

## **Daily Compliance Activity Report** Trade Date: 07/17/2007

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AMBER CAPITAL	046	ACXM	S	250 <b>,</b> 000	26.40	n/a	n/a	10,000.00	4.0
NEUBERGER BERMAN	036	AIZ	В	80,000	52.63	n/a	n/a	4,000.00	5.0
BARR	096	ALSC	В	7,000	5.85	n/a	n/a	0.00	0.0
JENNISON	032	ALTR	В	297 <b>,</b> 700	24.92	n/a	n/a	11,908.00	4.0
SUNOVA CAPITAL	031	AMG	S	10,000	131.22	25-Apr	16-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	В	15,000	73.43	12-Jul	13-Jul	600.00	4.0
CASEY CAPITAL	067	AOS	В	5,000	43.90	18-Apr	18-Apr	250.00	5.0
LUCHANSKY	036	AOS	S	200	44.00	18-Apr	18-Apr	0.00	0.0
MAGUIRE	039	ASDHM	S	10	1.65	n/a	n/a	0.00	0.0
EMP ERROR	N28	ASD	S	14	63.60	31-May	13-Jul	0.00	0.0
KANTROWIT	N28	ASD	S	16	63.60	31-May	13-Jul	0.00	0.0
DSG CAPITAL	225	AXE	В	2,000	81.41	24-Apr	16-May	100.00	5.0
MILLENIUM PARTNERS	028	BBIB	В	45,000	4.00	n/a	n/a	1,350.00	3.0
MILLENIUM PARTNERS	028	BBI	В	5,000	4.39	n/a	n/a	150.00	3.0
SUNOVA CAPITAL	031	BEN	S	25,000	142.99	10-Jul	16-Jul	1,250.00	5.0
	AMBER CAPITAL  NEUBERGER BERMAN  BARR  JENNISON  SUNOVA CAPITAL  BUCK CAPITAL MGMT  CASEY CAPITAL  LUCHANSKY  MAGUIRE  EMP ERROR  KANTROWIT  DSG CAPITAL  MILLENIUM PARTNERS  MILLENIUM PARTNERS	AMBER CAPITAL 046  NEUBERGER BERMAN 036  BARR 096  JENNISON 032  SUNOVA CAPITAL 031  BUCK CAPITAL MGMT 001  CASEY CAPITAL 067 LUCHANSKY 036  MAGUIRE 039  EMP ERROR N28 KANTROWIT N28  DSG CAPITAL 225  MILLENIUM PARTNERS 028  MILLENIUM PARTNERS 028	AMBER CAPITAL 046 ACXM  NEUBERGER BERMAN 036 AIZ  BARR 096 ALSC  JENNISON 032 ALTR  SUNOVA CAPITAL 031 AMG  BUCK CAPITAL MGMT 001 ANF  CASEY CAPITAL 067 AOS LUCHANSKY 036 AOS  MAGUIRE 039 ASDHM  EMP ERROR N28 ASD KANTROWIT N28 ASD  DSG CAPITAL 225 AXE  MILLENIUM PARTNERS 028 BBIB  MILLENIUM PARTNERS 028 BBI	AMBER CAPITAL 046 ACXM S  NEUBERGER BERMAN 036 AIZ B  BARR 096 ALSC B  JENNISON 032 ALTR B  SUNOVA CAPITAL 031 AMG S  BUCK CAPITAL MGMT 001 ANF B  CASEY CAPITAL 067 AOS B LUCHANSKY 036 AOS S  MAGUIRE 039 ASDHM S  EMP ERROR N28 ASD S  KANTROWIT N28 ASD S  MILLENIUM PARTNERS 028 BBIB B  MILLENIUM PARTNERS 028 BBIB B	