



## Daily Compliance Activity Report

Trade Date: 02/12/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THIRD COAST CAPITAL	035	AEOS	SS	40,000	31.21	4-Jan	9-Feb	1.56	0.0
<b>BACKUS</b>	<b>005</b>	<b>AEOS</b>	<b>S</b>	<b>500</b>	<b>31.29</b>	<b>4-Jan</b>	<b>9-Feb</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	AMAT	SS	170,200	17.77	n/a	n/a	6,808.00	4.0
BALYASNY ASSET MGMT	044	AMG	SS	10,000	111.65	25-Jan	12-Feb	500.00	5.0
SUNOVA CAPITAL	031	AMG	B	10,000	112.25	25-Jan	12-Feb	500.00	5.0
WOOSTER CAPITAL	035	ANN	B	25,000	34.90	5-Jan	9-Feb	1,250.00	5.0
TRELLUS PARTNERS LP	028	ASD	B	13,600	51.72	12-Feb	12-Feb	680.00	5.0
NEUBERGER BERMAN	238	ATR	S	400	66.20	n/a	n/a	20.00	5.0
BALYASNY ASSET MGMT	044	AVZ	B	30,000	24.62	29-Dec	12-Feb	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBW</b>	<b>B</b>	<b>5,000</b>	<b>28.38</b>	<b>8-Jan</b>	<b>12-Feb</b>	<b>200.00</b>	<b>4.0</b>
SUNOVA CAPITAL	031	BLK	S	10,000	170.95	16-Oct	12-Feb	500.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>CALPINE CORP</b>	<b>S</b>	<b>200,000</b>	<b>97.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	CENTA	S	24,500	12.96	n/a	n/a	1,225.00	5.0
ROBERTSON STEVENS BC	033	CFC	S	20,000	40.60	n/a	n/a	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>20,000</b>	<b>46.90</b>	<b>24-Jan</b>	<b>24-Jan</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORMAN	003	COSI	S	6,000	6.06	n/a	n/a	0.00	0.0
GAULT	063	CQENN	B	20	1.00	n/a	n/a	0.00	0.0
CROWLEY	061	CRMEX	B	4,210	10.45	n/a	n/a	0.00	0.0
JENNISON	032	CSCO	B	1,336,200	27.57	n/a	22-Mar	53,448.00	4.0
Ö Glenn Redemann		DELL	S	500	23.3100	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	DHI	B	5,000	27.48	n/a	n/a	250.00	5.0
CSFB GLOBAL PROPRIETARY	035	DTC	B	150,000	7.77	n/a	n/a	7,500.00	5.0
GRONET	030	EBS	B	1,000	15.27	n/a	n/a	0.00	0.0
BACKUS	005	EFT	B	4,000	19.22	n/a	n/a	0.00	0.0
SANDELL ADV	040	ETR	B	25,000	98.53	n/a	n/a	1,250.00	5.0
BACKUS	005	EVST	B	4,000	18.14	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FDO	SS	5,000	30.93	3-Nov	9-Feb	250.00	5.0
LOCUS WOOD CAPITAL MGMT	044	FD	S	60,000	43.22	26-Jan	9-Feb	3,000.00	5.0
MAZAMA CAPITAL MGMT.	035	FIX	S	9,000	12.72	n/a	n/a	360.00	4.0
KORMAN	003	FL	S	6,000	22.91	n/a	9-Feb	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAZAMA CAPITAL MGMT.	035	FMR	S	4,400	21.27	n/a	n/a	176.00	4.0
MAZAMA CAPITAL MGMT.	035	FVE	S	60,100	12.00	n/a	n/a	2,404.00	4.0
SAILFISH	037	GD	B	10,000	78.75	n/a	n/a	500.00	5.0
MORGAN BANK /JPM	012	GE	S	52,800	35.70	n/a	n/a	1,584.00	3.0
CSFB GLOBAL PROPRIETARY	035	GLW	B	18,000	21.45	n/a	12-Feb	900.00	5.0
