



Daily Compliance Activity Report

Trade Date: 03/20/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	AAPL	S	836	91.32	n/a	n/a	41.80	5.0
GRISANTI BROWN & PARTNER	048	AA	B	22,000	34.08	n/a	n/a	1,100.00	5.0
BAIRD INVESTMENT	031	ABT	S	1,915	53.42	n/a	22-Apr	95.75	5.0
BAIRD INVESTMENT	031	ADBE	S	1,144	40.34	n/a	n/a	57.20	5.0
SONAR CAP MGMT	037	ADI	B	100,000	35.99	n/a	n/a	5,000.00	5.0
BAIRD INVESTMENT	031	AGN	S	468	110.00	14-Mar	19-Mar	23.40	5.0
NCM CAPITAL MGMT	035	AMG	B	4,900	105.96	5-Mar	5-Mar	245.00	5.0
J L F ASSET MGMT	039	ANF	B	39,700	75.50	2-Feb	9-Mar	1,588.00	4.0
COUGAR TRADING	044	ANN	SS	10,000	38.98	5-Jan	19-Mar	500.00	5.0
COUGAR TRADING	044	ARO	B	5,000	39.89	23-Oct	16-Mar	250.00	5.0
KACELA CAPITAL	034	ARO	B	12,000	40.08	23-Oct	16-Mar	480.00	4.0
STADIA CAPITAL	035	ARO	C	18,500	40.11	23-Oct	16-Mar	740.00	4.0
THE JAY GOLDMAN	034	ARO	B	30,000	40.16	23-Oct	16-Mar	1,200.00	4.0
BAIRD INVESTMENT	031	A	S	1,603	32.00	n/a	n/a	80.15	5.0
BAIRD INVESTMENT	031	BBBY	S	1,729	39.41	n/a	n/a	86.45	5.0
BUCK CAPITAL MGMT	001	BBW	S	5,000	27.34	19-Mar	19-Mar	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	BBY	S	1,755	47.80	13-Dec	21-Feb	87.75	5.0
BUCK CAPITAL MGMT	001	BBY	B	40,000	47.95	13-Dec	21-Feb	1,600.00	4.0
KACELA CAPITAL	034	BEBE	B	25,000	17.95	n/a	n/a	1,000.00	4.0
EGS ASSOCIATES LP	091	BIG	SS	7,500	31.82	9-Mar	16-Mar	450.00	6.0
BESSIMER TRUST	034	BMET	S	179,975	42.45	n/a	n/a	8,098.88	4.5
COLONIAL FUND LLC	036	BONT	B	10,000	55.78	9-Mar	16-Mar	500.00	5.0
GLICK	059	BSC	B	200	147.28	15-Dec	16-Mar	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	BWP	S	10,000	36.50	n/a	n/a	500.00	5.0
GALLEON MGMT LP	033	CAG	B	5,000	24.52	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	CAH	S	1,087	71.85	n/a	n/a	54.35	5.0
BEAR STEARNS ASSET MGMT.	033	CAKE	S	160,000	27.22	7-Feb	7-Feb	6,400.00	4.0
BUCK CAPITAL MGMT	001	CBK	B	20,000	17.85	11-Dec	9-Mar	800.00	4.0
KAICHER	064	CBLI	B	1,000	9.50	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	CLMS	B	23,200	22.45	12-Mar	20-Mar	1,160.00	5.0
SLS CAPITAL LLC	224	CLMS	SS	145,600	22.44	12-Mar	20-Mar	7,280.00	5.0
MKT MAKER	099	CLMS	SS	38	22.44	12-Mar	20-Mar	0.00	0.0
BAIRD INVESTMENT	031	COF	S	1,204	75.53	n/a	n/a	60.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	S	10,000	49.73	23-Feb	23-Feb	400.00	4.0
MILLRACE FUND LP	033	CRR	B	9,200	44.86	1-Feb	1-Feb	368.00	4.0
BUCK	015	CRTX	B	5,000	2.09	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	CSCO	S	3,813	26.35	n/a	22-Mar	190.65	5.0
CARLSON CAPITAL	031	C	B	96,400	50.18	11-Jan	13-Mar	4,820.00	5.0
GLICK	059	DBRN	B	500	20.36	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	DHR	S	1,194	71.56	n/a	n/a	59.70	5.0
BUCK CAPITAL MGMT	001	DKS	B	10,000	56.34	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	031	DNA	S	799	82.99	n/a	n/a	39.95	5.0