AMBER CAPITAL 046 ACXM S 250,000  NEUBERGER BERMAN 036 AIZ B 80,000  BARR 096 ALSC B 7,000  JENNISON 032 ALTR B 297,700  SUNOVA CAPITAL 031 AMG S 10,000  BUCK CAPITAL MGMT 001 ANF B 15,000  CASEY CAPITAL 067 AOS B 5,000  LUCHANSKY 036 AOS S 200  MAGUIRE 039 ASDHM S 10  EMP ERROR N28 ASD S 14  KANTROWIT N28 ASD S 16  DSG CAPITAL 225 AXE B 2,000  MILLENIUM PARTNERS 028 BBIB B 45,000	AMBER CAPITAL 046 ACXM S 250,000 26.40  NEUBERGER BERMAN 036 AIZ B 80,000 52.63  BARR 096 ALSC B 7,000 5.85  JENNISON 032 ALTR B 297,700 24.92  SUNOVA CAPITAL 031 AMG S 10,000 131.22  BUCK CAPITAL MGMT 001 ANF B 15,000 73.43  CASEY CAPITAL 067 AOS B 5,000 43.90  LUCHANSKY 036 AOS S 200 44.00  MAGUIRE 039 ASDHM S 10 1.65  EMP ERROR N28 ASD S 14 63.60  KANTROWIT N28 ASD S 16 63.60  DSG CAPITAL 225 AXE B 2,000 81.41  MILLENIUM PARTNERS 028 BBIB B 45,000 4.00  MILLENIUM PARTNERS 028 BBIB B 5,000 4.39	AMBER CAPITAL 046 ACXM S 250,000 26.40 n/a  NEUBERGER BERMAN 036 AIZ B 80,000 52.63 n/a  BARR 096 ALSC B 7,000 5.85 n/a  JENNISON 032 ALTR B 297,700 24.92 n/a  SUNOVA CAPITAL 031 AMG S 10,000 131.22 25-Apr  BUCK CAPITAL MGMT 001 ANF B 15,000 73.43 12-Jul  CASEY CAPITAL 067 AOS B 5,000 43.90 18-Apr  LUCHANSKY 036 AOS S 200 44.00 18-Apr  MAGUIRE 039 ASDHM S 10 1.65 n/a  EMP ERROR N28 ASD S 14 63.60 31-May  KANTROWIT N28 ASD S 16 63.60 31-May  MAGUIRE 028 BBIB B 2,000 81.41 24-Apr  MILLENIUM PARTNERS 028 BBIB B 45,000 4.39 n/a	AMBER CAPITAL 046 ACXM S 250,000 26.40 n/a n/a  NEUBERGER BERMAN 036 AIZ B 80,000 52.63 n/a n/a  BARR 096 ALSC B 7,000 5.85 n/a n/a  JENNISON 032 ALTR B 297,700 24.92 n/a n/a  SUNOVA CAPITAL 031 AMG S 10,000 131.22 25-Apr 16-Jul  BUCK CAPITAL MGMT 001 ANF B 15,000 73.43 12-Jul 13-Jul  CASEY CAPITAL 067 AOS B 5,000 43.90 18-Apr 18-Apr LUCHANSKY 036 AOS S 200 44.00 18-Apr 18-Apr 18-Apr MAGUIRE 039 ASDHM S 10 1.65 n/a n/a  EMP ERROR N28 ASD S 10 1.65 n/a n/a  EMP ERROR N28 ASD S 16 63.60 31-May 13-Jul NATROWIT N28 ASD S 16 63.60 31-May 13-Jul DSG CAPITAL 225 AXE B 2,000 81.41 24-Apr 16-May MILLENIUM PARTNERS 028 BBIB B 45,000 4.00 n/a n/a	AMBER CAPITAL  046

