



## Daily Compliance Activity Report

Trade Date: 01/19/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUBER MACBAINE	033	AEOS	B	15,000	33.84	4-Jan	12-Jan	600.00	4.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	108.82	12-Jan	12-Jan	500.00	5.0
ROBERTSON STEVENS BC	033	AMR	B	51,300	39.58	n/a	n/a	2,052.00	4.0
JP MORGAN VENTURES	046	AMZN	SS	15,000	37.04	n/a	n/a	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>20,000</b>	<b>79.69</b>	<b>3-Nov</b>	<b>5-Jan</b>	<b>800.00</b>	<b>4.0</b>
BELMONT GLOBAL ADV	248	ANN	S	10,000	33.65	5-Jan	5-Jan	500.00	5.0
COUGAR TRADING	044	ANN	S	5,000	33.67	5-Jan	5-Jan	250.00	5.0
ADAGE CAPITAL MGMT	030	AOS	B	10,200	35.55	21-Dec	19-Jan	408.00	4.0
BALYASNY ASSET MGMT	044	AOS	S	10,000	35.55	21-Dec	19-Jan	500.00	5.0
COUGAR TRADING	044	ARO	S	5,000	35.63	23-Oct	5-Jan	250.00	5.0
SAC TRADING HOWARD	038	BBY	B	15,000	49.10	13-Dec	10-Jan	750.00	5.0
DELTEC ASSET MGMT.	040	BEBE	B	6,600	17.85	n/a	n/a	330.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	7,500	117.80	9-Nov	12-Jan	375.00	5.0
<b>LUCHANSKY</b>	<b>036</b>	<b>BJS</b>	<b>B</b>	<b>100</b>	<b>26.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
INTEGRITY CAPITAL MGMT	039	BKC	B	15,000	20.91	n/a	21-Dec	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MCCARTAN	028	BKHM	B	1,000	2.89	n/a	n/a	0.00	0.0
SINCLAIR	031	BKHM	B	2,000	2.90	n/a	n/a	0.00	0.0
EFSTATHIOU	044	BKHM	B	1,000	2.86	n/a	n/a	0.00	0.0
LUCHANSKY	036	BONT	S	100	36.61	23-Oct	5-Jan	0.00	0.0
BALYASNY ASSET MGMT	044	BSC	S	5,000	169.35	15-Dec	16-Jan	250.00	5.0
MORGAN STANLEY PRINC 2	040	CBEY	SS	32,500	30.75	n/a	n/a	1,300.00	4.0
MKT MAKER	099	CBEY	SS	66	30.75	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	CBI	S	49,800	26.39	n/a	n/a	2,490.00	5.0
BUCK CAPITAL MGMT	001	CBK	B	230,000	20.07	11-Dec	5-Jan	9,200.00	4.0
SAC TRADING HOWARD	038	CBK	SS	30,000	20.01	11-Dec	5-Jan	1,500.00	5.0
BALYASNY ASSET MGMT	044	CENT	SS	10,000	48.90	8-Dec	4-Jan	500.00	5.0
COUGAR TRADING	044	CHS	SS	5,000	20.93	5-Jan	5-Jan	250.00	5.0
JP MORGAN VENTURES	046	CMRG	S	26,000	12.69	n/a	n/a	1,300.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	44.71	7-Dec	19-Jan	400.00	4.0
OGORMAN	146	CVGW	B	600	10.80	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	CWTR	C	500	20.53	n/a	n/a	25.00	5.0
ZOLIDIS	011	CWTR	SS	500	19.75	n/a	n/a	0.00	0.0
DEMARTINI	065	CWTR	B	1,000	20.37	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	C	B	35,000	54.30	11-Jan	16-Jan	1,750.00	5.0
SAC TRADING HOWARD	038	DDS	B	7,000	34.11	n/a	n/a	350.00	5.0
PLATTE RIVER CAPITAL	035	DG	B	5,000	17.37	21-Aug	5-Jan	200.00	4.0
S.A.C. CAPITAL MGMT.	044	EAT	B	15,000	30.43	13-Sep	12-Dec	750.00	5.0
CENTURION PARTNERS	249	EDA	B	5,000	10.68	n/a	n/a	250.00	5.0
HUNTER GLOBAL INVESTOR	067	EMR	SS	135,000	44.57	n/a	n/a	6,750.00	5.0
BALYASNY ASSET MGMT	044	EV	B	15,000	34.50	2-Nov	16-Jan	750.00	5.0
AMBER CAPITAL	046	FAF	B	50,000	42.26	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	FD	S	5,000	40.22	9-Nov	5-Jan	250.00	5.0
<b>BARR</b>	<b>096</b>	<b>FLT</b>	<b>S</b>	<b>3,225</b>	<b>1.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>S</b>	<b>50,000</b>	<b>22.43</b>	<b>n/a</b>	<b>19-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>FNM</b>	<b>S</b>	<b>200</b>	<b>56.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>NOLAN</b>	<b>067</b>	<b>GG</b>	<b>S</b>	<b>20</b>	<b>25.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	GHL	S	23,500	73.57	n/a	n/a	940.00	4.0
