



Daily Compliance Activity Report

Trade Date: 01/29/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NCM CAPITAL MGMT	035	AMG	B	3,650	109.55	25-Jan	25-Jan	182.50	5.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	77.94	3-Nov	5-Jan	400.00	4.0
ELAZAR ADV	034	ANN	S	15,527	33.81	5-Jan	5-Jan	776.35	5.0
SINCLAIR	031	AVX	S	300	14.63	n/a	n/a	0.00	0.0
DSG CAPITAL	225	AVZ	B	5,100	24.02	29-Dec	24-Jan	255.00	5.0
COUGAR TRADING	044	AXE	B	5,000	54.06	26-Dec	12-Jan	250.00	5.0
SINCLAIR	031	BAC	B	200	51.60	11-Jan	23-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	BID	B	10,000	36.94	n/a	n/a	400.00	4.0
ELM RIDGE ADVISORS	044	BOW	B	383,100	27.58	27-Oct	23-Jan	15,324.00	4.0
HERMES	048	BOW	B	10,000	27.75	27-Oct	23-Jan	500.00	5.0
WD PARTNERS ILP	067	BQI	B	5,000	4.78	n/a	n/a	200.00	4.0
CAPITAL GROWTH MGMT.	241	CLB	B	20,000	81.25	6-Dec	22-Jan	1,000.00	5.0
KORMAN	003	CLUB	B	2,000	20.31	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	COG	B	10,000	62.27	n/a	n/a	500.00	5.0
SEMINOLE CAP	036	COP	B	192,000	65.14	n/a	n/a	9,600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	DHR	B	6,255	72.29	n/a	n/a	187.65	3.0
OPPENHEIMER MGMT.	036	DHR	S	39,750	72.37	n/a	n/a	1,590.00	4.0
MENCKE	055	DSCM	S	50	3.11	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	FCX	B	35,000	56.19	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	FD	B	50,000	40.24	26-Jan	29-Jan	2,000.00	4.0
TRIVIUM CAP MGMT	028	FD	B	100,000	40.21	26-Jan	29-Jan	4,000.00	4.0
BUCK CAPITAL MGMT	001	FL	S	70,000	21.51	n/a	19-Jan	2,800.00	4.0
MORGAN BANK /JPM	012	GE	S	4,909	36.27	n/a	n/a	147.27	3.0
SINCLAIR	031	HLYS	B	500	38.87	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	HRS	B	12,050	47.99	7-Nov	7-Nov	602.50	5.0
SINCLAIR	031	ITCD	B	817	2.40	n/a	n/a	0.00	0.0
SAILFISH	037	JNS	B	15,000	20.34	1-Dec	25-Jan	750.00	5.0
GALLEON MGMT LP	033	KFT	SS	100,000	35.01	n/a	n/a	5,000.00	5.0
JP MORGAN VENTURES	046	LIZ	SS	11,500	43.89	n/a	27-Oct	575.00	5.0
XYLEM GLOBAL	024	LPX	SS	50,000	22.69	n/a	23-Jan	2,500.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	27.55	5-Jan	5-Jan	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELAZAR ADV	034	MAT	S	18,724	24.07	n/a	n/a	936.20	5.0
HIGHBRIDGE CAPITAL	038	MET	B	12,000	61.58	n/a	n/a	600.00	5.0
MORGAN BANK /JPM	012	MGAM	S	1,000	10.51	n/a	n/a	20.00	2.0
MORGAN BANK /JPM	012	MMM	S	7,025	78.54	n/a	29-Jan	210.75	3.0
IRIDIAN ASSET MGMT.	036	NTLI	B	38,300	26.70	n/a	n/a	1,915.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	10,000	47.51	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	PFG	B	28,000	60.64	n/a	n/a	1,400.00	5.0
CAXTON PART	040	PG	S	48,332	65.03	15-Dec	9-Jan	1,933.28	4.0
MAZAMA CAPITAL MGMT.	035	PJC	B	13,600	67.38	n/a	n/a	544.00	4.0
ELAZAR ADV	034	PLCE	S	8,750	53.35	n/a	25-Jan	437.50	5.0
ROARING BLUE LION MGMT	012	PLCE	B	3,600	53.34	n/a	25-Jan	144.00	4.0
HIGHBRIDGE CAPITAL	038	PRU	B	19,000	88.45	n/a	n/a	950.00	5.0
NCM CAPITAL MGMT	035	PTI	S	10,300	24.06	n/a	n/a	515.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	33,500	54.19	18-Jan	18-Jan	1,256.25	3.8
ELAZAR ADV	034	QQQQ	B	34,709	43.72	n/a	n/a	1,735.45	5.0
CRAMER ROSENTHAL/SCOTT	012	ROK	B	230,900	59.11	n/a	n/a	11,545.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MFP INVESTORS	032	SKS	S	3,000	18.95	n/a	n/a	150.00	5.0
ROSENBERG	034	SLB	B	1,000	62.81	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	SPW	S	16,725	70.03	n/a	n/a	836.25	5.0
NCM CAPITAL MGMT	035	TOL	S	57,625	32.67	n/a	n/a	2,881.25	5.0
SANDLER O'NEILL ASSET	031	TROW	B	15,000	47.59	16-Oct	26-Jan	750.00	5.0
SUN AMERICA ASSET MGMT	030	TWB	B	37,900	33.90	9-Jan	23-Jan	1,895.00	5.0
NEUBERGER BERMAN	238	UNT	S	31,998	47.05	n/a	22-Jan	1,599.90	5.0
JP MORGAN VENTURES	046	URBN	C	15,000	23.96	7-Dec	5-Jan	750.00	5.0
SINCLAIR	031	USB	B	200	35.45	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	032	UTI	B	20,450	22.91	n/a	n/a	1,227.00	6.0
MORGAN BANK /JPM	012	UTX	B	800	65.62	n/a	n/a	24.00	3.0
MORGAN BANK /JPM	012	UTX	S	3,730	65.70	n/a	n/a	111.90	3.0
EOS PARTNERS	040	WLT	S	38,700	27.86	n/a	n/a	1,935.00	5.0
SAILFISH	037	WYE	B	5,000	50.59	n/a	31-Mar	250.00	5.0
COUGAR TRADING	044	ZQK	B	15,000	14.53	8-Sep	11-Jan	750.00	5.0

