



## Daily Compliance Activity Report

Trade Date: 03/29/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	10,000	30.76	4-Jan	9-Mar	500.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>AIQ</b>	<b>S</b>	<b>400</b>	<b>8.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUNOVA CAPITAL	031	AMG	S	10,000	106.30	5-Mar	28-Mar	500.00	5.0
DIAMONDBACK CAP MGMT	232	AMZN	B	25,000	39.69	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	ANF	SS	10,000	75.49	2-Feb	21-Mar	500.00	5.0
CAPITAL GROWTH MGMT.	241	APA	S	128,800	70.30	2-Feb	2-Feb	6,440.00	5.0
COUGAR TRADING	044	ARO	B	5,000	39.85	23-Oct	16-Mar	250.00	5.0
<b>BARR</b>	<b>096</b>	<b>AVNX</b>	<b>S</b>	<b>4,500</b>	<b>1.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	AVZ	B	5,000	22.00	5-Mar	28-Mar	250.00	5.0
DEEPHAVEN	031	AVZ	B	5,000	22.34	5-Mar	28-Mar	250.00	5.0
REINHART & MAHONEY	031	AVZ	B	600	22.24	5-Mar	28-Mar	30.00	5.0
U.S. TRUST COMPANY	012	AVZ	B	57,000	22.35	5-Mar	28-Mar	2,565.00	4.5
MORTAR ROCK	033	AXL	SS	5,000	27.45	n/a	n/a	250.00	5.0
REINHART & MAHONEY	031	BAC	B	2,360	50.97	11-Jan	13-Mar	118.00	5.0
SUNOVA CAPITAL	031	BEN	S	10,000	119.41	22-Mar	28-Mar	500.00	5.0
<b>OGORMAN</b>	<b>146</b>	<b>BSC</b>	<b>S</b>	<b>100</b>	<b>150.63</b>	<b>15-Dec</b>	<b>16-Mar</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	CBK	SS	10,000	19.86	11-Dec	9-Mar	500.00	5.0
<b>BARR</b>	<b>096</b>	<b>CCOI</b>	<b>S</b>	<b>600</b>	<b>23.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SSI INVESTORS	048	CC	S	75,027	18.79	20-Dec	29-Mar	3,001.08	4.0
<b>LEDDY</b>	<b>035</b>	<b>CC</b>	<b>B</b>	<b>700</b>	<b>19.07</b>	<b>20-Dec</b>	<b>29-Mar</b>	<b>0.00</b>	<b>0.0</b>
PRIME LOGIC ADV	039	CENT	B	30,000	14.67	8-Feb	8-Feb	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>B</b>	<b>30,000</b>	<b>24.15</b>	<b>27-Mar</b>	<b>27-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>CHS</b>	<b>S</b>	<b>200</b>	<b>24.19</b>	<b>27-Mar</b>	<b>27-Mar</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	CNB	S	29,100	24.80	n/a	n/a	1,455.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>SS</b>	<b>10,000</b>	<b>25.20</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	CRL	S	14,100	45.91	n/a	n/a	705.00	5.0
MATRIX ASSET ADV.	036	CSCO	B	20,000	25.45	n/a	22-Mar	800.00	4.0
REINHART & MAHONEY	031	C	B	105	51.38	11-Jan	13-Mar	5.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>B</b>	<b>10,000</b>	<b>58.97</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
GALLEON MGMT LP	033	EBAY	B	5,000	33.17	n/a	n/a	250.00	5.0
REINHART & MAHONEY	031	EQT	B	1,315	48.51	n/a	n/a	65.75	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>ETH</b>	<b>B</b>	<b>700</b>	<b>35.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIBC ADV.	060	FCX	SS	10,000	65.74	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FDO</b>	<b>B</b>	<b>25,000</b>	<b>29.25</b>	<b>3-Nov</b>	<b>29-Mar</b>	<b>1,000.00</b>	<b>4.0</b>
PIVOT CAP	034	FDO	B	12,500	29.27	3-Nov	29-Mar	500.00	4.0
COUGAR TRADING	044	FD	S	15,000	45.61	26-Jan	9-Mar	750.00	5.0
J L F ASSET MGMT	039	FIG	S	21,152	27.67	n/a	n/a	846.08	4.0
