



Daily Compliance Activity Report

Trade Date: 07/06/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NICHOLAS ADVISORS	034	AAPL	S	2,000	131.74	n/a	n/a	100.00	5.0
CAPITAL GROWTH MGMT.	241	ACF	S	200,000	26.47	n/a	n/a	10,000.00	5.0
NICHOLAS ADVISORS	034	ACN	S	4,000	42.84	n/a	n/a	200.00	5.0
COUGAR TRADING	044	AEO	B	20,000	26.49	n/a	6-Jul	1,000.00	5.0
LIGHTHOUSE FIN/QUAD	046	AKS	S	10,000	38.81	n/a	n/a	500.00	5.0
BARR	096	ALSC	B	7,500	5.59	n/a	n/a	0.00	0.0
BARR	096	AMCC	S	4,000	2.77	n/a	n/a	0.00	0.0
SARAS CAPITAL	038	AN	SS	31,000	22.48	n/a	27-Apr	1,550.00	5.0
MERRILL ASSET	032	ASF	B	18,600	34.61	n/a	n/a	837.00	4.5
IRON HORSE CAPITAL MGMT	038	AYI	B	5,000	62.69	n/a	n/a	250.00	5.0
PIVOT CAP	034	BJ	B	23,300	37.12	10-Apr	7-Jun	1,165.00	5.0
WHITTIER CAP	048	BONT	S	6,360	38.07	6-Jul	6-Jul	254.40	4.0
METROPOLITAN CAPITAL	044	BWS	B	32,400	25.09	n/a	n/a	1,620.00	5.0
COUGAR TRADING	044	CHCG	S	25,000	7.32	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NICHOLAS ADVISORS	034	CVS	S	5,100	36.61	n/a	n/a	255.00	5.0
THE BOSTON COMPANY	214	CVS	S	54,500	36.78	n/a	n/a	2,725.00	5.0
BUCK	015	DIS	B	500	34.50	n/a	n/a	0.00	0.0
GRANAHAN INV	039	DLTR	S	163,800	43.82	30-May	15-Jun	6,552.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	20,000	35.22	7-May	7-Jun	800.00	4.0
IVORY CAPITAL	034	EBAY	B	200,000	32.89	n/a	n/a	10,000.00	5.0
LUCHANSKY1	036	FACE	B	1,000	15.56	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	FLR	S	2,200	114.45	n/a	n/a	110.00	5.0
DAVIS SELECT ADV	040	GGP	S	700,000	54.04	n/a	n/a	21,000.00	3.0
FRIESS MGMT	042	GME	B	195,000	41.40	n/a	n/a	8,775.00	4.5
BUCK	015	HET	B	700	85.60	n/a	9-May	0.00	0.0
MERRILL ASSET	032	HHS	B	42,600	26.32	n/a	n/a	1,917.00	4.5
PROSPECTOR PARTNERS LLC	036	IOSP	S	5,000	61.26	n/a	n/a	200.00	4.0
PROSPECTOR PARTNERS LLC	036	IVZ	B	14,300	26.51	14-Jun	25-Jun	572.00	4.0
COUGAR TRADING	044	KSS	B	5,000	70.99	14-Jun	14-Jun	250.00	5.0
BULL PATH CAPITAL	044	LVS	B	25,000	80.64	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	038	M	S	20,000	42.39	6-Jul	6-Jul	800.00	4.0
BARR	096	NGI	S	4,600	4.98	n/a	n/a	0.00	0.0
BUCK	015	ONXX	S	1,000	27.47	n/a	n/a	0.00	0.0
MERRILL ASSET	032	OXY	B	25,900	59.72	n/a	n/a	1,295.00	5.0
BUCK	015	PFE	B	500	25.87	n/a	31-Mar	0.00	0.0
AMATURO	018	QRR	S	900	12.63	n/a	n/a	0.00	0.0
PILOT ADV	038	RGC	S	70,000	21.85	n/a	n/a	2,800.00	4.0
IRON HORSE CAPITAL MGMT	038	RL	B	5,000	102.17	21-Jun	27-Jun	250.00	5.0
KORMAN	003	SORL	B	4,322	7.70	n/a	n/a	0.00	0.0
OGORMAN	146	TGTSU	B	5	1.25	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	TGT	B	25,000	67.26	n/a	7-Jun	1,000.00	4.0
COUGAR TRADING	044	TIF	B	5,000	55.47	1-Jun	13-Jun	250.00	5.0
BUCK	015	TRB	S	1,000	30.79	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	TUP	B	30,000	29.35	n/a	n/a	1,350.00	4.5
BARR	096	TWM	S	400	60.53	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	URBN	SS	10,000	23.64	2-Apr	11-May	500.00	5.0
MSD CAPITAL	036	USTR	S	18,700	69.00	23-May	23-May	935.00	5.0
MKT MAKER	099	USTR	S	13	69.00	23-May	23-May	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	VMED	S	100,000	29.25	n/a	n/a	1.46	0.0
BELMONT GLOBAL ADV	248	WLK	B	35,000	27.97	n/a	n/a	1,750.00	5.0
SEAROCK CAPITAL MANAGE	012	WMT	S	100,000	48.39	4-Jun	7-Jun	4,000.00	4.0
TOTAL (Trade Date):								88,063.86	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/05	ROTHSCHILD ASSET (ROTH476)	040	BJ	B	560	36.52	10-Apr	7-Jun	25.20 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH359)	040	BJ	B	13,320	36.52	10-Apr	7-Jun	599.40 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH362)	040	BJ	B	1,800	36.52	10-Apr	7-Jun	81.00 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH356)	040	BJ	B	700	36.52	10-Apr	7-Jun	31.50 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH355)	040	BJ	B	780	36.52	10-Apr	7-Jun	35.10 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH351)	040	BJ	B	620	36.52	10-Apr	7-Jun	27.90 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH363-1)	040	BJ	B	820	36.52	10-Apr	7-Jun	36.90 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH332)	040	BJ	B	480	36.52	10-Apr	7-Jun	21.60 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH315)	040	BJ	B	700	36.52	10-Apr	7-Jun	31.50 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH310)	040	BJ	B	600	36.52	10-Apr	7-Jun	27.00 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH467)	040	BJ	B	320	36.52	