



## Daily Compliance Activity Report

Trade Date: 12/14/2006

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AAPL	B	700	89.35	n/a	n/a	35.00	5.0
KENNEDY CAPITAL	046	ABK	S	7,750	87.56	n/a	n/a	310.00	4.0
WHITE PINE CAPITAL	030	ANAD	B	500	9.12	n/a	n/a	25.00	5.0
FIRST NEW YORK LEDDY	035	ANN	B	10,000	34.11	n/a	1-Dec	600.00	6.0
FRONTPOINT	044	APC	SS	122,000	46.25	1-Sep	13-Dec	6,100.00	5.0
WEINTRAUB CAPITAL MGT.	040	ATVI	B	25,000	17.69	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	BBH	S	100	185.51	n/a	n/a	5.00	5.0
CAXTON PART	040	BBI	B	50,000	5.36	n/a	n/a	2,000.00	4.0
REINHART & MAHONEY	031	BEAS	S	11,530	13.50	n/a	3-Apr	576.50	5.0
SANDLER O'NEILL ASSET	031	BEN	S	5,000	114.01	9-Nov	12-Dec	2.50	0.1
<b>BUCK</b>	<b>015</b>	<b>BMR</b>	<b>B</b>	<b>500</b>	<b>29.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION PARTNERS	249	BONT	B	10,000	36.73	23-Oct	1-Dec	500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>BONT</b>	<b>B</b>	<b>1,650</b>	<b>36.00</b>	<b>23-Oct</b>	<b>1-Dec</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	BSC	S	10,000	159.61	6-Dec	12-Dec	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>BYD</b>	<b>S</b>	<b>300</b>	<b>46.78</b>	<b>12-Dec</b>	<b>12-Dec</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	CBT	S	300	41.58	2-Nov	2-Nov	15.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>40,000</b>	<b>43.13</b>	<b>7-Dec</b>	<b>7-Dec</b>	<b>1,600.00</b>	<b>4.0</b>
CENTURION PARTNERS	249	COH	B	35,000	43.11	7-Dec	7-Dec	1,750.00	5.0
KENNEDY CAPITAL	046	COH	S	27,400	43.28	7-Dec	7-Dec	1,096.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>CORE</b>	<b>S</b>	<b>42</b>	<b>33.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BINDER</b>	<b>007</b>	<b>COSI</b>	<b>S</b>	<b>200</b>	<b>5.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	CPF	B	4,200	37.46	n/a	n/a	189.00	4.5
WHITE PINE CAPITAL	030	CSCO	B	400	27.27	n/a	22-Mar	20.00	5.0
PATTEN & PATTEN	067	CTXS	S	1,400	28.64	n/a	n/a	70.00	5.0
CENTURION PARTNERS	249	CVS	B	30,000	30.90	n/a	n/a	1.55	0.0
HARVEST MGMT	039	CVS	B	20,000	30.96	n/a	n/a	1,000.00	5.0
<b>Õ Claire Mencke</b>		<b>CYD</b>	<b>S</b>	<b>200</b>	<b>7.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	DIS	S	50,000	34.55	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	DOW	S	200	40.09	n/a	14-Dec	10.00	5.0
HIGHFIELDS CAP MGMT	039	DVR	S	250,000	12.59	n/a	n/a	12,500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>EBS</b>	<b>B</b>	<b>1,000</b>	<b>10.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GRONET</b>	<b>030</b>	<b>EBS</b>	<b>B</b>	<b>1,000</b>	<b>10.19</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.	
