



Daily Compliance Activity Report

Trade Date: 02/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|----------|--------------|--------------|---------------|---------------|--------------|------------|
| GALLEON MGMT LP | 033 | ADM | S | 10,000 | 34.91 | n/a | n/a | 500.00 | 5.0 |
| TORRE | N10 | ADP | S | 440 | 50.47 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | AMG | SS | 5,000 | 118.15 | 25-Jan | 12-Feb | 250.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | ANN | SS | 20,000 | 35.45 | 5-Jan | 9-Feb | 800.00 | 4.0 |
| KACELA CAPITAL | 034 | ANN | B | 20,000 | 35.60 | 5-Jan | 9-Feb | 800.00 | 4.0 |
| CAXTON PART | 040 | AQNT | S | 50,000 | 26.36 | n/a | n/a | 2,000.00 | 4.0 |
| BARR | 096 | ARBX | B | 300 | 6.37 | n/a | n/a | 0.00 | 0.0 |
| ROBERTSON STEVENS BC | 033 | ARO | S | 20,200 | 38.28 | 23-Oct | 9-Feb | 808.00 | 4.0 |
| GRISANTI BROWN & PARTNER | 048 | ASD | B | 5,500 | 53.42 | 12-Feb | 12-Feb | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | AVZ | B | 20,000 | 24.52 | 13-Feb | 13-Feb | 1,000.00 | 5.0 |
| SCHEINER | 037 | BBY | S | 500 | 49.93 | 13-Dec | 10-Jan | 0.00 | 0.0 |
| CAXTON PART | 040 | BEE | S | 15,000 | 20.84 | n/a | n/a | 600.00 | 4.0 |
| SEMINOLE CAP | 036 | BJS | S | 150,000 | 26.89 | n/a | n/a | 7,500.00 | 5.0 |
| REICH AND TANG | 037 | BKR | B | 1,300 | 24.00 | n/a | n/a | 65.00 | 5.0 |
| SCHEINER | 037 | CC | B | 1,500 | 21.34 | 20-Dec | 10-Jan | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------|------------|--------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| GAULT | 063 | CMGBL | B | 10 | 1.35 | n/a | n/a | 0.00 | 0.0 |
| SUTERA | 160 | CMG | B | 500 | 60.62 | n/a | 8-Feb | 0.00 | 0.0 |
| BENNETT LAWRENCE | 044 | CRI | S | 220,550 | 21.09 | n/a | n/a | 11,027.50 | 5.0 |
| EGS ASSOCIATES LP | 091 | CRI | B | 6,000 | 21.03 | n/a | n/a | 360.00 | 6.0 |
| LEDDY | 035 | CRI | B | 2,500 | 22.04 | n/a | n/a | 0.00 | 0.0 |
| BINDER | 007 | CSCO | B | 300 | 27.44 | n/a | 22-Mar | 0.00 | 0.0 |
| GRISANTTI BROWN & PARTNER | 048 | DCX | C | 5,300 | 67.12 | n/a | n/a | 265.00 | 5.0 |
| PILOT ADV | 038 | DELL | B | 50,000 | 23.91 | n/a | n/a | 2,000.00 | 4.0 |
| SENTINAL CAPITAL | 067 | DPZ | S | 12,000 | 31.94 | n/a | 17-Jan | 600.00 | 5.0 |
| SCHEINER | 037 | EFT | B | 10,000 | 19.47 | n/a | n/a | 0.00 | 0.0 |
| BRUNNER | 012 | EXPD | B | 1,000 | 44.03 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | FD | S | 30,000 | 44.00 | 26-Jan | 9-Feb | 1,500.00 | 5.0 |
| GALLEON MGMT LP | 033 | GIS | B | 5,000 | 57.27 | n/a | n/a | 250.00 | 5.0 |
| BARR | 096 | GLD | B | 200 | 66.34 | n/a | n/a | 0.00 | 0.0 |
| LEDDY | 035 | GLW | S | 800 | 22.40 | n/a | 12-Feb | 0.00 | 0.0 |
| EOS PARTNERS | 040 | GS | S | 2,500 | 215.51 | 13-Dec | 16-Jan | 125.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|---------------|----------|--------------|--------------|------------|------------|--------------|------------|
| JACOB | 068 | IAR | S | 7 | 35.53 | n/a | n/a | 0.00 | 0.0 |