DC CAPITAL	044	GLW	B	100,000	21.74	n/a	12-Feb	5,000.00	5.0
COUGAR TRADING	044	GPS	B	20,000	19.62	n/a	9-Feb	1,000.00	5.0
COLUMBUS CIRCLE	036	HLT	S	105,645	36.03	n/a	n/a	4,225.80	4.0
CHARTER OAK	037	IDIX	B	1,939	9.06	n/a	n/a	96.95	5.0
LAZARD ASSET MGMT	032	IDIX	B	11,761	9.06	n/a	n/a	588.05	5.0
<b>SUTERA</b>	<b>160</b>	<b>ISE</b>	<b>B</b>	<b>1,000</b>	<b>45.25</b>	<b>26-Oct</b>	<b>6-Feb</b>	<b>0.00</b>	<b>0.0</b>
MORGENS WATERFALL	040	JCG	S	100,000	36.01	25-Jan	25-Jan	5,000.00	5.0
<b>GAULT</b>	<b>063</b>	<b>JNYBG</b>	<b>B</b>	<b>60</b>	<b>0.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAILFISH	037	KEY	B	15,000	39.03	n/a	n/a	750.00	5.0
MORGAN LEWIS/MLH	046	KFT	SS	10,000	34.54	n/a	n/a	500.00	5.0
<b>GAULT</b>	<b>063</b>	<b>KOG</b>	<b>S</b>	<b>5,000</b>	<b>4.51</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.	
BALYASNY ASSET MGMT	044	LEH	SS	10,000	82.42	6-Dec	16-Jan	500.00	5.0
SAILFISH	037	LEH	SS	15,000	82.54	6-Dec	16-Jan	750.00	5.0
TROUBH PART	067	LVLIT	B	200,000	6.04	n/a	12-Feb	10,000.00	5.0
<b>BINDER</b>	<b>007</b>	<b>MPXL</b>	<b>S</b>	<b>400</b>	<b>17.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	NGS	S	15,000	13.83	n/a	n/a	600.00	4.0
NEUBERGER BERMAN	238	NJR	B	25,000	47.80	n/a	n/a	1,250.00	5.0
BARROW HANLEY MEWHINNEY	031	NOK	S	625,800	21.71	n/a	n/a	25,032.00	4.0
<b>GAULT</b>	<b>063</b>	<b>ODPNG</b>	<b>B</b>	<b>40</b>	<b>0.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>ODP</b>	<b>B</b>	<b>1,000</b>	<b>36.72</b>	<b>n/a</b>	<b>23-Jan</b>	<b>0.00</b>	<b>0.0</b>
SUFFOLK CAPITAL MGMT	040	PEP	S	65,000	63.70	n/a	n/a	2,600.00	4.0
TRIBECA	038	PPC	B	73,500	31.12	n/a	n/a	2,940.00	4.0
SANDELL ADV	040	PPL	B	50,000	36.83	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	PSUN	SS	10,000	19.35	n/a	9-Feb	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	55,100	54.27	18-Jan	9-Feb	2,066.25	3.8
<b>BACKUS</b>	<b>005</b>	<b>RIG</b>	<b>B</b>	<b>500</b>	<b>76.94</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>RL</b>	<b>SS</b>	<b>10,000</b>	<b>82.77</b>	<b>2-Feb</b>	<b>8-Feb</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KARSCH CAPITAL	034	ROK	C	47,400	63.53	n/a	n/a	1,422.00	3.0
<b>BINDER</b>	<b>007</b>	<b>RSH</b>	<b>B</b>	<b>250</b>	<b>22.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	238	RSTI	B	8,172	61.85	n/a	n/a	408.60	5.0
<b>BUCK</b>	<b>015</b>	<b>RTN</b>	<b>B</b>	<b>200</b>	<b>54.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRISANTTI BROWN & PARTNER	048	SSCC	B	15,200	11.77	26-Oct	25-Jan	760.00	5.0
COUGAR TRADING	044	TBL	B	20,000	27.35	15-Nov	9-Feb	1,000.00	5.0
