



Daily Compliance Activity Report

Trade Date: 02/07/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ö Glenn Redemann		AGD	S	448	24.1500	n/a	n/a	0.00	0.0
TRIBECA	038	AMZN	SS	5,000	38.60	n/a	n/a	200.00	4.0
TYEE/TYGH	035	ANF	S	115,905	80.38	2-Feb	5-Feb	4,636.20	4.0
TRELLUS PARTNERS LP	028	AOS	B	20,200	38.91	21-Dec	23-Jan	1,010.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	37.32	23-Oct	5-Feb	400.00	4.0
THIRD COAST CAPITAL	035	ARO	B	10,000	37.39	23-Oct	5-Feb	500.00	5.0
BARR	096	AVNX	S	4,000	2.16	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	AVP	B	40,000	37.24	7-Feb	7-Feb	2,000.00	5.0
DSG CAPITAL	225	AVZ	B	3,000	24.78	29-Dec	6-Feb	150.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AVZ	S	170,200	24.84	29-Dec	6-Feb	6,382.50	3.8
SIGMA CAPITAL ASSOCIATES	044	A	SS	25,000	32.40	n/a	n/a	1,250.00	5.0
SAC TRADING HOWARD	038	BBW	S	15,000	29.40	8-Jan	8-Jan	750.00	5.0
BULL PATH CAPITAL	044	BEBE	B	10,000	18.25	n/a	n/a	500.00	5.0
BUCK	015	BFB	B	250	65.38	n/a	n/a	0.00	0.0
Ö Glenn Redemann		BIDU	B	7	1.5100	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Glenn Redemann		BIDU	B	7	1.7400	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		BIDU	S	7	2.3000	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		BIDU	S	7	2.8500	n/a	n/a	0.00	0.0
	AAD CAPITAL	048	BIG	SS	70,000	26.95	16-Nov	6-Feb	2,800.00	4.0
	BUCK CAPITAL MGMT	001	BIG	B	10,000	26.98	16-Nov	6-Feb	400.00	4.0
	WD PARTNERS ILP	067	BKE	SS	5,000	34.17	n/a	n/a	250.00	5.0
	STERLING JOHNSTON	035	BONT	S	28,350	42.02	23-Oct	5-Feb	1,417.50	5.0
	BARON ASSET MGMT*	012	CAKE	B	150,000	26.97	7-Feb	7-Feb	7,500.00	5.0
	HASAN	010	CALL	B	5,000	3.19	n/a	n/a	0.00	0.0
	EFSTATHIOU	044	CALL	B	1,000	3.16	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	CBK	B	10,000	18.37	11-Dec	5-Feb	400.00	4.0
	WILLIAMS TRADING/HOWARD	038	CC	S	200,000	20.64	20-Dec	10-Jan	8,000.00	4.0
Õ	Glenn Redemann		CENX	B	6	0.4000	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		CENX	S	6	0.2600	n/a	n/a	0.00	0.0
	PIEDRA CAPITAL	031	CHS	B	92,170	21.67	5-Jan	5-Feb	4,608.50	5.0
	LUCHANSKY	036	CMG	B	150	61.59	n/a	12-Dec	0.00	0.0
	LEEDS	002	CMRG	B	15,000	12.35	n/a	n/a	0.00	0.0
	WD PARTNERS ILP	067	COST	B	5,000	57.03	n/a	6-Feb	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RH CAPITAL ASSOCIATES	060	CRR	S	15,000	43.42	1-Feb	1-Feb	750.00	5.0
THIRD COAST CAPITAL	035	CTSH	B	5,000	94.08	n/a	n/a	250.00	5.0
HIGHBRIDGE CAPITAL	038	CZN	SS	157,100	14.70	n/a	n/a	7,855.00	5.0
THIRD COAST CAPITAL	035	DECK	B	10,000	64.41	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	DHI	S	16,200	29.81	n/a	n/a	648.00	4.0
ROBERTSON STEVENS BC	033	DOX	B	49,900	34.40	n/a	n/a	1,996.00	4.0
