



## Daily Compliance Activity Report

Trade Date: 02/21/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	AAI	B	25,000	11.48	n/a	n/a	1,250.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	15,900	7.49	n/a	n/a	636.00	4.0
BEAR STEARNS ASSET MGMT.	033	AME	S	20,000	35.30	n/a	n/a	800.00	4.0
J L F ASSET MGMT	039	ARO	S	27,300	38.62	23-Oct	9-Feb	1,092.00	4.0
BELMONT GLOBAL ADV	248	AVP	B	25,000	38.97	7-Feb	7-Feb	750.00	3.0
SAC TRADING HOWARD	038	BARE	S	8,100	35.10	n/a	n/a	405.00	5.0
ROYCE TRADING	216	BHE	B	5,000	21.94	n/a	n/a	250.00	5.0
MERRILL ASSET	032	BJ	B	39,300	33.41	n/a	9-Feb	1,965.00	5.0
PLATTE RIVER CAPITAL	035	BKS	B	2,000	42.58	n/a	n/a	80.00	4.0
NCM CAPITAL MGMT	035	BOL	B	7,150	54.37	n/a	n/a	357.50	5.0
<b>BARR</b>	<b>096</b>	<b>BQI</b>	<b>B</b>	<b>900</b>	<b>3.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	BSG	S	34,700	13.64	n/a	n/a	1,735.00	5.0
RAINIER INV MGMT	035	BW	S	4,300	47.61	n/a	n/a	215.00	5.0
BELMONT GLOBAL ADV	248	CBK	B	5,000	20.08	11-Dec	16-Feb	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	S	5,000	50.06	24-Jan	24-Jan	200.00	4.0
PLATTE RIVER CAPITAL	035	COO	B	3,000	47.65	n/a	n/a	120.00	4.0
LEDDY	035	CRI	B	700	23.92	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	CSCO	B	30,000	27.36	n/a	22-Mar	1,500.00	5.0
AELTUS/ING INVESTMENT MGT	237	CVD	B	12,510	62.80	n/a	n/a	500.40	4.0
WEISS PECK	040	DSW	SS	1,260	42.71	n/a	9-Feb	37.80	3.0
LISTED ERR	099	DSW	B	2,740	42.85	n/a	9-Feb	0.00	0.0
LISTED ERR	099	DSW	SS	2,740	42.71	n/a	9-Feb	0.00	0.0
SCHEINER	037	EFT	B	5,000	19.17	n/a	n/a	0.00	0.0
FIRST INV MGMT CORP	036	EMC	S	50,000	14.70	n/a	n/a	2,500.00	5.0
WD PARTNERS ILP	067	EV	B	2,700	36.15	2-Nov	20-Feb	135.00	5.0
LISTED ERR	099	EV	B	700	36.26	2-Nov	20-Feb	0.00	0.0
ROYCE TRADING	216	FLE	B	10,000	8.94	n/a	n/a	500.00	5.0
ROYCE TRADING	216	FOSL	S	42,200	28.46	21-Feb	21-Feb	2,110.00	5.0
TRIBECA/DOUG	040	FRO	SS	5,000	36.00	n/a	n/a	200.00	4.0
ROYCE TRADING	216	GDI	B	10,000	35.48	n/a	n/a	500.00	5.0
ROYCE TRADING	216	GRB	S	2,000	12.76	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BACKUS</b>	<b>005</b>	<b>GRT</b>	<b>S</b>	<b>6,000</b>	<b>28.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARROW HANLEY MEWHINNEY	031	HBI	B	39,500	27.04	n/a	n/a	1,580.00	4.0
<b>BUCK</b>	<b>015</b>	<b>ILE</b>	<b>S</b>	<b>4,600</b>	<b>3.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>ITCD</b>	<b>B</b>	<b>1,576</b>	<b>2.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	ITT	S	20,000	60.82	2-Feb	2-Feb	800.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>JADE</b>	<b>B</b>	<b>25,000</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	JBX	S	20,300	71.34	21-Feb	21-Feb	761.25	3.8
SENTINAL CAPITAL	067	JCI	B	2,000	99.55	16-Feb	16-Feb	100.00	5.0
J L F ASSET MGMT	039	JOSB	S	31,937	31.55	n/a	n/a	1,277.48	4.0
LEVIN CAPITAL STRATEGIES	012	KCP	SS	10,000	24.20	n/a	16-Feb	400.00	4.0
PLATTE RIVER CAPITAL	035	KO	B	3,000	47.67	n/a	n/a	120.00	4.0
JP MORGAN VENTURES	046	KSS	SS	6,800	73.63	27-Dec	9-Feb	340.00	5.0
