



Daily Compliance Activity Report

Trade Date: 01/04/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BANK OF NEW YORK	040	AEOS	S	9,330	32.83	4-Jan	4-Jan	419.85	4.5
COUGAR TRADING	044	AEOS	SS	10,000	32.67	4-Jan	4-Jan	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	AEOS	SS	10,000	32.64	4-Jan	4-Jan	300.00	3.0
RBC CAPITAL MARKETS	034	AEOS	SS	25,000	32.52	4-Jan	4-Jan	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	AEOS	SS	25,000	32.61	4-Jan	4-Jan	1,250.00	5.0
Glenn Redemann		AGD	B	448	22.26	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	72.22	3-Nov	3-Jan	400.00	4.0
BELMONT GLOBAL ADV	248	ANN	B	25,000	32.57	n/a	3-Jan	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ANN	B	10,000	32.75	n/a	3-Jan	600.00	6.0
SIGMA CAP BOBBY	044	ANN	B	5,000	32.75	n/a	3-Jan	250.00	5.0
SIGMA CAP BOBBY	044	ANN	S	75,000	32.56	n/a	3-Jan	3,750.00	5.0
SUN AMERICA ASSET MGMT	030	ANN	B	38,000	32.58	n/a	3-Jan	1,900.00	5.0
WD PARTNERS ILP	067	ANN	B	10,000	32.54	n/a	3-Jan	500.00	5.0
LISTED ERR	099	ANN	B	5,000	32.68	n/a	3-Jan	0.00	0.0
LISTED ERR	099	ANN	S	5,000	32.68	n/a	3-Jan	0.00	0.0
STRATIX ASSEST MGMT	035	ATHR	B	5,000	21.91	n/a	n/a	250.00	5.0
U.S.TRUST COMPANY	012	AVP	S	20,000	33.65	n/a	5-Dec	900.00	4.5
HARVEST MGMT	039	BBY	S	70,000	49.29	13-Dec	13-Dec	3,500.00	5.0
ROTHSCHILD ASSET	040	BER	S	40,490	33.90	n/a	n/a	1,822.06	4.5
Glenn Redemann		BIF	B	1025	9.70	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	249	BONT	B	900	36.18	23-Oct	3-Jan	45.00	5.0
WHALE ROCK CAP	030	BONT	B	90,000	36.42	23-Oct	3-Jan	3,600.00	4.0
XYLEM GLOBAL	024	BOW	B	18,000	22.50	27-Oct	14-Dec	900.00	5.0
Õ Glenn Redemann		CAF	B	329	30.27	n/a	n/a	0.00	0.0
LEDDY	035	CAKE	B	500	24.75	n/a	12-Dec	0.00	0.0
CIRCLE T PART	035	CC	B	10,000	19.66	20-Dec	20-Dec	400.00	4.0
HARVEST MGMT	039	CC	B	40,000	19.67	20-Dec	20-Dec	2,000.00	5.0
SIGMA CAP BOBBY	044	CHS	SS	10,000	21.44	29-Nov	3-Jan	500.00	5.0
VISIUM/BALY HOWARD	038	CHS	B	70,000	21.01	29-Nov	3-Jan	3,500.00	5.0
Õ Glenn Redemann		CLM	B	1162	8.55	n/a	n/a	0.00	0.0
SAILFISH	037	CNI	B	5,000	42.32	n/a	n/a	250.00	5.0
MORGENS WATERFALL	040	COP	S	30,000	66.06	n/a	n/a	1,500.00	5.0
STRAUSS ASSET MGMT	040	COSI	S	25,000	5.25	n/a	n/a	1,000.00	4.0
ZOLIDIS	011	CRI	B	170	25.73	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DHY	B	2314	4.30	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	DLTR	B	60,000	30.62	21-Nov	3-Jan	3,000.00	5.0
S.A.C. CAPITAL MGMT.	044	DRI	B	25,000	39.73	12-Dec	19-Dec	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö Glenn Redemann		DVF	B	510	19.45	n/a	n/a	0.00	0.0
STRATIX ASSEST MGMT	035	ENER	S	5,000	34.21	n/a	n/a	250.00	5.0
J L F ASSET MGMT	039	ERTS	S	63,900	53.31	n/a	n/a	2,556.00	4.0
EFSTATHIOU	044	FBR	S	400	8.10	n/a	n/a	0.00	0.0
STRATIX ASSEST MGMT	035	FSLR	B	10,000	28.09	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	10,000	64.48	n/a	n/a	400.00	4.0
Ö Glenn Redemann		GF	B	677	14.72	n/a	n/a	0.00	0.0
