

## **Daily Compliance Activity Report** Trade Date: 12/26/2007

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
XYLEM GLOBAL	091	АВН	В	5,000	22.59	n/a	21-Sep	250.00	5.0
DSG CAPITAL	225	ABK	В	2,000	27.20	n/a	n/a	100.00	5.0
LATEFF MGMT	040	ADM	S	1,250	45.59	17-Dec	17-Dec	445.00	36.0
ROYCE TRADING	216	AEO	В	40,000	20.68	9-Nov	7-Dec	2,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	s	60,000	82.14	2-0ct	7-Dec	2,400.00	4.0
COUGAR TRADING	044	ANF	SS	10,000	82.55	2-0ct	7-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	APC	S	31,200	66.46	4-Dec	4-Dec	1,248.00	4.0
BULL PATH CAPITAL	044	ARO	S	30,000	27.39	29-Nov	7-Dec	1,500.00	5.0
MILLER	N23	ATAR	S	2	1.49	n/a	n/a	0.00	0.0
CARLYLE BLUE WAVE PR MG	224	AW	SS	10,000	10.95	n/a	n/a	500.00	5.0
TROOB CAPITAL	067	BBI	S	25,000	4.11	n/a	n/a	750.00	3.0
MILLER	N23	BLC	S	10	17.75	n/a	n/a	0.00	0.0
LUCHANSKY2	036	BONT	S	500	10.93	9-Nov	7-Dec	0.00	0.0
MKT MAKER	099	BONT	S	100	11.05	9-Nov	7-Dec	0.00	0.0
MAGUIRE	039	BSCAO	S	20	0.01	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	s Price	MRI	Research	Comm.	¢/Shr.
	MKT MAKER	099	CENT	s	100	5.90	n/a	28-Nov	0.00	0.0
	MKT MAKER	099	CMCSA	S	100	18.35	26-0ct	5-Dec	0.00	0.0
	MKT MAKER	099	CMCSK	S	100	18.26	n/a	n/a	0.00	0.0
	MONARCH CAPITAL	041	CNW	В	5,000	43.29	n/a	n/a	250.00	5.0
õ	Doug Rogers		CPNQ	В	3600	1.1900	n/a	n/a	0.00	0.0
õ õ	Doug Rogers Doug Rogers		CPN CPN	B B		L14.0000 L14.0000	n/a n/a	n/a n/a	0.00	0.0
	MKT MAKER	099	CTRN	s	100	16.20	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	DDS	s	s 10,000	19.25	n/a	n/a	400.00	4.0
	MILLER	N23	DELL	S	15	24.95	n/a	n/a	0.00	0.0
	NOLAN	067	DUG	S	25	35.59	n/a	n/a	0.00	0.0
	NICHOLAS ADVISORS	034	EFA	В	12,600	78.58	n/a	n/a	630.00	5.0
	BUCK CAPITAL MGMT	001	EL	s	s 20,000	44.11	25-Oct	17-Dec	800.00	4.0
	MKT MAKER	099	EPAX	В	28	17.76	n/a	n/a	0.00	0.0
	ROYCE TRADING	216	FII	S	25,000	42.07	n/a	24-Dec	1,250.00	5.0
	TRUST CO/COWEN/CALF.	040	FLEX	S	291,700	12.15	n/a	n/a	11,668.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	ROYCE TRADING	216	FOSL	S	85 <b>,</b> 000	43.55	13-Nov	13-Nov	4,250.00	5.0
	BUCK CAPITAL MGMT	001	GIL	S	15,000	40.47	5-Nov	11-Dec	600.00	4.0
	BUCK CAPITAL MGMT	001	GM	SS	30,000	26.28	n/a	4-Dec	1,200.00	4.0
	SINCLAIR	031	GPYDF	s	10	13.00	n/a	n/a	0.00	0.0
	KAICHER	064	GVSS	s	400	0.88	n/a	n/a	0.00	0.0
	ROYCE TRADING	216	HEIA	S	20,000	42.01	n/a	n/a	1,000.00	5.0
	SAGE ASSET MGMT	012	IBN	В	123,000	62.83	n/a	n/a	6,150.00	5.0
õ	Doug Rogers		ICA	S	115	27.3600	n/a	n/a	0.00	0.0
	NOLAN	067	IR	В	20	47.03	n/a	n/a	0.00	0.0
	DALTON GREINER	012	IVZ	В	3,100	31.61	20-Dec	24-Dec	155.00	5.0
	ROARING BLUE LION MGMT	012	IVZ	S	13,000	31.83	20-Dec	24-Dec	520.00	4.0
	BUCK CAPITAL MGMT	001	JCG	S	10,000	51.36	28-Nov	30-Nov	400.00	4.0
	COUGAR TRADING	044	JCG	В	10,000	51.72	28-Nov	30-Nov	500.00	5.0