	Account	RR #	Symbol	B	's	Shares	Price	MRI	Research	Comm.	¢/Shr.
õ	Glenn Redemann		BG	В		3	0.6700	n/a	n/a	0.00	0.0
õ	Glenn Redemann		BG	В		3	0.7000	n/a	n/a	0.00	0.0
õ	Glenn Redemann		BG		SS	3	1.4800	n/a	n/a	0.00	0.0
õ	Glenn Redemann		BG		SS	3	1.7400	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	BID		s	10,000	51.97	n/a	n/a	400.00	4.0
	CRAMER ROSENTHAL/SCOTT	012	BLL		S	13,700	53.48	n/a	n/a	548.00	4.0
	CROWLEY	061	BNJ	В		1,600	17.20	n/a	n/a	0.00	0.0
	XYLEM GLOBAL	091	BOW	В		75,000	24.28	n/a	14-Jun	3,750.00	5.0
	CHARTER OAK	033	CAG	В		96,580	26.96	n/a	n/a	4,829.00	5.0
	KORMAN	003	CHCG	В		5,000	7.26	n/a	n/a	0.00	0.0
	CROWLEY	061	СМИ	В		14,900	5.70	n/a	n/a	0.00	0.0
	COUGAR TRADING	044	СОН		S	5,000	49.02	23-Feb	25-Apr	250.00	5.0
	MAPL	068	CRM		SS	100,000	44.09	n/a	n/a	5,000.00	5.0
	BEAR STEARNS ASSET MGMT.	033	CWTR	В		65,000	21.72	n/a	n/a	2,600.00	4.0
	SUTERA	160	CXTI	В		2,000	7.00	n/a	n/a	0.00	0.0
	SATELLITE ASSET MGMT	012	DB		SS	7,000	147.64	n/a	n/a	280.00	4.0
	REINHART & MAHONEY	031	DDMX	В		6,300	26.00	n/a	n/a	315.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	MILLENIUM PARTNERS	028	DDS	В	25,000	37.24	n/a	n/a	1,250.00	5.0
	CROWLEY	061	EFT	В	1,000	18.93	n/a	n/a	0.00	0.0
	MAZAMA CAPITAL MGMT.	035	ENG	S	65,300	12.32	n/a	n/a	2,612.00	4.0
	BUCK CAPITAL MGMT	001	FL	В	80,000	21.23	24-May	21-Jun	3,200.00	4.0
	BUCK CAPITAL MGMT	001	GES	s	5,000	51.44	n/a	n/a	200.00	4.0
	BUCK	015	GPYHF	s	5	2.75	n/a	n/a	0.00	0.0
õ	Glenn Redemann		INSP	??	4	0.0700	n/a	n/a	0.00	0.0
õ	Glenn Redemann		INSP	??	4	0.0800	n/a	n/a	0.00	0.0
	LUCHANSKY	036	ITCD	В	1,000	8.50	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	JCG	S	5,000	55.13	22-Jun	22-Jun	200.00	4.0
	SANDLER O'NEILL ASSET	031	JNS	SS	20,000	31.67	16-Jul	16-Jul	1,000.00	5.0
	CAXTON PART	040	KLAC	С	50,000	58.57	n/a	n/a	2,000.00	4.0
	MAZAMA CAPITAL MGMT.	035	KOG	В	309,100	4.69	n/a	n/a	9,273.00	3.0
	AVESTA CAP	229	KO	В	25,000	53.31	n/a	n/a	1,250.00	5.0
	DSG CAPITAL	225	LEH	В	1,000	73.10	12-Jun	13-Jul	50.00	5.0
	WAGONHOUND	048	LEH	S	9,160	73.16	12-Jun	13-Jul	366.40	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	ROSEDALE CAPITAL	046	LEN	S	15,000	34.57	n/a	n/a	750.00	5.0
	GALLEON MGMT LP	033	LOW	SS	10,000	29.80	n/a	21-May	500.00	5.0
	GENERAL ELECTIC CO	033	LUV	S	129,914	15.49	n/a	n/a	5,846.17	4.5
	KERN	050	MERGQ	S	20	2.20	n/a	n/a	0.00	0.0
	GAULT	063	MERGQ	S	100	1.85	n/a	n/a	0.00	0.0
	KERN	050	MERHR	S	13	1.90	n/a	n/a	0.00	0.0
	SATELLITE ASSET MGMT	012	MI	В	15,000	46.91	n/a	n/a	600.00	4.0
õ	Glenn Redemann		MRO	В	4	0.8800	n/a	n/a	0.00	0.0
õ	Glenn Redemann		MRO	В	4	1.1600	n/a	n/a	0.00	0.0
õ	Glenn Redemann		MRO	SS	4	1.8200	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		MRO	SS	4	2.5200	n/a	n/a	0.00	0.0
	KENNEDY CAPITAL	046	NHWK	В	25,000	18.58	n/a	n/a	1,000.00	4.0
	WHEELER	008	NLC	В	5,000	25.61	n/a	n/a	0.00	0.0
	ZOLIDIS	011	NLS	S	500	10.01	n/a	n/a	0.00	0.0