FORD FDN.	032	GR	B	50,000	45.54	22-Nov	22-Nov	2,500.00	5.0
BALYASNY ASSET MGMT	044	GS	B	5,000	199.80	13-Dec	13-Dec	250.00	5.0
BRIGHTPOINT CAP	067	GYMB	B	40,500	42.95	4-Jan	4-Jan	2,025.00	5.0
JETSTREAM GLOBAL FUND LP	065	GYMB	B	10,500	42.99	4-Jan	4-Jan	525.00	5.0
RIDGECRST PARTNERS	035	GYMB	C	15,000	43.34	4-Jan	4-Jan	750.00	5.0
CENTURION PARTNERS	249	HD	S	100,000	40.79	n/a	3-Jan	5,000.00	5.0
REINHART & MAHONEY	031	INTC	B	24,110	21.20	n/a	n/a	1,205.50	5.0
MISSOURI VALLEY PART	046	ISE	B	13,970	45.93	26-Oct	4-Jan	698.50	5.0
MAGUIRE	039	ISE	B	100	45.40	26-Oct	4-Jan	0.00	0.0
EFSTATHIOU	044	ISE	B	100	45.52	26-Oct	4-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIVER RUN MGMT	031	ITCD	B	25,700	2.56	n/a	n/a	771.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	12,600	36.89	n/a	20-Dec	504.00	4.0
THE JAY GOLDMAN	034	JCG	B	15,000	36.67	n/a	20-Dec	600.00	4.0
BULL PATH CAPITAL	044	JNS	SS	30,000	21.32	1-Dec	4-Jan	1,500.00	5.0
Õ Glenn Redemann		JSN	B	531	18.75	n/a	n/a	0.00	0.0
ZOLIDIS	011	KMX	B	100	55.57	n/a	10-Jan	0.00	0.0
ROYCE TRADING	216	KOP	S	20,000	26.27	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	246,200	68.09	27-Dec	3-Jan	9,848.00	4.0
Õ Glenn Redemann		LDF	B	369	27.09	n/a	n/a	0.00	0.0
SIGMA CAP BOBBY	044	LIZ	B	10,000	44.30	n/a	27-Oct	500.00	5.0
HIGHBRIDGE CAPITAL	038	LNC	B	19,000	66.02	n/a	n/a	950.00	5.0
XYLEM GLOBAL	024	LPX	B	6,400	21.69	14-Sep	14-Dec	320.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	575,000	27.59	1-Dec	3-Jan	23,000.00	4.0
COUGAR TRADING	044	LTD	B	20,000	27.59	1-Dec	3-Jan	1,000.00	5.0
GENERIC TRADING	063	LUV	S	10,000	15.77	n/a	n/a	500.00	5.0
THIRD COAST CAPITAL	035	LVL	B	50,000	5.60	18-Oct	27-Dec	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	039	MCD	B	75,000	43.41	12-Oct	4-Jan	3,750.00	5.0
Õ Glenn Redemann		MFV	B	943	10.53	n/a	n/a	0.00	0.0
MANNING & NAPIER	034	MIR	B	625,000	31.40	n/a	n/a	25,000.00	4.0
SAILFISH	037	MT	B	15,000	40.10	n/a	n/a	750.00	5.0
Õ Glenn Redemann		NCV	B	619	16.12	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	B	15,000	13.81	1-Dec	3-Jan	750.00	5.0
BRIGHTPOINT CAP	067	ODP	SS	10,000	37.74	n/a	1-Dec	500.00	5.0
WHITE PINE CAPITAL	030	OLN	B	2,175	16.66	n/a	27-Oct	108.75	5.0
FRIESS MGMT	042	ORCL	B	702,900	17.70	n/a	n/a	31,630.50	4.5
HIGHBRIDGE CAPITAL	038	PFG	B	21,000	59.14	n/a	n/a	1,050.00	5.0
COUGAR TRADING	044	PLCE	B	5,000	58.98	n/a	3-Jan	250.00	5.0
PRINCIPLE CAPITAL	040	PLCE	B	25,000	58.29	n/a	3-Jan	1,000.00	4.0
ROARING BLUE LION MGMT	012	PLCE	B	5,100	58.15	n/a	3-Jan	255.00	5.0
EFSTATHIOU	044	PPCO	B	200	16.17	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	51.91	22-Nov	22-Nov	1,200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	49,300	51.26	22-Nov	22-Nov	1,848.75	3.8
TROUBH PART	067	PXT	B	25,000	4.76	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHEELER	008	QXWHW	S	200	1.80	n/a	n/a	0.00	0.0
Õ Manny Korman		RFI	B	1000	20.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	30,000	80.11	7-Dec	7-Dec	1,200.00	4.0