MILLENIUUM PARTNERS	028	GI	S	10,000	74.36	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGNETAR FINANCIAL	247	GPS	S	12,100	20.00	n/a	5-Jan	484.00	4.0
SSI INVESTORS	048	GYMB	S	30,717	43.14	4-Jan	5-Jan	1,228.68	4.0
DKR CAPITAL	048	HMA	B	21,500	19.97	18-Jan	18-Jan	860.00	4.0
NEUBERGER BERMAN	238	HP	S	17,400	24.60	n/a	n/a	870.00	5.0
<b>BUCK</b>	<b>015</b>	<b>ICEMV</b>	<b>B</b>	<b>5</b>	<b>4.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROBERTSON STEVENS BC	033	INTC	S	59,800	20.68	n/a	n/a	2,392.00	4.0
<b>BINDER</b>	<b>007</b>	<b>INTC</b>	<b>B</b>	<b>350</b>	<b>20.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	ISLE	S	15,000	25.54	n/a	26-Jan	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>30,000</b>	<b>36.08</b>	<b>n/a</b>	<b>20-Dec</b>	<b>1,200.00</b>	<b>4.0</b>
CASTLE ARK	031	JCP	B	42,250	82.74	10-Nov	5-Jan	2,535.00	6.0
GRUBER MACBAINE	033	JNY	B	25,000	34.70	n/a	26-Oct	1,000.00	4.0
<b>MAGUIRE</b>	<b>039</b>	<b>JPUBU</b>	<b>B</b>	<b>40</b>	<b>0.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>B</b>	<b>44,700</b>	<b>23.98</b>	<b>n/a</b>	<b>3-Nov</b>	<b>1,788.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>69.45</b>	<b>27-Dec</b>	<b>5-Jan</b>	<b>400.00</b>	<b>4.0</b>
NCM CAPITAL MGMT	035	KSU	B	7,700	29.79	n/a	n/a	385.00	5.0
NEUBERGER BERMAN	238	KWK	S	17,000	36.84	n/a	n/a	850.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	LAZ	B	5,000	51.04	n/a	n/a	250.00	5.0
TRIBECA/DOUG	040	LFG	B	2,200	60.64	n/a	n/a	88.00	4.0
SAILFISH	037	LIZ	SS	25,000	45.05	n/a	27-Oct	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>50,000</b>	<b>28.38</b>	<b>5-Jan</b>	<b>5-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
GRANITE CAPITAL	067	LTD	B	20,000	28.14	5-Jan	5-Jan	1,000.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>MOT</b>	<b>B</b>	<b>200</b>	<b>19.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>MTIC</b>	<b>B</b>	<b>9,900</b>	<b>0.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	NCI	S	84,000	19.51	n/a	n/a	3,360.00	4.0
GLG PARTNERS	034	NDN	S	240,000	15.00	16-Jan	16-Jan	12,000.00	5.0
PELL RUDMAN/ATLANTIC TR	030	NDN	B	6,000	14.82	16-Jan	16-Jan	0.00	0.0
PEREGRINE	030	NDN	B	248,100	14.82	16-Jan	16-Jan	12,405.00	5.0
PRIME CAPITAL	048	NVS	B	9,900	58.40	n/a	n/a	495.00	5.0
COUGAR TRADING	044	NWY	S	15,000	14.86	1-Dec	10-Jan	750.00	5.0
NCM CAPITAL MGMT	035	NYB	B	28,200	16.26	n/a	n/a	1,410.00	5.0
VISIUM/BALY HOWARD	038	ODP	B	25,000	39.33	n/a	10-Jan	1,250.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>OVTI</b>	<b>S</b>	<b>200</b>	<b>11.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GRONET</b>	<b>030</b>	<b>PCL</b>	<b>S</b>	<b>1,000</b>	<b>40.10</b>	<b>n/a</b>	<b>14-Dec</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRUNNER	012	PNCL	B	1,000	17.52	n/a	n/a	0.00	0.0
WHEELER	008	RAE	B	10,200	3.14	n/a	n/a	0.00	0.0
ENDEAVOUR CAPITAL	035	RAS	S	30,000	35.00	n/a	n/a	1,500.00	5.0
A.I.M. ADVISORS INC	031	RL	S	27,362	81.92	7-Dec	8-Jan	1,094.48	4.0
BENNETT LAWRENCE	044	RRC	B	1,000	28.76	n/a	n/a	50.00	5.0
MAGUIRE	090	SFUN	S	7,500	17.74	n/a	n/a	0.00	0.0
BARR	096	SFUN	S	1,500	17.26	n/a	n/a	0.00	0.0