ROYCE TRADING	216	LVB	S	3,000	34.56	n/a	n/a	150.00	5.0
PLATTE RIVER CAPITAL	035	MDT	B	4,100	52.06	n/a	22-Apr	164.00	4.0
ROYCE TRADING	216	MNI	B	5,000	38.14	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK</b>	<b>015</b>	<b>MPXL</b>	<b>B</b>	<b>1,000</b>	<b>18.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	035	MRK	B	20,000	44.00	n/a	n/a	800.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>MTRX</b>	<b>S</b>	<b>1,400</b>	<b>18.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	MTZ	S	5,000	12.34	n/a	n/a	250.00	5.0
DSG CAPITAL	225	NLS	B	2,700	18.08	n/a	n/a	135.00	5.0
NCM CAPITAL MGMT	035	NWY	S	18,050	15.72	1-Dec	16-Feb	902.50	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>NWY</b>	<b>S</b>	<b>1,000</b>	<b>15.64</b>	<b>1-Dec</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>PENN</b>	<b>S</b>	<b>1,000</b>	<b>45.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	PRX	B	10,000	25.05	30-Jan	21-Feb	500.00	5.0
RAINIER INV MGMT	035	RTI	S	68,850	86.25	n/a	n/a	3,442.50	5.0
LISTED ERR	035	RTI	S	100	86.25	n/a	n/a	0.00	0.0
WEISS PECK	040	RVI	B	3,500	21.25	n/a	n/a	105.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>SDS</b>	<b>B</b>	<b>500</b>	<b>55.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	035	SE	B	7,500	25.28	n/a	n/a	300.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SHOE</b>	<b>SS</b>	<b>1,000</b>	<b>7.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SHOO</b>	<b>B</b>	<b>700</b>	<b>29.16</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.	
PLATTE RIVER CAPITAL	035	SLM	S	2,000	44.04	n/a	n/a	80.00	4.0
SCOPUS FUND	039	SSCC	SS	11,000	12.37	26-Oct	25-Jan	550.00	5.0
ROYCE TRADING	216	TRA	S	10,000	17.86	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	TTWO	S	17,600	20.02	n/a	n/a	704.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>S</b>	<b>100,000</b>	<b>37.28</b>	<b>16-Feb</b>	<b>16-Feb</b>	<b>4,000.00</b>	<b>4.0</b>
WOOSTER CAPITAL	035	TWB	B	25,000	37.13	16-Feb	16-Feb	1,250.00	5.0
NICHOLAS ADVISORS	034	VMC	S	5,000	122.37	n/a	n/a	250.00	5.0
MILLENIUUM PARTNERS	028	VZ	SS	25,000	38.36	22-Dec	12-Feb	1,250.00	5.0
SCUDDER HEDGE	034	WNC	S	25,000	17.01	n/a	n/a	1,000.00	4.0
ACT II PARTNERS	067	XOHO	B	27,000	4.64	n/a	n/a	1,080.00	4.0
CHILTON CAPITAL MGMT.	036	XRX	S	300,000	17.99	n/a	n/a	12,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>53,230.43</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/20	LISTED ERR (LISTED ERR)	099	EV	S	700	36.05	2-Nov	20-Feb	0.00	0.0
AO,CXL	02/20	WD PARTNERS ILP (WDPAGS)	067	EV	B	2,500	36.25	2-Nov	20-Feb	125.00	5.0
AO,CXL	02/20	WD PARTNERS ILP (WDPAGS)	067	EV	B	2,500	36.25	2-Nov	20-Feb	125.00	5.0
AO,CRT	02/20	WD PARTNERS ILP (WDPAGS)	067	EV	B	2,500	36.25	2-Nov	20-Feb	125.00	5.0
AO,CRT	02/20	WD PARTNERS ILP (WDPAGS)	067	EV	B	2,500	36.25	2-Nov	20-Feb	125.00	5.0
AO,	02/20	ROYCE TRADING (ROYC68)	216	FOSL	S	1,600	26.94	21-Feb	21-Feb	80.00	5.0
AO,	02/20	ROYCE TRADING (ROYC23)	216	FOSL	S	23,500	26.94	21-Feb	21-Feb	1175.00	5.0
AO,	02/20	ROYCE TRADING (ROYC12)	216	FOSL	S	14,300	26.94	21-Feb	21-Feb	715.00	5.0