SIGMA CAP BOBBY	044	RL	B	1,000	80.61	7-Dec	7-Dec	50.00	5.0
Õ Manny Korman		RPF	B	4000	27.02	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	RVI	S	50,000	19.30	n/a	n/a	2,500.00	5.0
THE JAY GOLDMAN	034	SSI	B	14,700	29.80	n/a	n/a	588.00	4.0
STRATIX ASSEST MGMT	035	STP	B	16,685	32.10	n/a	n/a	834.25	5.0
MAGUIRE	039	SWN	B	200	32.89	7-Aug	20-Dec	0.00	0.0
TRIVIUM CAP MGMT	028	TGT	SS	25,000	57.62	n/a	3-Jan	1,000.00	4.0
ROYCE TRADING	216	TG	S	10,000	22.45	n/a	n/a	500.00	5.0
HARVEST MGMT	039	TIF	S	80,000	39.12	n/a	30-Nov	4,000.00	5.0
ADAGE CAPITAL MGMT	030	TJX	B	115,000	29.49	6-Oct	3-Jan	4,600.00	4.0
SANDLER CAPITAL	038	TLB	B	70,000	23.39	18-Oct	16-Nov	4,200.00	6.0
BUCK CAPITAL MGMT	001	TWB	B	50,000	42.01	5-Sep	8-Dec	2,000.00	4.0
FARBER/WEISS PECK	012	WEN	C	28,500	33.20	12-Dec	18-Dec	1,425.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	WLVT	B	6,400	1.05	n/a	n/a	0.00	0.0
FORD FDN.	032	WYE	S	25,000	51.67	n/a	31-Mar	1,250.00	5.0
TOTAL (Trade Date):							189,930.16		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/03	CENTURION PARTNERS (CENTBSPT)	249	BONT	B	10,000	35.69	23-Oct	3-Jan	500.00 5.0
AO,CRT	01/03	CENTURION PARTNERS (CENTBSPT)	249	BONT	B	10,000	35.69	23-Oct	3-Jan	500.00 5.0
AO,CXL	01/03	WHALE ROCK CAP (WHAL4CENTS)	030	BONT	B	40,000	36.14	23-Oct	3-Jan	1600.00 4.0
AO,CRT	01/03	WHALE ROCK CAP (WHAL4CENTS)	030	BONT	B	40,000	36.14	23-Oct	3-Jan	1600.00 4.0
AO,	01/03	ALLEN & CO (ALLNALLEN)	032	BUD	B	68,000	49.56	n/a	n/a	2720.00 4.0
AO,CXL	01/03	COLONIAL FUND LLC (COLOUBS)	036	FD	SS	100,000	37.79	9-Nov	3-Jan	5000.00 5.0
AO,CRT	01/03	COLONIAL FUND LLC (COLOMAINSL)	036	FD	SS	100,000	37.79	9-Nov	3-Jan	5000.00 5.0
AO,CXL	01/03	NEEDHAM CAP (NEEDSMASHO)	067	FOSL	SS	465	23.23	15-Nov	15-Nov	18.60 4.0
AO,CRT	01/03	NEEDHAM CAP (NEEDSMASHO)	067	FOSL	SS	465	23.23	15-Nov	15-Nov	18.60 4.0
AO,CXL	01/03	NEEDHAM CAP (NEEDORBSHO)	067	FOSL	SS	9,200	23.23	15-Nov	15-Nov	368.00 4.0
AO,CRT	01/03	NEEDHAM CAP (NEEDORBSHO)	067	FOSL	SS	9,200	23.23	15-Nov	15-Nov	368.00 4.0
AO,CXL	01/03	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL	SS	9,835	23.23	15-Nov	15-Nov	393.40 4.0
AO,CRT	01/03	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL	SS	9,835	23.23	15-Nov	15-Nov	393.40 4.0
AO,CXL	01/03	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL	SS	500	23.23	15-Nov	15-Nov	20.00 4.0
AO,CRT	01/03	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL	SS	500	23.23	15-Nov	15-Nov	20.00 4.0
AO,CXL	01/03	THE JAY GOLDMAN (GOLDWOODMA)	034	JCP	B	2,500	77.84	10-Nov	3-Jan	1.00 0.0
AO,CRT	01/03	THE JAY GOLDMAN (GOLDWOODMA)	034	JCP	B	2,500	77.84	10-Nov	3-Jan	100.00 4.0
AO,CXL	01/03	THE JAY GOLDMAN (GOLDMASTER)	034	JCP	B	2,500	77.84	10-Nov	3-Jan	1.00 0.0
AO,CRT	01/03	THE JAY GOLDMAN (GOLDMASTER)	034	JCP	B	2,500	77.84	10-Nov	3-Jan	100.00 4.0
