



Daily Compliance Activity Report

Trade Date: 04/20/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BACKUS	005	AAI	B	5,000	11.59	n/a	n/a	0.00	0.0
SEAROCK CAPITAL MANAGE	012	AA	B	50,000	34.27	n/a	n/a	2,000.00	4.0
SEAROCK CAPITAL MANAGE	012	ADM	S	82,300	37.87	n/a	n/a	3,292.00	4.0
BALYASNY ASSET MGMT	044	AGE	S	20,000	73.60	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	AGN	S	400	119.20	14-Mar	19-Apr	16.00	4.0
BAIRD INVESTMENT	031	AIT	S	2,799	27.20	n/a	n/a	139.95	5.0
BARR	096	AMR	S	300	29.53	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AVY	S	600	65.21	n/a	23-Mar	24.00	4.0
BUCK CAPITAL MGMT	001	BBW	S	20,000	26.89	19-Mar	19-Mar	800.00	4.0
BUCK CAPITAL MGMT	001	BBY	B	10,000	48.71	13-Dec	5-Apr	400.00	4.0
ARIENCE CAPITAL	036	BC	S	54,440	31.03	n/a	n/a	2,722.00	5.0
KORMAN	003	BDKPR	S	40	1.55	n/a	n/a	0.00	0.0
BACKUS	005	BONT	S	1,000	52.49	9-Mar	13-Apr	0.00	0.0
BAIRD INVESTMENT	031	BRC	S	2,264	31.39	n/a	n/a	113.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BACKUS	005	BTU	B	4,000	46.21	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BVF	S	3	2.4000	n/a	n/a	0.00	0.0
MORGAN LEWIS/MLH	046	CAL	B	10,000	38.92	n/a	n/a	500.00	5.0
CASTLEROCK	040	CAT	B	46,350	72.41	n/a	n/a	1,854.00	4.0
BUCK	015	CAT	S	900	72.17	n/a	n/a	0.00	0.0
LEHMAN PROPRIETARY TRAD	039	CBB	B	109,700	5.20	n/a	n/a	4,388.00	4.0
BUCK CAPITAL MGMT	001	CBK	S	60,000	18.27	30-Mar	13-Apr	2,400.00	4.0
KORMAN	003	CEUC	B	2,000	6.25	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CHAP	S	2	8.7000	n/a	n/a	0.00	0.0
KORMAN	003	CHCG	B	6,000	6.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	SS	20,000	53.08	23-Feb	20-Apr	800.00	4.0
MAZAMA CAPITAL MGMT.	035	CPX	S	22,300	22.56	n/a	n/a	892.00	4.0
Õ Glenn Redemann		CSX	??	7	0.0300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CSX	??	7	5.0200	n/a	n/a	0.00	0.0
BACKUS	005	CVS	B	3,000	35.01	n/a	n/a	0.00	0.0
KORMAN	003	CXTI	B	1,000	6.35	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL MGMT.	044	DD	SS	20,000	49.14	n/a	19-Apr	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	B	8,800	39.30	19-Apr	19-Apr	440.00	5.0
BUCK CAPITAL MGMT	001	EMC	S	2,000	15.49	n/a	n/a	80.00	4.0
Õ Glenn Redemann		EOG	??	10	0.0300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EOG	??	10	3.6700	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	ESE	S	1,876	46.13	n/a	n/a	93.80	5.0
BUCK	015	EVVV	B	3,000	19.08	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EV	S	200	38.40	n/a	19-Apr	8.00	4.0
CROWLEY	061	FIGRX	S	700	41.04	n/a	n/a	0.00	0.0
WHITTIER CAP	048	FRED	S	16,625	14.55	30-Nov	19-Apr	665.00	4.0
CROWLEY	061	FRO	B	200	35.21	n/a	n/a	0.00	0.0
WEISS PECK	040	GCO	B	15,000	48.87	n/a	10-Jan	750.00	5.0
SEAROCK CAPITAL MANAGE	012	GE	B	278,600	35.08	n/a	n/a	11,144.00	4.0
SEAROCK CAPITAL MANAGE	012	GE	S	100,000	35.21	n/a	n/a	4,000.00	4.0
Õ Glenn Redemann		GFIG	S	2	4.8000	n/a	n/a	0.00	0.0