	BUCK CAPITAL MGMT	001	JWN	S	28,600	36.66	20-Nov	7-Dec	1,144.00	4.0
	BUCK CAPITAL MGMT	001	КМХ	SS	20,000	19.01	n/a	10-Jan	800.00	4.0
	BUCK CAPITAL MGMT	001	KSS	s	10,000	45.37	9-Nov	7-Dec	400.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	COUGAR TRADING	044	KSS	SS	15,000	45.53	9-Nov	7-Dec	750.00	5.0
	BUCK CAPITAL MGMT	001	KWD	s	15,000	18.05	n/a	n/a	600.00	4.0
	BUCK CAPITAL MGMT	001	LTD	SS	15,000	18.62	n/a	7-Dec	600.00	4.0
	BUCK CAPITAL MGMT	001	LTM	s	15,000	50.04	n/a	n/a	600.00	4.0
õ	Doug Rogers		MIR	S	7 3	39.0700	n/a	n/a	0.00	0.0
	NICHOLAS ADVISORS	034	MS	S	17,500	54.50	20-Dec	20-Dec	875.00	5.0
	BUCK CAPITAL MGMT	001	M	В	10,000	26.00	9-Nov	7-Dec	400.00	4.0
	STELLIAM INV ADV	040	М	В	10,000	25.98	9-Nov	7-Dec	500.00	5.0
	STRATTON	N21	NETM	В	1,000	6.10	n/a	n/a	0.00	0.0
	JP MORGAN VENTURES	046	OPWV	S	7,000	2.82	n/a	n/a	140.00	2.0
	BUCK CAPITAL MGMT	001	OXM	SS	22,300	26.37	n/a	n/a	892.00	4.0
	BUCK CAPITAL MGMT	001	PAG	s	25,000	18.00	n/a	12-Dec	1,000.00	4.0
	HIGHBRIDGE CAPITAL	038	PCL	В	8,000	47.77	n/a	23-Oct	400.00	5.0
	STRAUSS ASSET MGMT	040	PETM	S	30,000	24.72	n/a	n/a	1,500.00	5.0
	KNOTT PARTNERS	044	PRX	S	15,000	23.91	28-Sep	21-Dec	600.00	4.0
	BUCK CAPITAL MGMT	001	PTT	S	5,000	13.95	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. (	Shr.	
ROYCE TRADING	216	RLI	S	20,000	57.46	n/a	n/a	1,000.00	5.0	
BUCK CAPITAL MGMT	001	RL	S	15,000	62.02	8-Nov	8-Nov	600.00	4.0	
CRAMER ROSENTHAL/SCOTT	012	ROC	В	6,400	32.97	n/a	n/a	256.00	4.0	
MKT MAKER	099	SBUX	S	100	20.96	n/a	24-Apr	0.00	0.0	
BUCK CAPITAL MGMT	001	SKS	S	20,000	21.38	n/a	n/a	800.00	4.0	
OGORMAN	046	SSI	S	300	14.90	21-Nov	7-Dec	0.00	0.0	
BUCK CAPITAL MGMT	001	SWN	s	38,500	55.84	15-Nov	20-Dec	1,540.00	4.0	
BARR	096	SYNP	В	1,700	5.38	n/a	n/a	0.00	0.0	
ROYCE TRADING	216	TDW	В	2,400	55.83	n/a	n/a	120.00	5.0	
STRATTON	N21	TGTDL	s	6	2.00	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT	001	TIF	s	ss 20,000	46.23	18-Oct	3-Dec	800.00	4.0	
NUMERIC	060	TOL	С	105,800	21.02	n/a	n/a	3,174.00	3.0	
U.S.TRUST COMPANY	012	TYC	В	60,000	40.66	9-Nov	15-Nov	2,700.01	4.5	
MERRILL ASSET	032	VQ	S	12,700	19.70	n/a	n/a	571.50	4.5	
ROYCE TRADING	216	WON	S	47,500	2.08	n/a	n/a	1,425.00	3.0	
	ROYCE TRADING  BUCK CAPITAL MGMT  CRAMER ROSENTHAL/SCOTT  MKT MAKER  BUCK CAPITAL MGMT  OGORMAN  BUCK CAPITAL MGMT  BARR  ROYCE TRADING  STRATTON  BUCK CAPITAL MGMT  NUMERIC  U.S.TRUST COMPANY  MERRILL ASSET	ROYCE TRADING 216  BUCK CAPITAL MGMT 001  CRAMER ROSENTHAL/SCOTT 012  MKT MAKER 099  BUCK CAPITAL MGMT 001  OGORMAN 046  BUCK CAPITAL MGMT 001  BARR 096  ROYCE TRADING 216  STRATTON N21  BUCK CAPITAL MGMT 001  NUMERIC 060  U.S.TRUST COMPANY 012  MERRILL ASSET 032	ROYCE TRADING 216 RLI  BUCK CAPITAL MGMT 001 RL  CRAMER ROSENTHAL/SCOTT 012 