

Daily Compliance Activity Report Trade Date: 01/16/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WHATE DOCK CAD	0.2.0	7 7 7 7	D	40.000	05 07	/	/	1 (00 00	4 0
WHALE ROCK CAP	030	AAPL	В	40,000	95.87	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	ANF	В	10,000	78.89	3-Nov	5-Jan	400.00	4.0
BACKUS	005	APC	S	2,000	41.37	1-Sep	9-Jan	0.00	0.0
THE JAY GOLDMAN	034	ARO	В	25,000	35.91	23-Oct	5-Jan	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	035	ASD	В	10,000	46.78	2-0ct	12-Jan	500.00	5.0
BINDER	007	AUO	S	250	13.54	n/a	n/a	0.00	0.0
BACKUS	005	BBY	S	1,000	49.28	13-Dec	10-Jan	0.00	0.0
MAZAMA CAPITAL MGMT.	035	BKD	В	18,175	49.05	n/a	n/a	727.00	4.0
XYLEM GLOBAL	024	BMS	SS	22,000	36.01	n/a	n/a	1,100.00	5.0
CENTURION PARTNERS	249	BONT	В	7,900	37.27	23-Oct	5-Jan	395.00	5.0
MKT MAKER	099	BONT	В	3	37.27	23-Oct	5-Jan	0.00	0.0
PLATTE RIVER CAPITAL	035	BSX	В	12,000	18.30	n/a	22-Apr	480.00	4.0
BUCK CAPITAL MGMT	001	BWS	В	5,000	51.11	n/a	n/a	200.00	4.0
SAC TRADING HOWARD	038	CACH	S	10,000	24.06	n/a	n/a	500.00	5.0
BACKUS	005	CALPINE	CORP S	146,000	92.75	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	BUCK CAPITAL MGMT	001	CBK	В	80,000	20.55	11-Dec	5-Jan	3,200.00	4.0
	VARDON PARTNERS	035	CCU	В	98 , 735	36.24	n/a	n/a	4,936.75	5.0
	GEORGE WEISS	034	CHS	SS	11,500	21.87	5-Jan	5-Jan	460.00	4.0
	FORCE CAPITAL MGMT	030	COP	S	30,000	64.10	n/a	n/a	900.00	3.0
	MATRIX ASSET ADV.	036	COP	В	2,600	63.14	n/a	n/a	104.00	4.0
	NEUBERGER BERMAN	238	CRL	S	10,000	44.50	n/a	n/a	500.00	5.0
	MERRILL ASSET	032	DEI	S	103,700	26.55	n/a	n/a	5,185.00	5.0
õ	Glenn Redemann		DELL	В	100	0.05	n/a	n/a	0.00	0.0
õ	Glenn Redemann		DELL	В	50	0.10	n/a	n/a	0.00	0.0
	BUCK	015	DIGE	SS	400	49.88	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	DKS	SS	20,000	52.06	n/a	n/a	800.00	4.0
	MHR CAPITAL MGMT	067	EDA	S	80,000	11.63	n/a	n/a	3,200.00	4.0
	MAZAMA CAPITAL MGMT.	035	EDU	S	25,000	36.72	n/a	n/a	1,000.00	4.0
	BINDER	007	EFT	S	200	18.99	n/a	n/a	0.00	0.0
	WEISS PECK	040	FDC	S	20,000	25.87	n/a	n/a	800.00	4.0
	BACKUS	005	FD	s	1,000	38.92	9-Nov	5-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
BUCK CAPITAL MGMT	001	GCO	s	15,000	40.02	n/a	10-Jan	600.00	4.0	
