

## **Daily Compliance Activity Report** Trade Date: 12/12/2006

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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PHILADELPHIA FINANCIAL	031	AB	S	31,800	78.84	11-Dec	12-Dec	1,590.00	5.0
BUCK	015	ACC	В	500	29.40	n/a	n/a	0.00	0.0
LISTED ERR	099	ALU	В	25	13.99	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	AL	В	20,000	49.68	n/a	n/a	1,000.00	5.0
J L F ASSET MGMT	039	ANF	SS	29,500	66.28	3-Nov	1-Dec	1,180.00	4.0
COUGAR TRADING	044	ARO	В	10,000	30.91	23-0ct	1-Dec	500.00	5.0
COUGAR TRADING	044	ARO	S	10,000	30.74	23-Oct	1-Dec	500.00	5.0
GALLEON MGMT LP	033	AZN	S	20,000	57.43	n/a	n/a	1,000.00	5.0
BARON ASSET MGMT*	012	BBY	S	20,000	51.30	n/a	8-Dec	1,000.00	5.0
WHITE PINE CAPITAL	030	BBY	В	1,100	51.06	n/a	8-Dec	55.00	5.0
COUGAR TRADING	044	BIG	В	10,000	23.54	16-Nov	1-Dec	500.00	5.0
CENTURION PARTNERS	249	BONT	В	3,000	36.39	23-0ct	1-Dec	150.00	5.0
WHALE ROCK CAP	030	BONT	В	11,065	36.84	23-0ct	1-Dec	442.60	4.0
WHITE PINE CAPITAL	030	BONT	В	300	36.13	23-0ct	1-Dec	15.00	5.0
WHEELER	800	BTN	В	5,100	4.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CC	В	120,000	23.65	n/a	8-Dec	4,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
RBC CAPITAL MARKETS	034	CC	В	25,000	23.78	n/a	8-Dec	1,250.00	5.0
STADIA CAPITAL	035	CC	SS	72,000	23.54	n/a	8-Dec	2,880.00	4.0
UBS O'CONNOR/TOM LEDDY	035	CC	В	10,000	23.63	n/a	8-Dec	500.00	5.0
LEDDY	035	CC	В	700	23.36	n/a	8-Dec	0.00	0.0
WHITE PINE CAPITAL	030	CFC	В	300	40.21	n/a	n/a	15.00	5.0
OGORMAN	146	CHSXE	S	3	3.30	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CHS	В	7 <b>,</b> 500	21.67	29-Nov	8-Dec	375.00	5.0
SUTERA	160	CHS	С	1,000	21.69	29-Nov	8-Dec	0.00	0.0
BALYASNY ASSET MGMT	044	CIT	S	5,000	53.16	n/a	n/a	250.00	5.0
CENTURION PARTNERS	249	CIT	В	10,000	53.42	n/a	n/a	500.00	5.0
BANK OF NEW YORK	040	CLMS	S	39,005	27.39	2-Nov	12-Dec	1,755.23	4.5
KACELA CAPITAL	034	COGN	S	15,000	41.31	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	СОН	В	50,000	42.59	7-Dec	7-Dec	2,000.00	4.0
HUNTER GLOBAL INVESTOR	067	C00	В	52,800	49.59	n/a	n/a	2,640.00	5.0
BUCK CAPITAL MGMT	001	CRI	В	10,000	26.86	n/a	n/a	400.00	4.0
MERRILL ASSET	032	DEI	S	23,700	26.01	n/a	n/a	1,185.00	5.0
GRANAHAN INV	039	DLTR	S	50,000	30.06	21-Nov	1-Dec	2,000.00	4.0
WD PARTNERS ILP	067	EAT	SS	5,000	30.00	13-Sep	12-Dec	250.00	5.0

