



Daily Compliance Activity Report

Trade Date: 04/16/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PALMYRA CAPITAL	048	ACI	SS	30,000	36.91	n/a	n/a	1,200.00	4.0
JSAM	028	AMR	B	5,000	30.81	n/a	n/a	200.00	4.0
DSM CAPITAL PARTNERS	032	AMZN	B	7,450	44.33	n/a	n/a	447.00	6.0
SNYDER CAPITAL	038	AM	S	41,200	23.97	n/a	n/a	1,648.00	4.0
BUCK CAPITAL MGMT	001	ANF	SS	80,000	81.58	2-Feb	13-Apr	3,200.00	4.0
NOMURA CAPITAL	040	ARII	B	750	32.46	n/a	n/a	37.50	5.0
CRAMER ROSENTHAL/SCOTT	012	AVZ	B	29,800	23.82	5-Mar	11-Apr	1,490.00	5.0
FIRST NEW YORK LEDDY	035	BBBY	B	15,000	41.03	n/a	n/a	900.00	6.0
HIGHBRIDGE CAPITAL	038	BBT	B	4,500	40.78	n/a	n/a	225.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	30,000	47.69	13-Dec	5-Apr	1,200.00	4.0
HARVEST MGMT	039	BJ	B	40,000	35.19	10-Apr	12-Apr	2,000.00	5.0
DSG CAPITAL	236	BONT	S	2,500	50.70	9-Mar	13-Apr	125.00	5.0
NATIONAL CITY/ARMADA FD	028	BTU	B	11,060	46.75	n/a	n/a	497.70	4.5
MAGUIRE	090	BTU	B	2,500	46.93	n/a	n/a	0.00	0.0
BARR	096	BTU	B	400	46.80	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
US BANCORP	030	CBK	B	24,669	18.30	30-Mar	13-Apr	1,233.45	5.0
UBSC	030	CBK	B	331	18.30	30-Mar	13-Apr	16.55	5.0
INTEGRITY CAPITAL MGMT	039	CC	B	10,000	19.08	20-Dec	5-Apr	300.00	3.0
BUCK CAPITAL MGMT	001	CHS	S	30,000	27.10	27-Mar	13-Apr	1,200.00	4.0
PAKLER	N22	CMG	S	28	64.51	16-Feb	16-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	10,000	52.42	23-Feb	23-Feb	400.00	4.0
PAKLER	N22	CPNLQ	B	520	3.44	n/a	8-Mar	0.00	0.0
CR INTRINIC INVESTMENT	044	CSCO	B	400,000	26.53	n/a	22-Mar	20,000.00	5.0
DSM CAPITAL PARTNERS	032	CSX	SS	6,750	43.19	n/a	n/a	405.00	6.0
GRISANTI BROWN & PARTNER	048	CVS	C	11,500	35.16	n/a	n/a	575.00	5.0
JSAM	028	DELL	B	8,600	25.25	n/a	n/a	344.00	4.0
BUCK CAPITAL MGMT	001	DKS	B	5,000	58.27	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	DRS	S	19,800	51.26	n/a	n/a	990.00	5.0
NEUBERGER BERMAN	036	DW	B	12,900	29.36	n/a	n/a	645.00	5.0
CR INTRINIC INVESTMENT	044	EMC	B	100,000	14.64	n/a	n/a	5,000.00	5.0
HIGHBRIDGE CAPITAL	038	EV	B	10,700	37.52	n/a	16-Apr	535.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	FCX	S	25,000	71.05	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	41.13	n/a	10-Jan	400.00	4.0
LEDDY	035	GCO	B	300	40.97	n/a	10-Jan	0.00	0.0
MERRILL ASSET	032	HF	B	5,800	16.94	n/a	n/a	261.00	4.5
ZOLIDIS	011	HLYS	S	300	33.60	n/a	n/a	0.00	0.0
MAGUIRE	090	ICO	B	20,000	5.97	n/a	n/a	0.00	0.0
BARR	096	ICO	B	2,000	5.94	n/a	n/a	0.00	0.0
BINDER	007	KBH	C	100	41.38	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	KEY	B	5,200	38.90	n/a	n/a	260.00	5.0
EGS ASSOCIATES LP	091	LIZ	SS	3,000	44.20	n/a	28-Feb	180.00	6.0
MAGUIRE	090	LNC	B	5,000	69.08	n/a	n/a	0.00	0.0
PALMYRA CAPITAL	048	LNG	S	30,000	32.82	n/a	n/a	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	LRW	SS	25,000	18.53	n/a	n/a	1,250.00	5.0
MAGUIRE	090	MEE	B	6,500	24.91	n/a	n/a	0.00	0.0
BARR	096	MEE	B	500	24.46	n/a	n/a	0.00	0.0
RAMIUS CAP	040	MWV	B	25,000	32.94	20-Mar	20-Mar	1,250.00	5.0
AMBER CAPITAL	046	NCC	SS	100,000	36.78	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BINDER	007	OMX	SS	150	54.18	n/a	15-Apr	0.00	0.0
DSM CAPITAL PARTNERS	032	PACR	B	11,250	27.91	n/a	n/a	675.00	6.0
MAGUIRE	090	PBH	B	9,600	12.65	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	PBY	B	31,100	19.82	n/a	n/a	1,244.00	4.0
HIGHBRIDGE CAPITAL	038	PCL	S	19,000	39.68	n/a	19-Mar	950.00	5.0
