



# Daily Compliance Activity Report

Trade Date: 06/01/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EGS ASSOCIATES LP	091	ABG	B	3,000	27.40	n/a	25-Apr	180.00	6.0
GALLEON MGMT LP	033	AEO	B	25,000	27.31	n/a	23-May	1,250.00	5.0
BARR	096	AMCC	B	4,000	2.89	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	SS	20,000	81.94	n/a	24-May	800.00	4.0
WOOSTER CAPITAL	035	ANN	S	100,000	39.04	25-May	25-May	5,000.00	5.0
REINHART & MAHONEY	031	ARP	B	6,600	30.84	n/a	n/a	330.00	5.0
OSS CAPITAL/KEVIN DANN	067	AVR	B	50,000	17.21	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	BBY	S	20,000	48.80	1-May	11-May	800.00	4.0
GRUBER MACBAINE	033	BLK	B	5,000	153.99	25-May	31-May	200.00	4.0
ROTHSCHILD ASSET	040	BMR	B	3,170	28.31	n/a	n/a	142.65	4.5
DELTEC ASSET MGMT.	040	BONT	S	10,000	48.01	25-May	25-May	500.00	5.0
MILLENIUM PARTNERS	028	CC	S	10,000	17.05	1-May	1-May	500.00	5.0
KERN	050	CC	S	250	17.19	1-May	1-May	0.00	0.0
LEDDY	035	CHBD	S	7,500	0.88	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	B	20,000	27.54	31-May	31-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>Philip Franz</b>		<b>CSCO</b>	<b>S</b>	<b>120</b>	<b>26.9100</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
DALTON GREINER	012	DLTR	S	15,500	42.64	30-May	30-May	775.00	5.0
NEUBERGER BERMAN	036	DRS	S	14,300	51.59	n/a	n/a	715.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>B</b>	<b>10,000</b>	<b>38.54</b>	<b>7-May</b>	<b>11-May</b>	<b>400.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>EDA</b>	<b>B</b>	<b>1,500</b>	<b>11.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAIRS AND POWER INV	030	EFD	S	20,000	34.00	n/a	n/a	1,200.00	6.0
ENTRUST CAPITAL	040	ETN	S	20,000	93.28	24-May	24-May	1,000.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>EVST</b>	<b>S</b>	<b>6,200</b>	<b>26.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	EV	S	20,000	44.00	23-May	30-May	1,000.00	5.0
GENERAL ELECTIC CO	033	FDC	S	15,000	32.78	n/a	n/a	675.00	4.5
FORSTMAN/AG CAP	250	FLA	S	16,800	84.01	n/a	n/a	840.00	5.0
OSS CAPITAL/KEVIN DANN	067	FMD	SS	50,000	38.26	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	FRP	SS	72,827	18.03	n/a	n/a	3,641.35	5.0
COLUMBUS CIRCLE	036	GES	B	9,210	45.30	n/a	n/a	368.40	4.0
<b>BARR</b>	<b>096</b>	<b>GM</b>	<b>C</b>	<b>775</b>	<b>30.43</b>	<b>4-May</b>	<b>4-May</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Philip Franz		HPQ	S	125	45.8000	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	HPY	B	13,100	25.58	n/a	n/a	524.00	4.0
Õ Philip Franz		IBM	S	25106	1.1500	n/a	n/a	0.00	0.0
Õ Philip Franz		ITCD	B	2000	6.5000	n/a	n/a	0.00	0.0
TROUBH PART	067	ITCD	B	20,000	6.32	n/a	n/a	1,000.00	5.0
MCCARTAN	028	ITCD	S	200	6.25	n/a	n/a	0.00	0.0
BARR	096	ITCD	B	1,500	6.43	n/a	n/a	0.00	0.0
EFSTATHIOU	044	IVZ	B	400	24.23	26-Apr	23-May	0.00	0.0
NOLAN	067	IVZ	B	30	24.25	26-Apr	23-May	0.00	0.0
CROWLEY	061	KEGS	B	1,000	18.62	n/a	31-May	0.00	0.0
BUCK CAPITAL MGMT	001	KMX	S	10,000	23.95	n/a	10-Jan	400.00	4.0
SANDLER O'NEILL ASSET	031	LEH	B	20,000	74.25	n/a	30-May	1,000.00	5.0
GAULT	063	LESFP	B	50	0.40	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	LVS	B	50,000	79.72	n/a	n/a	2,000.00	4.0
OSS CAPITAL/KEVIN DANN	067	LXK	B	1,400	52.00	n/a	n/a	70.00	5.0
BECK MACK & OLIVER LLC	044	MATW	S	2,700	44.43	n/a	n/a	135.00	5.0
Õ Philip Franz		MSFT	B	100	30.6900	n/a	3-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONAR CAP MGMT	039	MSFT	B	100,000	30.80	n/a	3-Apr	5,000.00	5.0
LEDDY	035	MZZ	B	1,200	48.97	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	100,000	40.49	n/a	n/a	4,000.00	4.0
OSS CAPITAL/KEVIN DANN	067	NSR	SS	20,000	29.41	n/a	n/a	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	NYX	B	239,000	83.60	n/a	n/a	11,950.00	5.0
BUCK	015	OSCI	B	4,100	5.43	n/a	n/a	0.00	0.0
EFSTATHIOU	044	OVTI	S	500	17.01	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	OXM	S	30,000	45.95	n/a	n/a	1,200.00	4.0
KERN	050	PCU	S	100	92.91	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PLCE	B	5,000	57.15	12-Apr	23-May	250.00	5.0
PORTER-ORLIN-FELDMAN	044	QQQQ	B	100,000	47.72	n/a	n/a	5,000.00	5.0
COLUMBUS CIRCLE	036	RL	B	2,720	96.57	2-Feb	31-May	108.80	4.0
COUGAR TRADING	044	RL	SS	5,000	96.91	2-Feb	31-May	250.00	5.0
STADIA CAPITAL	035	RL	B	45,000	97.02	2-Feb	31-May	1,800.00	4.0
BECK MACK & OLIVER LLC	044	SEE	S	2,000	32.03	n/a	n/a	100.00	5.0
COLUMBUS CIRCLE	036	SKS	B	19,140	20.07	n/a	n/a	765.60	4.0
UBS O'CONNOR/TOM LEDDY	035	SMG	B	44,300	45.85	20-Feb	2-May	1,329.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARIENCE CAPITAL	036	STX	B	50,050	20.81	n/a	n/a	2,502.50	5.0
DISCIPLINED GROWTH INV.	030	TJX	B	2,100	28.30	21-Mar	16-May	105.00	5.0
BECK MACK & OLIVER LLC	044	TLGD	S	3,000	10.85	n/a	n/a	150.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>TYC</b>	<b>S</b>	<b>100</b>	<b>33.55</b>	<b>8-May</b>	<b>1-Jun</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	VC	B	50,000	8.09	n/a	n/a	1,500.00	3.0
ACT II PARTNERS	067	VG	B	17,100	3.14	9-Mar	23-May	684.00	4.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>VOII</b>	<b>S</b>	<b>15,000</b>	<b>0.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	WDR	B	20,000	26.27	5-Mar	23-May	1,000.00	5.0
BULL PATH CAPITAL	044	WDR	B	21,500	26.12	5-Mar	23-May	1,075.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	5,300	26.31	5-Mar	23-May	265.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>WGUAW</b>	<b>S</b>	<b>6</b>	<b>8.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OSS CAPITAL/KEVIN DANN	067	WHI	SS	25,000	5.53	n/a	n/a	1,250.00	5.0
GLG PARTNERS	034	WMT	B	100,000	47.90	n/a	16-May	5,000.00	5.0
ACT II PARTNERS	067	XOHO	S	18,000	4.77	n/a	n/a	720.00	4.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>XOHO</b>	<b>S</b>	<b>2,500</b>	<b>4.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OSS CAPITAL/KEVIN DANN	067	XTXI	B	27,195	29.98	n/a	n/a	1,359.75	5.0
DELTEC ASSET MGMT.	040	ZQK	S	26,000	14.20	9-Mar	17-Apr	1,040.00	4.0