MAZAMA CAPITAL MGMT.	035	GHL	S	17,400	76.24	n/a	n/a	696.00	4.0	
CSFB GLOBAL PROPRIETARY	035	GLW	S	30,000	20.10	n/a	20-Dec	1,500.00	5.0	
BUCK CAPITAL MGMT	001	GPS	SS	100,000	20.05	n/a	5-Jan	4,000.00	4.0	
MAGUIRE	039	HD	C	200	40.13	n/a	16-Jan	0.00	0.0	
CAPITAL GROWTH MGMT.	241	IBM	S	100,000	100.29	n/a	n/a	5,000.00	5.0	
BUCK	015	ICE	В	500	132.08	n/a	n/a	0.00	0.0	
BACKUS	005	ICON	s	1,000	21.16	n/a	n/a	0.00	0.0	
BINDER	007	INTC	s	200	21.91	n/a	n/a	0.00	0.0	
RIVER RUN MGMT	031	ITCD	В	17,200	2.53	n/a	n/a	516.00	3.0	
BUCK CAPITAL MGMT	001	JCG	В	10,000	37.57	n/a	20-Dec	400.00	4.0	
HAYGROUND COE	039	JCP	В	62,200	79.50	10-Nov	5-Jan	3,072.50	3.3	
BALYASNY ASSET MGMT	044	JNS	В	40,000	21.79	1-Dec	12-Jan	2,000.00	5.0	
J L F ASSET MGMT	039	JOSB	S	15,800	32.52	n/a	n/a	632.00	4.0	
BUCK CAPITAL MGMT	001	KCP	В	10,000	23.76	n/a	3-Nov	400.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
XYLEM GLOBAL	024	KMB	S	S 19,000	68.76	n/a	n/a	950.00	5.0	
BUCK CAPITAL MGMT	001	LIZ	s	s 20,000	45.36	n/a	27-0ct	0.00	0.0	
SHAREVEST CAPITAL MGMT.	038	LOW	S	16,300	33.04	n/a	16-Jan	815.00	5.0	
REINHART & MAHONEY	031	LRCX	S	19,530	53.06	n/a	n/a	976.50	5.0	
DISIPLINED GROWTH INV.	030	LTD	В	9,000	28.15	5-Jan	5-Jan	450.00	5.0	
FORCE CAPITAL MGMT	030	LTD	S	10,000	28.23	5-Jan	5-Jan	300.00	3.0	
SAILFISH	037	MA	S	S 5,000	107.27	n/a	n/a	250.00	5.0	
S.A.C. CAPITAL MGMT.	044	MCD	S	25,000	44.58	12-Oct	12-Jan	1,250.00	5.0	
FORCE CAPITAL MGMT	030	MGM	S	10,000	70.91	n/a	3-Nov	300.00	3.0	
MORRISON & FRASIER	040	MIR	В	66,900	33.21	n/a	n/a	3,345.00	5.0	
WEINTRAUB CAPITAL MGT.	040	MIR	В	25,000	33.60	n/a	n/a	1,250.00	5.0	
CSFB GLOBAL PROPRIETARY	035	MWV	В	100,000	29.40	8-Jan	16-Jan	5,000.00	5.0	
SCOPUS FUND	039	MWV	В	50,000	29.52	8-Jan	16-Jan	2,500.00	5.0	
WD PARTNERS ILP	067	MWV	S	10,000	29.54	8-Jan	16-Jan	500.00	5.0	
XYLEM GLOBAL	024	MWV	В	18,000	29.36	8-Jan	16-Jan	900.00	5.0	
BUCK	015	MWV	S	1,000	29.39	8-Jan	16-Jan	0.00	0.0	
JACOB	068	MWV	S	350	29.39	8-Jan	16-Jan	0.00	0.0	
BUCK CAPITAL MGMT	001	NLS	В	50,000	15.56	n/a	n/a	2,000.00	4.0	
BACKUS	005	NWY	s	1,000	14.78	1-Dec	10-Jan	0.00	0.0	

Account	RR #	Symbol	в/s	S	Shares	Price		MRI	Research	Comm. ¢	:/Shr.	