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Account	RR #	Symbol	B/S		Shares	Price	MRI	Research	Comm.	\$/Shr.	
HIGHBRIDGE CAPITAL	038	ESRX		SS	29,000	69.50	n/a	n/a	1,450.00	5.0	
MAGNETAR FINANCIAL	031	EVC		S	25,000	7.87	n/a	n/a	1,000.00	4.0	
LOOMIS SALES/BOSTON	098	FD		S	166,575	38.28	9-Nov	5-Dec	8,328.75	5.0	
CAPITAL GROWTH MGMT.	241	FLR	В		100,000	85.23	n/a	n/a	5,000.00	5.0	
BUCK	015	GLW		S	1,500	19.77	n/a	7-Dec	0.00	0.0	
KERN	050	GLW	В		500	19.72	n/a	7-Dec	0.00	0.0	
SUTERA	160	GLW	В		1,000	19.78	n/a	7-Dec	0.00	0.0	
SUIERA	100	GIM	ь		1,000	19.78	11/ a	7-Dec	0.00	0.0	
FORD FDN.	032	GS		S	5 <b>,</b> 000	203.28	6-Dec	12-Dec	250.00	5.0	
HUNTER GLOBAL INVESTOR	067	GT		SS	175 <b>,</b> 000	17.80	n/a	n/a	7,000.00	4.0	
BUCK	015	нма	В		1,000	20.49	n/a	1-Dec	0.00	0.0	
HIGHBRIDGE CAPITAL	038	НОТ		SS	15,000	63.95	n/a	n/a	750.00	5.0	
FRIESS MGMT	042	НРQ		S	194,800	39.87	n/a	n/a	8,766.00	4.5	
MISSOURI VALLEY PART	046	HRS	В		39 <b>,</b> 305	44.40	7-Nov	7-Nov	1,965.25	5.0	
WHITE PINE CAPITAL	030	IFF	В		700	48.05	10-Nov	22-Nov	35.00	5.0	
RIVER RUN MGMT	031	ITCD	В		34,100	2.57	n/a	n/a	1,023.00	3.0	
COUGAR TRADING	044	JCG		SS	5,000	37.81	n/a	22-Nov	250.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
SAILFISH	037	JCP	SS	10,000	77.53	10-Nov	1-Dec	500.00	5.0
SPRINGBOC	039	JNY	SS	43,013	33.13	n/a	26-0ct	2,150.65	5.0
CUMBERLAND	038	JWN	В	50,000	49.56	11-Dec	11-Dec	2,000.00	4.0
ROYCE TRADING	216	KCP	S	50,000	24.01	n/a	3-Nov	2,500.00	5.0
BUCK CAPITAL MGMT	001	KSS	В	50,000	69.70	10-Nov	1-Dec	2,000.00	4.0
WHITE PINE CAPITAL	030	LNC	В	300	63.59	n/a	n/a	15.00	5.0
BUCK CAPITAL MGMT	001	LTD	В	20,000	30.60	1-Dec	1-Dec	800.00	4.0
WHITE PINE CAPITAL	030	MCD	В	300	42.96	12-0ct	12-Dec	15.00	5.0
EMINENCE CAPITAL	038	NTGR	S	26,500	26.02	n/a	n/a	1,325.00	5.0
ALLEN & CO	032	NUE	S	75,000	59.78	n/a	n/a	3,000.00	4.0
DEMARTINI	065	NUVO	В	5,000	4.33	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NWY	s	20,000	13.85	1-Dec	1-Dec	800.00	4.0
CAPITAL GROWTH MGMT.	241	PCP	В	5,000	75.37	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	PERY	S	1,500	41.34	n/a	n/a	75.00	5.0
CAXTON PART	040	PMCS	S	100,000	7.20	n/a	n/a	4,000.00	4.0
	SAILFISH  SPRINGBOC  CUMBERLAND  ROYCE TRADING  BUCK CAPITAL MGMT  WHITE PINE CAPITAL  BUCK CAPITAL MGMT  WHITE PINE CAPITAL  EMINENCE CAPITAL  ALLEN & CO  DEMARTINI  BUCK CAPITAL MGMT  CAPITAL GROWTH MGMT.  WHITE PINE CAPITAL	SAILFISH 037  SPRINGBOC 039  CUMBERLAND 038  ROYCE TRADING 216  BUCK CAPITAL MGMT 001  WHITE PINE CAPITAL 030  BUCK CAPITAL MGMT 001  WHITE PINE CAPITAL 030  EMINENCE CAPITAL 030  EMINENCE CAPITAL 038  ALLEN & CO 032  DEMARTINI 065  BUCK CAPITAL MGMT 001  CAPITAL GROWTH MGMT. 241  WHITE PINE CAPITAL 030	SAILFISH 037 JCP  SPRINGBOC 039 JNY  CUMBERLAND 038 JWN  ROYCE TRADING 216 KCP  BUCK CAPITAL MGMT 001 KSS  WHITE PINE CAPITAL 030 LNC  BUCK CAPITAL MGMT 001 LTD  WHITE PINE CAPITAL 030 MCD  EMINENCE CAPITAL 038 NTGR  ALLEN & CO 032 NUE  DEMARTINI 065 NUVO  BUCK CAPITAL MGMT 001 NWY  CAPITAL GROWTH MGMT. 241 PCP  WHITE PINE CAPITAL 030 PERY	SAILFISH 037 JCP SS  SPRINGBOC 039 JNY SS  CUMBERLAND 038 JWN B  ROYCE TRADING 216 KCP S  BUCK CAPITAL MGMT 001 KSS B  WHITE PINE CAPITAL 030 LNC B  EMINENCE CAPITAL 030 MCD B  EMINENCE CAPITAL 