ROC  MKT MAKER 099 SBUX  BUCK CAPITAL MGMT 001 SKS  OGORMAN 046 SSI  BUCK CAPITAL MGMT 001 SWN  BARR 096 SYNP  ROYCE TRADING 216 TDW  STRATTON N21 TGTDL  BUCK CAPITAL MGMT 001 TIF  NUMERIC 060 TOL  U.S.TRUST COMPANY 012 TYC  MERRILL ASSET 032 VQ	ROYCE TRADING 216 RLI S BUCK CAPITAL MGMT 001 RL S CRAMER ROSENTHAL/SCOTT 012 ROC B MKT MAKER 099 SBUX S BUCK CAPITAL MGMT 001 SKS S OGORMAN 046 SSI S BUCK CAPITAL MGMT 001 SWN S BARR 096 SYNP B ROYCE TRADING 216 TDW B STRATTON N21 TGTDL S BUCK CAPITAL MGMT 001 TIF S NUMERIC 060 TOL C U.S.TRUST COMPANY 012 TYC B MERRILL ASSET 032 VQ S	ROYCE TRADING         216         RLI         S         20,000           BUCK CAPITAL MGMT         001         RL         S         15,000           CRAMER ROSENTHAL/SCOTT         012         ROC         B         6,400           MKT MAKER         099         SBUX         S         100           BUCK CAPITAL MGMT         001         SKS         S         20,000           OGORMAN         046         SSI         S         38,500           BUCK CAPITAL MGMT         001         SWN         S         38,500           BARR         096         SYNP         B         1,700           STRATTON         N21         TGTDL         S         6           BUCK CAPITAL MGMT         001         TIF         SS         20,000           NUMERIC         060         TOL         C         105,800           U.S.TRUST COMPANY         012         TYC         B         60,000           MERRILL ASSET         032         VQ         S         12,700	ROYCE TRADING         216         RLI         S         20,000         57.46           BUCK CAPITAL MGMT         001         RL         S         15,000         62.02           CRAMER ROSENTHAL/SCOTT         012         ROC         B         6,400         32.97           MKT MAKER         099         SBUX         S         100         20.96           BUCK CAPITAL MGMT         001         SKS         S         20,000         21.38           OGORMAN         046         SSI         S         300         14.90           BUCK CAPITAL MGMT         001         SWN         S         38,500         55.84           BARR         096         SYNP         B         1,700         5.38           ROYCE TRADING         216         TDW         B         2,400         55.83           STRATTON         N21         TGTDL         S         6         2.00           BUCK CAPITAL MGMT         001         TIF         SS         20,000         46.23           NUMERIC         060         TOL         C         105,800         21.02           U.S. TRUST COMPANY         012         TYC         B         60,000         40.66	ROYCE TRADING 216 RLI S 20,000 57.46 n/a  BUCK CAPITAL MGMT 001 RL S 15,000 62.02 8-Nov  CRAMER ROSENTHAL/SCOTT 012 ROC