RIVER RUN MGMT	031	NYX		SS	20,000	105.80		n/a	n/a	1,000.00	5.0	
AMBER CAPITAL	046	ODP		SS	145,000	38.42		n/a	10-Jan	5,800.00	4.0	
SINCLAIR	031	OMN		S	1,500	5.21		n/a	n/a	0.00	0.0	
MAZAMA CAPITAL MGMT.	035	PJC	В		5,100	71.34		n/a	n/a	204.00	4.0	
TRELLUS PARTNERS LP	028	PLCE	В		30,000	58.54		n/a	5-Jan	1,500.00	5.0	
TRUST CO OF THE WEST/NY	040	PSUN	В		65,600	21.48		n/a	12-Jan	2,624.00	4.0	
THIRD POINT MGMT	044	Q	В		200,000	8.50		n/a	n/a	6,000.00	3.0	
LOOMIS SALES/BOSTON	036	RGR		S	10,000	9.49		n/a	n/a	200.00	2.0	
MFP INVESTORS	032	SKS		S	30,000	18.73		n/a	n/a	1,500.00	5.0	
BUCK CAPITAL MGMT	001	SKX		S	10,000	34.89		n/a	12-Jan	400.00	4.0	
CAXTON PART	040	SNDK		SS	75,000	43.51		n/a	n/a	3,000.00	4.0	
FORD FDN.	032	STA		S	50,000	51.26		n/a	n/a	2,500.00	5.0	
SAILFISH	037	STX	В		15,000	26.98		n/a	n/a	750.00	5.0	
ELM RIDGE ADVISORS	044	SYMC	В		84,000	18.10		n/a	3-Apr	3,360.00	4.0	
PLATTE RIVER CAPITAL	035	S	В		5,000	17.09		n/a	n/a	200.00	4.0	
	RIVER RUN MGMT AMBER CAPITAL SINCLAIR MAZAMA CAPITAL MGMT. TRELLUS PARTNERS LP TRUST CO OF THE WEST/NY THIRD POINT MGMT LOOMIS SALES/BOSTON MFP INVESTORS BUCK CAPITAL MGMT CAXTON PART FORD FDN. SAILFISH ELM RIDGE ADVISORS	RIVER RUN MGMT 031 AMBER CAPITAL 046 SINCLATR 031 MAZAMA CAPITAL MGMT. 035 TRELLUS PARTNERS LP 028 TRUST CO OF THE WEST/NY 040 THIRD POINT MGMT 044 LOOMIS SALES/BOSTON 036 MFP INVESTORS 032 BUCK CAPITAL MGMT 001 CAXTON PART 040 FORD FDN. 032 SAILFISH 037 ELM RIDGE ADVISORS 044	RIVER RUN MGMT 031 NYX AMBER CAPITAL 046 ODP SINCLAIR 031 OMN MAZAMA CAPITAL MGMT. 035 PJC TRELLUS PARTNERS LP 028 PLCE TRUST CO OF THE WEST/NY 040 PSUN THIRD POINT MGMT 044 Q LOOMIS SALES/BOSTON 036 RGR MFP INVESTORS 032 SKS BUCK CAPITAL MGMT 001 SKX CAXTON PART 040 SNDK FORD FDN. 032 STA SAILFISH 037 STX ELM RIDGE ADVISORS 044 SYMC	RIVER RUN MGMT 031 NYX AMBER CAPITAL 046 ODP SINCLAIR 031 OMN MAZAMA CAPITAL MGMT. 035 PJC B TRELLUS PARTNERS LP 028 PLCE B TRUST CO OF THE WEST/NY 040 PSUN B THIRD POINT MGMT 044 Q B LOOMIS SALES/BOSTON 036 RGR MFP INVESTORS 032 SKS BUCK CAPITAL MGMT 001 SKX CAXTON PART 040 SNDK FORD FDN. 032 STA SAILFISH 037 STX B ELM RIDGE ADVISORS 044 SYMC B	RIVER RUN MGMT 031 NYX SS AMBER CAPITAL 046 ODP SS SINCLAIR 031 OMN S MAZAMA CAPITAL MGMT. 035 PJC B TRELLUS PARTNERS LP 