



# Daily Compliance Activity Report

Trade Date: 01/11/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BINDER</b>	<b>007</b>	<b>ACMR</b>	<b>C</b>	<b>300</b>	<b>20.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLONIAL FUND LLC	036	AEOS	B	25,000	32.98	4-Jan	5-Jan	1,250.00	5.0
J L F ASSET MGMT	039	AEOS	B	167,100	33.02	4-Jan	5-Jan	6,684.00	4.0
MTB INV ADV	034	AEOS	B	9,365	32.97	4-Jan	5-Jan	468.25	5.0
JP MORGAN VENTURES	046	APPB	SS	20,000	25.10	n/a	n/a	1,000.00	5.0
ADAGE CAPITAL MGMT	030	ARO	B	67,900	35.40	23-Oct	5-Jan	2,716.00	4.0
WASHINGTON ASSET	048	ATN	B	10,000	22.56	n/a	n/a	500.00	5.0
PHILADELPHIA FINANCIAL	031	AVZ	B	28,000	23.13	29-Dec	11-Jan	1,400.00	5.0
Õ <b>Glenn Redemann</b>		<b>BBY</b>	<b>B</b>	<b>179</b>	<b>49.99</b>	<b>13-Dec</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>BBY</b>	<b>B</b>	<b>27</b>	<b>0.37</b>	<b>13-Dec</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	BEBE	B	70,000	17.82	n/a	n/a	3,500.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	5,000	118.73	9-Nov	11-Jan	250.00	5.0
CHILTON CAPITAL MGMT.	036	BTH	B	50,000	22.27	n/a	n/a	2,000.00	4.0
Õ <b>Glenn Redemann</b>		<b>CAF</b>	<b>S</b>	<b>329</b>	<b>29.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BANK OF NEW YORK	040	CAKE	S	7,500	27.41	n/a	12-Dec	337.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CBK</b>	<b>B</b>	<b>10,000</b>	<b>19.60</b>	<b>11-Dec</b>	<b>5-Jan</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Glenn Redemann		CC	B	30	0.33	20-Dec	10-Jan	0.00	0.0
Õ Glenn Redemann		CC	B	439	20.44	20-Dec	10-Jan	0.00	0.0
COUGAR TRADING	044	CHS	SS	10,000	21.58	5-Jan	5-Jan	500.00	5.0
BALYASNY ASSET MGMT	044	CLMS	SS	5,000	26.30	2-Nov	11-Jan	250.00	5.0
KORMAN	003	CLUB	B	3,000	17.82	n/a	n/a	0.00	0.0
SAILFISH	037	CMCSA	SS	10,000	42.96	11-Jan	11-Jan	500.00	5.0
BALYASNY ASSET MGMT	044	CNS	SS	5,000	46.45	n/a	n/a	250.00	5.0
OPTIMUM INV ADV	030	CNW	B	10,000	45.31	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	COH	S	10,000	45.46	7-Dec	7-Dec	400.00	4.0
J L F ASSET MGMT	039	COH	B	71,400	45.48	7-Dec	7-Dec	2,856.00	4.0
M. KRAUS & CO.	037	CYTC	B	49,975	29.23	13-Dec	13-Dec	2,998.50	6.0
OPTIMUM INV ADV	030	DBD	B	8,000	46.63	n/a	30-Oct	320.00	4.0
Õ Glenn Redemann		DELL	B	1000	27.18	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DELL	B	20	0.25	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DELL	B	30	0.15	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DELL	B	50	0.20	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	DG	B	94,200	16.79	21-Aug	5-Jan	3,768.00	4.0
Õ Glenn Redemann		DHY	S	2314	4.31	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEISS PECK	040	DSW	SS	578	39.10	n/a	n/a	0.23	0.0
PLATTE RIVER CAPITAL	035	EMC	B	12,700	14.37	n/a	n/a	508.00	4.0
JL ADVISORS	028	ENDP	B	50,000	29.19	18-Oct	9-Jan	1,875.00	3.8
PRINCIPLE CAPITAL	040	FD	B	31,000	39.39	9-Nov	5-Jan	930.00	3.0
NEEDHAM CAP	067	FOSL	SS	10,500	23.38	15-Nov	15-Nov	525.00	5.0
OPTIMUM INV ADV	030	FTI	B	18,600	56.14	n/a	n/a	744.00	4.0
MAGNETAR FINANCIAL	247	F	SS	200,000	7.79	n/a	n/a	6,000.00	3.0
CAPITAL GROWTH MGMT.	241	GES	B	10,000	69.07	n/a	n/a	500.00	5.0
SAILFISH	037	GE	SS	10,000	37.58	n/a	n/a	500.00	5.0
Ö Glenn Redemann		GF	S	677	14.53	n/a	n/a	0.00	0.0
WESLEY CAPITAL	246	GGP	S	25,000	55.68	n/a	n/a	1,000.00	4.0
MAZAMA CAPITAL MGMT.	035	GHL	S	30,000	75.49	n/a	n/a	1,200.00	4.0
BONANZA PARTNERS	031	GIII	SS	13,800	21.22	n/a	n/a	690.00	5.0
MKT MAKER	099	GIII	SS	28	21.22	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	HRS	B	45,000	50.10	7-Nov	7-Nov	2,250.00	5.0
BINDER	007	INTC	S	200	21.97	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIVER RUN MGMT	031	ITCD	B	16,500	2.56	n/a	n/a	825.00	5.0
SAILFISH	037	IYR	B	5,000	85.80	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	JNC	B	5,000	54.67	n/a	22-Dec	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>13,000</b>	<b>33.76</b>	<b>n/a</b>	<b>26-Oct</b>	<b>520.00</b>	<b>4.0</b>
