



# Daily Compliance Activity Report

Trade Date: 03/05/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLONIAL FUND LLC	036	AEOS	SS	25,000	29.27	4-Jan	5-Mar	1,250.00	5.0
SAC TRADING HOWARD	038	AEOS	B	20,000	29.29	4-Jan	5-Mar	1,000.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	13,400	6.83	n/a	n/a	536.00	4.0
COUGAR TRADING	044	ANF	B	5,000	74.69	2-Feb	5-Mar	250.00	5.0
PRIME LOGIC ADV	039	ANF	B	5,000	74.06	2-Feb	5-Mar	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>10,000</b>	<b>35.19</b>	<b>23-Oct</b>	<b>5-Mar</b>	<b>400.00</b>	<b>4.0</b>
<b>Õ Ted Wheeler</b>		<b>ASEI</b>	<b>B</b>	<b>2000</b>	<b>50.7500</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	ATW	S	1,500	50.55	n/a	n/a	60.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>AVZ</b>	<b>S</b>	<b>2,200</b>	<b>22.52</b>	<b>5-Mar</b>	<b>5-Mar</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	035	AWI	B	29,800	49.44	n/a	n/a	1,192.00	4.0
SUN AMERICA ASSET MGMT	030	BEBE	S	26,000	17.49	n/a	n/a	1,300.00	5.0
COUGAR TRADING	044	BONT	B	5,000	45.18	9-Feb	5-Mar	250.00	5.0
COUGAR TRADING	044	BONT	SS	5,000	46.68	9-Feb	5-Mar	250.00	5.0
SLS CAPITAL LLC	224	BSX	S	130,297	15.63	n/a	22-Apr	6,514.85	5.0
PLATTE RIVER CAPITAL	035	BUD	B	8,500	48.20	n/a	n/a	340.00	4.0
ARIENCE CAPITAL	036	BYD	B	11,565	45.07	21-Feb	21-Feb	578.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MANNING & NAPIER	034	CCMP	S	26,060	31.86	n/a	2-Mar	1,042.40	4.0
HIGHFIELDS CAP MGMT	039	CCU	B	185,000	35.87	n/a	n/a	9,250.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>CHBD</b>	<b>B</b>	<b>4,500</b>	<b>1.05</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>CLE</b>	<b>S</b>	<b>20,000</b>	<b>31.32</b>	<b>3-Nov</b>	<b>5-Mar</b>	<b>800.00</b>	<b>4.0</b>
<b>Õ Ted Wheeler</b>		<b>CPN</b>	<b>S</b>	<b>100106.2500</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Ted Wheeler</b>		<b>CPN</b>	<b>S</b>	<b>40108.0000</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	CPX	S	2,600	19.01	n/a	n/a	104.00	4.0
CAPITAL GROWTH MGMT.	241	CRS	B	20,000	111.71	n/a	n/a	1,000.00	5.0
KENNEDY CAPITAL	046	CSE	S	73,647	24.50	n/a	n/a	2,945.88	4.0
ASCEND PARTNERS	033	CUTR	SS	25,000	33.28	n/a	n/a	1,250.00	5.0
SAC TRADING HOWARD	038	CVS	B	20,000	30.90	n/a	n/a	1,000.00	5.0
LATEFF MGMT	040	C	B	1,250	50.03	11-Jan	16-Feb	375.00	30.0
<b>LUCHANSKY4</b>	<b>036</b>	<b>DCTH</b>	<b>S</b>	<b>9,000</b>	<b>4.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>DECK</b>	<b>C</b>	<b>200</b>	<b>67.77</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>DKS</b>	<b>B</b>	<b>5,000</b>	<b>50.63</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
<b>GAULT</b>	<b>063</b>	<b>EDA</b>	<b>B</b>	<b>1,000</b>	<b>10.32</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.	
