



# Daily Compliance Activity Report

Trade Date: 04/09/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>MAGUIRE</b>	<b>090</b>	<b>AAI</b>	<b>B</b>	<b>4,150</b>	<b>10.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>AAI</b>	<b>B</b>	<b>1,200</b>	<b>10.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	AIQ	S	49,800	9.25	n/a	n/a	1,992.00	4.0
Ö Glenn Redemann		AMAG	B	4	1.8000	n/a	n/a	0.00	0.0
Ö Glenn Redemann		AMAG	B	8	0.6500	n/a	n/a	0.00	0.0
Ö Glenn Redemann		AMAG	S	8	1.8300	n/a	n/a	0.00	0.0
Ö Glenn Redemann		AMAG	S	8	2.6400	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	AMG	S	45,800	111.94	5-Mar	28-Mar	1,832.00	4.0
MORGAN LEWIS/MLH	046	AMR	B	15,000	32.82	n/a	n/a	750.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>AMR</b>	<b>B</b>	<b>7,000</b>	<b>32.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LUCID PARTNERS	067	AOS	B	100	38.00	21-Dec	8-Feb	5.00	5.0
WOOSTER CAPITAL	035	APC	B	50,000	44.93	27-Feb	12-Mar	2,500.00	5.0
PATTEN & PATTEN	067	APD	S	1,000	75.19	n/a	2-Mar	50.00	5.0
VISIUM/BALY HOWARD	038	ASCA	S	20,000	30.11	n/a	4-Apr	1,000.00	5.0
HOOVER INV. MGMT	033	AVZ	B	50,600	22.93	5-Mar	28-Mar	2,530.00	5.0
PATTEN & PATTEN	067	AXP	S	1,300	55.97	n/a	n/a	65.00	5.0
<b>GRONET</b>	<b>030</b>	<b>BORL</b>	<b>S</b>	<b>1,000</b>	<b>5.35</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	CAG	S	1,500	24.83	n/a	n/a	75.00	5.0
PATTEN & PATTEN	067	CB	S	1,500	51.84	n/a	n/a	75.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>CCOI</b>	<b>S</b>	<b>2,500</b>	<b>24.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RAINIER INV MGMT	035	CF	B	66,950	41.71	n/a	n/a	3,347.50	5.0
<b>Õ Claire Mencke</b>		<b>CHC</b>	<b>S</b>	<b>300</b>	<b>19.0500</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	CHS	S	120,800	25.20	27-Mar	27-Mar	4,832.00	4.0
SUNOVA CAPITAL	031	CLMS	B	140,000	23.59	12-Mar	28-Mar	7,000.00	5.0
WAGONHOUND	048	CLMS	SS	35,000	23.66	12-Mar	28-Mar	1,400.00	4.0
<b>Õ Glenn Redemann</b>		<b>COGN</b>	<b>B</b>	<b>4</b>	<b>0.3400</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>COGN</b>	<b>B</b>	<b>4</b>	<b>0.5800</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WASHINGTON ASSET	048	CPLP	B	5,276	26.15	n/a	n/a	263.80	5.0
NEUBERGER BERMAN	036	CRL	S	5,700	46.39	n/a	n/a	285.00	5.0
J L F ASSET MGMT	039	CWTR	S	75,000	21.62	n/a	n/a	3,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>B</b>	<b>50,000</b>	<b>33.42</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	DPZ	B	29,700	33.68	23-Feb	23-Feb	1,485.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>DUK</b>	<b>B</b>	<b>5,000</b>	<b>20.76</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.	
NEUBERGER BERMAN	036	DW	B	25,000	28.24	n/a	n/a	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	EEM	B	124,000	121.13	n/a	n/a	3,720.00	3.0
JP MORGAN VENTURES	046	FDO	C	43,900	30.35	3-Nov	9-Apr	2,195.00	5.0
BUCK CAPITAL MGMT	001	FD	SS	50,000	46.26	26-Jan	9-Mar	2,000.00	4.0
BUCK CAPITAL MGMT	001	FD	S	302,000	45.96	26-Jan	9-Mar	12,080.00	4.0
STADIA CAPITAL	035	FD	SS	75,000	45.99	26-Jan	9-Mar	3,000.00	4.0
WAGONHOUND	048	FD	SS	2,500	46.32	26-Jan	9-Mar	100.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	SS	25,000	8.08	n/a	5-Apr	750.00	3.0
PATTEN & PATTEN	067	GD	S	1,000	78.68	n/a	n/a	50.00	5.0
MAZAMA CAPITAL MGMT.	035	GHL	B	108,975	60.84	n/a	n/a	4,359.00	4.0
CASTLE ARK	031	GIL	B	36,100	63.07	n/a	2-Apr	2,166.00	6.0
PAKLER	N22	GIL	B	39	63.27	n/a	2-Apr	0.00	0.0
GRONET	030	GLW	B	1,000	23.54	n/a	2-Mar	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	GM	SS	10,000	31.99	n/a	5-Apr	400.00	4.0
MORTAR ROCK	033	GM	SS	25,000	32.02	n/a	5-Apr	1,250.00	5.0
J L F ASSET MGMT	039	GPS	B	333,000	18.32	n/a	9-Mar	13,320.00	4.0
WHEELER	008	GXP	B	5,000	32.98	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	GYMB	B	50,000	41.46	4-Jan	14-Mar	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>SIRIS</b>	<b>013</b>	<b>HAR</b>	<b>S</b>	<b>800</b>	<b>99.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	HMC	S	1,500	35.26	n/a	n/a	75.00	5.0
<b>Õ Claire Mencke</b>		<b>HW</b>	<b>S</b>	<b>100</b>	<b>22.2700</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	IFC	S	10,700	17.95	n/a	n/a	481.50	4.5
