



Daily Compliance Activity Report

Trade Date: 01/26/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|--------------|--------------|---------------|---------------|---------------|------------|
| FORD FDN. | 032 | ABT | B | 25,000 | 52.13 | n/a | 22-Apr | 1,250.00 | 5.0 |
| ZOLIDIS | 011 | AB | B | 55 | 89.75 | 24-Jan | 25-Jan | 0.00 | 0.0 |
| ELAZAR ADV | 034 | ACMR | SS | 8,715 | 20.16 | n/a | n/a | 435.75 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | AIG | S | 30,000 | 68.32 | n/a | n/a | 1,500.00 | 5.0 |
| DAWSON SANBERG & CO | 036 | AMD | B | 10,600 | 16.12 | n/a | n/a | 530.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | AMG | B | 10,000 | 109.35 | 25-Jan | 25-Jan | 500.00 | 5.0 |
| ELAZAR ADV | 034 | ANN | B | 15,527 | 34.03 | 5-Jan | 5-Jan | 776.35 | 5.0 |
| PILOT ADV | 038 | ANW | S | 14,000 | 16.43 | n/a | n/a | 560.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | APA | B | 9,300 | 70.28 | n/a | 22-Jan | 465.00 | 5.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | AVZ | B | 25,600 | 23.87 | 29-Dec | 24-Jan | 1,280.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BBW | S | 5,000 | 29.33 | 8-Jan | 8-Jan | 200.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | BEN | B | 10,000 | 117.59 | 9-Nov | 25-Jan | 500.00 | 5.0 |
| PRIME LOGIC ADV | 039 | BIG | SS | 19,700 | 25.39 | 16-Nov | 18-Jan | 985.00 | 5.0 |
| SSI INVESTORS | 048 | BIIB | S | 37,542 | 47.38 | n/a | n/a | 1,501.68 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| IRON HORSE CAPITAL MGMT | 038 | BTU | B | 20,000 | 40.17 | n/a | n/a | 1,000.00 | 5.0 |
| LEDDY | 035 | CAKE | B | 400 | 26.25 | n/a | 17-Jan | 0.00 | 0.0 |
| BUCK | 015 | CBE | C | 300 | 95.00 | 25-Jan | 25-Jan | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | CBK | B | 10,000 | 18.53 | 11-Dec | 5-Jan | 400.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | CENT | B | 10,000 | 43.97 | 22-Jan | 22-Jan | 500.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | CLB | B | 40,000 | 80.09 | 6-Dec | 22-Jan | 2,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | COH | S | 5,000 | 43.55 | 24-Jan | 24-Jan | 200.00 | 4.0 |
| ELAZAR ADV | 034 | COH | B | 8,096 | 44.00 | 24-Jan | 24-Jan | 404.80 | 5.0 |
| ELAZAR ADV | 034 | COLM | S | 10,674 | 62.74 | n/a | n/a | 533.70 | 5.0 |
| ELAZAR ADV | 034 | CROX | B | 7,940 | 48.99 | n/a | n/a | 397.00 | 5.0 |
| SAC TRADING HOWARD | 038 | CROX | B | 18,000 | 50.05 | n/a | n/a | 900.00 | 5.0 |
| GALLEON MGMT LP | 033 | CSCO | S | 40,000 | 25.98 | n/a | 22-Mar | 2,000.00 | 5.0 |
| VANDER MOOLEN | 040 | DELL | B | 5,000 | 24.08 | n/a | n/a | 250.00 | 5.0 |
| BUCK | 015 | DIS | B | 1,000 | 34.69 | n/a | n/a | 0.00 | 0.0 |
| DSM CAPITAL PARTNERS | 032 | DJ | B | 6,950 | 39.00 | n/a | n/a | 417.00 | 6.0 |
| BUCK CAPITAL MGMT | 001 | DKS | SS | 10,000 | 50.45 | n/a | n/a | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------------|------------|----------|------------|--------------|------------|------------|--------------|------------|
| DALTON GREINER | 012 | DLTR | B | 18,500 | 30.88 | 21-Nov | 5-Jan | 925.00 | 5.0 |
| EFSTATHIOU | 044 | EBS | S | 400 | 15.80 | n/a | n/a | 0.00 | 0.0 |
| HIGHBRIDGE CAPITAL | 038 | ECL | B | 12,000 | 43.27 | n/a | 26-Jan | 600.00 | 5.0 |