CAPITAL GROWTH MGMT.	241	FCX	B	20,000	53.75	n/a	n/a	1,000.00	5.0
PRINCIPLE CAPITAL	040	FD	S	300,000	44.17	26-Jan	5-Mar	12,000.00	4.0
TRIVIUM CAP MGMT	028	FD	S	50,000	44.19	26-Jan	5-Mar	2,000.00	4.0
CAPITAL GROWTH MGMT.	241	FLR	B	20,000	88.28	n/a	n/a	1,000.00	5.0
MAZAMA CAPITAL MGMT.	035	FMR	S	1,700	21.40	n/a	n/a	68.00	4.0
MAZAMA CAPITAL MGMT.	035	FVE	S	6,800	10.75	n/a	n/a	272.00	4.0
VARDON PARTNERS	035	F	B	15,000	7.58	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	37.74	n/a	10-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	10,000	37.84	n/a	10-Jan	400.00	4.0
LATEFF MGMT	040	GE	B	1,000	34.86	n/a	n/a	290.00	29.0
MAZAMA CAPITAL MGMT.	035	GHL	S	1,100	64.64	n/a	n/a	44.00	4.0
MKT MAKER	099	GIII	B	282	19.98	n/a	n/a	0.00	0.0
MERRILL ASSET	032	GS	S	278,700	194.87	13-Dec	28-Feb	13,935.00	5.0
MAZAMA CAPITAL MGMT.	035	HF	S	900	18.20	n/a	n/a	36.00	4.0
ASCEND PARTNERS	033	HLEX	S	42,500	26.49	n/a	n/a	2,125.00	5.0
CIBC ADV.	060	HMA	SS	25,000	10.28	5-Mar	5-Mar	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAZAMA CAPITAL MGMT.	035	HPY	S	1,300	25.19	n/a	n/a	52.00	4.0
GALLEON MGMT LP	033	HSY	C	7,500	53.95	n/a	n/a	375.00	5.0
AMBER CAPITAL	046	INDM	B	50,000	23.65	n/a	n/a	2,000.00	4.0
SANDLER CAPITAL	038	IRF	S	60,000	41.99	n/a	n/a	3,600.00	6.0
BUCK CAPITAL MGMT	001	JCG	B	5,000	35.68	25-Jan	25-Jan	200.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	5,000	78.84	23-Feb	5-Mar	200.00	4.0
MORGAN STANLEY PRINC 2	040	JNS	SS	50,000	20.17	5-Mar	5-Mar	2,500.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	10,000	50.83	27-Feb	5-Mar	400.00	4.0
BUCK CAPITAL MGMT	001	KCP	S	20,000	24.87	n/a	28-Feb	800.00	4.0
MAZAMA CAPITAL MGMT.	035	KNL	S	5,100	23.42	n/a	n/a	204.00	4.0
MAZAMA CAPITAL MGMT.	035	KOG	S	5,700	5.07	n/a	n/a	228.00	4.0
LEDDY	035	LEH	S	200	71.57	6-Dec	28-Feb	0.00	0.0
LATEFF MGMT	040	LYO	B	500	30.91	n/a	2-Mar	145.00	29.0
AVESTA CAP	229	MCD	S	50,000	43.23	12-Oct	6-Feb	2,500.00	5.0
KORMAN	003	MSFT	S	3,000	27.87	n/a	3-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAZAMA CAPITAL MGMT.	035	MTZ	S	3,800	11.08	n/a	n/a	152.00	4.0
CAPITAL GROWTH MGMT.	241	MT	B	50,000	49.63	n/a	n/a	2,500.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>MWRK</b>	<b>S</b>	<b>300</b>	<b>32.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	035	NEM	B	1,000	42.92	n/a	n/a	40.00	4.0
MAZAMA CAPITAL MGMT.	035	NGS	S	3,300	12.70	n/a	n/a	132.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NLS</b>	<b>B</b>	<b>5,000</b>	<b>16.43</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
THE JAY GOLDMAN	034	NWY	B	30,000	13.63	1-Dec	5-Mar	1,200.00	4.0
AMBER CAPITAL	046	ODP	B	50,000	33.57	n/a	2-Mar	2,000.00	4.0
U.S.TRUST COMPANY	012	PBR	B	29,000	84.75	n/a	n/a	1,305.00	4.5
T. ROWE PRICE	040	PFE	B	1,040	24.83	n/a	31-Mar	41.60	4.0
TRUST CO/COWEN/CALF.	040	PFE	B	498,960	24.83	n/a	31-Mar	19,958.40	4.0
VARDON PARTNERS	035	PSS	B	45,000	30.62	n/a	n/a	2,250.00	5.0
FIRST NEW YORK LEDDY	035	PTMK	S	14,000	12.35	n/a	n/a	840.00	6.0
<b>LEDDY</b>	<b>035</b>	<b>QID</b>	<b>B</b>	<b>1,000</b>	<b>57.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>RAE</b>	<b>B</b>	<b>10,000</b>	<b>2.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>RLF</b>	<b>S</b>	<b>2,000</b>	<b>24.25</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.	
