



Daily Compliance Activity Report

Trade Date: 06/21/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------------|-----|---------|--------|--------|----------|--------------|-----|
| LEDDY | 035 | AB | S | 200 | 87.73 | 15-Jun | 20-Jun | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | AEO | B | 10,000 | 26.66 | n/a | 12-Jun | 400.00 | 4.0 |
| COUGAR TRADING | 044 | AEO | B | 15,000 | 26.45 | n/a | 12-Jun | 750.00 | 5.0 |
| BUCK | 015 | AMQVZ | B | 10 | 1.15 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | ANN | B | 15,000 | 36.92 | 25-May | 8-Jun | 750.00 | 5.0 |
| BUCK | 015 | AYR | S | 1,000 | 40.07 | n/a | n/a | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | BGC | S | 20,000 | 75.83 | n/a | n/a | 1,000.00 | 5.0 |
| SUNOVA CAPITAL | 031 | BLK | SS | 20,000 | 155.25 | 25-May | 20-Jun | 1,000.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | BNI | SS | 9,700 | 85.50 | n/a | n/a | 388.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | BONT | S | 600 | 44.33 | 25-May | 8-Jun | 30.00 | 5.0 |
| LEDDY | 035 | BONT | S | 1,300 | 44.90 | 25-May | 8-Jun | 0.00 | 0.0 |
| BULL PATH CAPITAL | 044 | BSC | B | 62,500 | 145.93 | n/a | 21-Jun | 3,125.00 | 5.0 |
| ARIENCE CAPITAL | 036 | BYD | B | 25,075 | 50.26 | n/a | 27-Apr | 1,253.75 | 5.0 |
| TRIBECA/DOUG | 040 | CAG | B | 25,000 | 25.78 | n/a | n/a | 1,000.00 | 4.0 |
| MAGUIRE | 090 | CALPINE CORP | B | 100,000 | 129.63 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------------|-----|-------------|--------|--------|----------|-------------|-----|
| BARR | 096 | CALPINE CORP | B | 25,000 | 129.63 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | CBI | B | 3 | 0.1700 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | CBI | B | 3 | 0.3100 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | CBI | SS | 3 | 0.9000 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | CBI | SS | 3 | 1.2300 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | COH | B | 10,000 | 47.66 | 23-Feb | 25-Apr | 400.00 | 4.0 |
| COUGAR TRADING | 044 | COH | S | 5,000 | 47.40 | 23-Feb | 25-Apr | 250.00 | 5.0 |
| OGORMAN | 146 | CPNLQ | B | 2,500 | 3.30 | n/a | 13-Jun | 0.00 | 0.0 |
| Ö Doug Rogers | | CPN | B | 200116.5000 | | n/a | n/a | 0.00 | 0.0 |
| BEAR STEARNS ASSET MGMT. | 033 | CPWM | SS | 10,000 | 8.20 | n/a | n/a | 400.00 | 4.0 |
| BACKUS | 005 | CSCT | B | 3,000 | 14.20 | n/a | n/a | 0.00 | 0.0 |
| MATTHES CAPITAL MGMT | 033 | CSV | S | 500 | 8.33 | n/a | n/a | 25.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | CSX | SS | 9,700 | 43.96 | n/a | n/a | 388.00 | 4.0 |
| FRIESS MGMT | 042 | CVS | B | 183,200 | 36.99 | n/a | n/a | 8,244.00 | 4.5 |
| BUCK | 015 | CYTC | B | 1,000 | 42.63 | 21-May | 21-May | 0.00 | 0.0 |
| MILLENIUUM PARTNERS | 028 | DG | B | 25,000 | 21.75 | 21-Jun | 21-Jun | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | DKS | B | 5,000 | 55.67 | n/a | n/a | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | DSW | B | 20,000 | 34.71 | 7-May | 7-Jun | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| Õ Glenn Redemann | | ECA | B | 2 | 0.8300 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ECA | B | 2 | 1.4200 | n/a | n/a | 0.00 | 0.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | ELY | B | 20,000 | 18.43 | n/a | n/a | 750.00 | 3.8 |