| BARON ASSET MGMT* | 012 | EV | B | 25,000 | 34.03 | 2-Nov | 24-Jan | 1,250.00 | 5.0 |
| COUGAR TRADING | 044 | FD | B | 10,000 | 40.20 | 26-Jan | 26-Jan | 500.00 | 5.0 |
| COUGAR TRADING | 044 | FD | S | 15,000 | 40.35 | 26-Jan | 26-Jan | 750.00 | 5.0 |
| EGS ASSOCIATES LP | 059 | FD | B | 3,500 | 40.23 | 26-Jan | 26-Jan | 210.00 | 6.0 |
| GALLEON MGMT LP | 033 | FD | B | 50,000 | 40.22 | 26-Jan | 26-Jan | 2,500.00 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | FD | B | 75,000 | 40.14 | 26-Jan | 26-Jan | 3,750.00 | 5.0 |
| LOCUS WOOD CAPITAL MGMT | 044 | FD | B | 50,000 | 40.23 | 26-Jan | 26-Jan | 2,000.00 | 4.0 |
| SSI INVESTORS | 048 | FD | B | 25,967 | 40.19 | 26-Jan | 26-Jan | 1,038.68 | 4.0 |
| STADIA CAPITAL | 035 | FD | B | 50,000 | 40.23 | 26-Jan | 26-Jan | 2,000.00 | 4.0 |
| WAGONHOUND | 048 | FD | B | 10,000 | 40.21 | 26-Jan | 26-Jan | 400.00 | 4.0 |
| DSM CAPITAL PARTNERS | 032 | FED | B | 4,000 | 66.51 | n/a | n/a | 200.00 | 5.0 |
| TRIBECA/DOUG | 040 | FII | SS | 15,000 | 35.19 | n/a | 26-Jan | 600.00 | 4.0 |
| METROPOLITAN CAPITAL | 044 | FL | B | 60,400 | 21.44 | n/a | 19-Jan | 3,020.00 | 5.0 |
| REICH AND TANG | 037 | FL | B | 100,000 | 21.51 | n/a | 19-Jan | 5,000.00 | 5.0 |
| ELAZAR ADV | 034 | FOSL | B | 15,639 | 22.64 | 15-Nov | 15-Nov | 781.95 | 5.0 |
| WHITE PINE CAPITAL | 030 | GGG | S | 100 | 41.10 | n/a | n/a | 5.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | GHL | S | 34,000 | 74.39 | n/a | n/a | 1,360.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|--------------|----------|------------|---------------|---------------|---------------|--------------|------------|
| STRAUSS ASSET MGMT | 040 | GLW | B | 25,000 | 21.05 | n/a | 24-Jan | 1,250.00 | 5.0 |
| ZOLIDIS | 011 | GS | B | 25 | 211.70 | 13-Dec | 16-Jan | 0.00 | 0.0 |
| GRACIE CAPITAL | 028 | HD | B | 50,000 | 39.95 | n/a | 16-Jan | 2,500.00 | 5.0 |
| NEUBERGER BERMAN | 238 | HLX | S | 36,900 | 31.32 | n/a | n/a | 1,845.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | HON | S | 30,000 | 43.63 | n/a | 26-Jan | 1,200.00 | 4.0 |
| LISTED ERR | 099 | HS | B | 400 | 19.29 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | HS | S | 400 | 19.30 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | ICECY | S | 5 | 4.70 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | IFF | S | 150 | 49.97 | 4-Jan | 22-Jan | 7.50 | 5.0 |
| NICOLAS APPLGATE | 048 | INPC | S | 10,500 | 13.96 | n/a | n/a | 315.00 | 3.0 |
| MAZAMA CAPITAL MGMT. | 035 | INT | S | 52,300 | 44.05 | n/a | n/a | 2,092.00 | 4.0 |
| ELAZAR ADV | 034 | IWM | B | 11,276 | 78.29 | n/a | n/a | 563.80 | 5.0 |
| ELAZAR ADV | 034 | IWM | S | 11,276 | 78.16 | n/a | n/a | 563.80 | 5.0 |
| CLOVIS CAPITAL | 012 | JNS | SS | 35,000 | 20.43 | 1-Dec | 25-Jan | 1,750.00 | 5.0 |
| DAWSON SANBERG & CO | 036 | KCI | B | 11,200 | 44.75 | n/a | n/a | 560.00 | 5.0 |
| DALTON GREINER | 012 | LIZ | S | 37,100 | 43.24 | n/a | 27-Oct | 1,855.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------------|-------------|----------|--------------|---------------|---------------|---------------|-------------|------------|
| KEEFE BRUYETTE WOODS A | 031 | LM | B | 5,500 | 105.35 | n/a | 25-Jan | 275.00 | 5.0 |
