



## Daily Compliance Activity Report

Trade Date: 05/04/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 2**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BACKUS</b>	<b>005</b>	<b>AAI</b>	<b>B</b>	<b>4,000</b>	<b>11.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	AB	B	65,000	92.80	25-Apr	1-May	3,250.00	5.0
PATTEN & PATTEN	067	AB	B	100	92.45	25-Apr	1-May	5.00	5.0
Ö Glenn Redemann		ACI	B	3	0.8200	n/a	n/a	0.00	0.0
Ö Glenn Redemann		ACI	B	3	0.8300	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ADBE	B	250	41.33	n/a	n/a	12.50	5.0
REINHART & MAHONEY	031	AH	S	7,570	82.09	n/a	n/a	378.50	5.0
CAXTON PART	040	AMG	B	10,000	123.95	25-Apr	1-May	400.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>AMR</b>	<b>B</b>	<b>1,000</b>	<b>27.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>AMZN</b>	<b>B</b>	<b>50,000</b>	<b>63.60</b>	<b>n/a</b>	<b>n/a</b>	<b>2,500.00</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>015</b>	<b>ANF</b>	<b>SS</b>	<b>10,400</b>	<b>80.00</b>	<b>2-Feb</b>	<b>25-Apr</b>	<b>400.00</b>	<b>1.3</b>
MAZAMA CAPITAL MGMT.	035	AOS	B	57,500	38.65	18-Apr	18-Apr	2,300.00	4.0
PATTEN & PATTEN	067	APD	B	200	76.99	n/a	25-Apr	10.00	5.0
HALO	032	ASD	B	20,000	56.99	19-Apr	19-Apr	800.00	4.0
Ö Glenn Redemann		ATVI	B	1000	21.6000	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	031	AVZ	S	15,144	25.51	26-Apr	1-May	757.20	5.0
BUCK CAPITAL MGMT	001	BBW	B	10,000	28.99	19-Mar	1-May	400.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	135.08	26-Apr	1-May	500.00	5.0
PATTEN & PATTEN	067	BHP	B	250	51.42	n/a	n/a	12.50	5.0
BUCK CAPITAL MGMT	001	BID	S	10,000	49.87	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	BNI	B	200	90.10	n/a	n/a	10.00	5.0
Glenn Redemann		BRCM	??	16	0.0500	n/a	n/a	0.00	0.0
Glenn Redemann		BRCM	??	16	0.0500	n/a	n/a	0.00	0.0
BACKUS	005	BTU	B	2,000	48.88	n/a	n/a	0.00	0.0
KALINOWSKI	070	CAKE	B	500	28.07	24-Apr	24-Apr	0.00	0.0
MAGUIRE	090	CAL	B	1,000	38.93	n/a	n/a	0.00	0.0
Glenn Redemann		CCJ	B	2	0.9800	n/a	n/a	0.00	0.0
Glenn Redemann		CCJ	B	2	1.7200	n/a	n/a	0.00	0.0
GAULT	063	CCUR	B	30,000	1.50	n/a	n/a	0.00	0.0
GAULT	063	CCUR	S	5,730	1.51	n/a	n/a	0.00	0.0
DEMARTINI	065	CCUR	B	10,000	1.51	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	SS	50,000	26.13	27-Mar	25-Apr	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIVOT CAP	034	CMLS	S	4,600	9.52	n/a	n/a	230.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>COLY</b>	<b>B</b>	<b>2,000</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAB CAPITAL	034	CSE	SS	115,000	26.64	n/a	n/a	5,750.00	5.0
PATTEN & PATTEN	067	CTXS	S	750	31.93	n/a	n/a	37.50	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>CVS</b>	<b>B</b>	<b>50,000</b>	<b>36.07</b>	<b>n/a</b>	<b>n/a</b>	<b>2,500.00</b>	<b>5.0</b>
<b>BACKUS</b>	<b>005</b>	<b>CVS</b>	<b>B</b>	<b>2,000</b>	<b>35.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>CWTR</b>	<b>C</b>	<b>500</b>	<b>20.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	C	B	133,400	54.22	11-Jan	27-Apr	5,002.50	3.8