<b>LEEDS</b>	<b>160</b>	<b>EDGR</b>	<b>B</b>	<b>5,000</b>	<b>3.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GOLDMAN SACHS ASSET MGMT	044	EMC	S	1,924,583	13.43	n/a	n/a	38,491.66	2.0
PATTEN & PATTEN	067	EPP	B	200	127.65	n/a	n/a	10.00	5.0
<b>Õ Claire Mencke</b>		<b>ERS</b>	<b>S</b>	<b>300</b>	<b>12.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GOLDMAN SACHS ASSET MGMT	044	ERTS	B	364,224	53.27	n/a	n/a	5,463.36	1.5
MAGNETAR FINANCIAL	247	EVC	S	25,200	7.91	n/a	n/a	1,008.00	4.0
PATTEN & PATTEN	067	EWJ	B	4,000	14.17	n/a	n/a	200.00	5.0
BEAR STEARNS ASSET MGMT.	033	FD	B	50,000	38.84	9-Nov	5-Dec	2,000.00	4.0
MOORE CAPITAL	036	FD	B	50,000	39.40	9-Nov	5-Dec	2,000.00	4.0
PATTEN & PATTEN	067	FHN	B	1,000	40.86	n/a	n/a	50.00	5.0
EGS ASSOCIATES LP	059	FL	S	3,000	23.32	n/a	7-Dec	180.00	6.0
NEEDHAM CAP	067	FOSL	S	73,050	22.12	15-Nov	15-Nov	3,652.50	5.0
<b>BUCK</b>	<b>015</b>	<b>GLW</b>	<b>S</b>	<b>400</b>	<b>19.93</b>	<b>n/a</b>	<b>13-Dec</b>	<b>0.00</b>	<b>0.0</b>
FORD FDN.	032	GS	S	40,000	200.27	13-Dec	13-Dec	2,000.00	5.0
KENNEDY CAPITAL	046	HES	S	30,750	52.53	n/a	n/a	1,230.00	4.0
J.W. SELIGMAN	032	HLT	B	106,900	35.12	n/a	n/a	4,276.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BELMONT GLOBAL ADV	248	HLYS	S	5,000	32.67	n/a	n/a	250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>HSY</b>	<b>B</b>	<b>150</b>	<b>50.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	IBB	S	200	79.41	n/a	n/a	10.00	5.0
<b>Õ Glenn Redemann</b>		<b>ICE</b>	<b>S</b>	<b>8</b>	<b>1.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ICON	S	10,000	19.85	n/a	n/a	500.00	5.0
<b>GRONET</b>	<b>030</b>	<b>ILA</b>	<b>B</b>	<b>3,000</b>	<b>4.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>5,000</b>	<b>80.30</b>	<b>10-Nov</b>	<b>1-Dec</b>	<b>200.00</b>	<b>4.0</b>
SAILFISH	037	JNS	SS	10,000	20.98	1-Dec	14-Dec	500.00	5.0
CUMBERLAND	038	JWN	B	25,000	50.22	11-Dec	11-Dec	1,000.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>KOG</b>	<b>B</b>	<b>20,000</b>	<b>4.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>KOG</b>	<b>B</b>	<b>5,000</b>	<b>4.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>30,000</b>	<b>69.97</b>	<b>10-Nov</b>	<b>1-Dec</b>	<b>1,200.00</b>	<b>4.0</b>
HARVEST MGMT	039	KSS	B	10,000	70.22	10-Nov	1-Dec	500.00	5.0
BALYASNY ASSET MGMT	044	LEH	B	25,000	75.57	6-Dec	12-Dec	1,250.00	5.0
BALYASNY ASSET MGMT	044	LM	B	10,000	96.97	31-Jul	12-Dec	500.00	5.0
TRIVIUM CAP MGMT	028	LOW	SS	20,000	31.13	n/a	21-Nov	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	40,000	31.15	1-Dec	1-Dec	1,600.00	4.0
KENNEDY CAPITAL	046	MEDI	B	18,600	32.23	n/a	n/a	744.00	4.0
GALLEON MGMT LP	033	MER	B	15,000	89.50	17-Oct	12-Dec	750.00	5.0
EFSTATHIOU	044	MIR	S	200	31.87	n/a	n/a	0.00	0.0
EFSTATHIOU	044	MOT	B	200	20.71	n/a	n/a	0.00	0.0
MKT MAKER	099	MTRX	S	300	16.36	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	38.14	n/a	n/a	400.00	4.0
SEMINOLE CAP	036	NBR	B	100,000	32.79	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	NEM	B	2,300	47.44	n/a	n/a	115.00	5.0
BALYASNY ASSET MGMT	044	NITE	S	6,500	19.15	n/a	n/a	325.00	5.0
PATTEN & PATTEN	067	NOK	S	3,500	20.44	n/a	n/a	175.00	5.0