030 MCD B  EMINENCE CAPITAL 038 NTGR S  ALLEN & CO 032 NUE S  DEMARTINI 065 NUVO B  BUCK CAPITAL MGMT 001 NWY S  CAPITAL GROWTH MGMT. 241 PCP B  WHITE PINE CAPITAL 030 PERY S	SAILFISH 037 JCP SS 10,000  SPRINGBOC 039 JNY SS 43,013  CUMBERLAND 038 JWN B 50,000  ROYCE TRADING 216 KCP S 50,000  BUCK CAPITAL MGMT 001 KSS B 50,000  WHITE PINE CAPITAL 030 LNC B 300  BUCK CAPITAL MGMT 001 LTD B 20,000  WHITE PINE CAPITAL 030 MCD B 300  EMINENCE CAPITAL 038 NTGR S 26,500  ALLEN & CO 032 NUE S 75,000  DEMARTINI 065 NUVO B 5,000  BUCK CAPITAL MGMT 001 NWY S 20,000  CAPITAL GROWTH MGMT. 241 PCP B 5,000  WHITE PINE CAPITAL 030 PERY S 1,500	SAILFISH 037 JCP SS 10,000 77.53  SPRINGBOC 039 JNY SS 43,013 33.13  CUMBERLAND 038 JWN B 50,000 49.56  ROYCE TRADING 216 KCP S 50,000 24.01  BUCK CAPITAL MGMT 001 KSS B 50,000 69.70  WHITE PINE CAPITAL 030 LNC B 300 63.59  BUCK CAPITAL MGMT 001 LTD B 20,000 30.60  WHITE PINE CAPITAL 030 MCD B 300 42.96  EMINENCE CAPITAL 038 NTGR S 26,500 26.02  ALLEN & CO 032 NUE S 75,000 59.78  DEMARTINI 065 NUVO B 5,000 4.33  BUCK CAPITAL MGMT 001 NWY S 20,000 13.85  CAPITAL GROWTH MGMT. 241 PCP B 5,000 75.37  WHITE PINE CAPITAL 030 PERY S 1,500 41.34	SAILFISH 037 JCP SS 10,000 77.53 10-Nov  SPRINGBOC 039 JNY SS 43,013 33.13 n/a  CUMBERLAND 038 JWN B 50,000 49.56 11-Dec  ROYCE TRADING 216 KCP S 50,000 24.01 n/a  BUCK CAPITAL MGMT 001 KSS B 50,000 69.70 10-Nov  WHITE PINE CAPITAL 030 LNC B 300 63.59 n/a  BUCK CAPITAL MGMT 001 LTD B 20,000 30.60 1-Dec  WHITE PINE CAPITAL 030 MCD B 300 42.96 12-Oct  EMINENCE CAPITAL 038 NTGR S 26,500 26.02 n/a  ALLEN & CO 032 NUE S 75,000 59.78 n/a  BUCK CAPITAL MGMT 001 NWY S 20,000 13.85 1-Dec  CAPITAL GROWTH MGMT. 241 PCP B 5,000 75.37 n/a  WHITE PINE CAPITAL 030 PERY S 1,500 41.34 n/a	SAILFISH 037 JCP SS 10,000 77.53 10-Nov 1-Dec  SFRINGBOC 039 JNY SS 43,013 33.13 n/a 26-Oct  CUMBERLAND 038 JWN B 50,000 49.56 11-Dec 11-Dec  ROYCE TRADING 216 KCP S 50,000 24.01 n/a 3-Nov  BUCK CAPITAL MGMT 001 KSS B 50,000 69.70 10-Nov 1-Dec  WHITE PINE CAPITAL 030 LNC B 300 63.59 n/a n/a  BUCK CAPITAL MGMT 001 LTD B 20,000 30.60 1-Dec 1-Dec  WHITE PINE CAPITAL 030 MCD B 300 42.96 12-Oct 12-Dec  EMINENCE CAPITAL 038 NTGR S 26,500 26.02 n/a n/a  ALLEN 6 CO 032 NUE S 75,000 59.78 n/a n/a  BUCK CAPITAL MGMT 001 NWY S 20,000 13.85 1-Dec 1-Dec  CAPITAL GROWTH MGMT. 241 PCP B 5,000 75.37 n/a n/a  WHITE PINE CAPITAL 030 PERY S 1,500 41.34 n/a n/a	SAILFISH 037 JCP 88 10,000 77.53 10-Nov 1-Dec 500.00 SPRINGBOC 039 JNY 88 43,013 33.13 n/a 26-Oct 2,150.65 CUMBERLAND 038 JWN B 50,000 49.56 11-Dec 11-Dec 2,000.00 ROYCE TRADING 216 KCP 8 50,000 24.01 n/a 3-Nov 2,500.00 BUCK CAPITAL MGMT 001 KSS B 50,000 69.70 10-Nov 1-Dec 2,000.00 BUCK CAPITAL MGMT 001 LTD B 300 63.59 n/a n/a 15.00 BUCK CAPITAL MGMT 001 LTD B 20,000 30.60 1-Dec 1-Dec 800.00 EMINENCE CAPITAL 030 MCD B 300 42.96 12-Oct 12-Dec 15.00 EMINENCE CAPITAL 038 NTGR S 26,500 26.02 n/a n/a 1,325.00 DEMARTINI 065 NUVO B 5,000 4.33 n/a n/a 0.00 BUCK CAPITAL MGMT 001 NWX S 20,000 13.85 1-Dec 1-Dec 800.00 BUCK CAPITAL MGMT 001 NWX S 20,000 13.85 1-Dec 1-Dec 800.00 CAPITAL GROWTH MGMT. 241 PCP B 5,000 75.37 n/a n/a n/a 250.00 MHITE PINE CAPITAL 030 PERRY S 1,500 41.34 n/a n/a 75.00