AO,	01/03	ALLEN & CO (ALLNALLEN)	032	JNJ	B	41,000	66.70	n/a	22-Apr	1640.00 4.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCTALLAH)	035	LRCX	B	2,850	50.13	n/a	n/a	142.50 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCPALMBE)	035	LRCX	B	1,800	50.13	n/a	n/a	90.00 5.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCPALMBE)	035	LRCX	B	1,800	50.13	n/a	n/a	90.00 5.0
AO,	01/03	NCM CAPITAL MGMT (NCMCGEORGI)	035	LRCX	B	800	50.13	n/a	n/a	40.00 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCEPISOK)	035	LRCX	B	975	50.13	n/a	n/a	48.75 5.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCEPISOK)	035	LRCX	B	975	50.13	n/a	n/a	48.75 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCILTEAR)	035	LRCX	B	11,100	50.13	n/a	n/a	0.00 0.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCILTEAR)	035	LRCX	B	11,100	50.13	n/a	n/a	555.00 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCATLFIR)	035	LRCX	B	2,600	50.13	n/a	n/a	130.00 5.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCATLFIR)	035	LRCX	B	2,600	50.13	n/a	n/a	130.00 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCPRSPEC)	035	LRCX	B	1,300	50.13	n/a	n/a	65.00 5.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCPRSPEC)	035	LRCX	B	1,300	50.13	n/a	n/a	65.00 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCSTILRE)	035	LRCX	B	3,600	50.13	n/a	n/a	180.00 5.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCSTILRE)	035	LRCX	B	3,600	50.13	n/a	n/a	180.00 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCPRBOEI)	035	LRCX	B	4,100	50.13	n/a	n/a	205.00 5.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCPRBOEI)	035	LRCX	B	4,100	50.13	n/a	n/a	205.00 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCPR21ST)	035	LRCX	B	1,075	50.13	n/a	n/a	53.75 5.0
AO,CRT	01/03	NCM CAPITAL MGMT (NCMCPR21ST)	035	LRCX	B	1,075	50.13	n/a	n/a	53.75 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCTALLAH)	035	LRCX	B	2,850	50.13	n/a	n/a	142.50 5.0
AO,	01/03	NCM CAPITAL MGMT (NCMCGEORGI)	035	LXK	S	825	72.73	n/a	n/a	41.25 5.0
AO,CXL	01/03	NCM CAPITAL MGMT (NCMCTransI)	035	LXK	S	11,526	72.73	n/a	n/a	0.00 0.0
AO,	01/03	ALLEN & CO (ALLNALLEN)	032	PD	S	28,000	117.33	n/a	n/a	1120.00 4.0
AO,CXL	01/03	COUGAR TRADING (COUGPB MS)	044	PLCE	B	5,000	62.74	n/a	3-Jan	250.00 5.0
AO,CRT	01/03	COUGAR TRADING (COUGPB MS)	044	PLCE	B	5,000	62.74	n/a	3-Jan	250.00 5.0
AO,CXL	01/03	KACELA CAPITAL (KACEGS)	034	PLCE	B	5,400	62.91	n/a	3-Jan	216.00 4.0
AO,CRT	01/03	KACELA CAPITAL (KACEGS)	034	PLCE	B	5,400	62.91	n/a	3-Jan	216.00 4.0
AO,CXL	01/03	SIGMA CAP BOBBY (SIBEGS)	044	WMT	B	30,000	47.92	5-Oct	3-Jan	1500.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/03	SIGMA CAP BOBBY (SIBEGS)	044	WMT	B	30,000	47.92	5-Oct	3-Jan	1500.00 5.0

TOTAL (AO, CXL, CRT) :	6,314.25
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TOTAL (Trade Date) :	189,930.16
TOTAL (AO, CXL, CRT) :	6,314.25

TOTAL (RUN DATE) / NFS :	196,244.41
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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