



Daily Compliance Activity Report

Trade Date: 02/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MKT MAKER	099	AEOS	S	500	32.55	4-Jan	5-Feb	0.00	0.0
DSG CAPITAL	225	AVZ	B	10,000	24.48	29-Dec	1-Feb	500.00	5.0
GOLDEN TREE	036	BHS	B	37,700	40.35	n/a	n/a	1,885.00	5.0
WHITE PINE CAPITAL	030	BONT	S	725	38.70	23-Oct	5-Feb	36.25	5.0
BALYASNY ASSET MGMT	044	BSC	S	10,000	165.08	15-Dec	16-Jan	8.25	0.0
KAICHER	064	CBLI	S	600	8.35	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	CEN	S	20,000	30.99	n/a	n/a	1,200.00	6.0
NEUBERGER BERMAN	238	CHD	S	22,300	44.52	n/a	4-Dec	1,115.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	46.53	24-Jan	24-Jan	400.00	4.0
J L F ASSET MGMT	039	COST	B	52,800	56.47	n/a	5-Jan	2,112.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	40,000	24.66	n/a	n/a	1,600.00	4.0
LEDDY	035	CRI	B	600	24.72	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	CWTR	C	500	19.20	n/a	n/a	25.00	5.0
FARBER/WEISS PECK	012	DDS	SS	13,500	34.86	n/a	n/a	675.00	5.0
ZOLIDIS	011	DECK	SS	200	63.40	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOUT CAPITAL	044	DUK	S	125,000	20.32	n/a	n/a	5,000.00	4.0
DAVIDSON KEMPNER ADVISOR	217	EMIS	SS	19,100	5.34	n/a	n/a	955.00	5.0
HARRIS ASSOCIATES	031	FL	B	85,400	22.65	n/a	5-Feb	3,416.00	4.0
THIRD POINT MGMT	044	FL	B	600,000	22.64	n/a	5-Feb	24,000.00	4.0
REICH AND TANG	037	FMC	S	10,000	77.85	n/a	n/a	500.00	5.0
MORGAN BANK /JPM	012	GE	S	19,500	36.44	n/a	n/a	585.00	3.0
DC CAPITAL	044	GLW	B	100,000	21.44	n/a	5-Feb	5,000.00	5.0
BALYASNY ASSET MGMT	044	GS	S	5,000	211.90	13-Dec	16-Jan	250.00	5.0
LOCUS WOOD CAPITAL MGMT	044	HC	B	75,000	22.09	n/a	5-Feb	3,000.00	4.0
MCCARTAN	028	HC	S	400	22.81	n/a	5-Feb	0.00	0.0
DAVIDSON KEMPNER ADVISOR	217	HNSN	B	26,200	16.47	n/a	n/a	1,310.00	5.0
WHEELER	008	HSTX	S	4,900	20.84	n/a	n/a	0.00	0.0
CROWLEY	061	HSTX	S	1,500	20.65	n/a	n/a	0.00	0.0
SUTERA	160	HSTX	S	1,250	20.83	n/a	n/a	0.00	0.0
CHARTER OAK	037	IDIX	B	29,000	8.88	n/a	n/a	1,450.00	5.0
DAVIDSON KEMPNER ADVISOR	217	IP	B	100,000	34.90	n/a	2-Feb	5,000.00	5.0
KERN	050	ISE	B	500	42.24	26-Oct	1-Feb	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GAULT	063	ISE	B	1,000	42.53	26-Oct	1-Feb	0.00	0.0
SUTERA	160	ISE	B	1,000	42.43	26-Oct	1-Feb	0.00	0.0
LEDDY	035	ITCD	B	2,500	2.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	B	10,000	33.76	n/a	2-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	KWD	B	10,000	32.53	n/a	n/a	400.00	4.0
DELTEC ASSET MGMT.	040	LOW	B	11,000	34.20	n/a	16-Jan	550.00	5.0
FARBER/WEISS PECK	012	LOW	SS	14,000	34.11	n/a	16-Jan	700.00	5.0
LUCHANSKY	036	LPNT	S	200	35.75	n/a	5-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	28.59	5-Jan	5-Feb	1,200.00	4.0
WD PARTNERS ILP	067	MCCC	SS	7,500	8.04	11-Jan	5-Feb	300.00	4.0
THE JAY GOLDMAN	034	MWV	S	23,200	30.05	8-Jan	1-Feb	928.00	4.0
KEEFE BRUYETTE WOODS A	031	NDAQ	SS	16,700	33.35	n/a	n/a	835.00	5.0
PEREGRINE	030	NDN	B	129,600	15.15	16-Jan	16-Jan	6,480.00	5.0
HAYGROUND COE	039	NKE	SS	10,000	99.75	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	10,000	14.82	1-Dec	5-Feb	400.00	4.0
HAYGROUND COE	039	PSUN	B	100,000	19.79	n/a	5-Feb	5,000.00	5.0
SAC TRADING HOWARD	038	PSUN	S	10,000	19.85	n/a	5-Feb	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RSH	SS	30,000	22.21	n/a	n/a	1,200.00	4.0
COHE & STEERS	091	RYN	B	65,000	43.78	24-Jan	24-Jan	3,250.00	5.0