AMBER CAPITAL	046	DD	B	100,000	51.23	n/a	24-Apr	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>S</b>	<b>20,000</b>	<b>38.06</b>	<b>30-Mar</b>	<b>30-Mar</b>	<b>800.00</b>	<b>4.0</b>
<b>BACKUS</b>	<b>005</b>	<b>END</b>	<b>S</b>	<b>10,000</b>	<b>2.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>EVVV</b>	<b>S</b>	<b>200</b>	<b>17.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	EZU	B	100	117.24	n/a	n/a	5.00	5.0
<b>BUCK</b>	<b>015</b>	<b>FD</b>	<b>SS</b>	<b>500</b>	<b>43.65</b>	<b>26-Jan</b>	<b>25-Apr</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	FED	S	34,100	61.29	n/a	n/a	1,705.00	5.0
GRUSS CAPITAL	040	FLA	S	5,000	73.62	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	FRP	SS	20,700	18.54	n/a	n/a	1,035.00	5.0
HIGHBRIDGE CAPITAL	038	FRP	S	25,000	18.55	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>SS</b>	<b>20,000</b>	<b>50.41</b>	<b>n/a</b>	<b>10-Jan</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>GENZ</b>	<b>B</b>	<b>500</b>	<b>65.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	GGG	B	25,118	40.00	n/a	n/a	1,130.31	4.5
CRAMER ROSENTHAL/SCOTT	012	GGL	S	81,700	19.11	n/a	n/a	4,085.00	5.0
<b>BINDER</b>	<b>007</b>	<b>GPC</b>	<b>SS</b>	<b>200</b>	<b>49.19</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>GPI</b>	<b>B</b>	<b>10,000</b>	<b>41.58</b>	<b>27-Apr</b>	<b>2-May</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>HCBK</b>	<b>B</b>	<b>1,000</b>	<b>13.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	HON	B	300	56.27	20-Apr	20-Apr	15.00	5.0
BALYASNY ASSET MGMT	044	HXL	B	30,000	22.21	n/a	n/a	1,500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>ICE</b>	<b>B</b>	<b>400</b>	<b>138.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRACIE CAPITAL	028	ICON	S	100,000	20.01	n/a	n/a	5,000.00	5.0
CARDINAL CAPITAL	044	IHP	B	16,000	59.07	n/a	n/a	800.00	5.0
<b>BARR</b>	<b>096</b>	<b>ITCD</b>	<b>B</b>	<b>3,000</b>	<b>4.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Glenn Redemann</b>		<b>ITG</b>	<b>B</b>	<b>8</b>	<b>0.2200</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.	
Ö	Glenn Redemann		ITG	B	8	0.5200	n/a	n/a	0.00	0.0
Ö	Glenn Redemann		ITG	SS	8	1.0900	n/a	n/a	0.00	0.0
Ö	Glenn Redemann		ITG	SS	8	1.6500	n/a	n/a	0.00	0.0
	BUCK	015	IWN	B	300	83.32	n/a	n/a	0.00	0.0
	NOLAN	067	JDSU	S	40	13.98	n/a	n/a	0.00	0.0
	SANDLER O'NEILL ASSET	031	JNC	S	8,900	53.60	30-Apr	1-May	445.00	5.0
	THE JAY GOLDMAN	034	JWN	SS	5,000	55.57	27-Feb	25-Apr	200.00	4.0
	BUCK CAPITAL MGMT	001	KSS	S	150,000	73.51	27-Dec	12-Apr	6,000.00	4.0
	THE JAY GOLDMAN	034	KSS	B	5,000	73.15	27-Dec	12-Apr	200.00	4.0
	BULL PATH CAPITAL	044	LAZ	S	35,000	55.19	n/a	n/a	1,750.00	5.0
	BUCK	015	LESSO	S	8	2.75	n/a	n/a	0.00	0.0
	XYLEM GLOBAL	091	LPX	B	149,700	20.16	20-Mar	26-Apr	7,485.00	5.0