WEISS PECK	040	DSW	SS	5,200	42.43	n/a	9-Feb	156.00	3.0
BUCK	015	DUK	S	1,000	20.17	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	ECL	S	1,361	42.83	n/a	2-Mar	68.05	5.0
BAIRD INVESTMENT	031	EMR	S	2,203	42.95	n/a	n/a	110.15	5.0
BAIRD INVESTMENT	031	ERTS	S	1,032	49.07	n/a	n/a	51.60	5.0
BAIRD INVESTMENT	031	FAST	S	1,900	35.32	n/a	n/a	95.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	034	FDX	B	22,332	112.32	n/a	n/a	1,004.95	4.5
BUCK CAPITAL MGMT	001	FL	B	30,000	23.02	n/a	19-Mar	1,200.00	4.0
EGS ASSOCIATES LP	091	FL	B	5,000	22.95	n/a	19-Mar	300.00	6.0
SCOPUS FUND	039	FL	S	50,000	23.00	n/a	19-Mar	2,500.00	5.0
GLICK	059	FSLCX	S	332	19.57	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	GHL	S	10,000	64.01	n/a	n/a	500.00	5.0
LEEDSFAMLI	002	GIL	B	4,000	56.00	n/a	n/a	0.00	0.0
LEEDS	002	GIL	B	4,000	56.00	n/a	n/a	0.00	0.0
KEEFE BRUYETTE WOODS A	031	GS	S	5,200	203.03	13-Dec	14-Mar	260.00	5.0
MERRILL LYNCH STRATEGICI	034	HBI	B	7,000	27.91	n/a	n/a	350.00	5.0
MAZAMA CAPITAL MGMT.	035	HPY	S	36,400	23.70	n/a	n/a	1,456.00	4.0
SSI INVESTORS	048	HSP	B	34,600	39.34	n/a	22-Apr	1,384.00	4.0
MERRILL ASSET	032	IFC	S	22,200	19.10	n/a	n/a	1,110.00	5.0
CARDINAL CAPITAL	044	IHP	B	16,700	56.23	n/a	n/a	835.00	5.0
CSFB GLOBAL PROPRIETARY	035	IP	B	15,000	35.79	20-Mar	20-Mar	750.00	5.0
THE JAY GOLDMAN	034	IP	S	12,500	36.01	20-Mar	20-Mar	500.00	4.0
BUCK	015	ISTA	B	1,500	8.69	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BLACKROCK/BOSTON	037	IT	S	1,800	23.18	n/a	n/a	72.00	4.0
COUGAR TRADING	044	JCG	B	5,000	38.74	14-Mar	14-Mar	250.00	5.0
NCM CAPITAL MGMT	035	JCG	B	47,450	38.87	14-Mar	14-Mar	2,372.50	5.0
SANDLER O'NEILL ASSET	031	JNC	B	25,000	46.64	n/a	5-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	KCP	B	40,000	26.74	n/a	28-Feb	1,600.00	4.0
MORGAN STANLEY PRINC 2	040	LM	SS	15,900	94.15	16-Mar	16-Mar	636.00	4.0
SUNOVA CAPITAL	031	LM	B	25,000	94.62	16-Mar	16-Mar	1,250.00	5.0
BALYASNY ASSET MGMT	044	MAR	B	20,000	49.01	n/a	n/a	1,000.00	5.0
KACELA CAPITAL	034	MOT	B	25,000	18.66	n/a	n/a	1,000.00	4.0
GLICK	059	MWV	B	400	29.86	20-Mar	20-Mar	0.00	0.0
EMP ERROR	099	MWV	S	20	29.87	20-Mar	20-Mar	0.00	0.0
CATAPULT	040	NCC	S	5,000	36.76	n/a	n/a	250.00	5.0
SCHEINER	037	NEXC	B	10,000	10.20	n/a	n/a	0.00	0.0
GLICK	059	NEXC	B	900	10.29	n/a	n/a	0.00	0.0
THIRD POINT MGMT	044	NSR	SS	100,000	29.31	n/a	n/a	4,000.00	4.0
BALYASNY ASSET MGMT	044	NTRI	S	15,000	48.72	n/a	n/a	750.00	5.0
BLACKROCK/BOSTON	037	OEH	S	17,600	53.17	n/a	n/a	704.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	PALM	S	100,000	18.98	n/a	n/a	4,000.00	4.0
JP MORGAN VENTURES	046	PFCB	SS	7,500	41.97	n/a	20-Feb	375.00	5.0
SCUDDER HEDGE	034	PLCE	B	25,000	55.33	n/a	9-Mar	1,000.00	4.0