MFP INVESTORS	032	SKS	S	7,800	18.93	n/a	n/a	390.00	5.0
GRONET	030	SNTS	S	2,000	7.00	n/a	n/a	0.00	0.0
VISIUM/BALY HOWARD	038	SRZ	SS	15,000	35.65	n/a	n/a	750.00	5.0
AMBER CAPITAL	046	S	B	200,000	17.23	n/a	n/a	8,000.00	4.0
NCM CAPITAL MGMT	035	TCB	B	17,100	26.66	n/a	n/a	855.00	5.0
LUCHANSKY1	036	TEVA	B	300	34.01	8-Nov	19-Jan	0.00	0.0
NEUBERGER BERMAN	238	TKR	S	25,000	28.53	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	TWB	SS	10,000	35.43	9-Jan	19-Jan	500.00	5.0
THE JAY GOLDMAN	034	TWB	S	20,400	35.51	9-Jan	19-Jan	816.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	TWX	S	40,000	22.81	n/a	n/a	2,000.00	5.0
SONAR CAP MGMT	037	TXN	B	100,000	28.66	n/a	n/a	5,000.00	5.0
RIDGECRST PARTNERS	035	URBN	B	5,000	24.69	7-Dec	5-Jan	250.00	5.0
SANDLER O'NEILL ASSET	031	WDR	B	20,000	26.22	12-Jan	12-Jan	1,000.00	5.0
BALYASNY ASSET MGMT	044	WMT	S	30,000	48.35	5-Oct	5-Jan	1,500.00	5.0
AMBER CAPITAL	046	ZLC	B	25,000	27.69	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>119,176.16</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/18	PLATTE RIVER CAPITAL (PLATHOFF18)	035	CAT	S	1,000	59.78	n/a	n/a	40.00 4.0
AO,CRT	01/18	PLATTE RIVER CAPITAL (PLATHOFF18)	035	CAT	S	1,000	59.78	n/a	n/a	40.00 4.0
AO,CXL	01/18	PLATTE RIVER CAPITAL (PLATNWN14)	035	CAT	S	600	59.78	n/a	n/a	24.00 4.0
AO,CRT	01/18	PLATTE RIVER CAPITAL (PLATNWN14)	035	CAT	S	600	59.78	n/a	n/a	24.00 4.0
AO,CXL	01/18	PLATTE RIVER CAPITAL (PLATLEMP09)	035	CAT	S	3,000	59.78	n/a	n/a	120.00 4.0
AO,CRT	01/18	PLATTE RIVER CAPITAL (PLATLEMP09)	035	CAT	S	3,000	59.78	n/a	n/a	120.00 4.0
AO,CXL	01/18	PLATTE RIVER CAPITAL (PLATTCOLLF)	035	CAT	S	5,000	59.78	n/a	n/a	200.00 4.0
AO,CRT	01/18	PLATTE RIVER CAPITAL (PLATTCOLLF)	035	CAT	S	5,000	59.78	n/a	n/a	200.00 4.0
AO,CXL	01/18	PLATTE RIVER CAPITAL (PLATSWINDE)	035	CAT	S	1,500	59.78	n/a	n/a	60.00 4.0
AO,CRT	01/18	PLATTE RIVER CAPITAL (PLATSWINDE)	035	CAT	S	1,500	59.78	n/a	n/a	60.00 4.0
AO,CXL	01/18	PLATTE RIVER CAPITAL (PLATSHAMA)	035	CAT	S	3,000	59.78	n/a	n/a	120.00 4.0
AO,CRT	01/18	PLATTE RIVER CAPITAL (PLATSHAMA)	035	CAT	S	3,000	59.78	n/a	n/a	120.00 4.0
AO,CXL	01/18	REINHART & MAHONEY (REINCST197)	031	CHD	S	190	44.56	8-Nov	4-Dec	0.00 0.0
AO,CRT	01/18	REINHART & MAHONEY (REINCST197)	031	CHD	S	190	44.56	8-Nov	4-Dec	9.50 5.0
AO,	01/18	FORCE CAPITAL MGMT (FORCGSPB)	030	EXP	B	30,000	44.41	n/a	n/a	900.00 3.0
AO,CXL	01/18	FORCE CAPITAL MGMT (FORCGSPB)	030	EXP	S	30,000	44.41	n/a	n/a	900.00 3.0
AO,CXL	01/18	MATTHES CAPITAL MGMT (MATTGSPB)	033	FDO	B	25,000	31.34	3-Nov	5-Jan	1000.00 4.0
AO,CRT	01/18	MATTHES CAPITAL MGMT (MATTGSPB)	033	FDO	B	28,000	31.34	3-Nov	5-Jan	1120.00 4.0
AO,CXL	01/18	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	MWV	B	44,500	29.19	8-Jan	16-Jan	2670.00 6.0
AO,CRT	01/18	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	MWV	B	44,500	29.19	8-Jan	16-Jan	2225.00 5.0
AO,CXL	01/17	HIGHBRIDGE CAPITAL (HIGBNEW)	038	SII	SS	2,300	36.65	n/a	n/a	115.00 5.0
AO,CRT	01/17	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	SII	SS	2,300	36.65	n/a	n/a	115.00 5.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>-315.50</b>
TOTAL (Trade Date) :									119,176.16
TOTAL (AO, CXL, CRT) :									-315.50
<b>TOTAL (RUN DATE) / NFS :</b>									<b>118,860.66</b>

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