	APEX CAPITAL MGMT.	091	LTD	B	194,300	28.24	2-Mar	27-Apr	9,715.00	5.0
	BACKUS	005	MEE	B	3,000	28.59	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	MIC	B	350	43.90	n/a	n/a	17.50	5.0
	CROWLEY	061	MIR	S	500	45.73	n/a	n/a	0.00	0.0
	SUN AMERICA ASSET MGMT	030	MMM	S	35,800	84.00	2-May	2-May	1,790.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	MS	B	70,000	86.32	22-Mar	16-Apr	3,500.00	5.0
SEASONS CAPITAL	040	MU	B	200,000	11.86	n/a	n/a	10,000.00	5.0
MERRILL LYNCH STRATEGICI	034	NFX	B	30,000	45.36	n/a	n/a	1,500.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>NG</b>	<b>B</b>	<b>1,500</b>	<b>14.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>NOK</b>	<b>SS</b>	<b>20,900</b>	<b>25.36</b>	<b>n/a</b>	<b>n/a</b>	<b>1,045.00</b>	<b>5.0</b>
CSFB GLOBAL PROPRIETARY	035	NTRS	B	5,000	63.60	n/a	18-Apr	250.00	5.0
SANDLER CAPITAL	038	NVT	S	50,000	36.65	n/a	n/a	3,000.00	6.0
<b>BINDER</b>	<b>007</b>	<b>OMX</b>	<b>C</b>	<b>350</b>	<b>42.98</b>	<b>n/a</b>	<b>15-Apr</b>	<b>0.00</b>	<b>0.0</b>
FORSTMAN LEFF	032	ONNN	B	59,700	11.12	n/a	n/a	2,985.00	5.0
Õ Glenn Redemann		ONXX	B	8	0.2500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ONXX	B	8	0.7500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ONXX	SS	8	1.4000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ONXX	SS	8	1.7000	n/a	n/a	0.00	0.0
<b>GAULT</b>	<b>063</b>	<b>OPBL</b>	<b>B</b>	<b>2,000</b>	<b>4.38</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>46.01</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>OGORMAN</b>	<b>146</b>	<b>PARD</b>	<b>B</b>	<b>2,000</b>	<b>7.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUN AMERICA ASSET MGMT	030	PFE	B	45,500	27.03	n/a	31-Mar	1,070.00	3.3

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STERLING JOHNSTON	035	PVH	B	1,950	53.25	28-Mar	28-Mar	97.50	5.0
FIRST NEW YORK LEDDY	035	Q	B	10,000	9.38	n/a	n/a	600.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>90.09</b>	<b>2-Feb</b>	<b>13-Apr</b>	<b>400.00</b>	<b>4.0</b>
KACELA CAPITAL	034	RSH	S	20,000	29.82	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	SE	B	750	26.68	n/a	n/a	37.50	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SHOE</b>	<b>C</b>	<b>1,100</b>	<b>4.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	SKX	B	51,700	32.06	n/a	13-Mar	1,938.75	3.8
<b>BACKUS</b>	<b>005</b>	<b>SNEN</b>	<b>B</b>	<b>20,000</b>	<b>2.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	SPN	B	36,500	37.60	n/a	n/a	1,642.50	4.5
HIGHBRIDGE CAPITAL	038	SPY	SS	43,000	150.83	n/a	n/a	2,150.00	5.0
THE JAY GOLDMAN	034	SSCC	S	15,000	12.87	4-May	4-May	600.00	4.0
<b>BARR</b>	<b>096</b>	<b>SWIM</b>	<b>C</b>	<b>2,000</b>	<b>12.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	SWN	B	92,050	43.63	1-Mar	1-May	5,523.00	6.0
SAC TRADING HOWARD	038	TGT	B	25,000	58.46	n/a	24-Apr	1,250.00	5.0
<b>KALINOWSKI</b>	<b>070</b>	<b>THIEF</b>	<b>S</b>	<b>100</b>	<b>1.65</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.	