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**TOTAL (Trade Date):**

**80,651.05**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/31	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	AGU	S	54,000	39.25	n/a	n/a	810.00	1.5
AO,	05/31	CROWLEY (CROWLEY)	061	CHBD	S	15,000	0.88	n/a	n/a	0.00	0.0
AO,	05/31	KERN (KERN)	050	DNDN	B	1,000	9.25	n/a	n/a	0.00	0.0
AO,	05/31	KERN (KERN)	050	DNDN	S	1,000	11.00	n/a	n/a	0.00	0.0
AO,CXL	05/31	LISTED ERR (LISTED ERR)	035	IGT	S	1,600	40.37	n/a	20-Apr	0.00	0.0
AO,	05/30	GENERAL MOTORS INV CO (GMICGR5Q)	040	LG	B	500	31.01	n/a	n/a	20.00	4.0
AO,CXL	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	LG	B	500	31.01	n/a	n/a	20.00	4.0
AO,CXL	05/31	ROARING BLUE LION MGMT (ROAR4CENTS)	012	PLCE	S	15,500	56.37	12-Apr	23-May	0.00	0.0
AO,	05/31	ROARING BLUE LION MGMT (ROAR4CENTS)	012	PLCE	S	15,500	56.37	12-Apr	23-May	620.00	4.0
AO,	05/31	UBS OCONNOR (UBSOWARUBS)	031	SMG	B	25,000	46.01	20-Feb	2-May	750.00	3.0

**TOTAL (AO, CXL, CRT) :****2,180.00**

TOTAL (Trade Date):

80,651.05

TOTAL (AO, CXL, CRT):

2,180.00

**TOTAL (RUN DATE) / NFS:****82,831.05**

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