



Daily Compliance Activity Report

Trade Date: 02/22/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| FORD FDN. | 032 | ABT | B | 20,800 | 52.89 | n/a | 22-Apr | 1,040.00 | 5.0 |
| MENCKE | 055 | AFAM | B | 15 | 20.00 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | ALSC | S | 2,200 | 4.43 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | ANF | B | 40,000 | 80.09 | 2-Feb | 22-Feb | 1,600.00 | 4.0 |
| JP MORGAN VENTURES | 046 | ANF | C | 4,000 | 79.92 | 2-Feb | 22-Feb | 200.00 | 5.0 |
| LUCID PARTNERS | 067 | AOS | B | 6,900 | 40.06 | 21-Dec | 8-Feb | 345.00 | 5.0 |
| LUCHANSKY | 036 | AOS | B | 200 | 40.20 | 21-Dec | 8-Feb | 0.00 | 0.0 |
| BARR | 096 | ARBX | S | 2,300 | 6.38 | n/a | n/a | 0.00 | 0.0 |
| ROARING BLUE LION MGMT | 012 | AVZ | S | 11,200 | 25.92 | 13-Feb | 16-Feb | 560.00 | 5.0 |
| CENTURION PARTNERS | 249 | BONT | B | 3,000 | 46.85 | 9-Feb | 9-Feb | 150.00 | 5.0 |
| CENTURION PARTNERS | 249 | BSC | B | 5,000 | 166.05 | 15-Dec | 16-Feb | 250.00 | 5.0 |
| BELMONT GLOBAL ADV | 248 | CBK | B | 5,000 | 19.99 | 11-Dec | 16-Feb | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CC | SS | 30,000 | 21.24 | 20-Dec | 10-Jan | 1,200.00 | 4.0 |
| RBC CAPITAL MARKETS | 034 | CC | B | 25,000 | 21.27 | 20-Dec | 10-Jan | 1,250.00 | 5.0 |
| CROWLEY | 061 | CEI | B | 1,000 | 20.74 | n/a | n/a | 0.00 | 0.0 |
| CIRCLE T PART | 035 | CHS | B | 80,000 | 23.19 | 5-Jan | 16-Feb | 3,200.00 | 4.0 |

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|--------------------------|------------|--------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| GALLEON MGMT LP | 033 | CHS | B | 20,000 | 23.19 | 5-Jan | 16-Feb | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | COH | S | 15,000 | 49.48 | 24-Jan | 24-Jan | 600.00 | 4.0 |
| JP MORGAN VENTURES | 046 | COST | SS | 7,500 | 57.78 | n/a | 9-Feb | 375.00 | 5.0 |
| BINDER | 007 | CRI | S | 200 | 23.78 | n/a | n/a | 0.00 | 0.0 |
| CASTLEROCK | 040 | CRM | B | 66,200 | 46.97 | n/a | n/a | 2,648.00 | 4.0 |
| ZOLIDIS | 011 | DFZ | B | 1,000 | 9.90 | n/a | n/a | 0.00 | 0.0 |
| LUCHANSKY2 | 036 | DFZ | B | 500 | 9.69 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | DJO | S | 8,000 | 40.16 | n/a | n/a | 360.00 | 4.5 |
| GASNER | 025 | DSLTM | B | 2 | 3.20 | n/a | n/a | 0.00 | 0.0 |
| CIBC ADV. | 060 | DST | B | 10,000 | 74.11 | n/a | n/a | 400.00 | 4.0 |
| BUCK | 015 | EFA | B | 600 | 76.33 | n/a | n/a | 0.00 | 0.0 |
| LOOMIS SALES/BOSTON | 036 | ETH | C | 4,300 | 37.75 | n/a | n/a | 172.00 | 4.0 |
| CENTURION PARTNERS | 249 | FACE | B | 5,000 | 22.95 | n/a | n/a | 250.00 | 5.0 |
| CENTURION PARTNERS | 249 | FCX | B | 5,000 | 59.60 | n/a | n/a | 250.00 | 5.0 |
| COLONIAL FUND LLC | 036 | FD | SS | 50,000 | 43.76 | 26-Jan | 21-Feb | 2,500.00 | 5.0 |
| REINHART & MAHONEY | 031 | FSP | B | 8,450 | 19.79 | n/a | n/a | 422.50 | 5.0 |