B 6,400 32.97 n/a  MKT MAKER 099 SBUX S 100 20.96 n/a  BUCK CAPITAL MGMT 001 SKS S 20,000 21.38 n/a  OGORMAN 046 SSI S 300 14.90 21-Nov  BUCK CAPITAL MGMT 001 SWN S 38,500 55.84 15-Nov  BARR 096 SYNP B 1,700 5.38 n/a  ROYCE TRADING 216 TDW B 2,400 55.83 n/a  STRATTON N21 TGTDL S 6 2.00 n/a  BUCK CAPITAL MGMT 001 TIF SS 20,000 46.23 18-Oct  NUMERIC 060 TOL C 105,800 21.02 n/a  U.S.TRUST COMPANY 012 TYC B 60,000 40.66 9-Nov  MERRILL ASSET 032 VQ S 12,700 19.70 n/a	ROYCE TRADING 216 RLI S 20,000 57.46 n/a n/a  BUCK CAPITAL MGMT 001 RL S 15,000 62.02 8-Nov 8-Nov  CRAMER ROSENTHAL/SCOTT 012 ROC B 6,400 32.97 n/a n/a  MKT MAKER 099 SBUX S 100 20.96 n/a 24-Apr  BUCK CAPITAL MGMT 001 SKS S 20,000 21.38 n/a n/a  OGORMAN 046 SSI S 300 14.90 21-Nov 7-Dec  BUCK CAPITAL MGMT 001 SWN S 38,500 55.84 15-Nov 20-Dec  BARR 096 SYNP B 1,700 5.38 n/a n/a  ROYCE TRADING 216 TDW B 2,400 55.83 n/a n/a  STRATTON N21 TGTDL S 6 2.00 n/a n/a  BUCK CAPITAL MGMT 001 TIF SS 20,000 46.23 18-Oct 3-Dec  NUMERIC 060 TOL C 105,800 21.02 n/a n/a  U.S.TRUST COMPANY 012 TYC B 60,000 40.66 9-Nov 15-Nov  MERRILL ASSET 032 VQ S 12,700 19.70 n/a n/a	ROYCE TRADING         216         RLI         S         20,000         57.46         n/a         n/a         1,000.00           BUCK CAPITAL MGMT         001         RL         S         15,000         62.02         8-Nov         8-Nov         600.00           CRAMER ROSENTHAL/SCOTT         012         ROC         B         6,400         32.97         n/a         n/a         256.00           MRT MAKER         099         SBUX         S         100         20.96         n/a         24-Apr         0.00           BUCK CAPITAL MGMT         001         SKS         S         20,000         21.38         n/a         n/a         800.00           BUCK CAPITAL MGMT         001         SWN         S         38,500         55.84         15-Nov         20-Dec         1,540.00           BARR         096         SYNP         B         1,700         5.38         n/a         n/a         120.00           STRATION         N21         TGTDL         S         6         2.00         n/a         n/a         0.00           BUCK CAPITAL MGMT         001         TIF         SS         20,000         46.23         18-Oet         3-Dec         800.00	ROYCE TRADING 216 RLI S 20,000 57.46 n/a n/a 1,000.00 5.00  BUCK CAPITAL MGMT 001 RL S 15,000 62.02 8-Nov 8-Nov 600.00 4.0  CRAMER ROSENTHAL/SCOTT 012 ROC B 6,400 32.97 n/a n/a n/a 256.00 4.0  MKT MAKER 099 SBUX S 100 20.96 n/a 24-Apr 0.00 0.0  BUCK CAPITAL MGMT 001 SKS S 20,000 21.38 n/a n/a 800.00 4.0  GGORMAN 046 SSI S 300 14.90 21-Nov 7-Dec 0.00 0.0  BUCK CAPITAL MGMT 001 SWN S 38,500 55.84 15-Nov 20-Dec 1,540.00 4.0  BARR 096 SYNP B 1,700 5.38 n/a n/a n/a 0.00 0.0  ROYCE TRADING 216 TDW B 2.400 55.83 n/a n/a n/a 120.00 5.0  STRATTON N21 TGTDL S 6 2.00 n/a n/a 0.00 0.0  BUCK CAPITAL MGMT 01 TIF SS 20,000 46.23 18-Oet 3-Dec 800.00 4.0  BUCK CAPITAL MGMT 01 TIF S 50,000 21.02 n/a n/a 3,174.00 3.0  BUCK CAPITAL MGMT 010 TUC B 60,000 40.66 9-Nov 15-Nov 2,700.01 4.5  MERRILL ASSET 032 VQ 15 12,700 19.70 n/a n/a 571.50 4.5