<b>BARR</b>	<b>096</b>	<b>FLT</b>	<b>S</b>	<b>4,720</b>	<b>2.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	FL	S	5,000	23.34	n/a	19-Mar	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>5,000</b>	<b>41.28</b>	<b>n/a</b>	<b>10-Jan</b>	<b>200.00</b>	<b>4.0</b>
DAVIDSON TRUST CO	033	GEMS	S	2,300	2.21	n/a	n/a	69.00	3.0
SUN AMERICA ASSET MGMT	030	GE	S	209,800	35.36	n/a	n/a	10,490.00	5.0
<b>BUCK</b>	<b>015</b>	<b>GZQPY</b>	<b>B</b>	<b>7</b>	<b>0.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>HIW</b>	<b>B</b>	<b>1,000</b>	<b>39.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>HLYS</b>	<b>B</b>	<b>300</b>	<b>29.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REICH AND TANG	067	INSU	S	4,000	23.49	n/a	n/a	200.00	5.0
ELM RIDGE ADVISORS	044	INTC	B	275,700	18.90	n/a	n/a	11,028.00	4.0
<b>KERN</b>	<b>050</b>	<b>ISE</b>	<b>B</b>	<b>500</b>	<b>48.34</b>	<b>26-Oct</b>	<b>27-Mar</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>OGORMAN</b>	<b>146</b>	<b>ISE</b>	<b>B</b>	<b>300</b>	<b>48.56</b>	<b>26-Oct</b>	<b>27-Mar</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JCG	B	5,000	39.87	14-Mar	14-Mar	250.00	5.0
RBC CAPITAL MARKETS	034	JCP	B	10,000	81.27	23-Feb	5-Mar	500.00	5.0
PENN CAPITAL MGMT	033	JDSU	S	9,435	15.16	n/a	n/a	377.40	4.0
PIVOT CAP	034	JNY	S	6,900	32.06	n/a	15-Feb	276.00	4.0
J L F ASSET MGMT	039	JWN	B	17,500	52.00	27-Feb	9-Mar	700.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMX</b>	<b>B</b>	<b>5,000</b>	<b>24.87</b>	<b>n/a</b>	<b>10-Jan</b>	<b>200.00</b>	<b>4.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>KMX</b>	<b>B</b>	<b>200</b>	<b>25.90</b>	<b>n/a</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	KO	S	10,000	48.15	n/a	n/a	500.00	5.0
MORTAR ROCK	033	LEA	SS	10,000	36.70	n/a	n/a	500.00	5.0
U.S.TRUST COMPANY	012	LEH	B	57,000	70.66	n/a	14-Mar	2,565.00	4.5
IRON HORSE CAPITAL MGMT	038	LVLIT	B	15,000	5.97	12-Mar	15-Mar	450.00	3.0
IRONBOUND CAPITAL	012	MEL	S	153,500	43.04	5-Dec	13-Mar	7,675.00	5.0
<b>LEDY</b>	<b>035</b>	<b>MSI</b>	<b>S</b>	<b>1,700</b>	<b>2.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KAICHER</b>	<b>064</b>	<b>MSON</b>	<b>B</b>	<b>2,000</b>	<b>6.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	MWV	B	7,900	30.42	20-Mar	20-Mar	316.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>SUTERA</b>	<b>160</b>	<b>NLS</b>	<b>B</b>	<b>1,000</b>	<b>15.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	NU	S	15,150	32.28	n/a	n/a	757.50	5.0
CASTLEROCK	040	NVT	SS	90,700	33.77	n/a	n/a	3,628.00	4.0
ROYCE TRADING	216	OMM	S	25,000	26.45	n/a	n/a	1,250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>PCU</b>	<b>S</b>	<b>5,000</b>	<b>72.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	PLCE	B	6,800	55.52	n/a	21-Mar	340.00	5.0
KNOTT PARTNERS	044	PRX	B	25,000	25.31	30-Jan	26-Mar	1,000.00	4.0
WAGONHOUND	048	PSUN	SS	7,500	21.03	n/a	16-Mar	300.00	4.0
DIAMONDBACK CAP MGMT	232	QCOM	B	25,000	42.54	n/a	n/a	1,250.00	5.0
J L F ASSET MGMT	039	RFMD	SS	441,067	6.27	n/a	n/a	17,642.68	4.0
NEUBERGER BERMAN	036	RGLD	S	700	30.55	n/a	n/a	28.00	4.0
ROTHSCHILD ASSET	040	RGS	B	9,410	40.57	n/a	n/a	423.45	4.5
COUGAR TRADING	044	SKX	SS	5,000	34.28	n/a	13-Mar	250.00	5.0
REINHART & MAHONEY	031	SRE	B	500	61.25	n/a	n/a	25.00	5.0
