



# Daily Compliance Activity Report

Trade Date: 05/07/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	091	AA	B	50,000	37.82	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	50,000	28.51	4-Jan	13-Apr	2,000.00	4.0
NICHOLAS ADVISORS	034	AH	S	11,000	86.60	n/a	n/a	550.00	5.0
BARR	096	AMR	B	500	27.60	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	AOS	B	25,000	38.94	18-Apr	18-Apr	1,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	SS	50,000	41.25	n/a	13-Apr	2,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	11,500	41.24	n/a	13-Apr	460.00	4.0
COUGAR TRADING	044	ARO	B	10,000	41.31	n/a	13-Apr	500.00	5.0
Õ Glenn Redemann		ARTC	B	3	0.6500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ARTC	B	3	0.8500	n/a	n/a	0.00	0.0
GEORGE WEISS	034	ASD	B	5,000	56.93	19-Apr	7-May	200.00	4.0
BELMONT GLOBAL ADV	248	BDSB	B	20,000	9.95	n/a	n/a	1,000.00	5.0
NCM CAPITAL MGMT	035	BEAV	S	86,900	37.83	n/a	n/a	4,345.00	5.0
BARR	096	BQI	B	3,500	3.11	n/a	n/a	0.00	0.0
BARR	096	CAL	B	450	39.02	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	CCI	B	144,441	34.21	n/a	n/a	2,888.82	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	CCU	B	27,672	37.27	n/a	n/a	1,106.88	4.0
NICHOLAS ADVISORS	034	COGT	B	17,400	14.38	n/a	n/a	870.00	5.0
PENN CAPITAL MGMT	033	COH	S	4,830	48.07	23-Feb	25-Apr	193.20	4.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>CTB</b>	<b>B</b>	<b>50,000</b>	<b>23.71</b>	<b>n/a</b>	<b>n/a</b>	<b>2,500.00</b>	<b>5.0</b>
S.A.C. CAPITAL MGMT.	044	CVX	B	50,000	79.45	n/a	n/a	2,500.00	5.0
CATAPULT	040	DDS	S	30,000	35.26	n/a	n/a	1,200.00	4.0
AMBER CAPITAL	046	DD	B	302,700	51.71	n/a	24-Apr	12,108.00	4.0
AMBER CAPITAL	046	DE	B	72,300	115.09	n/a	n/a	2,892.00	4.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>DSW</b>	<b>B</b>	<b>5,000</b>	<b>38.33</b>	<b>7-May</b>	<b>7-May</b>	<b>300.00</b>	<b>6.0</b>
CLOVIS CAPITAL	012	DTV	B	200,000	24.48	22-Dec	4-May	10,000.00	5.0
<b>KALINOWSKI</b>	<b>070</b>	<b>EATEF</b>	<b>B</b>	<b>100</b>	<b>3.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOGGIN CAP	044	EMC	S	26,000	15.59	n/a	n/a	1,300.00	5.0
<b>BARR</b>	<b>096</b>	<b>EMU</b>	<b>B</b>	<b>1,500</b>	<b>13.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	FDC	B	181,100	32.51	n/a	n/a	7,244.00	4.0
PRINCIPLE CAPITAL	040	FDO	SS	100,000	32.28	19-Apr	19-Apr	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FD	S	100,000	43.88	26-Jan	25-Apr	4,000.00	4.0
COUGAR TRADING	044	FD	B	5,000	44.08	26-Jan	25-Apr	250.00	5.0
COUGAR TRADING	044	FD	SS	5,000	43.71	26-Jan	25-Apr	250.00	5.0
MERRILL ASSET	032	FED	S	29,900	61.84	n/a	n/a	1,359.50	4.8
NICHOLAS ADVISORS	034	FLIR	B	5,800	43.30	n/a	n/a	290.00	5.0
BUCK CAPITAL MGMT	001	FL	S	50,000	23.90	n/a	7-May	2,000.00	4.0
