



## Daily Compliance Activity Report

Trade Date: 05/31/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	ADBE	S	25,000	43.96	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	AEO	S	15,000	27.08	4-Jan	23-May	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>SS</b>	<b>60,000</b>	<b>82.47</b>	<b>n/a</b>	<b>24-May</b>	<b>2,400.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	ARO	B	75,000	46.25	n/a	25-May	3,000.00	4.0
GENERAL MOTORS INV CO	040	AVA	B	1,500	23.38	n/a	n/a	60.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBW</b>	<b>B</b>	<b>15,000</b>	<b>29.89</b>	<b>19-Mar</b>	<b>11-May</b>	<b>600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>S</b>	<b>60,000</b>	<b>48.15</b>	<b>1-May</b>	<b>11-May</b>	<b>2,400.00</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	BIG	C	5,000	34.68	9-Mar	29-May	200.00	4.0
<b>SUTERA</b>	<b>160</b>	<b>BIG</b>	<b>C</b>	<b>1,000</b>	<b>32.00</b>	<b>9-Mar</b>	<b>29-May</b>	<b>0.00</b>	<b>0.0</b>
GENERAL MOTORS INV CO	040	BRS	S	1,400	48.73	n/a	n/a	56.00	4.0
PATTEN & PATTEN	067	CBS	B	400	33.11	n/a	n/a	20.00	5.0
<b>WYCKOFF</b>	<b>013</b>	<b>CHCG</b>	<b>B</b>	<b>1,000</b>	<b>6.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	CHIC	B	45,000	27.85	n/a	n/a	1,800.00	4.0
HARVEST MGMT	039	CHIC	B	50,000	27.79	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>B</b>	<b>20,000</b>	<b>27.32</b>	<b>31-May</b>	<b>31-May</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	CHS	SS	5,000	26.94	31-May	31-May	250.00	5.0
JP MORGAN VENTURES	046	CHS	SS	10,000	27.16	31-May	31-May	500.00	5.0
BULL PATH CAPITAL	044	CLMS	SS	20,000	25.10	29-May	30-May	1,000.00	5.0
GENERAL MOTORS INV CO	040	DCT	B	33,200	11.04	n/a	n/a	1,328.00	4.0
GLG PARTNERS	034	DDS	B	50,000	36.13	n/a	n/a	2,500.00	5.0
Õ Glenn Redemann		DIA	B	1	0.7000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DIA	B	2	0.4000	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	044	DLTR	B	300	42.44	30-May	30-May	15.00	5.0
NEUBERGER BERMAN	036	DRS	S	103,000	51.25	n/a	n/a	5,150.00	5.0
BUCK CAPITAL MGMT	001	DSW	B	40,000	38.11	7-May	11-May	1,600.00	4.0
MORGAN BANK /JPM	012	EFA	B	1,100	81.03	n/a	n/a	33.00	3.0
ROLON	N11	EFT	B	50	19.49	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EP	B	750	17.03	n/a	n/a	37.50	5.0
MAZAMA CAPITAL MGMT.	035	EVR	B	48,150	31.94	n/a	n/a	1,926.00	4.0
MORGAN BANK /JPM	012	EWJ	S	15,200	14.61	n/a	n/a	456.00	3.0
CARLYLE BLUE WAVE PR MG	224	EWV	SS	2,602	63.34	n/a	n/a	130.10	5.0
MORGAN BANK /JPM	012	EXP	S	3,700	50.22	n/a	n/a	111.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LONG TRAIL CAP	067	FDRY	B	10,000	16.12	n/a	22-Mar	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FD</b>	<b>B</b>	<b>230,000</b>	<b>39.83</b>	<b>17-May</b>	<b>17-May</b>	<b>9,200.00</b>	<b>4.0</b>
HIGHBRIDGE CAPITAL	038	FRP	SS	66,000	18.02	n/a	n/a	3,300.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>GPI</b>	<b>S</b>	<b>4,000</b>	<b>42.37</b>	<b>27-Apr</b>	<b>2-May</b>	<b>240.00</b>	<b>6.0</b>
GOLDMAN SACHS ASSET MGMT	044	GTI	S	40,000	15.50	n/a	n/a	800.00	2.0
<b>CROWLEY</b>	<b>061</b>	<b>HCGI</b>	<b>S</b>	<b>7,000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORSTMAN/AG CAP	250	HC	B	37,800	24.63	14-Mar	31-May	1,890.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>HE</b>	<b>B</b>	<b>2,500</b>	<b>24.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CARLYLE BLUE WAVE PR MG	224	HMC	SS	4,658	35.19	n/a	n/a	232.90	5.0