ACK ASSET	028	PSMT	B	1,100	15.00	n/a	n/a	55.00	5.0
NCM CAPITAL MGMT	035	PWR	S	64,975	24.33	n/a	n/a	3,248.75	5.0
PELL RUDMAN/ATLANTIC TR	045	PWR	S	24,082	24.33	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	RHI	B	24,075	37.88	n/a	n/a	1,203.75	5.0
WEISS PECK	040	RVI	B	14,500	20.77	n/a	n/a	435.00	3.0
BLACKROCK/BOSTON	037	SDXC	S	13,200	18.19	n/a	n/a	528.00	4.0
PILOT ROCK	028	SHLD	S	102,302	175.73	n/a	n/a	4,092.08	4.0
CENTURION PARTNERS	233	SSI	B	50,000	22.92	26-Feb	14-Mar	2,500.00	5.0
HOOVER INV. MGMT	033	SSI	B	85,000	22.98	26-Feb	14-Mar	4,250.00	5.0
SUN AMERICA ASSET MGMT	030	SUN	S	18,500	68.05	n/a	n/a	925.00	5.0
LUCHANSKY	036	SUP	S	400	21.70	n/a	n/a	0.00	0.0
CENTURION PARTNERS	233	SVU	B	20,000	38.65	n/a	n/a	1,000.00	5.0
GLICK	059	TIN	B	200	58.69	26-Feb	20-Mar	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	233	TJX	B	40,000	26.56	n/a	20-Mar	2,000.00	5.0
GLG PARTNERS	034	TJX	S	25,000	26.57	n/a	20-Mar	1,250.00	5.0
J L F ASSET MGMT	039	TJX	B	226,800	26.57	n/a	20-Mar	9,072.00	4.0
VICTORIA INVESTORS LP	060	TJX	B	5,000	26.51	n/a	20-Mar	250.00	5.0
WESTLANE CAPITAL	044	TJX	B	10,000	26.44	n/a	20-Mar	500.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	10,000	24.51	10-Jan	8-Mar	400.00	4.0
BUCK	015	USB	B	500	35.48	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	VSE	B	5,000	17.40	n/a	n/a	250.00	5.0
SCUDDER HEDGE	034	WFR	B	15,000	56.61	n/a	n/a	600.00	4.0
HOTCHKIS & WILEY	035	WMT	B	2,000,000	47.16	n/a	8-Mar	100,000.00	5.0
KENNEDY CAPITAL	046	WRNC	S	15,000	28.00	18-Jan	27-Feb	600.00	4.0
EIDELMAN,FINGER & CO	046	YHOO	S	10,000	30.02	n/a	n/a	500.00	5.0
PRIME CAPITAL	048	ZQK	B	22,800	11.66	9-Mar	13-Mar	1,140.00	5.0
TOTAL (Trade Date) :								214,147.06	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	03/15	PATTEN & PATTEN (PATTSCHWAB)	067	AB	B	250	83.65	5-Mar	9-Mar	12.50	5.0
AO,CRT	03/15	PATTEN & PATTEN (PATTPEPSHI)	067	AB	B	250	83.65	5-Mar	9-Mar	12.50	5.0
AO,CRT	03/16	BALYASNY ASSET MGMT (BALY)	044	AVZ	S	25,000	22.98	5-Mar	15-Mar	1250.00	5.0
AO,CXL	03/16	BALYASNY ASSET MGMT (BALY)	237	AVZ	S	25,000	22.98	5-Mar	15-Mar	1250.00	5.0
AO,CXL	03/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BBW	S	10,000	26.74	19-Mar	19-Mar	400.00	4.0
AO,	03/19	STERLING JOHNSTON (STEL66)	035	BONT	S	700	56.74	9-Mar	16-Mar	35.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL59)	035	BONT	S	200	56.74	9-Mar	16-Mar	10.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL58)	035	BONT	S	1,000	56.74	9-Mar	16-Mar	50.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL54)	035	BONT	S	100	56.74	9-Mar	16-Mar	5.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL53)	035	BONT	S	4,600	56.74	9-Mar	16-Mar	230.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL38)	035	BONT	S	1,100	56.74	9-Mar	16-Mar	55.