FRIESS MGMT	042	GLW	B	86,800	23.43	n/a	20-Apr	3,906.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GM	SS	10,000	31.66	n/a	5-Apr	400.00	4.0
J L F ASSET MGMT	039	GM	S	36,000	31.40	n/a	5-Apr	1,440.00	4.0
TRUST CO/COWEN/CALF.	040	GM	B	350,470	31.66	n/a	5-Apr	17,523.50	5.0
BUCK CAPITAL MGMT	001	GPI	B	30,000	43.01	n/a	13-Apr	1,200.00	4.0
SEAROCK CAPITAL MANAGE	012	HBI	SS	141,200	28.29	n/a	n/a	5,648.00	4.0
SEAROCK CAPITAL MANAGE	012	HD	B	50,000	39.24	n/a	1-Mar	2,000.00	4.0
WHITTIER CAP	048	HOTT	S	16,790	11.91	n/a	13-Apr	671.60	4.0
SEAROCK CAPITAL MANAGE	012	HOT	S	95,500	68.71	n/a	n/a	3,820.00	4.0
FRIESS MGMT	042	HPQ	B	96,500	41.32	n/a	n/a	4,342.50	4.5
BAIRD INVESTMENT	031	HPY	S	2,918	25.58	n/a	n/a	145.90	5.0
WAGONHOUND	048	HSC	B	5,400	48.52	2-Apr	10-Apr	216.00	4.0
SAB CAPITAL	034	IWM	B	80,402	81.91	n/a	n/a	4,020.10	5.0
CROWLEY	061	JAOSX	S	200	50.57	n/a	n/a	0.00	0.0
PZENA INV ADV	044	JCI	S	175,000	100.51	20-Apr	20-Apr	7,000.00	4.0
AVESTA CAP	229	JCP	B	50,000	82.90	20-Apr	20-Apr	2,500.00	5.0
FIRST NEW YORK LEDDY	035	JCP	B	10,000	82.42	20-Apr	20-Apr	500.00	5.0
SEAROCK CAPITAL MANAGE	012	KSS	SS	50,000	78.40	27-Dec	12-Apr	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GENERAL MOTORS INV CO	040	LEA	B	58,671	35.86	n/a	n/a	2,346.84	4.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	44.27	n/a	28-Feb	400.00	4.0
GRUBER MACBAINE	033	LOW	B	20,000	32.00	n/a	26-Feb	320.00	3.2
KORMAN	003	LVQQF	S	50	1.05	n/a	n/a	0.00	0.0
PERSHING SQUARE	028	MBI	SS	100,000	68.38	n/a	n/a	4,000.00	4.0
BACKUS	005	MEE	B	4,000	25.02	n/a	n/a	0.00	0.0
S.A.C. CAPITAL MGMT.	044	MOS	S	15,000	29.29	n/a	n/a	750.00	5.0
MILLENIUM PARTNERS	028	MOT	B	25,000	18.10	n/a	n/a	1,250.00	5.0
LEDDY	035	MSI	S	2,500	2.20	n/a	n/a	0.00	0.0
FORD FDN.	032	MYL	B	65,000	21.97	n/a	19-Apr	3,250.00	5.0
MAGUIRE	090	MZZ	B	5,000	53.03	n/a	n/a	0.00	0.0
BARR	096	NG	B	1,500	16.21	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	NOV	S	31,000	79.18	n/a	n/a	1,550.00	5.0
Õ Glenn Redemann		NTAP	S	3	0.1000	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NWY	S	19,000	14.09	23-Mar	13-Apr	760.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	OII	S	2,592	44.29	n/a	n/a	129.60	5.0
LEDDY	035	OPY	S	500	38.92	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PDE	S	3	1.7000	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	PFE	S	12,210	26.90	n/a	31-Mar	549.45	4.5
SUFFOLK CAPITAL MGMT	040	PG	B	100,000	63.82	15-Dec	30-Mar	4,000.00	4.0
Õ Glenn Redemann		PHM	??	8	1.5500	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	PKG	B	103,400	24.91	n/a	18-Apr	5,170.00	5.0
LEHMAN PROPRIETARY TRAD	039	PLCE	B	20,000	51.34	12-Apr	13-Apr	800.00	4.0
BELMONT GLOBAL ADV	248	POL	B	100,000	6.30	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	PTT	B	10,000	9.40	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	56.73	28-Mar	28-Mar	1,200.00	4.0
FRIESS MGMT	042	PVH	B	40,200	57.62	28-Mar	28-Mar	1,809.00	4.5