	SUTERA	160	NLS	S	3,000	10.00	n/a	n/a	0.00	0.0
	виск	015	NMXUD	В	10	2.65	n/a	n/a	0.00	0.0
	GALLEON MGMT LP	033	OIH	SS	12,500	176.30	n/a	n/a	625.00	5.0
	KNOTT PARTNERS	044	PRX	В	10,000	25.95	21-May	16-Jul	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
RAINIER INV MGMT	035	PVH	В	80,650	56.24	31-May	31-May	4,032.50	5.0
JENNISON	032	QCOM	S	15,400	44.94	n/a	n/a	616.00	4.0
WHITE PINE CAPITAL	030	RCKY	S	2,125	17.26	n/a	n/a	106.25	5.0
DIAMONDBACK CAP MGMT	232	RF	S	100,000	33.79	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	RL	s	10,000	100.50	21-Jun	27-Jun	400.00	4.0
ZOLIDIS	011	scss	s	300	17.34	n/a	n/a	0.00	0.0
FRIESS MGMT	042	SKS	В	119,400	20.94	n/a	n/a	5 <b>,</b> 373.00	4.5
VENTANA CAPITAL	060	SKS	SS	10,000	20.96	n/a	n/a	400.00	4.0
ZOLIDIS	011	SKX	S	200	29.34	n/a	13-Mar	0.00	0.0
WHEELER	008	SSE	В	7,690	7.50	n/a	n/a	0.00	0.0
KERN	050	SUPG	В	1,000	5.99	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	SVU	S	20,000	47.55	n/a	n/a	1,200.00	6.0
WHEELER	008	TBAC	S	3,723	13.10	n/a	n/a	0.00	0.0
UBS OCONNOR	031	TEN	SS	25,000	35.87	n/a	n/a	750.00	3.0
COUGAR TRADING	044	TJX	S	15,000	29.72	13-Jul	13-Jul	750.00	5.0
BUCK CAPITAL MGMT	001	TWB	В	30,000	44.12	2-Jul	2-Jul	1,200.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	COUGAR TRADING	044	TWB	S	5,000	44.58	2-Jul	2-Jul	250.00	5.0
õ	Glenn Redemann		UIC	В	3	0.7300	n/a	n/a	0.00	0.0
õ	Glenn Redemann		UIC	В	3	0.8300	n/a	n/a	0.00	0.0
õ	Glenn Redemann		UIC	SS	3	1.5200	n/a	n/a	0.00	0.0
õ	Glenn Redemann		UIC	SS	3	1.9900	n/a	n/a	0.00	0.0
	COUGAR TRADING	044	URBN	В	5,000	22.30	2-Apr	16-Jul	250.00	5.0
	MSD CAPITAL	036	USTR	S	1,200	71.00	23-May	23-May	60.00	5.0
	CSFB GLOBAL PROPRIETARY	035	WBCWI	В	50,000	0.00	n/a	n/a	2,500.00	5.0
	DSG CAPITAL	225	WBCWI	В	9,667	0.00	n/a	n/a	483.35	5.0
	BULL PATH CAPITAL	044	WDR	S	27,500	29.05	13-Jul	16-Jul	1,375.00	5.0
	SANDLER O'NEILL ASSET	031	WDR	S	56,700	28.92	13-Jul	16-Jul	2,835.00	5.0
	ZOLIDIS	011	WMT	S	100	48.48	4-Jun	12-Jul	0.00	0.0
	JP MORGAN VENTURES	046	WRNC	S	25,000	40.87	20-Jun	20-Jun	1,250.00	5.0
	GALLEON MGMT LP	033	XHB	SS	25,000	30.34	n/a	n/a	1,250.00	5.0
	COMMISSUM CAPITAL	067	XLF	SS	25,000	36.71	n/a	n/a	1,250.00	5.0

TOTAL (Trade Date): 110,533.67

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr
AO,CXL	07/16	DAVIDSON TRUST CO (DAVT516)	033	APPB	S	55	24.85	n/a	n/a	1.24	0.0
AO,CRT	07/16	DAVIDSON TRUST CO (DAVT516)	033	APPB	S	55	24.85	n/a	n/a	2.75	5.0
AO,	07/16	KANTROWIT (KANTROWIT)	N28	ASD	В	16	61.16	31-May	13-Jul	0.00	0.0
AO,	07/16	EMP ERROR (EMP ERROR)	N28	ASD	В	14	61.16	31-May	13-Jul	0.00	0.0
AO, CXL	07/16	KANTROWIT (KANTROWIT)	N21	ASD	В	30	61.16	31-May	13-Jul	0.00	0.0
CRT	07/17	MAIRS AND POWER INV (MAIRGROWTH)	030	SVU	S	20,000	47.55	n/a	n/a	1200.00	6.0

TOTAL (RUN DATE) / NFS:	111,735.18
OTAL (AO, CXL, CRT):	1,201.51
COTAL (Trade Date):	110,533.67

## Legend:

O: 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