



# Daily Compliance Activity Report

Trade Date: 05/11/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAB CAPITAL	034	ACM	S	25,000	21.55	n/a	n/a	1,250.00	5.0
CIRCLE T PART	035	ADBE	B	50,000	40.93	n/a	n/a	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>100,000</b>	<b>29.02</b>	<b>4-Jan</b>	<b>11-May</b>	<b>4,000.00</b>	<b>4.0</b>
DAVIDSON KEMPNER ADVISOR	217	AMP	B	50,000	60.64	n/a	n/a	2,500.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>ANF</b>	<b>C</b>	<b>100</b>	<b>80.06</b>	<b>n/a</b>	<b>11-May</b>	<b>0.00</b>	<b>0.0</b>
<b>JACOB</b>	<b>068</b>	<b>ANF</b>	<b>C</b>	<b>100</b>	<b>80.06</b>	<b>n/a</b>	<b>11-May</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	ANN	SS	30,000	36.69	n/a	8-May	1,200.00	4.0
COUGAR TRADING	044	ANN	SS	10,000	36.59	n/a	8-May	500.00	5.0
GLG PARTNERS	034	ANN	B	48,900	36.68	n/a	8-May	2,445.00	5.0
Ö Glenn Redemann		ASEI	B	8	0.4100	n/a	n/a	0.00	0.0
Ö Glenn Redemann		ASEI	B	8	0.4600	n/a	n/a	0.00	0.0
Ö Glenn Redemann		ASEI	SS	8	1.1000	n/a	n/a	0.00	0.0
Ö Glenn Redemann		ASEI	SS	8	1.3400	n/a	n/a	0.00	0.0
<b>EMP ERROR</b>	<b>099</b>	<b>BDSBW</b>	<b>S</b>	<b>5,000</b>	<b>4.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>BDSB</b>	<b>B</b>	<b>500</b>	<b>10.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>BDSB</b>	<b>S</b>	<b>1,100</b>	<b>10.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRIME LOGIC ADV	039	BIG	SS	10,000	33.72	9-Mar	11-May	500.00	5.0
DSG CAPITAL	236	BLK	B	500	150.00	11-May	11-May	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	031	BLK	B	20,500	149.84	11-May	11-May	1,025.00	5.0
<b>KANTROWIT</b>	<b>N21</b>	<b>BRNC</b>	<b>B</b>	<b>125</b>	<b>16.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	CAKE	B	35,800	27.83	24-Apr	24-Apr	1,790.00	5.0
COUGAR TRADING	044	CHS	SS	5,000	25.03	27-Mar	11-May	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>10,000</b>	<b>47.78</b>	<b>23-Feb</b>	<b>25-Apr</b>	<b>400.00</b>	<b>4.0</b>
GRISANTI BROWN & PARTNER	048	CSX	C	8,800	45.41	n/a	n/a	440.00	5.0
TOCQUEVILLE ASSET MGMT	048	DEPO	B	11,100	3.58	n/a	n/a	555.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>DEPO</b>	<b>B</b>	<b>58</b>	<b>3.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	DE	S	13,200	119.12	n/a	n/a	660.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>DE</b>	<b>B</b>	<b>2,000</b>	<b>118.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>DE</b>	<b>S</b>	<b>2,000</b>	<b>119.12</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>DSW</b>	<b>B</b>	<b>40,000</b>	<b>37.98</b>	<b>7-May</b>	<b>11-May</b>	<b>1,600.00</b>	<b>4.0</b>
U.S.TRUST COMPANY	012	DVN	B	55,000	74.68	3-May	3-May	2,475.00	4.5
<b>SUTERA</b>	<b>160</b>	<b>EDA</b>	<b>S</b>	<b>1,000</b>	<b>11.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>EVVV</b>	<b>S</b>	<b>3,000</b>	<b>17.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARDSLEY PARTNERS	038	FCEL	B	150,000	6.65	n/a	n/a	7,500.00	5.0
CAPITAL GROWTH MGMT.	241	FCX	S	30,000	72.78	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FD	S	388,324	41.61	26-Jan	11-May	15,532.96	4.0
BUCK	015	FD	C	500	41.27	26-Jan	11-May	0.00	0.0