TYEE/TYGH	035	PLCE	S	100,000	50.15	12-Apr	13-Apr	4,000.00	4.0
COUGAR TRADING	044	PSUN	SS	5,000	22.49	n/a	13-Apr	250.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	95.76	2-Feb	13-Apr	400.00	4.0
VARDON PARTNERS	035	RSH	B	25,000	28.23	n/a	n/a	1,250.00	5.0
BINDER	007	SBUX	C	150	31.12	n/a	1-Feb	0.00	0.0
NOMURA CAPITAL	040	SCT	B	15,000	4.48	n/a	n/a	450.00	3.0
KORMAN	003	SEED	B	3,000	8.92	n/a	n/a	0.00	0.0
CHARTER OAK	033	SLB	S	50,393	77.51	n/a	n/a	2,519.65	5.0
WOOSTER CAPITAL	035	SLM	S	100,000	55.00	n/a	n/a	5,000.00	5.0
LUCHANSKY1	036	SLM	S	300	55.05	n/a	n/a	0.00	0.0
NOMURA CAPITAL	040	SMG	B	950	45.86	20-Feb	19-Mar	47.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	SSI	S	3,000	23.36	26-Feb	13-Apr	180.00	6.0
FIRST NEW YORK LEDDY	035	S	B	10,000	20.24	n/a	n/a	600.00	6.0
MORTAR ROCK	033	TEN	SS	22,500	29.92	n/a	n/a	1,125.00	5.0
BUCK CAPITAL MGMT	001	TLB	S	20,000	24.91	10-Jan	8-Mar	800.00	4.0
MAIRS AND POWER INV	030	TRV	S	10,000	53.67	n/a	n/a	600.00	6.0
BUCK CAPITAL MGMT	001	UAG	B	10,000	21.35	n/a	13-Apr	400.00	4.0
NOMURA CAPITAL	040	UCLP	B	1,200	31.31	n/a	n/a	60.00	5.0
DSM CAPITAL PARTNERS	032	UNP	SS	2,650	111.45	n/a	n/a	159.00	6.0
LEDDY	035	VOII	S	25,000	0.20	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	WDR	B	11,700	25.53	5-Mar	10-Apr	585.00	5.0
MAGUIRE	039	WEN	C	200	32.29	12-Dec	21-Mar	0.00	0.0
DIAMONDBACK CAP MGMT	232	WFC	B	25,000	35.37	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	WMT	S	31,300	48.08	n/a	12-Apr	1,565.00	5.0
PECONIC PARTNERS	036	WMT	C	49,300	47.73	n/a	12-Apr	2,465.00	5.0
RAMIUS CAP	040	WY	B	30,000	77.48	15-Dec	20-Mar	1,500.00	5.0
NEUBERGER BERMAN	036	XEC	S	10,100	38.03	n/a	n/a	505.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ACT II PARTNERS	067	XOHO	B	5,500	5.05	n/a	n/a	220.00	4.0
SENTINAL CAPITAL	067	YUM	B	3,000	60.48	n/a	13-Feb	150.00	5.0
MAGUIRE	039	YUM	C	100	60.45	n/a	13-Feb	0.00	0.0
GAULT	063	ZQK	S	1,500	13.00	9-Mar	13-Mar	0.00	0.0
TOTAL (Trade Date):								84,015.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/13	UBS OCONNOR (UBSOWARBUR)	031	ABG	SS	4,700	27.11	n/a	13-Apr	141.00 3.0
AO,CRT	04/13	UBS OCONNOR (UBSOCREDIT)	031	ABG	SS	4,700	27.11	n/a	13-Apr	141.00 3.0
AO,CRT	10/06	&LEEDS (&LEEDS)	002	CENT	S	3,000	49.13	8-Feb	8-Feb	0.00 0.0
AO,CXL	10/06	&LEEDS (&LEEDS)	002	CENT	S	3,000	49.13	8-Feb	8-Feb	0.00 0.0
AO,CXL	04/13	UBS OCONNOR (UBSOWARBUR)	031	GPI	B	15,000	41.62	n/a	13-Apr	450.00 3.0
AO,CRT	04/13	UBS OCONNOR (UBSOCREDIT)	031	GPI	B	15,000	41.62	n/a	13-Apr	450.00 3.0
AO,CXL	04/11	AMBER CAPITAL (AMBRGS)	046	GVA	B	55,300	56.10	n/a	n/a	2765.00 5.0
AO,CRT	04/11	AMBER CAPITAL (AMBRGS)	046	GVA	B	55,300	56.10	n/a	n/a	2212.00 4.0
AO,	04/13	HARVEST MGMT (HARVNEUBER)	039	IP	S	17,773	36.93	20-Mar	20-Mar	888.65 5.0
AO,CXL	04/13	HARVEST MGMT (HARVGSCO)	039	IP	SS	40,000	36.93	20-Mar	20-Mar	2000.00 5.0
AO,CRT	04/13	HARVEST MGMT (HARVGSCO)	039	IP	SS	22,227	36.93	20-Mar	20-Mar	1111.35 5.0
AO,CXL	04/11	AMBER CAPITAL (AMBRGS)	046	PPG	B	10,000	70.90	n/a	10-Apr	500.00 5.0
AO,CRT	04/11	AMBER CAPITAL (AMBRGS)	046	PPG	B	10,000	70.90	n/a	10-Apr	400.00 4.0
CRT	04/16	NOMURA CAPITAL (NOMUSTRATE)	040	SCT	B	2,475	4.48	n/a	n/a	74.25 3.0
TOTAL (AO, CXL, CRT) :										-578.75

TOTAL (Trade Date):	84,015.35
TOTAL (AO, CXL, CRT):	-578.75

TOTAL (RUN DATE) / NFS:

83,436.60

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