| Õ Glenn Redemann | | ESI | B | 1 | 1.4600 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | ESI | B | 1 | 2.5900 | n/a | n/a | 0.00 | 0.0 |
| WHEELER | 008 | EXTR | B | 15,000 | 3.79 | n/a | 22-Mar | 0.00 | 0.0 |
| SSI INVESTORS | 048 | FL | B | 37,128 | 20.97 | 24-May | 21-Jun | 1,485.12 | 4.0 |
| WHITE PINE CAPITAL | 030 | GGG | S | 700 | 40.46 | n/a | n/a | 35.00 | 5.0 |
| CASTLE ARK | 031 | GIL | B | 56,600 | 35.45 | 21-Jun | 21-Jun | 3,396.00 | 6.0 |
| FRIESS MGMT | 042 | GME | B | 229,900 | 39.97 | n/a | n/a | 10,345.50 | 4.5 |
| ZOLIDIS | 011 | HLYS | B | 200 | 27.59 | n/a | n/a | 0.00 | 0.0 |
| KANTROWIT | N21 | HLYS | B | 60 | 27.24 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | HOLX | SS | 780 | 56.08 | n/a | n/a | 0.00 | 0.0 |
| AVESTA CAP | 229 | HON | S | 25,000 | 56.35 | 31-May | 31-May | 1,250.00 | 5.0 |
| SPRINGBOC | 039 | IESC | SS | 29,100 | 31.50 | n/a | n/a | 1,455.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | IT | B | 33,500 | 25.00 | n/a | n/a | 1,340.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | JCP | B | 20,000 | 73.76 | 21-Jun | 21-Jun | 1,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|--------------|----------|---------------|--------------|---------------|--------------|-----------------|------------|
| ADAGE CAPITAL MGMT | 030 | KMX | SS | 100,000 | 26.33 | n/a | 10-Jan | 4,000.00 | 4.0 |
| THE JAY GOLDMAN | 034 | KSS | S | 20,000 | 70.62 | 14-Jun | 14-Jun | 800.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | LLY | S | 43,880 | 56.79 | n/a | n/a | 1,974.60 | 4.5 |
| DISCIPLINED GROWTH INV. | 030 | LTD | S | 3,200 | 27.00 | 16-May | 8-Jun | 160.00 | 5.0 |
| DISCIPLINED GROWTH INV. | 030 | LVLTT | S | 11,900 | 5.55 | 30-Apr | 12-Jun | 595.00 | 5.0 |
| SENTINAL CAPITAL | 067 | MAR | S | 6,400 | 45.43 | n/a | n/a | 320.00 | 5.0 |
| BUCK | 015 | MERHR | S | 10 | 2.20 | n/a | n/a | 0.00 | 0.0 |
| KERN | 050 | MERHR | B | 20 | 2.30 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | MERTP | S | 15 | 1.55 | n/a | n/a | 0.00 | 0.0 |
| WELLINGTON MGMT. | 035 | MPW | S | 6,600 | 13.36 | n/a | n/a | 264.00 | 4.0 |
| MAZAMA CAPITAL MGMT. | 035 | MSO | B | 40,000 | 17.32 | n/a | n/a | 1,600.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | M | S | 80,000 | 38.39 | 17-May | 8-Jun | 3,200.00 | 4.0 |
| COUGAR TRADING | 044 | M | B | 15,000 | 38.84 | 17-May | 8-Jun | 750.00 | 5.0 |
| TRIBECA/DOUG | 040 | NAL | B | 93,800 | 14.93 | n/a | n/a | 3,752.00 | 4.0 |
| DARUMA ASSET MGMT INC | 034 | NDN | B | 100,000 | 12.43 | 16-Jan | 18-Jun | 5,000.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | NOK | S | 1,300 | 27.93 | n/a | n/a | 65.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| MILLENIUM PARTNERS | 028 | OO | B | 10,000 | 28.50 | n/a | n/a | 500.00 | 5.0 |
| Õ Glenn Redemann | | OXY | B | 2 | 0.7000 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | OXY | B | 2 | 1.0000 | n/a | n/a | 0.00 | 0.0 |