KALINOWSKI	070	THIGG	S	200	0.15	n/a	n/a	0.00	0.0
KALINOWSKI	070	THI	S	5,000	31.50	24-Apr	24-Apr	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	TIN	B	25,000	61.13	26-Apr	26-Apr	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	035	TOL	B	20,000	29.80	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	TROW	B	50,000	49.96	n/a	1-May	2,500.00	5.0
ALLEN & CO	032	T	S	450,000	38.93	25-Apr	4-May	18,000.00	4.0
MAGUIRE	090	UAUA	B	1,000	34.58	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	URBN	B	25,000	25.46	2-Apr	26-Apr	1,000.00	4.0
FRIESS MGMT	042	URBN	B	148,000	25.43	2-Apr	26-Apr	6,660.00	4.5
GAULT	063	VOII	B	6,500	0.16	n/a	n/a	0.00	0.0
KALINOWSKI	070	VPRAG	B	30	4.04	n/a	n/a	0.00	0.0
MCCARTAN	028	VSL	S	100	22.30	n/a	n/a	0.00	0.0
MERRILL ASSET	032	WBS	S	56,000	45.09	n/a	n/a	2,643.50	4.8
CROWLEY	061	WGUAW	S	7	7.50	n/a	n/a	0.00	0.0
SAB CAPITAL	034	WMG	B	10,000	17.67	n/a	n/a	400.00	4.0
EGS ASSOCIATES LP	091	WRNC	B	7,500	28.28	n/a	3-May	450.00	6.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAMIUS CAP	040	WY	B	80,000	82.99	15-Dec	18-Apr	4,000.00	5.0
RIVER RUN MGMT	031	XOHO	B	5,500	5.05	n/a	n/a	165.00	3.0
KALINOWSKI	070	YZZAF	S	40	3.50	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							154,841.26		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/02	MKT MAKER (MKT MAKER)	099	ACXM	B	93	22.76	n/a	n/a	0.00	0.0
AO,CXL	05/02	AMBER CAPITAL (AMBRGS)	046	ACXM	B	5,093	22.76	n/a	n/a	203.72	4.0
AO,CRT	05/02	AMBER CAPITAL (AMBRGS)	046	ACXM	B	5,000	22.76	n/a	n/a	200.00	4.0
AO,CXL	05/03	PRINCIPLE CAPITAL (PRINUBSPB)	040	ARO	SS	100,000	41.33	n/a	13-Apr	5000.00	5.0
AO,CRT	05/03	PRINCIPLE CAPITAL (PRINUBSPB)	040	ARO	SS	100,000	41.33	n/a	13-Apr	4000.00	4.0
AO,	05/03	HUNTER GLOBAL INVESTOR (HUNTM.S. P)	067	EK	B	78,000	25.86	n/a	n/a	3900.00	5.0
AO,CRT	05/03	COLONIAL FUND LLC (COLOUBS)	036	GIL	B	10,000	62.90	n/a	3-May	500.00	5.0
AO,CXL	05/03	COLONIAL FUND LLC (COLOMAINSL)	036	GIL	B	10,000	62.90	n/a	3-May	500.00	5.0
AO,CXL	05/03	PALMYRA CAPITAL (PALMGSCO)	048	JSDA	S	14,416	24.71	n/a	n/a	576.64	4.0
AO,CRT	05/03	PALMYRA CAPITAL (PALMGSCO)	048	JSDA	S	14,416	24.71	n/a	n/a	720.80	5.0
AO,CRT	05/03	WD PARTNERS ILP (WDPAMERR)	067	LTD	B	2,800	27.95	2-Mar	27-Apr	280.00	10.0
AO,CXL	05/03	WD PARTNERS ILP (WDPAGS)	067	LTD	B	2,800	27.95	2-Mar	27-Apr	280.00	10.0
AO,	05/02	UBS O'CONNOR/TOM LEDDY (UBSTLEHM)	035	MWV	S	21,525	32.07	3-May	3-May	1076.25	5.0
AO,CXL	05/02	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	MWV	S	25,000	32.07	3-May	3-May	1250.00	5.0
AO,CRT	05/02	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	MWV	S	3,475	32.07	3-May	3-May	173.75	5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,040.44</b>	

TOTAL (Trade Date):	154,841.26
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TOTAL (RUN DATE) / NFS:

157,881.70

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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