UBS O'CONNOR/TOM LEDDY	035	HPQ	S	275,000	45.62	n/a	n/a	8,250.00	3.0
MAZAMA CAPITAL MGMT.	035	HPY	B	46,000	25.53	n/a	n/a	1,840.00	4.0
MILLENIUM PARTNERS	028	HSC	B	8,100	53.57	31-May	31-May	405.00	5.0
BALYASNY ASSET MGMT	044	IFSIA	B	20,200	16.89	n/a	n/a	1,010.00	5.0
STADIA CAPITAL	035	IGT	S	30,000	40.37	n/a	20-Apr	1,200.00	4.0
LISTED ERR	035	IGT	S	1,600	40.37	n/a	20-Apr	0.00	0.0
<b>LEDY</b>	<b>035</b>	<b>IP</b>	<b>SS</b>	<b>800</b>	<b>39.42</b>	<b>4-May</b>	<b>4-May</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	IWF	B	350	60.37	n/a	n/a	10.50	3.0
MORGAN BANK /JPM	012	IWP	B	2,670	116.23	n/a	n/a	80.10	3.0
SYSTEMATIC FINANCIAL MGT	035	JAS	S	30,900	34.00	n/a	n/a	1,158.75	3.8
COUGAR TRADING	044	JCG	S	20,000	44.14	14-Mar	22-May	1,000.00	5.0
AAD CAPITAL	048	JNS	SS	39,700	27.63	26-Apr	23-May	1,588.00	4.0
CARLYLE BLUE WAVE PR MG	224	JWN	SS	3,189	51.75	27-Feb	18-May	159.45	5.0
GENERAL MOTORS INV CO	040	KFN	S	13,800	26.88	n/a	n/a	552.00	4.0
SANDLER O'NEILL ASSET	031	LEH	B	5,000	73.64	n/a	30-May	250.00	5.0
Õ Glenn Redemann		LRCX	B	6	0.3200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		LRCX	B	6	0.3700	n/a	n/a	0.00	0.0
Õ Glenn Redemann		LRCX	SS	6	0.9800	n/a	n/a	0.00	0.0
Õ Glenn Redemann		LRCX	SS	6	1.1600	n/a	n/a	0.00	0.0
S.A.C. CAPITAL MGMT.	044	MRK	B	15,000	52.82	n/a	n/a	750.00	5.0
JACOB	068	MSFT	S	183	30.88	n/a	3-Apr	0.00	0.0
SANDLER O'NEILL ASSET	031	MS	B	1,700	85.52	22-Mar	30-May	85.00	5.0
FARALLON CAP MGMT	040	OMX	B	44,000	45.24	n/a	15-Apr	1,760.00	4.0
BUCK	015	OSCI	B	900	5.47	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	PDFS	B	1,500	10.01	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PII	B	2	0.6500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PII	B	2	0.8500	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PLCE	B	5,000	56.74	12-Apr	23-May	250.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	15,500	56.37	12-Apr	23-May	0.00	0.0
Õ Glenn Redemann		QQQQ	B	1	0.2100	n/a	n/a	0.00	0.0
Õ Glenn Redemann		QQQQ	B	1	0.2500	n/a	n/a	0.00	0.0
AMATURO	018	QRR	B	1,000	13.25	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	RCKY	S	300	15.80	n/a	n/a	15.00	5.0
WHALE ROCK CAP	030	RIMM	B	20,000	167.88	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	15,000	97.63	2-Feb	31-May	600.00	4.0
COUGAR TRADING	044	RL	SS	10,000	97.50	2-Feb	31-May	500.00	5.0
LEDDY	035	SDS	S	1,000	50.96	n/a	n/a	0.00	0.0
MISSOURI VALLEY PART	046	SMRT	S	40,000	12.59	n/a	n/a	2,000.00	5.0
Õ Glenn Redemann		SPY	B	1	0.9500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SPY	B	3	0.4000	n/a	n/a	0.00	0.0
GENERAL MOTORS INV CO	040	TEG	S	1,450	56.13	n/a	n/a	58.00	4.0
COUGAR TRADING	044	TIF	B	5,000	53.62	27-Mar	26-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	TJX	B	100,000	27.77	21-Mar	16-May	4,000.00	4.0
MERRILL ASSET	032	VCI	S	32,300	18.00	n/a	n/a	1,453.50	4.5
TRELLUS PARTNERS LP	028	VC	B	50,000	8.19	n/a	n/a	2,500.00	5.0
<b>KERN</b>	<b>050</b>	<b>VOII</b>	<b>S</b>	<b>15,000</b>	<b>0.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BULL PATH CAPITAL	044	WDR	B	18,500	26.16	5-Mar	23-May	925.00	5.0