AO,	02/20	ROYCE TRADING (ROYC6)	216	FOSL	S	10,600	26.94	21-Feb	21-Feb	530.00	5.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAUMRP)	035	HPY	B	500	25.68	n/a	n/a	20.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAUMGP)	035	HPY	B	1,400	25.68	n/a	n/a	56.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAMMSG F)	035	HPY	B	1,900	25.68	n/a	n/a	76.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAURS)	035	HPY	B	1,900	25.68	n/a	n/a	76.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAHENDRI)	035	HPY	B	200	25.68	n/a	n/a	8.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZANWAIRD)	035	HPY	B	1,200	25.68	n/a	n/a	48.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAILTRSS)	035	HPY	B	500	25.68	n/a	n/a	20.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAILTRSS)	035	HPY	B	2,300	25.68	n/a	n/a	92.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZANWAIRD)	035	HPY	B	2,000	25.68	n/a	n/a	80.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZALACERA)	035	HPY	B	8,700	25.68	n/a	n/a	348.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAAVAYA)	035	HPY	B	1,100	25.68	n/a	n/a	44.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZANWAIRD)	035	HPY	B	1,700	25.68	n/a	n/a	68.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZANYPP F)	035	HPY	B	2,400	25.68	n/a	n/a	96.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAUMSCFU)	035	HPY	B	6,300	25.68	n/a	n/a	252.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZASIMT)	035	HPY	B	4,600	25.68	n/a	n/a	184.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZASIIT)	035	HPY	B	4,200	25.68	n/a	n/a	168.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZASCHWAB)	035	HPY	B	100	25.68	n/a	n/a	4.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZANEMOVR)	035	HPY	B	100	25.68	n/a	n/a	4.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAMEMORI)	035	HPY	B	300	25.68	n/a	n/a	12.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAMARIN)	035	HPY	B	1,400	25.68	n/a	n/a	56.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAKCFF)	035	HPY	B	500	25.68	n/a	n/a	20.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAIHC)	035	HPY	B	1,800	25.68	n/a	n/a	72.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZAEBMUD)	035	HPY	B	600	25.68	n/a	n/a	24.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZADUPONT)	035	HPY	B	1,400	25.68	n/a	n/a	56.00	4.0
AO,	02/20	MAZAMA CAPITAL MGMT. (MAZADOCF)	035	HPY	B	1,600	25.68	n/a	n/a	64.00	4.0
AO,	02/20	BANK OF NEW YORK (BONYMAIN A)	040	PFCB	B	8,550	45.09	n/a	20-Feb	427.50	5.0
AO,CXL	02/20	DAVIDSON KEMPNER ADVISOR (DAVIUBS PR)	217	QQQQ	SS	225,500	44.82	n/a	n/a	11275.00	5.0
AO,CRT	02/20	DAVIDSON KEMPNER ADVISOR (DAVIUBS PR)	217	QQQQ	SS	225,500	44.82	n/a	n/a	11275.00	5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,875.50</b>	
TOTAL (Trade Date) :										53,230.43	
TOTAL (AO, CXL, CRT) :										4,875.50	
<b>TOTAL (RUN DATE) / NFS :</b>										<b>58,105.93</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