| CHARTER OAK | 037 | LOW | B | 50,000 | 32.61 | n/a | 16-Jan | 2,500.00 | 5.0 |
| J L F ASSET MGMT | 039 | LTD | B | 35,600 | 27.48 | 5-Jan | 5-Jan | 1,424.00 | 4.0 |
| ZOLIDIS | 011 | LVS | B | 50 | 103.85 | n/a | n/a | 0.00 | 0.0 |
| ZOLIDIS | 011 | MER | B | 50 | 93.75 | 19-Jan | 19-Jan | 0.00 | 0.0 |
| HIGHBRIDGE CAPITAL | 038 | MET | B | 6,000 | 61.21 | n/a | n/a | 300.00 | 5.0 |
| ZOLIDIS | 011 | MGM | B | 70 | 69.82 | n/a | 3-Nov | 0.00 | 0.0 |
| BUCK | 015 | MHS | B | 500 | 58.05 | n/a | n/a | 0.00 | 0.0 |
| EFSTATHIOU | 044 | MOT | B | 200 | 18.33 | n/a | n/a | 0.00 | 0.0 |
| DAVID J GREEN & CO | 040 | MRCY | B | 24,500 | 12.89 | n/a | n/a | 1,330.00 | 5.5 |
| KORMAN | 003 | MWRK | B | 2,000 | 32.00 | n/a | n/a | 0.00 | 0.0 |
| LEDDY | 035 | MWV | B | 600 | 29.49 | 8-Jan | 23-Jan | 0.00 | 0.0 |
| GENERAL ELECTIC CO | 033 | NSM | B | 123,346 | 23.17 | n/a | n/a | 5,550.60 | 4.5 |
| ELAZAR ADV | 034 | NTRI | S | 2,544 | 57.99 | n/a | n/a | 127.20 | 5.0 |
| ELAZAR ADV | 034 | NTY | S | 4,889 | 51.23 | n/a | n/a | 244.45 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|------------|--------------|------------|---------------|--------------|------------|
| FIRST NEW YORK LEDDY | 035 | NWY | B | 15,000 | 14.80 | 1-Dec | 10-Jan | 900.00 | 6.0 |
| BALYASNY ASSET MGMT | 044 | ODP | SS | 20,000 | 37.31 | n/a | 23-Jan | 1,000.00 | 5.0 |
| ELAZAR ADV | 034 | PBY | B | 12,269 | 15.64 | n/a | n/a | 613.45 | 5.0 |
| WHITE PINE CAPITAL | 030 | PERY | S | 1,237 | 26.78 | n/a | n/a | 61.85 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | PFG | B | 15,000 | 60.25 | n/a | n/a | 750.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | PJC | B | 22,500 | 68.27 | n/a | n/a | 900.00 | 4.0 |
| EGS ASSOCIATES LP | 059 | PLCE | B | 3,000 | 52.28 | n/a | 25-Jan | 180.00 | 6.0 |
| ELAZAR ADV | 034 | PLCE | S | 2,526 | 52.22 | n/a | 25-Jan | 126.30 | 5.0 |
| PECONIC PARTNERS | 036 | PLCE | S | 100,000 | 52.46 | n/a | 25-Jan | 5,000.00 | 5.0 |
| BENNETT LAWRENCE | 044 | PMTG | B | 11,600 | 19.79 | n/a | n/a | 580.00 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | PRU | B | 11,000 | 87.69 | n/a | n/a | 550.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | PVH | B | 53,500 | 54.14 | 18-Jan | 18-Jan | 2,006.25 | 3.8 |
| CASTLE ARK | 031 | SBUX | S | 265,700 | 33.96 | 6-Oct | 12-Dec | 15,942.00 | 6.0 |
| S.A.C. CAPITAL MGMT. | 044 | SBUX | B | 15,000 | 33.96 | 6-Oct | 12-Dec | 750.00 | 5.0 |
| BINDER | 007 | SHW | C | 200 | 66.95 | n/a | 25-Jan | 0.00 | 0.0 |
| HIGHBRIDGE CAPITAL | 038 | SIAL | B | 15,000 | 37.84 | 3-Jan | 22-Jan | 750.00 | 5.0 |
| ELAZAR ADV | 034 | SKX | B | 5,123 | 34.57 | n/a | 12-Jan | 256.15 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| FORTRESS CAPITAL | 040 | SPLS | B | 50,000 | 25.69 | n/a | 10-Jan | 2,500.00 | 5.0 |
| Õ Glenn Redemann | | SU | B | 6 | 0.1500 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | SU | B | 6 | 0.2300 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | SU | S | 6 | 0.0000 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | SU | S | 6 | 0.0000 | n/a | n/a | 0.00 | 0.0 |
| MAIRS AND POWER INV | 030 | SVU | S | 20,000 | 36.25 | n/a | n/a | 1,200.00 | 6.0 |