COHE & STEERS	091	RYN	B	25,000	43.09	24-Jan	24-Jan	1,250.00	5.0
MKT MAKER	099	SCRX	B	71	22.25	20-Dec	5-Mar	0.00	0.0
AMBER CAPITAL	046	SPLS	B	50,000	25.27	n/a	2-Mar	2,000.00	4.0
PORTER-ORLIN-FELDMAN	044	SPY	B	100,000	138.83	n/a	n/a	5,000.00	5.0
MKT MAKER	099	SSCC	B	66	11.49	26-Oct	25-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	SSI	B	10,000	20.56	26-Feb	5-Mar	400.00	4.0
TRELLUS PARTNERS LP	028	SSI	B	20,000	20.50	26-Feb	5-Mar	1,000.00	5.0
COLUMBUS CIRCLE	036	STJ	B	78,375	39.45	n/a	n/a	3,135.00	4.0
SAC TRADING HOWARD	038	TGT	SS	15,000	60.43	n/a	28-Feb	750.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	5,000	34.90	22-Feb	22-Feb	200.00	4.0
U.S.TRUST COMPANY	012	TYC	B	56,000	30.03	n/a	6-Feb	2,520.00	4.5
FRANKLIN FUND OF CALIFOR	033	T	S	239,800	36.25	26-Jan	5-Mar	11,990.00	5.0
MORGAN LEWIS/MLH	046	UNFI	SS	15,000	28.83	n/a	n/a	750.00	5.0
PILOT ADV	038	UNP	B	22,100	96.88	n/a	n/a	884.00	4.0
LEDDY	035	URBN	S	300	25.11	7-Dec	9-Feb	0.00	0.0
LUCHANSKY1	036	USG	S	200	51.65	5-Mar	5-Mar	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALLEON MGMT LP	033	VLO	SS	10,000	55.62	n/a	n/a	500.00	5.0
PLATTE RIVER CAPITAL	035	VZ	B	2,000	36.60	22-Dec	5-Mar	80.00	4.0
MORGAN LEWIS/MLH	046	WFMI	SS	25,000	46.04	n/a	n/a	1,250.00	5.0
CHILTON CAPITAL MGMT.	036	WYE	B	200,115	49.12	n/a	31-Mar	8,004.60	4.0
MATRIX ASSET ADV.	036	XOM	S	8,400	70.35	n/a	n/a	336.00	4.0
INTEGRITY CAPITAL MGMT	039	ZQK	S	15,000	13.48	9-Feb	1-Mar	450.00	3.0
MAZAMA CAPITAL MGMT.	035	ZQK	S	14,900	13.54	9-Feb	1-Mar	596.00	4.0
<b>TOTAL (Trade Date):</b>							<b>152,376.98</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/02	WAGONHOUND (WAGO)	048	EWS	S	43,400	11.48	n/a	n/a	1736.00 4.0
AO,CRT	03/02	WAGONHOUND (WAGO)	048	EWS	S	43,400	11.48	n/a	n/a	1302.00 3.0
AO,CXL	03/01	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	PLLL	B	100,000	20.58	n/a	n/a	5000.00 5.0
AO,CRT	03/01	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	PLLL	B	100,000	20.58	n/a	n/a	4000.00 4.0
AO,CRT	03/01	MKT MAKER (MKT MAKER)	097	SCRX	B	4	23.25	20-Dec	5-Mar	0.00 0.0
AO,	03/02	WHITTIER CAP (WHITCALI)	048	TWTR	B	8,177	1.42	n/a	n/a	245.31 3.0
AO,CXL	03/02	AMBER CAPITAL (AMBRLEH)	046	ZLC	B	40,000	26.61	n/a	n/a	2000.00 5.0
AO,CRT	03/02	AMBER CAPITAL (AMBRLEH)	046	ZLC	B	40,000	26.61	n/a	n/a	1600.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,588.69</b>
TOTAL (Trade Date):										152,376.98
TOTAL (AO, CXL, CRT):										-1,588.69
<b>TOTAL (RUN DATE) / NFS:</b>										<b>150,788.29</b>



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