Account	RR #	Symbol	B/	s	Shares	Price	MRI	Research	Comm.	¢/Shr.
BUCK	015	PPCO	В		1,000	16.46	n/a	n/a	0.00	0.0
EMINENCE CAPITAL	038	PSS	В		50,000	31.64	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	PVH	В		25,000	49.76	22-Nov	22-Nov	1,000.00	4.0
ZOLIDIS	011	RCKY		S	200	17.11	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	В		50,000	77.89	7-Dec	7-Dec	2,000.00	4.0
EMINENCE CAPITAL	038	ROST		S	221,915	30.35	n/a	n/a	11,095.75	5.0
FARALLON CAP MGMT	040	RSH		SS	259 <b>,</b> 100	16.97	n/a	n/a	7,773.00	3.0
WHITE PINE CAPITAL	030	RVI		S	700	19.15	n/a	n/a	35.00	5.0
KACELA CAPITAL	034	SBUX		S	12,000	36.25	6-0ct	12-Dec	480.00	4.0
LEDDY	035	SCSS		S	600	17.98	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	SHLD	В		5,000	175.32	n/a	n/a	250.00	5.0
SAXON WOODS ADVISORS	038	SMG	В		160,000	53.94	27-0ct	6-Dec	8,000.00	5.0
BUCK CAPITAL MGMT	001	SSI	В		10,000	30.91	n/a	n/a	400.00	4.0
WHITE PINE CAPITAL	030	STA	В		400	52.50	n/a	n/a	20.00	5.0
WHITE PINE CAPITAL	030	TDSS		S	200	49.61	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
SAILFISH	037	TGT	SS	10,000	58.15	n/a	1-Dec	500.00	5.0
RAMIUS CAP	040	TIN	В	15,000	43.78	n/a	27-Oct	750.00	5.0
HIGHFIELDS CAP MGMT	039	TWX	S	250,000	21.40	n/a	n/a	12,500.00	5.0
RBC CAPITAL MARKETS	034	TXN	В	25,000	29.56	n/a	n/a	1,250.00	5.0
SARAS CAPITAL	038	TYC	S	50,000	29.50	2-0ct	15-Nov	2,500.00	5.0
GRANAHAN INV	039	WDR	В	44,100	25.30	2-Nov	12-Dec	1,764.00	4.0
BUCK CAPITAL MGMT	001	YUM	SS	40,000	58.67	12-Dec	12-Dec	1,600.00	4.0
VARDON PARTNERS	035	YUM	SS	50,000	58.35	12-Dec	12-Dec	2,500.00	5.0
BUCK CAPITAL MGMT	001	ZQK	В	10,000	14.60	8-Sep	7-Dec	400.00	4.0