| IRON HORSE CAPITAL MGMT | 038 | IR | B | 15,000 | 42.86 | n/a | n/a | 750.00 | 5.0 |
| SECOND CURVE | 031 | KCE | B | 50,000 | 71.44 | n/a | n/a | 2,500.00 | 5.0 |
| NICHOLAS ADVISORS | 034 | KRE | B | 20,000 | 50.58 | n/a | n/a | 500.00 | 2.5 |
| JP MORGAN VENTURES | 046 | KSS | SS | 13,900 | 72.10 | 27-Dec | 9-Feb | 695.00 | 5.0 |
| REICH AND TANG | 037 | LDL | S | 6,500 | 14.00 | n/a | n/a | 325.00 | 5.0 |
| STADIA CAPITAL | 035 | LTD | B | 110,000 | 29.03 | 5-Jan | 9-Feb | 4,400.00 | 4.0 |
| IRON HORSE CAPITAL MGMT | 038 | LVL | B | 25,000 | 6.24 | n/a | 12-Feb | 1,250.00 | 5.0 |
| VICTORIA INVESTORS LP | 060 | MCD | B | 5,000 | 44.97 | 12-Oct | 6-Feb | 250.00 | 5.0 |
| BARR | 096 | MEM | B | 1,000 | 5.36 | n/a | n/a | 0.00 | 0.0 |
| JACOB | 068 | MHS | S | 3 | 61.18 | n/a | n/a | 0.00 | 0.0 |
| CROWLEY | 061 | MIRWSB | S | 500 | 17.43 | n/a | n/a | 0.00 | 0.0 |
| RAMIUS CAP | 040 | MIR | B | 100,000 | 35.70 | n/a | n/a | 5,000.00 | 5.0 |
| GRISANTI BROWN & PARTNER | 048 | MWA | S | 27,500 | 15.34 | n/a | n/a | 1,375.00 | 5.0 |
| CROWLEY | 061 | MZT | B | 4,500 | 0.65 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|---------------|--------------|--------------|-----------------|------------|
| GALLEON MGMT LP | 033 | NWL | S | 5,000 | 30.73 | n/a | n/a | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | NWY | S | 50,000 | 15.20 | 1-Dec | 9-Feb | 2,000.00 | 4.0 |
| ROARING BLUE LION MGMT | 012 | ODP | B | 14,200 | 36.09 | n/a | 23-Jan | 710.00 | 5.0 |
| TRIBECA | 038 | ODP | B | 10,000 | 36.61 | n/a | 23-Jan | 400.00 | 4.0 |
| VISIUM/BALY HOWARD | 038 | ODP | B | 17,500 | 35.90 | n/a | 23-Jan | 875.00 | 5.0 |
| VISIUM/BALY HOWARD | 038 | ODP | SS | 17,500 | 36.91 | n/a | 23-Jan | 875.00 | 5.0 |
| SUN AMERICA ASSET MGMT | 030 | ORCL | B | 183,000 | 16.86 | n/a | n/a | 9,150.00 | 5.0 |
| GALLEON MGMT LP | 033 | PBG | S | 5,000 | 31.93 | n/a | n/a | 250.00 | 5.0 |
| DELTEC ASSET MGMT. | 040 | PLCE | B | 26,500 | 58.20 | n/a | 9-Feb | 1,325.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | PLCE | B | 3,500 | 58.09 | n/a | 9-Feb | 210.00 | 6.0 |
| KNOTT PARTNERS | 044 | PRX | B | 15,000 | 24.99 | 30-Jan | 13-Feb | 600.00 | 4.0 |
| STERLING JOHNSTON | 035 | PVH | B | 5,600 | 56.13 | 18-Jan | 9-Feb | 280.00 | 5.0 |
| MATRIX ASSET ADV. | 036 | ROST | S | 2,700 | 34.44 | n/a | n/a | 108.00 | 4.0 |
| OMEGA ADVISORS | 038 | SBUX | B | 100,000 | 32.98 | n/a | 1-Feb | 4,000.00 | 4.0 |
| BARR | 096 | SLV | B | 100 | 140.00 | n/a | n/a | 0.00 | 0.0 |
| MANNING & NAPIER | 034 | SMG | S | 115,550 | 54.71 | 24-Jan | 24-Jan | 4,622.00 | 4.0 |
| KAICHER | 064 | SNCR | S | 2,000 | 17.61 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------------|--------------|----------|---------------|--------------|---------------|---------------|-------------------|------------|
| NICHOLAS ADVISORS | 034 | SNY | S | 30,300 | 43.60 | n/a | n/a | 1,515.00 | 5.0 |
| SENTINAL CAPITAL | 067 | SPLS | S | 71,750 | 27.18 | n/a | 10-Jan | 3,587.50 | 5.0 |