AAD CAPITAL	048	FOSL	B	105,000	29.78	7-May	7-May	4,200.00	4.0
HIGHBRIDGE CAPITAL	038	FRP	SS	25,900	18.38	n/a	n/a	1,295.00	5.0
HIGHBRIDGE CAPITAL	038	FRP	S	13,373	18.41	n/a	n/a	668.65	5.0
BUCK CAPITAL MGMT	001	GES	B	25,000	38.90	n/a	n/a	1,000.00	4.0
GEORGE WEISS	034	GGL	SS	7,400	19.27	n/a	n/a	296.00	4.0
NOMURA CAPITAL	040	GPI	B	12,450	41.28	27-Apr	2-May	622.50	5.0
BUCK CAPITAL MGMT	001	GPS	SS	50,000	18.38	n/a	27-Apr	2,000.00	4.0
BUCK CAPITAL MGMT	001	GPS	S	50,000	18.43	n/a	27-Apr	2,000.00	4.0
JP MORGAN VENTURES	046	GPS	B	54,000	18.38	n/a	27-Apr	2,700.00	5.0
NICHOLAS ADVISORS	034	GRMN	B	9,000	55.90	n/a	n/a	450.00	5.0
EATON VANCE MGMT	039	GSF	B	75,000	64.49	n/a	n/a	3,000.00	4.0
BUCK CAPITAL MGMT	001	GS	S	500	226.56	13-Dec	16-Apr	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>KALINOWSKI</b>	<b>070</b>	<b>HFCGX</b>	<b>B</b>	<b>5,105</b>	<b>19.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	ITT	B	9,575	65.81	30-Apr	30-Apr	478.75	5.0
THE JAY GOLDMAN	034	JWN	B	10,000	55.38	27-Feb	25-Apr	400.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>KMX</b>	<b>B</b>	<b>200</b>	<b>25.33</b>	<b>n/a</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	034	KSS	S	10,000	74.66	27-Dec	12-Apr	400.00	4.0
BULL PATH CAPITAL	044	LAZ	S	35,000	54.46	n/a	n/a	1,750.00	5.0
FARALLON CAP MGMT	040	MAS	B	162,500	30.61	n/a	n/a	6,500.00	4.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>NVDA</b>	<b>S</b>	<b>66,000</b>	<b>33.51</b>	<b>n/a</b>	<b>n/a</b>	<b>3,300.00</b>	<b>5.0</b>
<b>LEDDY</b>	<b>035</b>	<b>NWY</b>	<b>S</b>	<b>500</b>	<b>13.72</b>	<b>23-Mar</b>	<b>25-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>DEMARTINI</b>	<b>065</b>	<b>OPBL</b>	<b>B</b>	<b>2,000</b>	<b>4.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BELMONT GLOBAL ADV	248	POL	B	50,000	7.23	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>5,000</b>	<b>52.85</b>	<b>28-Mar</b>	<b>28-Mar</b>	<b>200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>90.61</b>	<b>2-Feb</b>	<b>13-Apr</b>	<b>400.00</b>	<b>4.0</b>
HIGHBRIDGE CAPITAL	038	ROH	B	3,900	53.20	12-Feb	23-Apr	195.00	5.0
HIGHFIELDS CAP MGMT	039	RRI	S	50,000	24.30	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	B	20,000	31.86	n/a	13-Mar	800.00	4.0
GEORGE WEISS	034	SPY	SS	900	150.99	n/a	n/a	36.00	4.0
DIAMONDBACK CAP MGMT	232	SSCC	B	100,000	12.80	4-May	4-May	5,000.00	5.0
GOLDMAN SACHS ASSET MGMT	044	STLD	S	123,000	45.25	n/a	n/a	2,460.00	2.0
FARALLON CAP MGMT	040	SVU	B	62,500	47.15	n/a	n/a	2,500.00	4.0
EFSTATHIOU	044	SWN	B	100	43.07	1-Mar	1-May	0.00	0.0
ZOLIDIS	011	TBL	B	190	26.84	n/a	13-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	S	100,000	28.07	21-Mar	13-Apr	4,000.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	40,000	39.09	22-Feb	26-Apr	1,600.00	4.0