| ADAGE CAPITAL MGMT | 030 | PIR | B | 100,000 | 8.32 | n/a | n/a | 4,000.00 | 4.0 |
| WELLS/STRONG LEDDY | 035 | PIR | S | 118,100 | 8.27 | n/a | n/a | 4,724.00 | 4.0 |
| BUCK | 015 | PNRA | SS | 700 | 46.35 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | PRU | S | 1,400 | 99.05 | n/a | n/a | 70.00 | 5.0 |
| Õ Glenn Redemann | | RCL | B | 2 | 0.6800 | n/a | 2-May | 0.00 | 0.0 |
| Õ Glenn Redemann | | RCL | B | 2 | 1.1700 | n/a | 2-May | 0.00 | 0.0 |
| NICOLAS APPELEGATE | 048 | RIMG | B | 2,300 | 33.67 | n/a | n/a | 92.00 | 4.0 |
| COUGAR TRADING | 044 | RL | B | 5,000 | 98.81 | 21-Jun | 21-Jun | 250.00 | 5.0 |
| FRIESS MGMT | 042 | SKS | B | 249,300 | 21.27 | n/a | n/a | 11,218.50 | 4.5 |
| COUGAR TRADING | 044 | SKX | B | 5,000 | 30.96 | n/a | 13-Mar | 250.00 | 5.0 |
| ACT II PARTNERS | 067 | S | SS | 50,000 | 22.01 | n/a | n/a | 2,000.00 | 4.0 |
| COUGAR TRADING | 044 | TIF | B | 10,000 | 50.25 | 1-Jun | 13-Jun | 500.00 | 5.0 |
| DISIPLINED GROWTH INV. | 030 | TJX | S | 3,800 | 27.52 | 21-Mar | 8-Jun | 190.00 | 5.0 |
| RIVER RUN MGMT | 031 | TRMP | SS | 30,000 | 14.47 | n/a | n/a | 1,500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|------------|----------|--------------|--------------|---------------|-------------------|--------------|------------|
| BACKUS | 005 | TYC | S | 4,000 | 32.80 | 19-Jun | 19-Jun | 0.00 | 0.0 |
| SARAS CAPITAL | 038 | UAG | SS | 10,000 | 22.03 | n/a | 9-May | 500.00 | 5.0 |
| COUGAR TRADING | 044 | URBN | B | 15,000 | 23.94 | 2-Apr | 11-May | 750.00 | 5.0 |
| FRIESS MGMT | 042 | URBN | C | 473,900 | 23.92 | 2-Apr | 11-May | 21,325.50 | 4.5 |
| JP MORGAN VENTURES | 046 | URBN | C | 14,100 | 23.90 | 2-Apr | 11-May | 705.00 | 5.0 |
| DAVIDSON TRUST CO | 033 | WFC | B | 2,150 | 35.76 | n/a | n/a | 107.50 | 5.0 |
| WELLINGTON MGMT. | 035 | WTSLA | S | 10,800 | 6.04 | n/a | n/a | 432.00 | 4.0 |
| WELLINGTON MGMT. | 035 | XIDE | S | 22,461 | 8.94 | n/a | n/a | 898.44 | 4.0 |
| Õ Glenn Redemann | | XOM | B | 2 | 0.7800 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | XOM | B | 2 | 1.2200 | n/a | n/a | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | 115,203.91 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------------------|------|--------|-----|--------|-------|-------|----------|-------------|
| AO,CXL | 06/20 | SIGMA CAPITAL ASSOCIATES (SIGMMAINMS) | 044 | ALTR | SS | 25,000 | 22.62 | n/a | n/a | 1250.00 5.0 |
| AO,CRT | 06/20 | SIGMA CAPITAL ASSOCIATES (SIGMGS-USE) | 044 | ALTR | SS | 25,000 | 22.62 | n/a | n/a | 1250.00 5.0 |
| AO, | 06/20 | NEUBERGER BERMAN (NBER9W16) | 036 | CENT | S | 18,000 | 12.75 | 8-Feb | 7-Jun | 720.00 4.0 |
| AO, | 06/20 | NEUBERGER BERMAN (NBER9W16) | 036 | HCSG | B | 7,000 | 28.00 | n/a | n/a | 280.00 4.0 |

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| TOTAL (AO, CXL, CRT) : | 1,000.00 |
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| TOTAL (Trade Date) : | 115,203.91 |
| TOTAL (AO, CXL, CRT) : | 1,000.00 |

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| TOTAL (RUN DATE) / NFS: | 116,203.91 |
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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