<b>Õ Claire Mencke</b>		<b>IMH</b>	<b>S</b>	<b>300</b>	<b>4.6600</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RIVER RUN MGMT	031	ITCD	B	25,000	3.25	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	ITG	SS	20,000	38.83	n/a	n/a	1,000.00	5.0
LATEFF MGMT	040	JNJ	B	1,200	61.53	n/a	22-Apr	396.00	33.0
PATTEN & PATTEN	067	JNJ	S	500	61.43	n/a	22-Apr	25.00	5.0
THIRD COAST CAPITAL	035	JNY	S	30,000	31.98	n/a	15-Feb	1,500.00	5.0
PATTEN & PATTEN	067	JPM	S	1,000	48.90	n/a	13-Mar	50.00	5.0
CUMBERLAND	038	JWN	B	10,000	54.57	27-Feb	9-Mar	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>B</b>	<b>10,000</b>	<b>26.88</b>	<b>n/a</b>	<b>28-Feb</b>	<b>400.00</b>	<b>4.0</b>
CUMBERLAND	038	KSS	B	12,300	78.01	27-Dec	8-Mar	615.00	5.0
CUMBERLAND	038	KSS	S	4,800	77.92	27-Dec	8-Mar	240.00	5.0
J L F ASSET MGMT	039	KSS	SS	39,600	78.26	27-Dec	8-Mar	1,584.00	4.0
RBC CAPITAL MARKETS	034	KSS	B	20,000	78.27	27-Dec	8-Mar	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	LRCX	SS	20,000	49.47	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	MDT	S	500	48.79	n/a	22-Apr	25.00	5.0
WEINTRAUB CAPITAL MGT.	040	MIR	S	50,000	43.16	n/a	n/a	2,500.00	5.0
<b>Õ Claire Mencke</b>		<b>MMA</b>	<b>S</b>	<b>200</b>	<b>28.2400</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRONG/WELL HOWARD	038	MWV	S	170,600	32.09	20-Mar	20-Mar	6,824.00	4.0
CAPITAL GROWTH MGMT.	241	NCS	B	10,000	47.09	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	NVS	S	1,200	55.18	n/a	n/a	60.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>5,000</b>	<b>15.36</b>	<b>23-Mar</b>	<b>23-Mar</b>	<b>200.00</b>	<b>4.0</b>
GARX	030	NWY	S	72,100	15.23	23-Mar	23-Mar	2,884.00	4.0
STRAUSS ASSET MGMT	040	OCNW	B	20,000	8.85	n/a	n/a	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	PCU	B	20,000	76.65	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	PEP	S	1,000	63.03	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	PG	S	1,200	63.00	15-Dec	30-Mar	60.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>PNW</b>	<b>B</b>	<b>5,000</b>	<b>49.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	PRU	S	1,000	91.48	n/a	n/a	50.00	5.0
MERRILL ASSET	032	PVA	B	20,700	76.67	n/a	n/a	931.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>Õ Claire Mencke</b>		<b>RAS</b>	<b>S</b>	<b>100</b>	<b>27.0100</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	RHHBY	S	1,000	90.60	n/a	n/a	50.00	5.0
PIVOT CAP	034	SKS	S	11,500	20.93	n/a	n/a	575.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>SO</b>	<b>B</b>	<b>5,000</b>	<b>37.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAIRS AND POWER INV	030	SVU	S	10,000	38.94	n/a	n/a	600.00	6.0
<b>BARR</b>	<b>096</b>	<b>TGIC</b>	<b>SS</b>	<b>500</b>	<b>39.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	TIF	SS	10,000	47.87	27-Mar	27-Mar	500.00	5.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>TIN</b>	<b>S</b>	<b>50,000</b>	<b>60.90</b>	<b>26-Feb</b>	<b>20-Mar</b>	<b>2,500.00</b>	<b>5.0</b>
MATRIX ASSET ADV.	036	TWX	S	18,500	21.16	n/a	n/a	740.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>UAUA</b>	<b>B</b>	<b>4,473</b>	<b>41.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>UAUA</b>	<b>B</b>	<b>500</b>	<b>41.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>VLO</b>	<b>S</b>	<b>3,500</b>	<b>67.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>WM</b>	<b>SS</b>	<b>400</b>	<b>39.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	WWY	S	250	51.05	n/a	n/a	12.50	5.0
BRIGHTPOINT CAP	067	YUM	SS	5,000	59.07	n/a	13-Feb	250.00	5.0

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**TOTAL (Trade Date):**

**114,255.80**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CRT	04/05	MKT MAKER (MKT MAKER)	099	ITCD	S	500	2.90	n/a	n/a	0.00 0.0
AO,	04/05	GRUSS CAPITAL (GRUS)	040	WMG	S	15,000	16.82	n/a	n/a	600.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>600.00</b>

TOTAL (Trade Date) :	114,255.80
TOTAL (AO, CXL, CRT) :	600.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>114,855.80</b>
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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