TOTAL (Trade Date):

90,993.00

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/26	PRIME LOGIC ADV (PRILCPS)	039	BIG	SS	13,200	25.39	16-Nov	18-Jan	660.00 5.0
AO,CXL	01/26	PRIME LOGIC ADV (PRILBOA)	039	BIG	SS	19,700	25.39	16-Nov	18-Jan	985.00 5.0
AO,CRT	01/26	PRIME LOGIC ADV (PRILBOA)	039	BIG	SS	6,500	25.39	16-Nov	18-Jan	325.00 5.0
AO,CXL	01/26	LOCUS WOOD CAPITAL MGMT (LOCOMSLOCO)	044	FD	B	50,000	40.23	26-Jan	29-Jan	2000.00 4.0
AO,CRT	01/26	LOCUS WOOD CAPITAL MGMT (LOCOMSLOCO)	044	FD	B	50,000	40.23	26-Jan	29-Jan	2500.00 5.0
AO,CXL	01/26	DSM CAPITAL PARTNERS (DSMCG.S. B)	032	FED	B	4,000	66.51	n/a	n/a	200.00 5.0
AO,	01/26	DSM CAPITAL PARTNERS (DSMCG.S. B)	032	FED	B	4,000	66.51	n/a	n/a	240.00 6.0
AO,CRT	01/26	BUCK CAPITAL MGMT (BUCK)	015	ICECY	S	5	4.70	n/a	n/a	0.00 0.0
AO,CXL	01/26	BUCK CAPITAL MGMT (BUCK)	015	ICECY	S	5	4.70	n/a	n/a	0.00 0.0
AO,CRT	01/26	MKT MAKER (MKT MAKER)	099	MRCY	B	54	13.01	n/a	n/a	0.00 0.0
AO,CXL	01/25	BLUE HARBOR (BLUHGOLDMA)	036	PLCE	B	2,200	53.95	n/a	25-Jan	110.00 5.0
AO,CRT	01/25	ROARING BLUE LION MGMT (ROAR4CENTS)	036	PLCE	B	2,200	53.95	n/a	25-Jan	110.00 5.0
AO,CXL	01/26	MAIRS AND POWER INV (MAIRGRO.04)	030	SVU	S	20,000	36.25	n/a	n/a	1200.00 6.0
AO,CRT	01/26	MAIRS AND POWER INV (MAIRGRO.04)	030	SVU	S	20,000	36.25	n/a	n/a	1200.00 6.0
AO,CXL	01/26	DAVIDSON TRUST CO (DAVTOMNI)	033	T	B	1,900	36.51	26-Jan	30-Jan	133.00 7.0
AO,CRT	01/26	DAVIDSON TRUST CO (DAVTOMNI)	033	T	B	1,900	36.51	26-Jan	30-Jan	171.00 9.0
AO,CXL	01/26	DG CAPITAL (DGCA31)	039	T	S	3,500	36.33	26-Jan	30-Jan	140.00 4.0
AO,CXL	01/26	DG CAPITAL (DGCA10)	039	T	S	9,900	36.33	26-Jan	30-Jan	396.00 4.0
AO,	01/26	DG CAPITAL (DGCA10)	039	T	S	13,400	36.33	26-Jan	30-Jan	536.00 4.0
TOTAL (AO, CXL, CRT) :										578.00

TOTAL (Trade Date):	90,993.00
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TOTAL (RUN DATE) / NFS:	91,571.00
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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