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|--------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| NOLAN | 067 | FXV | B | 4 | 82.42 | n/a | n/a | 0.00 | 0.0 |
| MARK/JETCAP | 030 | HAL | B | 50,000 | 30.33 | n/a | n/a | 1,500.00 | 3.0 |
| ZOLIDIS | 011 | HLVS | S | 200 | 37.15 | n/a | n/a | 0.00 | 0.0 |
| DEMARTINI | 065 | HMA | B | 2,000 | 21.02 | 22-Feb | 22-Feb | 0.00 | 0.0 |
| CROWLEY | 061 | HSTX | S | 1,000 | 21.07 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | IBN | B | 800 | 43.71 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | ILE | S | 400 | 3.72 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | ITCD | S | 2,000 | 2.78 | n/a | n/a | 0.00 | 0.0 |
| BEAR STEARNS ASSET MGMT. | 033 | JCP | C | 27,500 | 82.87 | 10-Nov | 16-Feb | 1,100.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JCP | B | 70,000 | 83.71 | 10-Nov | 16-Feb | 2,800.00 | 4.0 |
| CENTURION PARTNERS | 249 | JCP | B | 10,000 | 83.33 | 10-Nov | 16-Feb | 500.00 | 5.0 |
| LEVIN CAPITAL STRATEGIES | 012 | KCP | SS | 5,000 | 24.03 | n/a | 16-Feb | 200.00 | 4.0 |
| GAULT | 063 | KOG | B | 5,000 | 4.54 | n/a | n/a | 0.00 | 0.0 |
| PRINCIPLE CAPITAL | 040 | KSS | B | 48,200 | 72.69 | 27-Dec | 9-Feb | 1,928.00 | 4.0 |
| HARVEST MGMT | 039 | KSWS | B | 20,000 | 29.35 | n/a | 22-Feb | 1,000.00 | 5.0 |
| TRIBECA | 038 | KSWS | S | 10,000 | 29.30 | n/a | 22-Feb | 400.00 | 4.0 |
| JP MORGAN VENTURES | 046 | LIZ | SS | 7,500 | 46.08 | n/a | 21-Feb | 375.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|------------|-------------|-----------|--------------|--------------|------------|---------------|-------------|------------|
| MARK/JETCAP | 030 | MLS | B | 125,000 | 25.20 | n/a | n/a | 3,750.00 | 3.0 |
| MORGAN LEWIS/MLH | 046 | MO | S | 21,000 | 84.87 | n/a | n/a | 1,050.00 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | NDE | SS | 26,000 | 36.16 | n/a | n/a | 1,300.00 | 5.0 |
| LEDDY | 035 | NEXC | B | 1,300 | 10.66 | n/a | n/a | 0.00 | 0.0 |
| REINHART & MAHONEY | 031 | NE | B | 820 | 71.95 | n/a | n/a | 24.40 | 2.0 |
| DSG CAPITAL | 225 | NLS | B | 7,300 | 18.24 | n/a | n/a | 365.00 | 5.0 |
| REINHART & MAHONEY | 031 | NTAP | B | 2,700 | 39.75 | n/a | n/a | 135.00 | 5.0 |
| WD PARTNERS ILP | 067 | OMX | SS | 8,000 | 54.06 | n/a | 15-Apr | 400.00 | 5.0 |
| BINDER | 007 | OMX | SS | 85 | 53.82 | n/a | 15-Apr | 0.00 | 0.0 |
| KORMAN | 003 | PEET | S | 4,000 | 26.11 | n/a | n/a | 0.00 | 0.0 |
| CENTURION PARTNERS | 249 | PENN | B | 5,000 | 47.54 | n/a | n/a | 250.00 | 5.0 |
| WEISS PECK | 040 | PLCE | C | 9,800 | 58.64 | n/a | 9-Feb | 490.00 | 5.0 |
| LISTED ERR | 099 | RTI | B | 100 | 87.34 | n/a | n/a | 0.00 | 0.0 |
| MARK/JETCAP | 030 | SAI | S | 99,100 | 18.41 | n/a | n/a | 2,973.00 | 3.0 |
| MAGUIRE | 039 | SBUX | C | 100 | 32.50 | n/a | 1-Feb | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | SSCC | B | 6,600 | 12.60 | 26-Oct | 25-Jan | 330.00 | 5.0 |