028 PLCE B TRUST CO OF THE WEST/NY 040 PSUN B THIRD POINT MGMT 044 Q B LOOMIS SALES/BOSTON 036 RGR S MFP INVESTORS 032 SKS S BUCK CAPITAL MGMT 001 SKX S CAXTON PART 040 SNDK SS FORD FDN. 032 STA S SAILFISH 037 STX B ELM RIDGE ADVISORS 044 SYMC B	RIVER RUN MGMT 031 NYX SS 20,000 AMBER CAPITAL 046 ODP SS 145,000 SINCLAIR 031 OMN S 1,500 MAZAMA CAPITAL MGMT. 035 PJC B 5,100 TRELLUS PARTNERS LP 028 PLCE B 30,000 TRUST CO OF THE WEST/NY 040 PSUN B 65,600 THIRD POINT MGMT 044 Q B 200,000 LOOMIS SALES/BOSTON 036 RGR S 10,000 MFP INVESTORS 032 SKS S 30,000 BUCK CAPITAL MGMT 001 SKX S 10,000 CAXTON PART 040 SNDK SS 75,000 FORD FDN. 032 STA S 50,000 SAILFISH 037 STX B 15,000	RIVER RUN MGMT 031 NYX SS 20,000 105.80 AMBER CAPITAL 046 ODP SS 145,000 38.42 SINCLAIR 031 OMN S 1,500 5.21 MAZAMA CAPITAL MGMT. 035 PJC B 5,100 71.34 TRELLUS PARTNERS LP 028 PLCE B 30,000 58.54 TRUST CO OF THE WEST/NY 040 PSUN B 65,600 21.48 THIRD POINT MGMT 044 Q B 200,000 8.50 LOOMIS SALES/BOSTON 036 RGR S 10,000 9.49 MFP INVESTORS 032 SKS S 30,000 18.73 BUCK CAPITAL MGMT 001 SKX S 10,000 34.89 CAXTON PART 040 SNDK SS 75,000 43.51 FORD FDN. 032 STA S 50,000 51.26 SAILFISH 037 STX B 15,000 26.98 ELM RIDGE ADVISORS 044 SYMC B 84,000 18.10	RIVER RUN MGMT 031 NYX SS 20,000 105.80 AMBER CAPITAL 046 ODP SS 145,000 38.42 SINCLAIR 031 OMN S 1,500 5.21 MAZAMA CAPITAL MGMT. 035 PJC B 5,100 71.34 TRELLUS PARTNERS LP 028 PLCE B 30,000 58.54 TRUST CO OF THE WEST/NY 040 PSUN B 65,600 21.48 THIRD POINT MGMT 044 Q B 200,000 8.50 LOOMIS SALES/BOSTON 036 RGR S 10,000 9.49 MFP INVESTORS 032 SKS S 30,000 18.73 BUCK CAPITAL MGMT 040 SNDK SS 75,000 43.51 FORD FDN. 032 STA S 50,000 51.26 SAILFISH 037 STX B 15,000 26.98 ELM RIDGE ADVISORS 044 SYMC B 84,000 18.10	RIVER RUN MGMT 031 NYX SS 20,000 105.80 n/a AMBER CAPITAL 046 ODP SS 145,000 38.42 n/a SINCLAIR 031 OMN S 1,500 5.21 n/a MAZAMA CAPITAL MGMT. 035 PJC B 5,100 71.34 n/a TRELLUS PARTNERS LP 028 PLCE B 30,000 58.54 n/a TRUST CO OF THE WEST/NY 040 PSUN B 65,600 21.48 n/a THIRD POINT MGMT 044 Q B 200,000 8.50 n/a LOOMIS SALES/BOSTON 036 RGR S 10,000 9.49 n/a MFP INVESTORS 032 SKS S 30,000 18.73 n/a BUCK CAPITAL MGMT 001 SKX S 10,000 34.89 n/a EDUCK CAPITAL MGMT 040 SNDK SS 75,000 43.51 n/a FORD FDN. 032 STA S 50,000 51.26 