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL48)	035	BONT	S	1,000	56.74	9-Mar	16-Mar	50.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL47)	035	BONT	S	100	56.74	9-Mar	16-Mar	5.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL21)	035	BONT	S	100	56.74	9-Mar	16-Mar	5.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL45)	035	BONT	S	200	56.74	9-Mar	16-Mar	10.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL49)	035	BONT	S	800	56.74	9-Mar	16-Mar	40.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL65)	035	BONT	S	400	56.74	9-Mar	16-Mar	20.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL22)	035	BONT	S	800	56.74	9-Mar	16-Mar	40.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL19)	035	BONT	S	100	56.74	9-Mar	16-Mar	5.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL24)	035	BONT	S	300	56.74	9-Mar	16-Mar	15.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL31)	035	BONT	S	2,100	56.74	9-Mar	16-Mar	105.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL30)	035	BONT	S	1,100	56.74	9-Mar	16-Mar	55.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL9)	035	BONT	S	200	56.74	9-Mar	16-Mar	10.00	5.0
AO,	03/19	STERLING JOHNSTON (STEL13)	035	BONT	S	100	56.74	9-Mar	16-Mar	5.00	5.0
AO,CRT	03/19	MKT MAKER (MKT MAKER)	099	CLMS	B	15	22.33	12-Mar	20-Mar	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	03/19	SOROS (SOROGOLDMA)	036	CVS	S	97,800	33.03	n/a	n/a	4890.00	5.0
AO,CRT	03/19	SOROS (SOROGOLDMA)	036	CVS	S	97,800	33.03	n/a	n/a	3912.00	4.0
AO,CXL	03/19	BLUE HARBOR (BLUHGOLDMA)	036	CWTR	SS	303,000	17.61	n/a	n/a	15150.00	5.0
AO,	03/19	BLUE HARBOR (BLUHGOLDMA)	036	CWTR	SS	303,000	17.61	n/a	n/a	15150.00	5.0
AO,	03/19	THE JAY GOLDMAN (GOLDGSBULK)	034	NWY	S	20,000	15.50	1-Dec	9-Mar	800.00	4.0
AO,	03/19	GALLEON MGMT LP (GALLMAIN05)	033	PDLI	S	25,000	19.07	n/a	n/a	1250.00	5.0
AO,CRT	03/15	PATTEN & PATTEN (PATTPERSHI)	067	PG	B	325	61.84	15-Dec	13-Mar	16.25	5.0
AO,CXL	03/15	PATTEN & PATTEN (PATTSCHWAB)	067	PG	B	325	61.84	15-Dec	13-Mar	16.25	5.0
AO,CRT	03/19	ACK ASSET (ACKAGS)	028	PSMT	B	3,100	14.98	n/a	n/a	155.00	5.0
AO,CXL	03/19	ACT II PARTNERS (ACT2-GOLDM)	067	PSMT	B	3,100	14.98	n/a	n/a	155.00	5.0
AO,CXL	03/19	NCM CAPITAL MGMT (NCMCSTILRE)	035	PWR	S	6,700	24.40	n/a	n/a	0.00	0.0
AO,CRT	03/19	NCM CAPITAL MGMT (NCMCSTILRE)	035	PWR	S	6,700	24.40	n/a	n/a	335.00	5.0
AO,CXL	03/19	SOROS (SOROGOLDMA)	036	WMT	B	69,030	46.58	n/a	8-Mar	3451.50	5.0
AO,CRT	03/19	SOROS (SOROGOLDMA)	036	WMT	B	69,030	46.58	n/a	8-Mar	2761.20	4.0

TOTAL (AO, CXL, CRT) :

1,066.70

TOTAL (Trade Date):

214,147.06

TOTAL (AO, CXL, CRT):

1,066.70

TOTAL (RUN DATE) / NFS:

215,213.76

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