CAPITAL	030	TCB	B	900	27.96	n/a	n/a	45.00	5.0
	SUTERA	160	TMM	B	2,500	3.03	n/a	n/a	0.00	0.0
	BALYASNY ASSET MGMT	044	TROW	B	10,000	49.76	n/a	1-May	500.00	5.0
	COUGAR TRADING	044	TWB	B	200	38.00	22-Feb	8-May	10.00	5.0
	STERLING JOHNSTON	035	TWTC	S	13,500	18.58	4-May	4-May	675.00	5.0
	ROTHSCHILD ASSET	040	TXI	S	18,960	81.15	n/a	n/a	853.20	4.5
	EGS ASSOCIATES LP	091	UAG	B	3,000	20.86	n/a	7-May	180.00	6.0
	ZIFF BROS	038	UTHR	S	28,700	60.00	n/a	n/a	1,435.00	5.0
	MERRILL ASSET	032	WBS	S	54,100	44.71	n/a	n/a	2,705.00	5.0
	BALYASNY ASSET MGMT	044	WB	B	50,000	56.40	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	WCG	S	5,990	89.51	n/a	n/a	269.55	4.5
WHITE PINE CAPITAL	030	WDR	B	425	24.51	5-Mar	1-May	21.25	5.0
SARAS CAPITAL	038	WU	S	40,000	21.32	n/a	n/a	2,000.00	5.0
ZIFF BROS	038	WU	S	157,000	21.36	n/a	n/a	7,850.00	5.0
ZIFF BROS	038	XMSR	S	139,670	11.20	n/a	n/a	6,983.50	5.0
ACT II PARTNERS	067	XOHO	B	50,000	5.03	n/a	n/a	2,000.00	4.0
RIVER RUN MGMT	031	XOHO	B	50,000	5.04	n/a	n/a	1,500.00	3.0
BRIGHTPOINT CAP	067	XRT	SS	15,000	42.76	n/a	n/a	750.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>136,133.52</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/07	PRINCIPLE CAPITAL (PRINUBSPB)	040	FDO	SS	100,000	32.28	19-Apr	19-Apr	4000.00 4.0
AO,CRT	05/07	PRINCIPLE CAPITAL (PRINUBSPB)	040	FDO	SS	100,000	32.28	19-Apr	19-Apr	3000.00 3.0
AO,	05/07	CHILTON CAPITAL MGMT. (CHILMORGAN)	036	HD	S	300,000	38.81	n/a	1-Mar	12000.00 4.0
AO,CXL	05/04	APEX CAPITAL MGMT. (APEXUBS)	091	LTD	B	166,500	28.24	2-Mar	8-May	8325.00 5.0
AO,CRT	05/04	APEX CAPITAL MGMT. (APEXMORGAN)	091	LTD	B	166,500	28.24	2-Mar	8-May	8325.00 5.0
AO,CXL	05/01	LISTED ERR (LISTED ERR)	099	SCHW	B	3	19.07	n/a	n/a	0.00 0.0
AO,CRT	05/01	CSFB GLOBAL PROPRIETARY (CSFBGLOBAL)	035	SCHW	B	3	19.07	n/a	n/a	0.15 5.0
AO,CXL	05/07	SATELLITE ASSET MGMT (SATECITI)	012	USTR	B	1,500	63.25	16-Feb	7-May	60.00 4.0
AO,CRT	05/07	SATELLITE ASSET MGMT (SATECITI)	012	USTR	B	15,000	63.25	16-Feb	7-May	600.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>11,540.15</b>
TOTAL (Trade Date) :										136,133.52
TOTAL (AO, CXL, CRT) :										11,540.15
<b>TOTAL (RUN DATE) / NFS :</b>										<b>147,673.67</b>

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