



Daily Compliance Activity Report

Trade Date: 06/27/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AELTUS/ING INVESTMENT MGT	044	ABK	B	195,520	84.65	n/a	n/a	7,820.80	4.0
CAXTON PART	040	ABT	B	25,000	53.70	n/a	22-Apr	1,000.00	4.0
MAGUIRE	090	ACI	B	3,000	34.37	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	012	AEO	B	4,000	25.55	n/a	12-Jun	200.00	5.0
FIRST NEW YORK LEDDY	035	AMR	B	20,000	25.74	n/a	n/a	1,200.00	6.0
BUCK CAPITAL MGMT	001	ANN	SS	11,800	36.05	25-May	8-Jun	472.00	4.0
LIGHTHOUSE FIN/QUAD	046	ARO	SS	5,000	42.52	n/a	8-Jun	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	ARO	SS	50,000	42.82	n/a	8-Jun	2,500.00	5.0
DSG CAPITAL	225	ASD	B	3,000	58.41	31-May	25-Jun	150.00	5.0
Philip Franz		ASD	B	200	58.4200	31-May	25-Jun	0.00	0.0
MCCARTAN	028	ASD	B	200	57.95	31-May	25-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	BID	B	10,000	47.07	n/a	n/a	400.00	4.0
CAPITAL GROWTH MGMT.	241	BID	S	115,000	46.36	n/a	n/a	5,750.00	5.0
DSG CAPITAL	225	BLK	S	500	156.00	26-Jun	27-Jun	25.00	5.0
DURANGO INVESTMENTS	031	BRNC	B	20,900	16.26	n/a	n/a	836.00	4.0
MAGUIRE	090	BTU	B	2,000	46.60	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARIENCE CAPITAL	036	BYD	B	12,875	48.64	n/a	27-Apr	643.75	5.0
HARVEST MGMT	039	CAO	S	60,000	18.38	n/a	n/a	3,000.00	5.0
NWQ INVESTMENT MGMT CO	048	CBS	S	15,000	32.95	n/a	n/a	600.00	4.0
MS PRINCIPAL STRATEGIES	040	CFC	B	4,000	35.50	n/a	n/a	1.78	0.0
KERN	050	CHCG	B	1,000	6.12	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	SS	20,000	25.06	31-May	8-Jun	800.00	4.0
DIAMONDBACK CAP MGMT	232	CLMS	B	25,000	24.89	29-May	27-Jun	1,250.00	5.0
BUCK CAPITAL MGMT	001	COH	B	10,000	46.92	23-Feb	25-Apr	400.00	4.0
OGORMAN	146	CPNLQ	S	2,500	3.75	n/a	13-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	CRI	S	20,000	25.17	n/a	n/a	800.00	4.0
WENTWORTH HAUSER VIOLICK	035	CSE	B	99,950	24.50	n/a	n/a	4,997.50	5.0
WEMT	035	CSE	B	50	24.50	n/a	n/a	2.50	5.0
MATTHES CAPITAL MGMT	033	CSV	S	13,000	7.90	n/a	n/a	520.00	4.0
NWQ INVESTMENT MGMT CO	048	C	S	25,000	50.97	n/a	14-Jun	1,000.00	4.0
BUCK CAPITAL MGMT	001	DKS	B	5,000	56.09	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	40,000	34.81	7-May	7-Jun	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	ETH	SS	11,700	34.41	n/a	n/a	468.00	4.0
MAZAMA CAPITAL MGMT.	035	FMR	B	22,000	20.54	n/a	n/a	880.00	4.0
BUCK CAPITAL MGMT	001	F	B	21,200	9.03	n/a	14-Jun	848.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	170,000	52.62	n/a	10-Jan	6,800.00	4.0
NWQ INVESTMENT MGMT CO	048	GFF	B	14,100	21.63	n/a	n/a	564.00	4.0
FRIESS MGMT	042	GME	B	96,800	40.13	n/a	n/a	4,356.00	4.5
BUCK CAPITAL MGMT	001	GM	B	2,700	36.29	4-May	4-May	108.00	4.0
KACELA CAPITAL	034	GPS	S	38,000	19.09	n/a	8-Jun	1,520.00	4.0
THIRD COAST CAPITAL	035	GPS	S	75,000	19.11	n/a	8-Jun	3,750.00	5.0