SARAS CAPITAL	038	DSW	B	5,025	40.92	n/a	5-Feb	150.75	3.0
CENTURION PARTNERS	249	EDA	B	10,000	11.42	n/a	n/a	500.00	5.0
Õ Glenn Redemann		EXP	B	10	0.4900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXP	B	10	0.5500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXP	S	10	1.5500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXP	S	10	1.6500	n/a	n/a	0.00	0.0
GAULT	063	FDBV	B	30	0.35	n/a	n/a	0.00	0.0
SSI INVESTORS	048	FD	B	16,304	41.29	26-Jan	5-Feb	652.16	4.0
WD PARTNERS ILP	067	FD	B	5,000	41.29	26-Jan	5-Feb	250.00	5.0
COUGAR TRADING	044	FL	S	10,000	23.04	n/a	5-Feb	500.00	5.0
Õ Glenn Redemann		GG	B	4	0.7200	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
Ö	Glenn Redemann		GG	B	4	1.1300	n/a	n/a	0.00 0.0
	COUGAR TRADING	044	GYMB	B	10,000	44.16	4-Jan	5-Feb	500.00 5.0
	SCHEINER	037	HC	S	500	22.96	n/a	5-Feb	0.00 0.0
	KERN	050	HC	S	1,000	22.90	n/a	5-Feb	0.00 0.0
	MERRILL ASSET	032	HHS	B	106,800	26.77	n/a	n/a	5,340.00 5.0
	MKT MAKER	099	HNSN	B	68	16.82	n/a	n/a	0.00 0.0
	BUCK	015	HSY	S	700	51.20	n/a	n/a	0.00 0.0
	BELMONT GLOBAL ADV	248	IAAC	S	18,653	19.70	n/a	n/a	932.65 5.0
	CHARTER OAK	037	IDIX	B	50,000	8.88	n/a	n/a	2,500.00 5.0
	CROWLEY	061	ILA	S	2,500	4.33	n/a	n/a	0.00 0.0
	AAD CAPITAL	048	INFY	SS	6,800	61.20	n/a	n/a	272.00 4.0
	MKT MAKER	099	INFY	SS	70	61.20	n/a	n/a	0.00 0.0
	KERN	050	ISE	S	500	48.00	26-Oct	6-Feb	0.00 0.0
	SAILFISH	037	IYR	B	5,000	93.99	n/a	n/a	250.00 5.0
	BEAR STEARNS ASSET MGMT.	033	JCP	C	27,500	85.01	10-Nov	5-Feb	1,100.00 4.0
	SAILFISH	037	JPM	B	7,500	50.92	n/a	18-Jan	375.00 5.0
	BINDER	007	KEGS	S	300	16.60	n/a	7-Feb	0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHEINER	037	KEGS	B	1,000	16.60	n/a	7-Feb	0.00	0.0
NEUBERGER BERMAN	238	KVA	S	29,400	25.33	n/a	n/a	1,470.00	5.0
SAILFISH	037	LIZ	SS	25,000	44.42	n/a	2-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	29.20	5-Jan	5-Feb	800.00	4.0
EGS ASSOCIATES LP	091	LTD	B	5,000	29.09	5-Jan	5-Feb	300.00	6.0
IRON HORSE CAPITAL MGMT	038	LVLTT	S	30,000	6.46	n/a	7-Feb	900.00	3.0
TROUBH PART	067	LVLTT	S	50,000	6.50	n/a	7-Feb	2,500.00	5.0
J L F ASSET MGMT	039	MDC	S	19,100	58.12	n/a	n/a	764.00	4.0
Õ Glenn Redemann		MFV	S	943	11.4700	n/a	n/a	0.00	0.0
CROWLEY	061	MIRWSB	S	500	16.80	n/a	n/a	0.00	0.0
CROWLEY	061	MIR	S	1,000	34.89	n/a	n/a	0.00	0.0
MKT MAKER	099	NDAQ	B	1,000	34.91	n/a	n/a	0.00	0.0
LEDDY	035	NEXC	B	1,100	9.40	n/a	n/a	0.00	0.0
SANDLER CAPITAL	038	NLC	B	40,000	24.77	n/a	n/a	2,400.00	6.0
THE JAY GOLDMAN	034	NWY	B	15,000	14.77	1-Dec	5-Feb	600.00	4.0
BARR	096	ONNN	C	700	9.62	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	PLCE	B	15,000	57.75	n/a	7-Feb	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	PRX	S	21,500	26.67	30-Jan	5-Feb	1,075.00	5.0
