



Daily Compliance Activity Report

Trade Date: 02/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALLEON MGMT LP	033	ADM	S	10,000	34.91	n/a	n/a	500.00	5.0
TORRE	N10	ADP	S	440	50.47	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	AMG	SS	5,000	118.15	25-Jan	12-Feb	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	ANN	SS	20,000	35.45	5-Jan	9-Feb	800.00	4.0
KACELA CAPITAL	034	ANN	B	20,000	35.60	5-Jan	9-Feb	800.00	4.0
B BUCK CAPITAL MGMT		APC	B	10,000	42.21	n/a	22-Jan	non-brg	5.0
CAXTON PART	040	AQNT	S	50,000	26.36	n/a	n/a	2,000.00	4.0
BARR	096	ARBX	B	300	6.37	n/a	n/a	0.00	0.0
ROBERTSON STEVENS BC	033	ARO	S	20,200	38.28	23-Oct	9-Feb	808.00	4.0
GRISANTI BROWN & PARTNER	048	ASD	B	5,500	53.42	12-Feb	12-Feb	0.00	0.0
BALYASNY ASSET MGMT	044	AVZ	B	20,000	24.52	13-Feb	13-Feb	1,000.00	5.0
SCHEINER	037	BBY	S	500	49.93	13-Dec	10-Jan	0.00	0.0
CAXTON PART	040	BEE	S	15,000	20.84	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		BHI	B	30,000	72.03	n/a	n/a	non-brg	5.0
SEMINOLE CAP	036	BJS	S	150,000	26.89	n/a	n/a	7,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REICH AND TANG	037	BKR	B	1,300	24.00	n/a	n/a	65.00	5.0
ß BUCK CAPITAL MGMT		CACH	B	2,800	22.53	n/a	n/a	non-brg	5.0
SCHEINER	037	CC	B	1,500	21.34	20-Dec	10-Jan	0.00	0.0
GAULT	063	CMGBL	B	10	1.35	n/a	n/a	0.00	0.0
SUTERA	160	CMG	B	500	60.62	n/a	8-Feb	0.00	0.0
BENNETT LAWRENCE	044	CRI	S	220,550	21.09	n/a	n/a	11,027.50	5.0
EGS ASSOCIATES LP	091	CRI	B	6,000	21.03	n/a	n/a	360.00	6.0
LEDDY	035	CRI	B	2,500	22.04	n/a	n/a	0.00	0.0
BINDER	007	CSCO	B	300	27.44	n/a	22-Mar	0.00	0.0
ß BUCK CAPITAL MGMT		CWTR	B	5,000	19.29	n/a	n/a	non-brg	5.0
GRISANTI BROWN & PARTNER	048	DCX	C	5,300	67.12	n/a	n/a	265.00	5.0
PILOT ADV	038	DELL	B	50,000	23.91	n/a	n/a	2,000.00	4.0
SENTINAL CAPITAL	067	DPZ	S	12,000	31.94	n/a	17-Jan	600.00	5.0
SCHEINER	037	EFT	B	10,000	19.47	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EVST	B	6,500	18.26	n/a	n/a	non-brg	5.0
BRUNNER	012	EXPD	B	1,000	44.03	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	FD	S	30,000	44.00	26-Jan	9-Feb	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		FLDR	SS	5,000	8.75	n/a	n/a	non-brg	5.0
GALLEON MGMT LP	033	GIS	B	5,000	57.27	n/a	n/a	250.00	5.0
BARR	096	GLD	B	200	66.34	n/a	n/a	0.00	0.0
LEDDY	035	GLW	S	800	22.40	n/a	12-Feb	0.00	0.0
⌘ BUCK CAPITAL MGMT		GSF	B	20,000	57.86	n/a	n/a	non-brg	5.0
EOS PARTNERS	040	GS	S	2,500	215.51	13-Dec	16-Jan	125.00	5.0
⌘ BUCK CAPITAL MGMT		GWW	C	20,000	79.02	26-Jan	26-Jan	non-brg	5.0