MATTHES CAPITAL MGMT	033	HBI	B	10,000	27.08	n/a	n/a	400.00	4.0
WHEELER	008	HSTX	S	946	17.87	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	ICE	B	3,300	150.02	n/a	n/a	165.00	5.0
BODRI CAPITAL MGMT	035	ILF	SS	4,120	207.52	n/a	n/a	206.00	5.0
PROSPECTOR PARTNERS LLC	036	IOSP	S	7,000	60.41	n/a	n/a	280.00	4.0
SUN AMERICA ASSET MGMT	030	IRM	B	27,700	25.94	n/a	n/a	1,385.00	5.0
REINHART & MAHONEY	031	ISIL	S	17,490	31.21	n/a	n/a	874.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PHILADELPHIA FINANCIAL	033	IVZ	B	19,441	25.88	14-Jun	25-Jun	972.05	5.0
TRIVIUM CAP MGMT	028	JCP	B	28,600	70.34	21-Jun	21-Jun	1,144.00	4.0
AELTUS/ING INVESTMENT MGT	044	JEF	B	36,700	26.94	n/a	n/a	1,468.00	4.0
CAXTON PART	040	KLAC	C	50,000	56.42	n/a	n/a	2,000.00	4.0
BARON ASSET MGMT*	012	KMX	B	11,500	25.62	n/a	10-Jan	575.00	5.0
HARVEST MGMT	039	KR	S	50,000	27.93	n/a	n/a	2,500.00	5.0
TRUST CO/COWEN/CALF.	040	LSI	B	326,354	8.48	n/a	n/a	13,054.16	4.0
BUCK CAPITAL MGMT	001	LTM	B	10,000	53.77	n/a	n/a	400.00	4.0
CROWLEY	061	MIRWSB	S	500	23.34	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	MOT	S	50,000	17.82	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	M	SS	10,000	39.09	17-May	8-Jun	400.00	4.0
CAPITAL GROWTH MGMT.	241	NKE	B	157,700	58.14	n/a	n/a	7,885.00	5.0
DEMARTINI	065	OBTAM	B	25	5.20	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	ODP	B	19,300	32.13	n/a	26-Jun	965.00	5.0
BINDER	007	OMX	C	100	39.91	n/a	15-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	OXM	S	11,300	44.62	n/a	n/a	452.00	4.0
FIRST INV MGMT CORP	036	PGR	B	15,300	22.95	n/a	n/a	765.00	5.0
A.I.M. ADVISORS INC	222	RL	S	33,299	98.66	21-Jun	27-Jun	1,331.96	4.0
COUGAR TRADING	044	RL	SS	5,000	98.33	21-Jun	27-Jun	250.00	5.0
SUN AMERICA ASSET MGMT	030	ROG	B	11,500	39.07	n/a	n/a	575.00	5.0
CHILTON CAPITAL MGMT.	036	SCS	SS	15,000	18.05	n/a	n/a	600.00	4.0
MORRISON & FRASIER	040	SDS	B	22,150	53.79	n/a	n/a	886.00	4.0
FRIESS MGMT	042	SKS	B	146,200	20.98	n/a	n/a	6,579.00	4.5
DOWNTOWN ASSOC	033	SPY	B	100,000	148.74	n/a	n/a	3,500.00	3.5
DE SHAW	040	SUNW	B	1,250,000	5.06	n/a	n/a	37,500.00	3.0
BARR	096	SWIM	C	1,400	9.98	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	TAST	S	15,000	15.21	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	TGT	SS	20,000	63.71	n/a	7-Jun	800.00	4.0
THIRD COAST CAPITAL	035	TGT	SS	25,000	62.80	n/a	7-Jun	1,250.00	5.0
HARVEST MGMT	039	TJX	B	50,000	26.99	21-Mar	8-Jun	2,500.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	44.75	23-May	23-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MCCARTAN	028	TYC	S	350	33.50	19-Jun	19-Jun	0.00	0.0
REINHART & MAHONEY	031	VAR	B	17,770	40.91	n/a	n/a	888.50	5.0
LOOMIS SALES/BOSTON	036	VCI	B	62,950	17.40	n/a	n/a	2,518.00	4.0
NWQ INVESTMENT MGMT CO	048	VIAB	S	20,000	41.26	n/a	n/a	800.00	4.0