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|----------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| LUCHANSKY | 036 | SSI | B | 100 | 22.64 | 9-Jan | 20-Feb | 0.00 | 0.0 |
| S.A.C. CAPITAL MGMT. | 044 | STZ | S | 25,000 | 23.79 | n/a | n/a | 1,250.00 | 5.0 |
| OPPENHEIMER MGMT. | 036 | SVU | B | 290,540 | 37.79 | n/a | n/a | 11,621.60 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TWB | S | 60,000 | 37.03 | 22-Feb | 22-Feb | 2,400.00 | 4.0 |
| BULL PATH CAPITAL | 044 | TWPG | B | 30,000 | 18.25 | n/a | n/a | 1,500.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | UAUA | S | 10,000 | 44.36 | n/a | n/a | 600.00 | 6.0 |
| MERRILL ASSET | 032 | VCJ | B | 50,000 | 17.13 | n/a | n/a | 2,500.00 | 5.0 |
| JACOB | 068 | VLCM | S | 150 | 32.80 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 090 | VLO | B | 7,500 | 58.90 | n/a | n/a | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | VRX | S | 7,000 | 17.75 | n/a | n/a | 350.00 | 5.0 |
| LEDDY | 035 | VSL | B | 400 | 18.78 | n/a | n/a | 0.00 | 0.0 |
| EFSTATHIOU | 044 | VSL | B | 200 | 18.78 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | WMT | SS | 15,000 | 49.63 | n/a | 21-Feb | 600.00 | 4.0 |
| MATRIX ASSET ADV. | 036 | WU | B | 52,000 | 22.04 | n/a | n/a | 2,080.00 | 4.0 |
| TOTAL (Trade Date): | | | | | | | | 62,794.50 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|-------|-----------------------------------|------|--------|-----|--------|-------|-------|----------|---------------|-----|
| AO,CXL | 02/21 | BELMONT GLOBAL ADV (BELMJFFPB) | 248 | AVP | B | 25,000 | 38.97 | 7-Feb | 7-Feb | 750.00 | 3.0 |
| AO,CRT | 02/21 | PRINCIPLE CAPITAL (PRINUBSPB) | 040 | AVP | B | 25,000 | 38.97 | 7-Feb | 7-Feb | 750.00 | 3.0 |
| AO, | 02/20 | LISTED ERR (LISTED ERR) | 099 | EV | B | 5,000 | 36.25 | 2-Nov | 20-Feb | 0.00 | 0.0 |
| AO, | 02/20 | LISTED ERR (LISTED ERR) | 099 | EV | S | 2,500 | 36.25 | 2-Nov | 20-Feb | 0.00 | 0.0 |
| AO, | 02/20 | LISTED ERR (LISTED ERR) | 099 | EV | S | 2,500 | 36.25 | 2-Nov | 20-Feb | 0.00 | 0.0 |
| AO, | 02/20 | ROYCE TRADING (ROYC142) | 216 | FBP | B | 1,300 | 11.62 | n/a | n/a | 65.00 | 5.0 |
| AO,CXL | 02/20 | ROYCE TRADING (ROYC169) | 216 | FBP | B | 1,300 | 11.62 | n/a | n/a | 65.00 | 5.0 |
| AO,CXL | 02/16 | MORGAN STANLEY PRINC 2 (MSP2MSPB) | 040 | GLW | B | 25,000 | 21.62 | n/a | 16-Feb | 1000.00 | 4.0 |
| AO,CRT | 02/16 | MORGAN STANLEY PRINC 2 (MSP2MSPB) | 040 | GLW | B | 25,000 | 21.62 | n/a | 16-Feb | 1250.00 | 5.0 |
| AO,CXL | 02/20 | BANK OF NEW YORK (BONYMAIN A) | 040 | PFCB | B | 8,550 | 45.09 | n/a | 20-Feb | 427.50 | 5.0 |
| AO, | 02/20 | BANK OF NEW YORK (BONYMAIN A) | 040 | PFCB | B | 8,580 | 45.09 | n/a | 20-Feb | 429.00 | 5.0 |
| AO,CXL | 02/21 | ROYCE TRADING (ROYC59) | 216 | TRA | S | 8,800 | 17.86 | n/a | n/a | 440.00 | 5.0 |
| AO, | 02/21 | ROYCE TRADING (ROYC59) | 216 | TRA | S | 8,200 | 17.86 | n/a | n/a | 410.00 | 5.0 |
| AO,CXL | 02/21 | ROYCE TRADING (ROYC33) | 216 | TRA | S | 1,200 | 17.86 | n/a | n/a | 60.00 | 5.0 |
| AO, | 02/21 | ROYCE TRADING (ROYC33) | 216 | TRA | S | 1,800 | 17.86 | n/a | n/a | 90.00 | 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 251.50 | |

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| TOTAL (Trade Date): | 62,794.50 |
| TOTAL (AO, CXL, CRT): | 251.50 |

TOTAL (RUN DATE) / NFS:

63,046.00

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