GAULT	063	UAGEX	B	50	0.15	n/a	n/a	0.00	0.0
EFSTATHIOU	044	URQQE	B	10	0.65	n/a	n/a	0.00	0.0
SATELLITE ASSET MGMT	012	USTR	B	1,500	63.25	16-Feb	7-May	60.00	4.0
APEX CAPITAL MGMT.	091	USU	B	100,000	21.55	n/a	n/a	5,000.00	5.0
Ö Glenn Redemann		VPRT	B	8	0.4700	n/a	n/a	0.00	0.0
Ö Glenn Redemann		VPRT	B	8	0.4800	n/a	n/a	0.00	0.0
Ö Glenn Redemann		VPRT	SS	8	1.5700	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ö Glenn Redemann		VPRT	SS	8	1.6000	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	WRNC	B	8,000	28.08	n/a	3-May	480.00	6.0
TOTAL (Trade Date):							130,619.30		

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/04	SAB CAPITAL (SABCMORGAN)	034	CSE	SS	115,000	26.64	n/a	n/a	5750.00 5.0
AO,CXL	05/04	SAB CAPITAL (SABCGOLDMA)	034	CSE	SS	115,000	26.64	n/a	n/a	5750.00 5.0
AO,	05/04	CARDINAL CAPITAL (CARDPRKARL)	044	IHP	B	100	59.07	n/a	n/a	5.00 5.0
AO,CXL	05/04	CARDINAL CAPITAL (CARDMIDCAP)	044	IHP	B	100	59.07	n/a	n/a	5.00 5.0
AO,CXL	05/04	APEX CAPITAL MGMT. (APEXUBS)	091	LTD	B	194,300	28.24	2-Mar	27-Apr	9715.00 5.0
AO,CRT	05/04	APEX CAPITAL MGMT. (APEXUBS)	091	LTD	B	166,500	28.24	2-Mar	27-Apr	8325.00 5.0
AO,	05/04	APEX CAPITAL MGMT. (APEXUBS)	091	LTD	B	27,800	28.24	2-Mar	27-Apr	1390.00 5.0
AO,	05/04	GENERAL ELECTIC CO (GEICGE29)	033	MSFT	S	140,000	30.49	n/a	3-Apr	6300.00 4.5
AO,CXL	05/02	UBS O'CONNOR/TOM LEDDY (UBSTLEHM)	035	MWV	S	21,525	32.07	3-May	3-May	1076.25 5.0
AO,CRT	05/02	UBS O'CONNOR/TOM LEDDY (UBSTLEHM)	035	MWV	S	21,525	32.07	3-May	3-May	645.75 3.0
AO,CXL	05/02	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	MWV	S	3,475	32.07	3-May	3-May	173.75 5.0
AO,CRT	05/02	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	MWV	S	3,475	32.07	3-May	3-May	104.25 3.0
AO,CXL	05/04	SUN AMERICA ASSET MGMT (SUNAF416)	030	PFE	B	24,100	27.03	n/a	31-Mar	0.00 0.0
AO,CRT	05/04	SUN AMERICA ASSET MGMT (SUNAF416)	030	PFE	B	24,100	27.03	n/a	31-Mar	1205.00 5.0
AO,CXL	05/04	HIGHBRIDGE CAPITAL (HIGBNEW)	038	SPY	SS	43,000	150.83	n/a	n/a	2150.00 5.0
AO,CRT	05/04	HIGHBRIDGE CAPITAL (HIGBNEW)	038	SPY	SS	43,000	150.83	n/a	n/a	1290.00 3.0
AO,	05/03	CARDINAL CAPITAL (CARDPRKARL)	044	SSI	B	1,600	21.06	26-Feb	13-Apr	80.00 5.0
AO,CXL	05/03	CARDINAL CAPITAL (CARDMIDCAP)	044	SSI	B	1,600	21.06	26-Feb	13-Apr	80.00 5.0
AO,CRT	05/04	GRUSS CAPITAL (GRUS)	040	WMG	B	10,000	17.67	n/a	n/a	400.00 4.0
AO,CXL	05/04	SAB CAPITAL (SABCMORGAN)	034	WMG	B	10,000	17.67	n/a	n/a	400.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>6,145.00</b>
TOTAL (Trade Date) :									130,619.30
TOTAL (AO, CXL, CRT) :									6,145.00
<b>TOTAL (RUN DATE) / NFS :</b>									<b>136,764.30</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