| BINDER | 007 | SWK | C | 300 | 55.52 | n/a | n/a | 0.00 | 0.0 |
| WHEELER | 008 | TBAC | S | 7,800 | 13.30 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | TBL | B | 50,000 | 28.99 | 15-Nov | 12-Jan | 2,000.00 | 4.0 |
| DAVID J GREEN & CO | 040 | TDY | B | 87,700 | 37.92 | n/a | n/a | 4,753.00 | 5.5 |
| CLOVIS CAPITAL | 012 | TEX | SS | 50,000 | 57.94 | n/a | n/a | 2,500.00 | 5.0 |
| FARALLON CAP MGMT | 040 | TGT | S | 125,900 | 60.30 | n/a | 5-Jan | 5,036.00 | 4.0 |
| EFSTATHIOU | 044 | TNG | S | 20 | 0.28 | n/a | n/a | 0.00 | 0.0 |
| NICOLAS APPLGATE | 048 | TTEC | S | 29,750 | 25.50 | n/a | n/a | 1,190.00 | 4.0 |
| DAVIDSON TRUST CO | 033 | T | B | 1,900 | 36.51 | 26-Jan | 26-Jan | 133.00 | 7.0 |
| DG CAPITAL | 039 | T | S | 138,800 | 36.33 | 26-Jan | 26-Jan | 5,552.00 | 4.0 |
| ELAZAR ADV | 034 | URBN | B | 7,273 | 24.45 | 7-Dec | 5-Jan | 363.65 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|-----------|---------------|------------|------------|-------------------|------------|
| MERRILL ASSET | 032 | VQ | B | 5,700 | 15.70 | n/a | n/a | 285.00 | 5.0 |
| JP MORGAN VENTURES | 046 | WFMI | B | 5,000 | 42.73 | n/a | n/a | 250.00 | 5.0 |
| ELAZAR ADV | 034 | WMS | B | 15,385 | 40.34 | n/a | n/a | 769.25 | 5.0 |
| PERRY PARTNERS | 035 | WSM | B | 150,000 | 34.19 | n/a | n/a | 7,500.00 | 5.0 |
| ZOLIDIS | 011 | WYNN | B | 50 | 105.76 | n/a | n/a | 0.00 | 0.0 |
| HUNTER GLOBAL INVESTOR | 067 | XLF | B | 100,000 | 36.75 | n/a | n/a | 3,000.00 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 140,428.16 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------|-------|---------------------------|------|--------|-----|--------|--------|-------|----------|-------------|
| AO,CXL | 01/25 | SSI INVESTORS (SSIISMITH) | 048 | JNS | B | 43,557 | 20.95 | 1-Dec | 25-Jan | 2177.85 5.0 |
| AO,CRT | 01/25 | SSI INVESTORS (SSIISMITH) | 048 | JNS | B | 43,557 | 20.95 | 1-Dec | 25-Jan | 1742.28 4.0 |
| AO,CXL | 01/25 | CATAPULT (CATAMSPB) | 040 | LF | B | 25,000 | 10.11 | n/a | n/a | 1250.00 5.0 |
| AO,CRT | 01/25 | CATAPULT (CATAMSPB) | 040 | LF | B | 25,000 | 10.11 | n/a | n/a | 1000.00 4.0 |
| CRT | 01/26 | ZOLIDIS (ZOLIDIS) | 011 | MGM | B | 70 | 69.82 | n/a | 3-Nov | 0.00 0.0 |
| AO, | 01/25 | MKT MAKER (MKT MAKER) | 099 | MRCY | S | 28 | 13.00 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 01/25 | ELAZAR ADV (ELAZFNY) | 034 | SPY | B | 2,649 | 142.28 | n/a | n/a | 132.45 5.0 |
| AO, | 01/25 | ELAZAR ADV (ELAZFNY) | 034 | SPY | B | 2,650 | 142.28 | n/a | n/a | 132.50 5.0 |
| AO,CXL | 01/25 | ELAZAR ADV (ELAZGS BUL) | 034 | SPY | B | 1,929 | 142.28 | n/a | n/a | 96.45 5.0 |
| AO, | 01/25 | ELAZAR ADV (ELAZGS BUL) | 034 | SPY | B | 1,928 | 142.28 | n/a | n/a | 96.40 5.0 |
| AO,CXL | 01/18 | MKT MAKER (MKT MAKER) | 099 | ZVZZT | B | 100 | 55.00 | n/a | n/a | 0.00 0.0 |
| AO,CXL | 01/18 | MKT MAKER (MKT MAKER) | 096 | ZVZZT | B | 100 | 60.00 | n/a | n/a | 0.00 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -685.57 |
| TOTAL (Trade Date) : | | | | | | | | | | 140,428.16 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -685.57 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | | 139,742.59 |

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