10-Apr	7-Jun	14.40 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH464)	040	BJ	B	910	36.52	10-Apr	7-Jun	40.95 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH468)	040	BJ	B	2,810	36.52	10-Apr	7-Jun	126.45 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH466)	040	BJ	B	4,070	36.52	10-Apr	7-Jun	183.15 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH452)	040	BJ	B	610	36.52	10-Apr	7-Jun	27.45 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH000300)	040	BJ	B	4,230	36.52	10-Apr	7-Jun	190.35 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH345)	040	BJ	B	600	36.52	10-Apr	7-Jun	27.00 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH372-1)	040	BJ	B	580	36.52	10-Apr	7-Jun	26.10 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH302-1)	040	BJ	B	2,940	36.52	10-Apr	7-Jun	132.30 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH369)	040	BJ	B	910	36.52	10-Apr	7-Jun	40.95 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH322)	040	BJ	B	1,540	36.52	10-Apr	7-Jun	69.30 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH302)	040	BJ	B	1,870	36.52	10-Apr	7-Jun	84.15 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH329)	040	BJ	B	700	36.52	10-Apr	7-Jun	31.50 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH368)	040	BJ	B	200	36.52	10-Apr	7-Jun	9.00 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH367)	040	BJ	B	1,120	36.52	10-Apr	7-Jun	50.40 4.5
AO,	07/05	COUGAR TRADING (COUGPB MS)	044	CHCG	S	5,000	7.59	n/a	n/a	250.00 5.0
CRT	07/06	BARROW HANLEY MEWHINNEY (BARR)	096	NGI	S	4,600	4.98	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	07/05	AMBER CAPITAL (AMBRLEH)	046	TIF	B	105,000	54.92	1-Jun	13-Jun	5250.00 5.0
AO,	07/05	AMBER CAPITAL (AMBRLEH)	046	TIF	B	105,000	54.92	1-Jun	13-Jun	4200.00 4.0
AO,	07/05	ROTHSCHILD ASSET (ROTH353)	040	TUP	B	320	29.28	n/a	n/a	14.40 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH320)	040	TUP	B	310	29.28	n/a	n/a	13.95 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH303)	040	TUP	B	1,110	29.28	n/a	n/a	49.95 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH318)	040	TUP	B	1,380	29.28	n/a	n/a	62.10 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH354-1)	040	TUP	B	460	29.28	n/a	n/a	20.70 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH360-2)	040	TUP	B	490	29.28	n/a	n/a	22.05 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH360-1)	040	TUP	B	40	29.28	n/a	n/a	1.80 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH360-1)	040	TUP	B	1,010	29.28	n/a	n/a	45.45 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH000479)	040	TUP	B	240	29.28	n/a	n/a	10.80 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH471-2)	040	TUP	B	220	29.28	n/a	n/a	9.90 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH471-1)	040	TUP	B	580	29.28	n/a	n/a	26.10 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH471)	040	TUP	B	1,080	29.28	n/a	n/a	48.60 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH470)	040	TUP	B	810	29.28	n/a	n/a	36.45 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH450)	040	TUP	B	2,020	29.28	n/a	n/a	90.90 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH386)	040	TUP	B	150	29.28	n/a	n/a	6.75 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH340)	040	TUP	B	3,680	29.28	n/a	n/a	165.60 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH348)	040	TUP	B	260	29.28	n/a	n/a	11.70 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH349)	040	TUP	B	3,030	29.28	n/a	n/a	136.35 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH370)	040	TUP	B	620	29.28	n/a	n/a	27.90 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH341)	040	TUP	B	200	29.28	n/a	n/a	9.00 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH323)	040	TUP	B	460	29.28	n/a	n/a	20.70 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH376-1)	040	TUP	B	130	29.28	n/a	n/a	5.85 4.5
AO,	07/05	ROTHSCHILD ASSET (ROTH333)	040	TUP	B	540	29.28	n/a	n/a	24.30 4.5
AO,	07/05	MKT MAKER (MKT MAKER)	099	USTR	B	96	69.00	23-May	23-May	0.00 0.0

TOTAL (AO, CXL, CRT) :

2,031.85

TOTAL (Trade Date):	88,063.86
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TOTAL (AO, CXL, CRT):	2,031.85
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TOTAL (RUN DATE) / NFS:	90,095.71
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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