COUGAR TRADING	044	TBL	SS	20,000	27.37	15-Nov	9-Feb	1,000.00	5.0
<b>GAULT</b>	<b>063</b>	<b>TEVA</b>	<b>SS</b>	<b>2,000</b>	<b>34.78</b>	<b>8-Nov</b>	<b>12-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>GRONET</b>	<b>030</b>	<b>THOR</b>	<b>B</b>	<b>500</b>	<b>17.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>TVQBG</b>	<b>B</b>	<b>20</b>	<b>0.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>TVQNG</b>	<b>B</b>	<b>10</b>	<b>0.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	TWB	SS	6,500	35.01	9-Jan	23-Jan	260.00	4.0
DISCIPLINED GROWTH INV.	030	TWTC	B	33,700	22.89	8-Feb	12-Feb	1,685.00	5.0
KARSCH CAPITAL	034	TXN	SS	385,000	30.55	n/a	n/a	11,550.00	3.0
<b>NOLAN</b>	<b>067</b>	<b>VSL</b>	<b>B</b>	<b>35</b>	<b>19.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAILFISH	037	WB	SS	20,000	57.37	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARSCH CAPITAL	034	WFMI	SS	140,000	45.06	n/a	n/a	4,200.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>WLVT</b>	<b>S</b>	<b>6,400</b>	<b>2.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	WRNC	B	10,000	26.76	18-Jan	18-Jan	500.00	5.0
CSFB GLOBAL PROPRIETARY	035	WY	S	6,000	78.00	15-Dec	9-Feb	300.00	5.0
<b>BUCK</b>	<b>015</b>	<b>YHOO</b>	<b>S</b>	<b>600</b>	<b>29.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAWSON SANBERG & CO	036	YUM	B	5,000	60.84	12-Dec	17-Jan	250.00	5.0
<b>TOTAL (Trade Date):</b>							<b>177,041.21</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/09	THIRD POINT MGMT (THIRUBS)	044	BIG	SS	95,400	26.77	16-Nov	9-Feb	3816.00 4.0
AO,CXL	02/09	CAPITAL GROWTH MGMT. (CAPGIAC9)	241	PRU	B	50,000	92.08	n/a	n/a	2500.00 5.0
AO,CRT	02/09	CAPITAL GROWTH MGMT. (CAPGIAC9)	241	PRU	B	50,000	92.08	n/a	n/a	2000.00 4.0
AO,CXL	02/09	JEFFERIES ASSET/PARAGON (JEFFDB)	012	RVI	SS	15,200	20.74	n/a	n/a	608.00 4.0
AO,CRT	02/09	JEFFERIES ASSET/PARAGON (JEFFDB)	067	RVI	SS	15,200	20.74	n/a	n/a	608.00 4.0
AO,CRT	02/06	BASSO CAPITAL (BASSDEUTCH)	037	TJX	B	11,300	28.23	n/a	9-Feb	565.00 5.0
AO,CXL	02/06	BASSO CAPITAL (BASSCITI)	037	TJX	B	11,300	28.23	n/a	9-Feb	565.00 5.0
AO,CXL	02/09	DIAMONDBACK CAP MGMT (DIAMMS-PUT)	232	TXN	SS	20,000	30.94	n/a	n/a	1000.00 5.0
AO,CXL	02/09	DIAMONDBACK CAP MGMT (DIAMMS-PUT)	232	TXN	SS	50,000	30.93	n/a	n/a	2500.00 5.0
AO,CXL	02/09	DIAMONDBACK CAP MGMT (DIAMMS-PUT)	232	TXN	SS	30,000	30.93	n/a	n/a	1500.00 5.0
AO,	02/09	DIAMONDBACK CAP MGMT (DIAMMS-PUT)	232	TXN	SS	50,000	30.93	n/a	n/a	2500.00 5.0
AO,CXL	02/09	COUGAR TRADING (COUGPB MS)	044	WRNC	SS	10,000	27.18	18-Jan	18-Jan	500.00 5.0
