



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. | |
|-------------------------|------|--------------|-----|---------|-------|--------|----------|--------------|-----|
| WHALE ROCK CAP | 030 | AAPL | B | 40,000 | 95.87 | n/a | n/a | 1,600.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANF | B | 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 | B | 25,000 | 35.91 | 23-Oct | 5-Jan | 1,000.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 035 | ASD | B | 10,000 | 46.78 | 2-Oct | 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 | B | 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 | B | 7,900 | 37.27 | 23-Oct | 5-Jan | 395.00 | 5.0 |
| MKT MAKER | 099 | BONT | B | 3 | 37.27 | 23-Oct | 5-Jan | 0.00 | 0.0 |
| PLATTE RIVER CAPITAL | 035 | BSX | B | 12,000 | 18.30 | n/a | 22-Apr | 480.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | BWS | B | 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 |

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|----------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | CBK | B | 80,000 | 20.55 | 11-Dec | 5-Jan | 3,200.00 | 4.0 |
| VARDON PARTNERS | 035 | CCU | B | 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 | B | 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 | B | 100 | 0.05 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | DELL | B | 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 |

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|-------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| 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 | B | 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 | B | 17,200 | 2.53 | n/a | n/a | 516.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | JCG | B | 10,000 | 37.57 | n/a | 20-Dec | 400.00 | 4.0 |
| HAYGROUND COE | 039 | JCP | B | 62,200 | 79.50 | 10-Nov | 5-Jan | 3,072.50 | 3.3 |
| BALYASNY ASSET MGMT | 044 | JNS | B | 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 | B | 10,000 | 23.76 | n/a | 3-Nov | 400.00 | 4.0 |

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|--------------------------|------------|------------|-----------|---------------|--------------|--------------|---------------|-----------------|------------|
| XYLEM GLOBAL | 024 | KMB | SS | 19,000 | 68.76 | n/a | n/a | 950.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | LIZ | SS | 20,000 | 45.36 | n/a | 27-Oct | 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 |
| DISCIPLINED GROWTH INV. | 030 | LTD | B | 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 | SS | 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 | B | 66,900 | 33.21 | n/a | n/a | 3,345.00 | 5.0 |
| WEINTRAUB CAPITAL MGT. | 040 | MIR | B | 25,000 | 33.60 | n/a | n/a | 1,250.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 035 | MWV | B | 100,000 | 29.40 | 8-Jan | 16-Jan | 5,000.00 | 5.0 |
| SCOPUS FUND | 039 | MWV | B | 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 | B | 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 | B | 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 | B/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 | B | 5,100 | 71.34 | n/a | n/a | 204.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | PLCE | B | 30,000 | 58.54 | n/a | 5-Jan | 1,500.00 | 5.0 |
| TRUST CO OF THE WEST/NY | 040 | PSUN | B | 65,600 | 21.48 | n/a | 12-Jan | 2,624.00 | 4.0 |
| THIRD POINT MGMT | 044 | Q | B | 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 | B | 15,000 | 26.98 | n/a | n/a | 750.00 | 5.0 |
| ELM RIDGE ADVISORS | 044 | SYMC | B | 84,000 | 18.10 | n/a | 3-Apr | 3,360.00 | 4.0 |
| PLATTE RIVER CAPITAL | 035 | S | B | 5,000 | 17.09 | n/a | n/a | 200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|------------|--------------|--------------|---------------|-------------------|------------|
| FIRST NEW YORK LEDDY | 035 | TRA | B | 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 | B | 200 | 1.35 | n/a | n/a | 0.00 | 0.0 |
| SAILFISH | 037 | WMT | B | 10,000 | 47.98 | 5-Oct | 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 | B | 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 | B | 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 | B | 60,000 | 37.87 | 23-Oct | 5-Jan | 1.51 0.0 |
| AO,CRT | 01/12 | WHALE ROCK CAP (WHAL4CENTS) | 030 | BONT | B | 60,000 | 37.87 | 23-Oct | 5-Jan | 2400.00 4.0 |
| AO, | 01/12 | GALLEON MGMT LP (GALLMAIN05) | 033 | BSX | B | 100,000 | 18.37 | n/a | 22-Apr | 5000.00 5.0 |
| AO,CXL | 01/12 | IRON HORSE CAPITAL MGMT (IHCMBUSE) | 038 | LVLTT | S | 80,000 | 6.74 | 18-Oct | 12-Jan | 2400.00 3.0 |
| AO, | 01/12 | CENTURION PARTNERS (CENTGSCO) | 249 | OATS | B | 30,000 | 14.78 | n/a | n/a | 1500.00 5.0 |
| AO,CXL | 01/12 | CENTURION PARTNERS (CENTBSPT) | 249 | OATS | B | 30,000 | 14.78 | n/a | n/a | 1500.00 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 4,998.49 |
| TOTAL (Trade Date) : | | | | | | | | | | 110,554.15 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 4,998.49 |
| TOTAL (RUN DATE) / NFS : | | | | | | | | | | 115,552.64 |

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