ROTHSCHILD ASSET	040	WGL	B	970	35.17	n/a	n/a	43.65	4.5
<b>MAGUIRE</b>	<b>039</b>	<b>WHT</b>	<b>B</b>	<b>1,000</b>	<b>3.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KAICHER</b>	<b>064</b>	<b>WHT</b>	<b>B</b>	<b>4,500</b>	<b>3.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CARLYLE BLUE WAVE PR MG	224	WMT	S	10,648	47.55	n/a	16-May	532.40	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>WMT</b>	<b>B</b>	<b>36</b>	<b>47.48</b>	<b>n/a</b>	<b>16-May</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>WMT</b>	<b>S</b>	<b>36</b>	<b>47.55</b>	<b>n/a</b>	<b>16-May</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	WSM	SS	20,000	34.22	n/a	n/a	800.00	4.0
ACT II PARTNERS	067	XOHO	S	35,000	4.76	n/a	n/a	1,400.00	4.0
DELTEC ASSET MGMT.	040	ZQK	S	37,200	13.87	9-Mar	17-Apr	1,488.00	4.0
BEAR STEARNS ASSET MGMT.	033	ZUMZ	B	15,000	38.54	n/a	n/a	600.00	4.0
<b>TOTAL (Trade Date):</b>								<b>84,999.85</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/30	ROTHSCHILD ASSET (ROTH476)	040	AXE	S	310	70.63	24-Apr	16-May	13.95 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH359)	040	AXE	S	6,500	70.63	24-Apr	16-May	292.50 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH362)	040	AXE	S	920	70.63	24-Apr	16-May	41.40 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH356)	040	AXE	S	290	70.63	24-Apr	16-May	13.05 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH355)	040	AXE	S	310	70.63	24-Apr	16-May	13.95 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH351)	040	AXE	S	310	70.63	24-Apr	16-May	13.95 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH363-1)	040	AXE	S	430	70.63	24-Apr	16-May	19.35 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH332)	040	AXE	S	230	70.63	24-Apr	16-May	10.35 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH315)	040	AXE	S	380	70.63	24-Apr	16-May	17.10 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH310)	040	AXE	S	440	70.63	24-Apr	16-May	19.80 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH467)	040	AXE	S	210	70.63	24-Apr	16-May	9.45 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH464)	040	AXE	S	370	70.63	24-Apr	16-May	16.65 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH468)	040	AXE	S	590	70.63	24-Apr	16-May	26.55 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH466)	040	AXE	S	2,150	70.63	24-Apr	16-May	96.75 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH452)	040	AXE	S	330	70.63	24-Apr	16-May	14.85 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH000300)	040	AXE	S	2,060	70.63	24-Apr	16-May	92.70 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH345)	040	AXE	S	280	70.63	24-Apr	16-May	12.60 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH372-1)	040	AXE	S	330	70.63	24-Apr	16-May	14.85 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH302-1)	040	AXE	S	2,140	70.63	24-Apr	16-May	96.30 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH369)	040	AXE	S	470	70.63	24-Apr	16-May	21.15 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH322)	040	AXE	S	740	70.63	24-Apr	16-May	33.30 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH302)	040	AXE	S	820	70.63	24-Apr	16-May	36.90 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH329)	040	AXE	S	300	70.63	24-Apr	16-May	13.50 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH368)	040	AXE	S	140	70.63	24-Apr	16-May	6.30 4.5