COUGAR TRADING	044	FL	B	10,000	21.50	n/a	11-May	500.00	5.0
GLG PARTNERS	034	FL	B	50,000	21.53	n/a	11-May	2,500.00	5.0
Õ Henry Ngan		FL	S	840	21.4900	n/a	11-May	0.00	0.0
PIVOT CAP	034	FL	S	18,400	21.51	n/a	11-May	920.00	5.0
SSI INVESTORS	048	FL	B	58,900	21.50	n/a	11-May	2,356.00	4.0
TRELLUS PARTNERS LP	028	FL	B	75,000	21.50	n/a	11-May	3,750.00	5.0
HIGHBRIDGE CAPITAL	038	FRP	SS	8,700	18.00	n/a	n/a	435.00	5.0
BUCK CAPITAL MGMT	001	GCO	SS	90,000	49.85	n/a	10-Jan	3,600.00	4.0
BUCK CAPITAL MGMT	001	GES	B	5,000	41.67	n/a	n/a	200.00	4.0
BRIGHTPOINT CAP	067	GNTX	SS	10,000	18.70	n/a	24-Apr	500.00	5.0
TRELLUS PARTNERS LP	028	GPI	B	10,500	39.79	27-Apr	2-May	525.00	5.0
WD PARTNERS ILP	067	GPI	B	5,000	39.75	27-Apr	2-May	250.00	5.0
BUCK CAPITAL MGMT	001	HBI	SS	10,000	25.80	n/a	n/a	400.00	4.0
DSG CAPITAL	236	HBI	SS	5,000	25.61	n/a	n/a	250.00	5.0
STANDARD PACIFIC CAPITAL	040	HD	B	182,000	38.77	n/a	1-Mar	7,280.00	4.0
WAGONHOUND	048	HSC	B	3,600	52.30	23-Apr	23-Apr	144.00	4.0
MERRILL LYNCH STRATEGICI	034	HUN	B	50,000	20.28	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OPTIMUM INV ADV	030	IPG	B	51,000	11.70	n/a	n/a	2,040.00	4.0
BUCK	015	IWM	S	500	81.98	n/a	n/a	0.00	0.0
BUCK	015	IWN	B	500	83.03	n/a	n/a	0.00	0.0
KALINOWSKI	070	JBXEN	B	100	2.45	n/a	n/a	0.00	0.0
KALINOWSKI	070	JBXFN	B	50	3.69	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCP	S	5,000	75.54	20-Apr	11-May	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	KSS	C	60,000	72.29	n/a	10-May	2,400.00	4.0
COUGAR TRADING	044	KSS	B	5,000	72.20	n/a	10-May	250.00	5.0
GRUBER MACBAINE	033	LM	B	15,000	100.18	9-May	9-May	600.00	4.0
POST ROAD CAP	068	LTD	B	10,000	27.66	2-Mar	11-May	400.00	4.0
WD PARTNERS ILP	067	LTD	B	7,500	27.61	2-Mar	11-May	375.00	5.0
CAPITAL GROWTH MGMT.	241	LVS	S	45,000	79.74	n/a	n/a	1,950.00	4.5
MERRILL LYNCH STRATEGICI	034	LYO	S	30,000	38.00	n/a	11-May	1,200.00	4.0
STERLING JOHNSTON	035	MCCC	B	50,000	8.68	28-Feb	9-May	2,000.00	4.0
DALTON GREINER	012	MLI	B	25,000	34.67	6-Feb	24-Apr	1,250.00	5.0
GALLEON MGMT LP	033	MMM	C	20,000	85.63	2-May	2-May	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>AMATURO</b>	<b>018</b>	<b>MPEL</b>	<b>B</b>	<b>1,000</b>	<b>16.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	035	MWV	B	90,000	32.06	3-May	3-May	4,500.00	5.0
<b>SUTERA</b>	<b>160</b>	<b>NEXC</b>	<b>S</b>	<b>2,000</b>	<b>11.45</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>S</b>	<b>10,000</b>	<b>45.98</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
CAPITAL GROWTH MGMT.	241	PCP	S	15,400	109.64	n/a	n/a	770.00	5.0
SATELLITE ASSET MGMT	012	PLCE	B	10,000	51.40	12-Apr	11-May	400.00	4.0
COUGAR TRADING	044	PSUN	SS	5,000	20.16	n/a	11-May	250.00	5.0
FIRST NEW YORK LEDDY	035	PSUN	B	15,000	20.13	n/a	11-May	750.00	5.0
JP MORGAN VENTURES	046	PSUN	C	25,000	19.99	n/a	11-May	1,250.00	5.0
MERRILL LYNCH STRATEGICI	034	PX	SS	10,000	66.17	n/a	25-Apr	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>91.47</b>	<b>2-Feb</b>	<b>13-Apr</b>	<b>400.00</b>	<b>4.0</b>
MERRILL LYNCH STRATEGICI	034	ROH	SS	20,000	52.72	12-Feb	23-Apr	800.00	4.0