JACOB	068	IAR	S	7	35.53	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		IKAN	B	10,000	8.21	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		INNO	S	101,200	1.06	n/a	n/a	non-brg	2.0
IRON HORSE CAPITAL MGMT	038	IR	B	15,000	42.86	n/a	n/a	750.00	5.0
SECOND CURVE	031	KCE	B	50,000	71.44	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		KMT	C	20,000	62.93	n/a	n/a	non-brg	5.0
NICHOLAS ADVISORS	034	KRE	B	20,000	50.58	n/a	n/a	500.00	2.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	KSS	SS	13,900	72.10	27-Dec	9-Feb	695.00	5.0
REICH AND TANG	037	LDL	S	6,500	14.00	n/a	n/a	325.00	5.0
STADIA CAPITAL	035	LTD	B	110,000	29.03	5-Jan	9-Feb	4,400.00	4.0
IRON HORSE CAPITAL MGMT	038	LVLTT	B	25,000	6.24	n/a	12-Feb	1,250.00	5.0
VICTORIA INVESTORS LP	060	MCD	B	5,000	44.97	12-Oct	6-Feb	250.00	5.0
B BUCK CAPITAL MGMT		MDTL	S	54,800	15.66	n/a	n/a	non-brg	5.0
BARR	096	MEM	B	1,000	5.36	n/a	n/a	0.00	0.0
JACOB	068	MHS	S	3	61.18	n/a	n/a	0.00	0.0
CROWLEY	061	MIRWSB	S	500	17.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MIR	S	25,000	35.91	n/a	n/a	non-brg	5.0
RAMIUS CAP	040	MIR	B	100,000	35.70	n/a	n/a	5,000.00	5.0
GRISANTI BROWN & PARTNER	048	MWA	S	27,500	15.34	n/a	n/a	1,375.00	5.0
CROWLEY	061	MZT	B	4,500	0.65	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	NWL	S	5,000	30.73	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	50,000	15.20	1-Dec	9-Feb	2,000.00	4.0
ROARING BLUE LION MGMT	012	ODP	B	14,200	36.09	n/a	23-Jan	710.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRIBECA	038	ODP	B	10,000	36.61	n/a	23-Jan	400.00	4.0
VISIUM/BALY HOWARD	038	ODP	B	17,500	35.90	n/a	23-Jan	875.00	5.0
VISIUM/BALY HOWARD	038	ODP	SS	17,500	36.91	n/a	23-Jan	875.00	5.0
SUN AMERICA ASSET MGMT	030	ORCL	B	183,000	16.86	n/a	n/a	9,150.00	5.0
GALLEON MGMT LP	033	PBG	S	5,000	31.93	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		PH	C	7,500	84.08	n/a	n/a	non-brg	5.0
DELTEC ASSET MGMT.	040	PLCE	B	26,500	58.20	n/a	9-Feb	1,325.00	5.0
EGS ASSOCIATES LP	091	PLCE	B	3,500	58.09	n/a	9-Feb	210.00	6.0
KNOTT PARTNERS	044	PRX	B	15,000	24.99	30-Jan	13-Feb	600.00	4.0
STERLING JOHNSTON	035	PVH	B	5,600	56.13	18-Jan	9-Feb	280.00	5.0
B BUCK CAPITAL MGMT		RAIL	C	15,000	54.38	n/a	n/a	non-brg	5.0
MATRIX ASSET ADV.	036	ROST	S	2,700	34.44	n/a	n/a	108.00	4.0
OMEGA ADVISORS	038	SBUX	B	100,000	32.98	n/a	1-Feb	4,000.00	4.0
BARR	096	SLV	B	100	140.00	n/a	n/a	0.00	0.0
MANNING & NAPIER	034	SMG	S	115,550	54.71	24-Jan	24-Jan	4,622.00	4.0