GEORGE WEISS	034	STKL	B	32,000	12.09	n/a	n/a	960.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARIENCE CAPITAL	036	STX	B	74,210	23.38	n/a	n/a	3,710.50	5.0
<b>BUCK</b>	<b>015</b>	<b>SXL</b>	<b>S</b>	<b>600</b>	<b>59.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	TJX	B	200,000	26.80	21-Mar	21-Mar	12,000.00	6.0
COUGAR TRADING	044	TJX	B	5,000	26.97	21-Mar	21-Mar	250.00	5.0
WAGONHOUND	048	TJX	B	12,900	26.89	21-Mar	21-Mar	516.00	4.0
PHILADELPHIA FINANCIAL	031	TROW	S	68,611	47.28	n/a	28-Mar	3,430.55	5.0
LOOMIS SALES/BOSTON	036	TWC	S	25,000	37.08	n/a	n/a	1,000.00	4.0
SANDELL ADV	040	UIL	S	16,019	34.97	n/a	n/a	800.95	5.0
WAGONHOUND	048	URBN	B	5,000	25.70	7-Dec	9-Mar	200.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>VG</b>	<b>S</b>	<b>70</b>	<b>3.25</b>	<b>9-Mar</b>	<b>29-Mar</b>	<b>0.00</b>	<b>0.0</b>
FIRST PACIFIC ADV	048	WDC	B	140,000	16.96	n/a	n/a	7,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>120,490.19</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	03/27	GALLEON MGMT LP (GALLBOA.05)	033	AMGN	B	300,000	56.87	n/a	26-Jan	15000.00	5.0
AO,CRT	03/27	GALLEON MGMT LP (GALLMAIN05)	033	AMGN	B	300,000	56.87	n/a	26-Jan	15000.00	5.0
AO,CXL	03/28	CASTLEROCK (CASTMERRIL)	040	CFC	B	18,100	33.50	n/a	n/a	905.00	5.0
AO,CRT	03/28	CASTLEROCK (CASTMERRIL)	040	CFC	B	18,100	33.50	n/a	n/a	724.00	4.0
AO,CXL	03/28	CASTLEROCK (CASTABN AM)	040	CFC	B	28,300	33.50	n/a	n/a	1415.00	5.0
AO,CRT	03/28	CASTLEROCK (CASTABN AM)	040	CFC	B	28,300	33.50	n/a	n/a	1132.00	4.0
AO,CRT	03/28	LISTED ERR (LISTED ERR)	097	CHS	B	200	23.99	27-Mar	27-Mar	0.00	0.0
AO,CXL	03/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CRI	SS	28,300	25.53	n/a	n/a	1132.00	4.0
AO,CRT	03/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CRI	SS	30,000	25.53	n/a	n/a	1200.00	4.0
AO,	03/28	MKT MAKER (MKT MAKER)	099	LNCR	B	200	37.06	21-Dec	13-Feb	0.00	0.0
AO,CXL	03/28	BARROW HANLEY MEWHINNEY (BARR9841)	031	MAT	S	13,700	27.83	n/a	n/a	548.00	4.0
AO,CXL	03/28	BARROW HANLEY MEWHINNEY (BARR9841)	031	NOK	S	68,300	22.53	n/a	n/a	3415.00	5.0
AO,CXL	03/27	SATELLITE ASSET MGMT (SATECITI)	012	TSCO	B	5,000	51.99	n/a	n/a	250.00	5.0
AO,CRT	03/27	SATELLITE ASSET MGMT (SATECITI)	012	TSCO	B	5,000	51.99	n/a	n/a	200.00	4.0
AO,CRT	03/28	SANDELL ADV (SANLBS)	040	WEC	S	25,000	49.09	n/a	n/a	1250.00	5.0
AO,CXL	03/28	SANDLER CAPITAL (SANDOMINBU)	038	WEC	S	25,000	49.09	n/a	n/a	1250.00	5.0
AO,CXL	03/28	THIRD COAST CAPITAL (3CAPP B @)	035	WMT	SS	40,000	47.01	n/a	21-Mar	2000.00	5.0
AO,CRT	03/28	THIRD COAST CAPITAL (3CAPP B @)	035	WMT	SS	40,000	47.03	n/a	21-Mar	2000.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/28	BARROW HANLEY MEWHINNEY (BARR9841)	031	XL	S	9,000	69.75	n/a	n/a	360.00 4.0
AO,CXL	03/28	SATELLITE ASSET MGMT (SATEUBS/PA)	012	ZLC	B	11,300	26.04	n/a	n/a	565.00 5.0
AO,CRT	03/28	SATELLITE ASSET MGMT (SATEUBS/PA)	012	ZLC	B	11,300	26.04	n/a	n/a	452.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-4,882.00</b>
TOTAL (Trade Date) :										120,490.19
TOTAL (AO, CXL, CRT) :										-4,882.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>115,608.19</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