TOTAL (Trade Date): 141,909.23

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	12/11	COOKBIELER (COOK30822)	033	BIG	S	900	23.43	16-Nov	1-Dec	36.00	4.0
AO,CXL	12/11	COOKBIELER (COOK30822)	033	BIG	S	900	23.43	16-Nov	1-Dec	36.00	4.0
AO,CXL	12/08	PILOT ROCK (PILRPBX)	028	F	В	750,000	0.03	n/a	n/a	20625.00	2.8
AO,	12/08	PILOT ROCK (PILRPBX)	028	F	В	750,000	7.17	n/a		20625.00	2.8
AO,CXL	12/11	FRONTPOINT (FROPCSFB)	044	NBL	SS	67,000	52.15	n/a	n/a	3350.00	5.0
AO,	12/11	FRONTPOINT (FROPCSFB)	044	NBL	SS	67 <b>,</b> 000	52.15	n/a	n/a	3350.00	5.0
AO, CXL	12/11	FRONTPOINT (FROPMORGAN)	044	NBL	SS	100,000	52.15	n/a	n/a	5000.00	5.0
AO,	12/11	FRONTPOINT (FROPMORGAN)	044	NBL	SS	100,000	52.15	n/a	n/a	5000.00	5.0
AO,	12/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	NWY	S	40,000	13.88	1-Dec	1-Dec	1600.00	4.0
AO, CXL	12/11	EMP ERROR (EMP ERROR)	099	RL	В	5,500	79.60	7-Dec	7-Dec	0.00	0.0
AO,	12/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	SKX	S	20,000	31.15	n/a	7-Dec	800.00	4.0
AO,CXL	12/07	ANTEUS ASSOC.BAEL (ANTAFRBNTR)	065	TWB	S	4	43.25	5-Sep	8-Dec	0.20	5.0
AO, CXL	12/07	ANTEUS ASSOC.BAEL (ANTASARBTR)	065	TWB	S	4	43.25	5-Sep	8-Dec	0.20	5.0
AO, CXL	12/07	ANTEUS ASSOC.BAEL (ANTAJBEITR)	065	TWB	S	4	43.25	5-Sep	8-Dec	0.20	5.0
AO,CXL	12/07	ANTEUS ASSOC.BAEL (ANTAFWBETR)	065	TWB	S	4	43.25	5-Sep	8-Dec	0.20	5.0
AO,	12/07	ANTEUS ASSOC.BAEL (ANTAREG)	065	TWB	S	16	43.25	5-Sep	8-Dec	0.80	5.0

TOTAL (AO, CXL, CRT): 2,400.00

TOTAL (RUN DATE) / NFS:	144,309.23
TOTAL (AO, CXL, CRT):	2,400.00
TOTAL (Trade Date):	141,909.23

## 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