CAPITAL GROWTH MGMT.	241	SII	S	29,000	52.33	n/a	n/a	1,450.00	5.0
SAB CAPITAL	034	SLH	S	50,000	16.37	n/a	n/a	2,500.00	5.0
TRIVIUM CAP MGMT	028	TGT	B	25,000	58.14	n/a	10-May	1,000.00	4.0
<b>BUCK</b>	<b>015</b>	<b>TIN</b>	<b>S</b>	<b>1,000</b>	<b>61.97</b>	<b>26-Apr</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL LYNCH STRATEGICI	034	TRA	SS	25,000	18.44	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>S</b>	<b>10,000</b>	<b>38.50</b>	<b>22-Feb</b>	<b>8-May</b>	<b>400.00</b>	<b>4.0</b>
CAPITAL GROWTH MGMT.	241	TXT	S	4,800	101.66	n/a	n/a	240.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>UENRU</b>	<b>S</b>	<b>50</b>	<b>0.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>UENUU</b>	<b>S</b>	<b>50</b>	<b>1.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	WFR	S	75,000	61.08	n/a	n/a	3,750.00	5.0
CBLU	040	WSM	S	9,565	34.37	n/a	n/a	478.25	5.0
<b>TOTAL (Trade Date) :</b>								<b>108,211.21</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/10	SAB CAPITAL (SABCGOLDMA)	034	ACM	S	50,000	21.41	n/a	n/a	2500.00 5.0
AO,CRT	05/10	SAB CAPITAL (SABCGOLDMA)	034	ACM	S	50,000	21.41	n/a	n/a	2500.00 5.0
AO,CXL	05/10	SAB CAPITAL (SABCGOLDMA)	034	ACM	SS	225,000	21.68	n/a	n/a	11250.00 5.0
AO,	05/10	SAB CAPITAL (SABCGOLDMA)	034	ACM	SS	225,000	21.68	n/a	n/a	11250.00 5.0
AO,	05/10	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	217	AMP	B	100,000	60.76	n/a	n/a	4000.00 4.0
AO,	05/10	PILOT ADV (PILOOMNI)	038	AZO	SS	3,300	134.10	n/a	n/a	132.00 4.0
AO,	05/10	PILOT ADV (PILOUBS)	038	AZO	SS	200	134.10	n/a	n/a	8.00 4.0
AO,	05/10	PILOT ADV (PILOPARADI)	038	AZO	SS	6,500	134.10	n/a	n/a	260.00 4.0
AO,	05/10	PILOT ADV (PILOOMNI)	038	BBBY	SS	8,500	40.83	n/a	n/a	340.00 4.0
AO,	05/10	PILOT ADV (PILOUBS)	038	BBBY	SS	400	40.83	n/a	n/a	16.00 4.0
AO,	05/10	PILOT ADV (PILOPARADI)	038	BBBY	SS	16,100	40.83	n/a	n/a	644.00 4.0
AO,CXL	05/10	LUCHANSKY1 (LUCHANSKY1)	036	BDSB	B	500	10.23	n/a	n/a	0.00 0.0
AO,CRT	05/10	EMP ERROR (EMP ERROR)	099	BDSB	B	500	10.23	n/a	n/a	0.00 0.0
AO,CRT	05/10	EMP ERROR (EMP ERROR)	099	BDSB	B	600	10.18	n/a	n/a	0.00 0.0
AO,CXL	05/10	MCCARTAN (MCCARTAN)	028	BDSB	B	600	10.18	n/a	n/a	0.00 0.0
AO,CRT	05/10	EMP ERROR (EMP ERROR)	099	BDSBW	B	5,000	4.16	n/a	n/a	0.00 0.0
AO,CXL	05/10	GRONET (GRONET)	030	BDSBW	B	5,000	4.16	n/a	n/a	0.00 0.0
AO,	05/10	PILOT ADV (PILOPARADI)	038	FL	S	25,000	23.41	n/a	11-May	1000.00 4.0
AO,CRT	05/10	BARROW HANLEY MEWHINNEY (BARR)	096	NGI	S	4,000	5.00	n/a	n/a	0.00 0.0
AO,CXL	05/10	BARROW HANLEY MEWHINNEY (BARR)	096	NGI	S	4,000	5.00	n/a	n/a	0.00 0.0
AO,CRT	05/10	MATRIX ASSET ADV. (MATXWFLGCO)	036	TYC	B	1,400	32.29	8-May	8-May	56.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/10	MATRIX ASSET ADV. (MATXVICO)	036	TYC	B	1,400	32.29	8-May	8-May	56.00 4.0

<b>TOTAL (AO, CXL, CRT) :</b>									<b>6,400.00</b>	
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TOTAL (Trade Date) :									108,211.21	
TOTAL (AO, CXL, CRT) :									6,400.00	

<b>TOTAL (RUN DATE) / NFS :</b>									<b>114,611.21</b>	
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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