AO,CRT	02/09	COUGAR TRADING (COUGPB MS)	044	WRNC	SS	10,000	27.18	18-Jan	18-Jan	500.00 5.0
<b>AO,</b>	<b>02/09</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>ZQK</b>	<b>B</b>	<b>79,970</b>	<b>13.96</b>	<b>9-Feb</b>	<b>9-Feb</b>	<b>0.00 0.0</b>
<b>AO,</b>	<b>02/09</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>ZQK</b>	<b>B</b>	<b>79,970</b>	<b>13.95</b>	<b>9-Feb</b>	<b>9-Feb</b>	<b>0.00 0.0</b>
AO,CXL	02/09	WEISS PECK (PECKSIMT)	040	ZQK	S	25,300	13.95	9-Feb	9-Feb	1265.00 5.0
AO,	02/09	WEISS PECK (PECKSIMT)	040	ZQK	S	25,300	13.96	9-Feb	9-Feb	1265.00 5.0
AO,CXL	02/09	WEISS PECK (PECKASTEAM)	040	ZQK	S	760	13.95	9-Feb	9-Feb	38.00 5.0
AO,	02/09	WEISS PECK (PECKASTEAM)	040	ZQK	S	760	13.96	9-Feb	9-Feb	38.00 5.0
AO,CXL	02/09	WEISS PECK (PECKSIIT)	040	ZQK	S	26,700	13.95	9-Feb	9-Feb	1335.00 5.0
AO,	02/09	WEISS PECK (PECKSIIT)	040	ZQK	S	26,700	13.96	9-Feb	9-Feb	1335.00 5.0
AO,CXL	02/09	WEISS PECK (PECKSALIC)	040	ZQK	S	650	13.95	9-Feb	9-Feb	32.50 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/09	WEISS PECK (PECKSALIC)	040	ZQK	S	650	13.96	9-Feb	9-Feb	32.50 5.0
AO,CXL	02/09	WEISS PECK (PECKKKPHOL)	040	ZQK	S	2,500	13.95	9-Feb	9-Feb	125.00 5.0
AO,	02/09	WEISS PECK (PECKKKPHOL)	040	ZQK	S	2,500	13.96	9-Feb	9-Feb	125.00 5.0
AO,CXL	02/09	WEISS PECK (PECKL248)	040	ZQK	S	260	13.95	9-Feb	9-Feb	13.00 5.0
AO,	02/09	WEISS PECK (PECKL248)	040	ZQK	S	260	13.96	9-Feb	9-Feb	13.00 5.0
AO,CXL	02/09	WEISS PECK (PECKAIPSC)	040	ZQK	S	850	13.95	9-Feb	9-Feb	42.50 5.0
AO,	02/09	WEISS PECK (PECKAIPSC)	040	ZQK	S	850	13.96	9-Feb	9-Feb	42.50 5.0
AO,CXL	02/09	WEISS PECK (PECKCHEMSM)	040	ZQK	S	930	13.95	9-Feb	9-Feb	46.50 5.0
AO,	02/09	WEISS PECK (PECKCHEMSM)	040	ZQK	S	930	13.96	9-Feb	9-Feb	46.50 5.0
AO,CXL	02/09	WEISS PECK (PECKSEIUUP)	040	ZQK	S	2,230	13.95	9-Feb	9-Feb	111.50 5.0
AO,	02/09	WEISS PECK (PECKSEIUUP)	040	ZQK	S	2,230	13.96	9-Feb	9-Feb	111.50 5.0
AO,CXL	02/09	WEISS PECK (PECKL175)	040	ZQK	S	280	13.95	9-Feb	9-Feb	14.00 5.0
AO,	02/09	WEISS PECK (PECKL175)	040	ZQK	S	280	13.96	9-Feb	9-Feb	14.00 5.0
AO,CXL	02/09	WEISS PECK (PECKLO132)	040	ZQK	S	1,010	13.95	9-Feb	9-Feb	50.50 5.0
AO,	02/09	WEISS PECK (PECKLO132)	040	ZQK	S	1,010	13.96	9-Feb	9-Feb	50.50 5.0
AO,CXL	02/09	WEISS PECK (PECKTUDOR)	040	ZQK	S	18,500	13.95	9-Feb	9-Feb	925.00 5.0
AO,	02/09	WEISS PECK (PECKTUDOR)	040	ZQK	S	18,500	13.96	9-Feb	9-Feb	925.00 5.0

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

**816.00**

TOTAL (Trade Date):

177,041.21

TOTAL (AO, CXL, CRT):

816.00

**TOTAL (RUN DATE) / NFS:**

**177,857.21**



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