MAGUIRE	090	QID	B	5,000	49.80	n/a	n/a	0.00	0.0
BARR	096	QID	S	300	49.98	n/a	n/a	0.00	0.0
EFSTATHIOU	044	RCKY	S	300	11.50	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	RHI	S	56,300	33.35	n/a	n/a	2,815.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Glenn Redemann		RHT	S	3	0.4000	n/a	n/a	0.00	0.0
A.I.M. ADVISORS INC	222	RL	S	34,200	97.35	2-Feb	13-Apr	1,368.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	5,000	97.59	2-Feb	13-Apr	200.00	4.0
KORMAN	003	SEED	B	1,000	8.89	n/a	n/a	0.00	0.0
KAICHER	064	SNCR	S	500	18.15	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	SRX	S	4,855	25.02	n/a	n/a	242.75	5.0
BUCK CAPITAL MGMT	001	SSI	B	12,000	23.22	26-Feb	13-Apr	480.00	4.0
SEAROCK CAPITAL MANAGE	012	SYX	B	151,500	33.55	n/a	29-Jan	6,060.00	4.0
SEAROCK CAPITAL MANAGE	012	S	B	203,900	20.44	n/a	n/a	8,156.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	60,000	61.87	n/a	12-Apr	2,400.00	4.0
WOOSTER CAPITAL	035	TWB	B	25,000	38.90	22-Feb	22-Feb	1,250.00	5.0
BARR	096	TWM	B	800	63.58	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	UFS	S	25,000	9.81	n/a	n/a	1,000.00	4.0
Õ Glenn Redemann		WFR	??	7	2.5000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WFT	??	7	2.9000	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	WMT	B	20,300	49.19	n/a	12-Apr	1,015.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	WMT	B	15,000	49.24	n/a	12-Apr	750.00	5.0
SEAROCK CAPITAL MANAGE	012	WMT	B	230,000	49.13	n/a	12-Apr	0.00	0.0
BAIRD INVESTMENT	031	WSO	S	1,310	52.78	n/a	n/a	65.50	5.0
S.A.C. CAPITAL MGMT.	044	XLB	SS	50,000	38.98	n/a	n/a	2,500.00	5.0
S.A.C. CAPITAL MGMT.	044	XLE	B	25,000	62.74	n/a	n/a	1,250.00	5.0
KORMAN	003	YTEC	B	2,000	8.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	10,000	13.47	9-Mar	17-Apr	400.00	4.0
PORTER-ORLIN-FELDMAN	044	ZQK	S	50,000	13.33	9-Mar	17-Apr	2,500.00	5.0
TOTAL (Trade Date):								161,992.69	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/19	COMMISSUM CAPITAL (COMMCIRT#2)	031	BLK	B	1,000	154.80	n/a	19-Apr	50.00 5.0
AO,	04/19	COMMISSUM CAPITAL (COMMBS#1)	031	BLK	B	4,000	154.80	n/a	19-Apr	200.00 5.0
AO,CXL	04/18	SOMERSET ADV (SOMEMAINUB)	044	CMI	B	11,100	74.77	n/a	n/a	555.00 5.0
AO,CRT	04/18	SOMERSET ADV (SOMEMAINUB)	044	CMI	B	11,100	74.77	n/a	n/a	444.00 4.0
AO,CRT	04/19	LISTED ERR (LISTED ERR)	099	MI	S	5,000	47.54	n/a	n/a	0.00 0.0
AO,CXL	04/19	LISTED ERR (LISTED ERR)	099	MI	S	5,000	47.54	n/a	n/a	0.00 0.0
AO,CRT	04/19	SUTTONBROOK CAPITAL (SUTTLEHM)	044	TGT	B	75,000	61.37	n/a	12-Apr	3000.00 4.0
AO,CXL	04/19	SUTTONBROOK CAPITAL (SUTCREDIT)	044	TGT	B	75,000	61.37	n/a	12-Apr	3000.00 4.0
TOTAL (AO, CXL, CRT) :										139.00

TOTAL (Trade Date) :	161,992.69
TOTAL (AO, CXL, CRT) :	139.00

TOTAL (RUN DATE) / NFS :	162,131.69
---------------------------------	-------------------

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