TOTAL (Trade Date): 63,853.51

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	12/21	US BANCORP (USBCMPLSFI)	030	ACN	В	830	37.93	n/a	n/a	41.50	5.0
AO,	12/21	US BANCORP (USBCKIEWIT)	030	ACN	В	27,305	37.93	n/a	n/a	1365.25	5.0
AO,	12/21	US BANCORP (USBCERGON)	030	ACN	В	959	37.93	n/a	n/a	47.95	5.0
AO,	12/21	US BANCORP (USBCBELLEF)	030	ACN	В	3,106	37.93	n/a	n/a	155.30	5.0
AO,	12/21	US BANCORP (USBCFABAX)	030	ACN	В	31,827	37.93	n/a	n/a	1591.35	5.0
AO,	12/21	US BANCORP (USBCFLRAX)	030	ACN	В	90,064	37.93	n/a	n/a	4503.20	5.0
AO,	12/21	US BANCORP (USBCFASKX)	030	ACN	В	40,158	37.93	n/a	n/a	2007.90	5.0
AO,	12/21	US BANCORP (USBCCREIGH)	030	ACN	В	1,277	37.93	n/a	n/a	63.85	5.0
AO,CXL	12/21	US BANCORP (USBCSIMS)	030	ACN	В	294,421	37.93	n/a	n/a	14721.05	5.0
AO,	12/21	US BANCORP (USBCSIMS)	030	ACN	В	98,155	37.93	n/a	n/a	4907.75	5.0
AO,	12/21	US BANCORP (USBCMSBA)	030	ACN	В	257	37.93	n/a	n/a	12.85	5.0
AO,	12/21	US BANCORP (USBCMNGLAZ)	030	ACN	В	483	37.93	n/a	n/a	24.15	5.0
CRT	12/26	MKT MAKER (MKT MAKER)	099	BONT	S	100	11.05	9-Nov	7-Dec	0.00	0.0
AO,	12/24	ROYCE TRADING (ROYC22)	216	BRC	S	7,500	36.25	n/a	n/a	375.00	5.0
AO,	12/21	GARDNER LEWIS ASSET MGMT (GLAMFUND)	028	CBS	SS	29,300	26.29	n/a	n/a	1465.00	5.0
CRT	12/26	MKT MAKER (MKT MAKER)	099	CENT	S	100	5.90	n/a	28-Nov	0.00	0.0
CRT	12/26	MKT MAKER (MKT MAKER)	099	CMCSA	S	100	18.35	26-Oct	5-Dec	0.00	0.0
CRT	12/26	MKT MAKER (MKT MAKER)	099	CMCSK	s	100	18.26	n/a	n/a	0.00	0.0
CRT	12/26	MKT MAKER (MKT MAKER)	099	CTRN	S	100	16.20	n/a	n/a	0.00	0.0
AO,	12/21	GARDNER LEWIS ASSET MGMT (GLAMFUND)	028	EDS	SS	36,400	21.11	n/a	n/a	1820.00	5.0

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CRT	12/26	MKT MAKER (MKT MAKER)	099	EPAX	В	28	17.76	n/a	n/a	0.00	0.0
AO,	12/24	PILOT ADV (PILOPERSH)	038	M	В	10,000	27.23	9-Nov	7-Dec	400.00	4.0
AO,	12/24	PILOT ADV (PILOBSOMNI)	038	M	В	11,500	27.23	9-Nov	7-Dec	460.00	4.0
AO,	12/24	PILOT ADV (PILOUBS)	038	М	В	500	27.23	9-Nov	7-Dec	20.00	4.0
AO,	12/24	PILOT ADV (PILOPARADI)	038	М	В	23,000	27.23	9-Nov	7-Dec	920.00	4.0
AO,	12/21	GARDNER LEWIS ASSET MGMT (GLAMFUND)	028	MAS	SS	35,100	21.92	n/a	n/a	1755.00	5.0
CRT	12/26	MKT MAKER (MKT MAKER)	099	SBUX	s	100	20.96	n/a	24-Apr	0.00	0.0
TOTAL	(AO, 0	CXL, CRT):							7,	215.00	

TOTAL (RUN DATE) / NFS:	71,068.51
TOTAL (AO, CXL, CRT):	7,215.00
TOTAL (Trade Date):	63,853.51

## Legend:

O: 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