MCCARTAN	028	SDS	S	100	56.31	n/a	n/a	0.00	0.0
NOLAN	067	SDS	S	10	56.33	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	SHOO	B	15,000	31.05	n/a	n/a	750.00	5.0
ZOLIDIS	011	SHOO	B	500	30.99	n/a	n/a	0.00	0.0
THIRD AVE MGMT	030	SM	B	39,000	36.15	n/a	n/a	1,560.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	5,000	22.04	9-Jan	5-Feb	200.00	4.0
BALYASNY ASSET MGMT	044	STT	B	5,000	68.41	n/a	n/a	250.00	5.0
MISSOURI VALLEY PART	046	SWN	S	19,620	39.40	n/a	22-Jan	981.00	5.0
XYLEM GLOBAL	091	TIN	B	25,000	50.40	n/a	23-Jan	1,250.00	5.0
CASTLEROCK	040	TRI	B	107,900	49.70	22-Jan	5-Feb	4,316.00	4.0
LATEFF MGMT	040	TRI	S	3,000	49.72	22-Jan	5-Feb	660.00	22.0
ROBERTSON STEVENS BC	033	TRI	S	50,000	49.86	22-Jan	5-Feb	2,000.00	4.0
LUCHANSKY	036	TSU	B	300	35.27	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	34.30	9-Jan	23-Jan	400.00	4.0
JACOB	068	UCO	S	179	71.42	n/a	5-Feb	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GASNER	025	UFPI	SS	200	48.96	n/a	n/a	0.00	0.0
MERRILL ASSET	032	VQ	B	4,700	16.28	n/a	n/a	235.00	5.0
BALYASNY ASSET MGMT	044	WDR	S	40,000	25.50	12-Jan	1-Feb	2,000.00	5.0
J L F ASSET MGMT	039	WMT	B	800	48.54	5-Oct	2-Feb	32.00	4.0
ACT II PARTNERS	067	XOHO	B	40,000	4.43	n/a	n/a	1,600.00	4.0
KAICHER	064	ZHNE	B	500	1.22	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	15,000	14.22	8-Sep	11-Jan	600.00	4.0
TOTAL (Trade Date) :								99,499.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	01/31	AMBER CAPITAL (AMBRGS)	046	AIN	B	1,000	33.50	n/a	n/a	40.00	4.0
AO,CXL	01/31	AMBER CAPITAL (AMBRLEH)	046	AIN	B	1,000	33.50	n/a	n/a	40.00	4.0
AO,CXL	02/02	CAPITAL GROWTH MGMT. (CAPG4892)	241	BHI	B	60,000	71.01	n/a	n/a	3000.00	5.0
AO,CRT	02/02	CAPITAL GROWTH MGMT. (CAPG4892)	241	BHI	B	60,000	71.01	n/a	n/a	3000.00	5.0
AO,	01/30	EAGLE ASSET MGMT (EAGL203373)	044	CRR	B	40	36.80	1-Feb	1-Feb	1.60	4.0
AO,	01/30	EAGLE ASSET MGMT (EAGL268231)	044	CRR	B	75	36.80	1-Feb	1-Feb	3.00	4.0
AO,	01/30	EAGLE ASSET MGMT (EAGL446387)	044	CRR	B	30	36.80	1-Feb	1-Feb	1.20	4.0
AO,CXL	01/30	EAGLE ASSET MGMT (EAGL203373)	044	CRR	B	40	36.80	1-Feb	1-Feb	1.60	4.0
AO,CXL	01/30	EAGLE ASSET MGMT (EAGL268231)	044	CRR	B	75	36.80	1-Feb	1-Feb	3.00	4.0
AO,CXL	01/30	EAGLE ASSET MGMT (EAGL446387)	044	CRR	B	30	36.80	1-Feb	1-Feb	1.20	4.0
AO,	02/02	CAPITAL GROWTH MGMT. (CAPG4892)	241	F	B	100,000	8.21	n/a	n/a	3000.00	3.0
AO,CXL	02/02	DAVIDSON TRUST CO (DAVTOMNI)	033	INTC	S	3,200	21.06	n/a	n/a	192.00	6.0
AO,CRT	02/02	DAVIDSON TRUST CO (DAVTOMNI)	033	INTC	S	3,200	21.06	n/a	n/a	160.00	5.0
AO,CXL	02/02	MKT MAKER (MKT MAKER)	099	RDEN	B	92	20.60	5-Feb	5-Feb	0.00	0.0
AO,CRT	02/01	NEUBERGER BERMAN (NBER530202)	238	SRX	B	2,500	21.63	n/a	n/a	125.00	5.0
AO,CXL	02/01	NEUBERGER BERMAN (NBER530200)	238	SRX	B	2,500	21.63	n/a	n/a	125.00	5.0
AO,CXL	02/02	NICHOLAS ADVISORS (NICHLEH197)	034	STX	B	3,500	26.36	n/a	n/a	0.00	0.0
AO,CRT	02/02	NICHOLAS ADVISORS (NICHLEH197)	034	STX	B	3,500	26.36	n/a	n/a	175.00	5.0
AO,CRT	01/31	NEUBERGER BERMAN (NBER530202)	238	UNT	S	2,500	48.09	31-Jan	31-Jan	125.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/31	NEUBERGER BERMAN (NBER530200)	238	UNT	S	2,500	48.09	31-Jan	31-Jan	125.00 5.0
TOTAL (AO, CXL, CRT) :										3,143.00
TOTAL (Trade Date) :										99,499.50
TOTAL (AO, CXL, CRT) :										3,143.00
TOTAL (RUN DATE) / NFS :										102,642.50

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