CAPITAL GROWTH MGMT.	241	JPM	B	20,000	48.27	n/a	11-Jan	1,000.00	5.0
MTB INV ADV	034	JWN	B	6,345	52.84	11-Dec	5-Jan	317.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>B</b>	<b>15,000</b>	<b>23.80</b>	<b>n/a</b>	<b>3-Nov</b>	<b>600.00</b>	<b>4.0</b>
<b>Ö Glenn Redemann</b>		<b>LDF</b>	<b>S</b>	<b>369</b>	<b>25.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
XYLEM GLOBAL	024	LPX	SS	25,000	22.54	n/a	14-Dec	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>20,000</b>	<b>27.49</b>	<b>5-Jan</b>	<b>5-Jan</b>	<b>800.00</b>	<b>4.0</b>
IRON HORSE CAPITAL MGMT	038	LVLIT	S	60,000	6.41	18-Oct	11-Jan	1,800.00	3.0
CASTLEROCK	040	LVS	S	14,600	102.59	n/a	n/a	584.00	4.0
SAILFISH	037	MA	SS	10,000	106.54	n/a	n/a	500.00	5.0
EMINENCE CAPITAL	038	MCD	S	175,000	44.47	12-Oct	4-Jan	8,750.00	5.0
<b>BINDER</b>	<b>007</b>	<b>MOT</b>	<b>B</b>	<b>200</b>	<b>18.26</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.	
VANDER MOOLEN	040	MSFT	B	5,000	30.31	n/a	3-Apr	250.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>MSI</b>	<b>B</b>	<b>700</b>	<b>2.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>MSI</b>	<b>B</b>	<b>10,000</b>	<b>2.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	MWV	B	29,900	29.23	8-Jan	8-Jan	1,495.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>55,000</b>	<b>42.09</b>	<b>n/a</b>	<b>n/a</b>	<b>2,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NLS</b>	<b>B</b>	<b>20,000</b>	<b>15.45</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>OMN</b>	<b>B</b>	<b>1,500</b>	<b>4.72</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>OXM</b>	<b>B</b>	<b>10,000</b>	<b>42.89</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>KORMAN</b>	<b>003</b>	<b>PEET</b>	<b>B</b>	<b>1,000</b>	<b>25.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	PJC	B	15,600	71.73	n/a	n/a	624.00	4.0
EMINENCE CAPITAL	038	PRSC	SS	75,000	25.50	n/a	n/a	3,750.00	5.0
COUGAR TRADING	044	PSUN	B	10,000	20.84	n/a	5-Jan	500.00	5.0
COUGAR TRADING	044	PSUN	S	10,000	21.03	n/a	5-Jan	500.00	5.0
GEORGE WEISS	034	PSUN	B	12,000	20.79	n/a	5-Jan	360.00	3.0
J L F ASSET MGMT	039	PSUN	S	11,200	20.94	n/a	5-Jan	448.00	4.0
<b>BRUNNER</b>	<b>012</b>	<b>RJET</b>	<b>S</b>	<b>2,000</b>	<b>18.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	RSH	S	156,925	18.69	n/a	n/a	6,277.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOLAN	067	SDS	B	10	58.46	n/a	n/a	0.00	0.0
LEDDY	035	SKNN	S	4,000	2.38	n/a	n/a	0.00	0.0
MFP INVESTORS	032	SKS	S	5,000	18.40	n/a	n/a	250.00	5.0
MAZAMA CAPITAL MGMT.	035	SLR	S	281,900	3.41	n/a	n/a	8,457.00	3.0
GEORGE WEISS	034	SPLS	SS	9,300	26.62	n/a	10-Jan	279.00	3.0
CAPITAL GROWTH MGMT.	241	TIE	B	30,000	29.19	n/a	n/a	1,500.00	5.0
FIRST NEW YORK LEDDY	035	TTEC	SS	10,000	25.82	n/a	n/a	600.00	6.0
MTB INV ADV	034	URBN	B	44,705	25.49	7-Dec	5-Jan	2,235.25	5.0
JL ADVISORS	028	WINN	B	3,100	13.59	n/a	n/a	116.25	3.8
COUGAR TRADING	044	WMT	SS	5,000	47.59	5-Oct	5-Jan	250.00	5.0
HOLLIS CAPITAL	040	WPI	SS	10,000	26.03	11-Jan	11-Jan	0.00	0.0
WAGONHOUND	048	WPI	SS	18,700	25.99	11-Jan	11-Jan	748.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	15.41	8-Sep	11-Jan	2,000.00	4.0
BINDER	007	ZQK	SS	400	15.36	8-Sep	11-Jan	0.00	0.0
TOTAL (Trade Date):								100,956.23	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/10	THE JAY GOLDMAN (GOLDWOODMA)	034	RI	S	15,000	27.72	n/a	n/a	600.00 4.0
AO,	01/10	THE JAY GOLDMAN (GOLDWOODMA)	034	RI	S	15,001	27.72	n/a	n/a	600.04 4.0
AO,CXL	01/10	THE JAY GOLDMAN (GOLDMASTER)	034	RI	S	15,000	27.72	n/a	n/a	600.00 4.0
AO,	01/10	THE JAY GOLDMAN (GOLDMASTER)	034	RI	S	14,999	27.72	n/a	n/a	599.96 4.0

**TOTAL (AO, CXL, CRT) :****0.00**

TOTAL (Trade Date) :

100,956.23

TOTAL (AO, CXL, CRT) :

0.00

**TOTAL (RUN DATE) / NFS:****100,956.23**

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