AO,	05/30	ROTHSCHILD ASSET (ROTH367)	040	AXE	S	550	70.63	24-Apr	16-May	24.75 4.5
AO,	05/30	COUGAR TRADING (COUGPB MS)	044	CHS	SS	10,000	26.41	31-May	31-May	500.00 5.0
AO,	05/30	GENERAL MOTORS INV CO (GMICGR5Q)	040	CMGI	B	8,000	2.41	n/a	n/a	240.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/30	GENERAL MOTORS INV CO (GMIC7M1L)	040	CMGI	B	25,000	2.41	n/a	n/a	750.00 3.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	CMGI	B	1,500	2.41	n/a	n/a	45.00 3.0
AO,	05/30	GENERAL MOTORS INV CO (GMICGR5Q)	040	FRP	B	500	17.99	n/a	n/a	20.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMIC7M1L)	040	FRP	B	1,600	17.99	n/a	n/a	64.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	FRP	B	100	17.99	n/a	n/a	4.00 4.0
<b>CRT</b>	<b>05/31</b>	<b>CROWLEY (CROWLEY)</b>	<b>061</b>	<b>HCGI</b>	<b>S</b>	<b>7,000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,	05/30	GENERAL MOTORS INV CO (GMIC7M1L)	040	LG	B	1,600	31.01	n/a	n/a	64.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	LG	B	100	31.01	n/a	n/a	4.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	LG	B	500	31.01	n/a	n/a	20.00 4.0
AO,CXL	05/30	GRUSS CAPITAL (GRUS)	040	LNJ	S	5,000	28.48	n/a	n/a	250.00 5.0
AO,CRT	05/30	GRUSS CAPITAL (GRUS)	040	LNJ	S	5,000	28.48	n/a	n/a	200.00 4.0
AO,CXL	05/30	AMBER CAPITAL (AMBRGS)	046	NEM	SS	500,000	39.44	n/a	n/a	20000.00 4.0
AO,CRT	05/30	AMBER CAPITAL (AMBRGS)	046	NEM	SS	615,000	39.44	n/a	n/a	24600.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICGR5Q)	040	PGI	B	600	12.44	n/a	n/a	24.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMIC7M1L)	040	PGI	B	2,000	12.44	n/a	n/a	80.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	PGI	B	100	12.44	n/a	n/a	4.00 4.0
AO,	05/30	HOOVER INV. MGMT (HOOV21)	033	PKG	B	300	25.65	n/a	18-Apr	15.00 5.0
AO,CXL	05/30	HOOVER INV. MGMT (HOOV20)	033	PKG	B	300	25.65	n/a	18-Apr	15.00 5.0
AO,	05/30	GENERAL MOTORS INV CO (GMICGR5Q)	040	RKT	B	400	35.05	n/a	n/a	16.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMIC7M1L)	040	RKT	B	1,000	35.05	n/a	n/a	40.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	RKT	B	100	35.05	n/a	n/a	4.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICGR5Q)	040	SJW	B	400	32.24	n/a	n/a	16.00 4.0



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AO,	05/30	GENERAL MOTORS INV CO (GMIC7M1L)	040	SJW	B	1,100	32.24	n/a	n/a	44.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	SJW	B	100	32.24	n/a	n/a	4.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICGR5Q)	040	SVR	B	800	12.79	n/a	n/a	32.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMIC7M1L)	040	SVR	B	2,500	12.79	n/a	n/a	100.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	SVR	B	200	12.79	n/a	n/a	8.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICGR5Q)	040	UNS	B	400	36.19	n/a	n/a	16.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMIC7M1L)	040	UNS	B	1,000	36.19	n/a	n/a	40.00 4.0
AO,	05/30	GENERAL MOTORS INV CO (GMICHCLP)	040	UNS	B	100	36.19	n/a	n/a	4.00 4.0

**TOTAL (AO, CXL, CRT) :** **7,665.00**

TOTAL (Trade Date): 84,999.85

TOTAL (AO, CXL, CRT): 7,665.00

**TOTAL (RUN DATE) / NFS:** **92,664.85**

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