n/a SAILFISH 037 STX B 15,000 26.98 n/a ELM RIDGE ADVISORS 044 SYMC B 84,000 18.10 n/a	RIVER RUN MGMT 031 NYX SS 20,000 105.80 n/a n/a AMBER CAPITAL 046 ODP SS 145,000 38.42 n/a 10-Jan SINCLAIR 031 OMN S 1,500 5.21 n/a n/a MAZAMA CAPITAL MGMT. 035 PJC B 5,100 71.34 n/a n/a TRELLUS PARTNERS LP 028 PLCE B 30,000 58.54 n/a 5-Jan TRUST CO OF THE WEST/NY 040 PSUN B 65,600 21.48 n/a 12-Jan THIRD POINT MGMT 044 Q B 200,000 8.50 n/a n/a LOOMIS SALES/BOSTON 036 RGR S 10,000 9.49 n/a n/a MFP INVESTORS 032 SKS S 30,000 18.73 n/a n/a BUCK CAPITAL MGMT 040 SNDK SS 75,000 43.51 n/a n/a FORD FDN. 032 STA S 50,000 51.26 n/a n/a SAILFISH 037 STX B 15,000 26.98 n/a n/a ELM RIDGE ADVISORS 044 SYMC B 84,000 18.10 n/a 3-Apr	RIVER RUN MGMT 031 NYX SS 20,000 105.80	RIVER RUN MCMT 031 NYX S3 20,000 105.80

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
FIRST NEW YORK LEDDY	035	TRA	В	20,000	13.60	n/a	n/a	1,200.00	6.0
COLBURN	033	TWTR	S	500	1.57	n/a	n/a	0.00	0.0
MAGUIRE	039	WHT	В	200	1.35	n/a	n/a	0.00	0.0
SAILFISH	037	WMT	В	10,000	47.98	5-0ct	5-Jan	500.00	5.0
SSI INVESTORS	048	WPI	SS	25,000	25.77	11-Jan	11-Jan	1,000.00	4.0
BANK OF NEW YORK	040	WWW	В	11,720	28.00	n/a	12-Jan	527.40	4.5
CSFB GLOBAL PROPRIETARY	035	XLB	S	43,000	35.29	n/a	n/a	2,150.00	5.0
AMBER CAPITAL	046	ZLC	В	26,200	27.75	n/a	n/a	1,048.00	4.0
PEREGRINE	030	ZQK	S	150,000	14.82	8-Sep	11-Jan	7,500.00	5.0
BINDER	007	ZQK	C	400	14.93	8-Sep	11-Jan	0.00	0.0

TOTAL (Trade Date): 110,554.15

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CRT	01/16	BACKUS (BACKUS)	005		S	100,000	92.75	n/a	n/a	0.00	0.0
AO,CXL	01/12	WHALE ROCK CAP (WHAL4CENTS)	030	BONT	В	60,000	37.87	23-Oct	5-Jan	1.51	0.0
AO,CRT	01/12	WHALE ROCK CAP (WHAL4CENTS)	030	BONT	В	60,000	37.87	23-Oct	5-Jan	2400.00	4.0
AO,	01/12	GALLEON MGMT LP (GALLMAIN05)	033	BSX	В	100,000	18.37	n/a	22-Apr	5000.00	5.0
AO,CXL	01/12	IRON HORSE CAPITAL MGMT (IHCMBSUSE)	038	LVLT	S	80,000	6.74	18-Oct	12-Jan	2400.00	3.0
AO,	01/12	CENTURION PARTNERS (CENTGSCO)	249	OATS	В	30,000	14.78	n/a	n/a	1500.00	5.0
AO,CXL	01/12	CENTURION PARTNERS (CENTBSPT)	249	OATS	В	30,000	14.78	n/a	n/a	1500.00	5.0

TOTAL (RUN DATE) / NFS:	115,552.64
TOTAL (AO, CXL, CRT):	4,998.49
TOTAL (Trade Date):	110,554.15

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