MS PRINCIPAL STRATEGIES	040	VLY	B	3,972	22.60	n/a	n/a	1.13	0.0
SUN AMERICA ASSET MGMT	030	WFMI	B	10,800	38.55	n/a	n/a	540.00	5.0
SENTINAL CAPITAL	067	WFT	S	3,000	55.12	n/a	n/a	150.00	5.0
COUGAR TRADING	044	ZQK	B	5,000	13.65	9-Mar	27-Jun	250.00	5.0
TOTAL (Trade Date) :								155,673.63	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	06/26	MAZAMA CAPITAL MGMT. (MAZANYPP F)	035	FMR	B	2,100	20.63	n/a	n/a	84.00	4.0
AO,CXL	06/26	MAZAMA CAPITAL MGMT. (MAZAHENDRI)	035	FMR	B	2,100	20.63	n/a	n/a	84.00	4.0
AO,	06/26	NUMERIC (NUMICOUNTY)	060	GE	S	9,200	38.06	n/a	n/a	276.00	3.0
AO,	06/26	NUMERIC (NUMIFIVE)	060	GE	S	4,100	38.06	n/a	n/a	123.00	3.0
AO,	06/26	NUMERIC (NUMIGMUS)	060	GE	S	14,300	38.06	n/a	n/a	429.00	3.0
AO,	06/26	NUMERIC (NUMIGNZSLG)	060	GE	S	5,300	38.06	n/a	n/a	159.00	3.0
AO,	06/26	NUMERIC (NUMIGS)	060	GE	S	20,800	38.06	n/a	n/a	624.00	3.0
AO,	06/26	NUMERIC (NUMILEAR)	060	GE	S	2,200	38.06	n/a	n/a	66.00	3.0
AO,	06/26	NUMERIC (NUMILSAS)	060	GE	S	900	38.06	n/a	n/a	27.00	3.0
AO,	06/26	NUMERIC (NUMIMARS)	060	GE	S	9,100	38.06	n/a	n/a	273.00	3.0
AO,	06/26	NUMERIC (NUMIMOLSON)	060	GE	S	1,900	38.06	n/a	n/a	57.00	3.0
AO,	06/26	NUMERIC (NUMIOIL)	060	GE	S	6,600	38.06	n/a	n/a	198.00	3.0
AO,	06/26	NUMERIC (NUMIQIC)	060	GE	S	4,500	38.06	n/a	n/a	135.00	3.0
AO,	06/26	NUMERIC (NUMIROCKVI)	060	GE	S	5,300	38.06	n/a	n/a	159.00	3.0
AO,	06/26	NUMERIC (NUMISANDIA)	060	GE	S	3,100	38.06	n/a	n/a	93.00	3.0
AO,	06/26	NUMERIC (NUMISIMGRP)	060	GE	S	1,600	38.06	n/a	n/a	48.00	3.0
AO,	06/26	NUMERIC (NUMITCU)	060	GE	S	3,000	38.06	n/a	n/a	90.00	3.0
AO,	06/26	NUMERIC (NUMICHEVY)	060	GE	S	13,600	38.06	n/a	n/a	408.00	3.0
AO,CXL	06/26	NUMERIC (NUMIMORGAN)	060	GE	S	116,100	38.06	n/a	n/a	3483.00	3.0
AO,	06/26	NUMERIC (NUMIMORGAN)	060	GE	S	10,600	38.06	n/a	n/a	318.00	3.0
AO,	06/26	MATTHES CAPITAL MGMT (MATTMSPB)	033	HBI	B	8,418	26.47	n/a	n/a	336.72	4.0
AO,CXL	06/26	MATTHES CAPITAL MGMT (MATTGSPB)	033	HBI	B	21,000	26.47	n/a	n/a	840.00	4.0
AO,CRT	06/26	MATTHES CAPITAL MGMT (MATTGSPB)	033	HBI	B	12,582	26.47	n/a	n/a	503.28	4.0
AO,	06/26	TROOB CAPITAL (TROOBSPB)	067	HBI	S	12,200	26.50	n/a	n/a	366.00	3.0
AO,	06/26	TROOB CAPITAL (TROOMSPB)	067	HBI	S	7,800	26.50	n/a	n/a	234.00	3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/26	TROUBH PART (TROUGOLD)	067	HBI	S	20,000	26.50	n/a	n/a	1000.00 5.0
AO,	06/26	FRIESS MGMT (FRISNCCOUN)	042	URBN	B	400	23.61	2-Apr	11-May	18.00 4.5
AO,CXL	06/26	FRIESS MGMT (FRIS-OLD)	042	URBN	B	400	23.61	2-Apr	11-May	18.00 4.5
AO,CRT	06/26	MKT MAKER (MKT MAKER)	099	WRNC	B	131	37.05	20-Jun	20-Jun	0.00 0.0
TOTAL (AO, CXL, CRT) :										-400.00

TOTAL (Trade Date):	155,673.63
TOTAL (AO, CXL, CRT):	-400.00
TOTAL (RUN DATE) / NFS:	155,273.63

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