KNOTT PARTNERS	044	PRX	B	25,000	26.68	30-Jan	5-Feb	1,000.00	4.0
FIRST NEW YORK LEDDY	035	PSUN	B	10,000	19.27	n/a	7-Feb	600.00	6.0
WEINTRAUB CAPITAL MGT.	040	PSUN	S	233,200	19.37	n/a	7-Feb	11,660.00	5.0
Õ Glenn Redemann		RDC	B	3	0.9500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		RDC	B	3	1.1500	n/a	n/a	0.00	0.0
BUCK	015	RHHBY	B	200	94.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	12,200	84.09	2-Feb	2-Feb	488.00	4.0
SARAS CAPITAL	038	RVI	S	13,800	20.11	n/a	n/a	414.00	3.0
COHE & STEERS	091	RYN	B	89,600	44.98	24-Jan	24-Jan	4,480.00	5.0
MCCARTAN	028	SHOO	B	200	30.95	n/a	n/a	0.00	0.0
BARR	096	SNWL	B	1,400	9.25	n/a	n/a	0.00	0.0
TRIBECA	038	TSCO	SS	10,000	47.42	n/a	n/a	400.00	4.0
MKT MAKER	099	TWTC	B	12	23.39	7-Feb	7-Feb	0.00	0.0
NICOLAS APPLGATE	048	TXCO	S	16,100	12.14	n/a	n/a	483.00	3.0
LEDDY	035	T	S	600	37.36	26-Jan	7-Feb	0.00	0.0
SCHEINER	037	UCO	S	250	70.28	n/a	5-Feb	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Glenn Redemann		WCC	B	8	0.5500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WCC	B	8	1.0500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WCC	S	8	1.3000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WCC	S	8	2.4000	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	WDR	S	50,000	25.75	12-Jan	6-Feb	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	044	YUM	B	45,000	60.96	12-Dec	17-Jan	2,250.00	5.0
TOTAL (Trade Date):								105,810.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/06	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	COST	B	50,000	56.93	n/a	6-Feb	2500.00 5.0
AO,CRT	02/06	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	COST	B	50,000	56.93	n/a	6-Feb	2000.00 4.0
AO,CRT	02/06	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	GLW	SS	100,000	21.72	n/a	5-Feb	3000.00 3.0
AO,CXL	02/06	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	GLW	SS	100,000	21.72	n/a	5-Feb	5000.00 5.0
AO,CXL	02/06	IRONBOUND CAPITAL (IROBGS)	012	SSCC	SS	50,000	11.71	26-Oct	25-Jan	2500.00 5.0
AO,CRT	02/06	IRONBOUND CAPITAL (IROBGS)	012	SSCC	SS	50,000	11.71	26-Oct	25-Jan	1500.00 3.0
AO,CXL	02/06	IRONBOUND CAPITAL (IROBGS)	012	TIN	B	40,000	50.03	6-Feb	6-Feb	2000.00 5.0
AO,CRT	02/06	IRONBOUND CAPITAL (IROBGS)	012	TIN	B	40,000	50.03	6-Feb	6-Feb	1200.00 3.0

TOTAL (AO, CXL, CRT) :	-4,300.00
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TOTAL (Trade Date) :	105,810.26
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TOTAL (AO, CXL, CRT) :	-4,300.00
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TOTAL (RUN DATE) / NFS :	101,510.26
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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