KAICHER	064	SNCR	S	2,000	17.61	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	SNY	S	30,300	43.60	n/a	n/a	1,515.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENTINAL CAPITAL	067	SPLS	S	71,750	27.18	n/a	10-Jan	3,587.50	5.0
MKT MAKER	099	SPLS	B	25,000	27.23	n/a	10-Jan	0.00	0.0
MKT MAKER	099	SPLS	S	11,611	27.22	n/a	10-Jan	0.00	0.0
JENNISON	032	SYMC	B	900,000	17.97	n/a	3-Apr	36,000.00	4.0
GAULT	063	TEVA	C	2,000	37.59	13-Feb	13-Feb	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	TIF	SS	25,000	41.88	n/a	11-Jan	1,000.00	4.0
B BUCK CAPITAL MGMT		TSCO	B	5,000	49.04	n/a	n/a	non-brg	5.0
GAULT	063	TVQBG	S	20	2.45	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TWB	S	20,000	34.47	9-Jan	23-Jan	non-brg	5.0
STERLING JOHNSTON	035	TWTC	B	13,500	23.28	8-Feb	12-Feb	675.00	5.0
B BUCK CAPITAL MGMT		TXN	SS	5,000	30.92	n/a	n/a	non-brg	5.0
BULL PATH CAPITAL	044	WCG	B	25,000	76.24	n/a	n/a	1,250.00	5.0
EGS ASSOCIATES LP	091	WRNC	S	5,000	27.00	18-Jan	18-Jan	300.00	6.0
B BUCK CAPITAL MGMT		WSO	B	10,000	52.80	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		WTSLA	B	120,000	5.92	n/a	n/a	non-brg	4.0
MAGNETAR FINANCIAL	247	WTSLA	S	25,000	5.84	n/a	n/a	750.00	3.0
CRAMER ROSENTHAL/SCOTT	012	ZQK	B	233,600	14.05	9-Feb	9-Feb	11,680.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	ZQK	B	20,000	14.15	9-Feb	9-Feb	1,000.00	5.0
TOTAL (Trade Date) :								130,908.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/13	IMPALA ASSET MMT	012	CENT	B	158,900	48.03	8-Feb	8-Feb	4767.00 3.0
AO,CRT	02/13	PLATTE RIVER CAPITAL	035	HD	B	3,000	41.44	n/a	13-Feb	120.00 4.0
AO,CXL	02/13	PLATTE RIVER CAPITAL	035	HD	B	3,000	41.44	n/a	13-Feb	180.00 6.0
AO,	02/13	IMPALA ASSET MMT	012	HUBG	B	100,000	29.32	n/a	n/a	3000.00 3.0
AO,CRT	02/13	REICH AND TANG	037	LDL	S	1,000	14.02	n/a	n/a	50.00 5.0
AO,CXL	02/13	REICH AND TANG	037	LDL	S	1,000	14.03	n/a	n/a	50.00 5.0
AO,CRT	02/13	IRONBOUND CAPITAL	012	SSCC	SS	50,000	11.80	26-Oct	25-Jan	1500.00 3.0
AO,CXL	02/13	IRONBOUND CAPITAL	012	SSCC	SS	50,000	11.80	26-Oct	25-Jan	2500.00 5.0
AO,CXL	02/09	LISTED ERR	099	ZQK	B	79,970	13.96	9-Feb	9-Feb	0.00 0.0
AO,CXL	02/09	LISTED ERR	099	ZQK	S	79,970	13.95	9-Feb	9-Feb	0.00 0.0
TOTAL (AO, CXL, CRT) :										6,707.00
TOTAL (Trade Date) :										130,908.00
TOTAL (AO, CXL, CRT) :										6,707.00
TOTAL (RUN DATE) / NFS :										137,615.00

MRI Securities with Trade Activity on 14-Feb.
NONE

MRI Securities without Trade Activity on 14-Feb.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 9%
YTD = 18%

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