| MKT MAKER | 099 | SPLS | B | 25,000 | 27.23 | n/a | 10-Jan | 0.00 | 0.0 |
| MKT MAKER | 099 | SPLS | S | 11,611 | 27.22 | n/a | 10-Jan | 0.00 | 0.0 |
| JENNISON | 032 | SYMC | B | 900,000 | 17.97 | n/a | 3-Apr | 36,000.00 | 4.0 |
| GAULT | 063 | TEVA | C | 2,000 | 37.59 | 13-Feb | 13-Feb | 0.00 | 0.0 |
| BEAR STEARNS ASSET MGMT. | 033 | TIF | SS | 25,000 | 41.88 | n/a | 11-Jan | 1,000.00 | 4.0 |
| GAULT | 063 | TVQBG | S | 20 | 2.45 | n/a | n/a | 0.00 | 0.0 |
| STERLING JOHNSTON | 035 | TWTC | B | 13,500 | 23.28 | 8-Feb | 12-Feb | 675.00 | 5.0 |
| BULL PATH CAPITAL | 044 | WCG | B | 25,000 | 76.24 | n/a | n/a | 1,250.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | WRNC | S | 5,000 | 27.00 | 18-Jan | 18-Jan | 300.00 | 6.0 |
| MAGNETAR FINANCIAL | 247 | WISLA | S | 25,000 | 5.84 | n/a | n/a | 750.00 | 3.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | ZQK | B | 233,600 | 14.05 | 9-Feb | 9-Feb | 11,680.00 | 5.0 |
| DSG CAPITAL | 225 | ZQK | B | 20,000 | 14.15 | 9-Feb | 9-Feb | 1,000.00 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 130,908.00 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-----------------------------------|------|--------|-----|---------|-------|--------|----------|-----------------|
| AO, | 02/13 | IMPALA ASSET MMT (IMPABS) | 012 | CENT | B | 158,900 | 48.03 | 8-Feb | 8-Feb | 4767.00 3.0 |
| AO,CXL | 02/13 | PLATTE RIVER CAPITAL (PLATFORD20) | 035 | HD | B | 1,500 | 41.44 | n/a | 13-Feb | 90.00 6.0 |
| AO, | 02/13 | PLATTE RIVER CAPITAL (PLATFORD20) | 035 | HD | B | 1,500 | 41.44 | n/a | 13-Feb | 60.00 4.0 |
| AO,CXL | 02/13 | PLATTE RIVER CAPITAL (PLATOREGON) | 035 | HD | B | 1,500 | 41.44 | n/a | 13-Feb | 90.00 6.0 |
| AO, | 02/13 | PLATTE RIVER CAPITAL (PLATOREGON) | 035 | HD | B | 1,500 | 41.44 | n/a | 13-Feb | 60.00 4.0 |
| AO, | 02/13 | IMPALA ASSET MMT (IMPAGOLDMA) | 012 | HUBG | B | 100,000 | 29.32 | n/a | n/a | 3000.00 3.0 |
| AO,CXL | 02/13 | REICH AND TANG (RICH) | 037 | LDL | S | 1,000 | 14.03 | n/a | n/a | 50.00 5.0 |
| AO, | 02/13 | REICH AND TANG (RICH) | 037 | LDL | S | 1,000 | 14.02 | n/a | n/a | 50.00 5.0 |
| AO,CXL | 02/13 | IRONBOUND CAPITAL (IROBGS) | 012 | SSCC | SS | 50,000 | 11.80 | 26-Oct | 25-Jan | 2500.00 5.0 |
| AO,CRT | 02/13 | IRONBOUND CAPITAL (IROBGS) | 012 | SSCC | SS | 50,000 | 11.80 | 26-Oct | 25-Jan | 1500.00 3.0 |
| AO,CXL | 02/09 | LISTED ERR (LISTED ERR) | 099 | ZQK | B | 79,970 | 13.96 | 9-Feb | 9-Feb | 0.00 0.0 |
| AO,CXL | 02/09 | LISTED ERR (LISTED ERR) | 099 | ZQK | S | 79,970 | 13.95 | 9-Feb | 9-Feb | 0.00 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 6,707.00 |

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|------------------------|------------|
| TOTAL (Trade Date) : | 130,908.00 |
| TOTAL (AO, CXL, CRT) : | 6,707.00 |

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| TOTAL (RUN DATE) / NFS: | 137,615.00 |
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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