PATTEN & PATTEN	067	PBE	B	1,300	18.32	n/a	n/a	65.00	5.0
SOMERSET ADV	044	PEIX	SS	25,000	17.51	n/a	n/a	1,250.00	5.0
KACELA CAPITAL	034	PG	SS	7,000	63.39	1-Nov	5-Dec	280.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	51.99	22-Nov	22-Nov	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>WHEELER</b>	<b>008</b>	<b>PXPL</b>	<b>S</b>	<b>11,350</b>	<b>2.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HARVEST MGMT	039	RAD	B	50,000	5.49	n/a	n/a	1,500.00	3.0
GABELLI FUNDS	037	RDA	B	15,000	16.84	n/a	n/a	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>30,000</b>	<b>79.30</b>	<b>7-Dec</b>	<b>7-Dec</b>	<b>1,200.00</b>	<b>4.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>SFUN</b>	<b>B</b>	<b>2,500</b>	<b>18.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION PARTNERS	249	SHLD	B	5,000	175.50	n/a	n/a	250.00	5.0
MFP INVESTORS	032	SKS	S	30,000	17.59	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	SLB	B	350	68.31	n/a	n/a	17.50	5.0
KENNEDY CAPITAL	046	SPR	B	26,450	30.70	n/a	n/a	1,058.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>SSCC</b>	<b>B</b>	<b>51</b>	<b>11.09</b>	<b>26-Oct</b>	<b>14-Dec</b>	<b>0.00</b>	<b>0.0</b>
GOLDMAN SACHS ASSET MGMT	044	STI	B	170,310	84.73	n/a	n/a	3,406.20	2.0
<b>GRONET</b>	<b>030</b>	<b>STKL</b>	<b>B</b>	<b>1,000</b>	<b>9.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>STKL</b>	<b>B</b>	<b>300</b>	<b>9.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAIRS AND POWER INV	030	SVU	S	20,000	35.51	n/a	n/a	1,200.00	6.0
<b>MKT MAKER</b>	<b>099</b>	<b>SVVS</b>	<b>B</b>	<b>155</b>	<b>37.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	SWN	S	155,883	39.90	7-Aug	22-Nov	9,352.98	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	SWN	S	100	39.50	7-Aug	22-Nov	5.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>TIBX</b>	<b>S</b>	<b>500</b>	<b>9.65</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
IRONBOUND CAPITAL	012	TIN	B	238,000	44.76	n/a	14-Dec	11,900.00	5.0
RAMIUS CAP	040	TIN	B	30,000	44.83	n/a	14-Dec	1,500.00	5.0
S.A.C. CAPITAL MGMT.	044	TIN	B	15,000	44.07	n/a	14-Dec	750.00	5.0
<b>BUCK</b>	<b>015</b>	<b>TLB</b>	<b>B</b>	<b>800</b>	<b>25.83</b>	<b>18-Oct</b>	<b>16-Nov</b>	<b>0.00</b>	<b>0.0</b>
LOOMIS SALES/BOSTON	036	TPX	SS	60,650	20.86	n/a	n/a	3,032.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>B</b>	<b>10,000</b>	<b>43.52</b>	<b>5-Sep</b>	<b>8-Dec</b>	<b>400.00</b>	<b>4.0</b>
VANDER MOOLEN	040	TWX	S	5,000	21.63	n/a	n/a	250.00	5.0
CENTURION PARTNERS	249	VFC	B	15,000	81.95	n/a	n/a	750.00	5.0
TRIVIUM CAP MGMT	028	WAG	SS	20,000	44.61	n/a	n/a	800.00	4.0
SAILFISH	037	WB	B	10,000	56.26	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	WFR	B	700	42.74	n/a	n/a	35.00	5.0
BALYASNY ASSET MGMT	044	WSH	B	5,000	40.84	n/a	n/a	250.00	5.0
CAMBIAR CAP	046	WU	B	250,000	22.91	n/a	n/a	10,000.00	4.0
<b>Ö Claire Mencke</b>		<b>WWVY</b>	<b>S</b>	<b>300</b>	<b>19.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	WYE	B	200	51.36	n/a	31-Mar	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ZQK	S	20,000	14.06	8-Sep	7-Dec	800.00	4.0
TOTAL (Trade Date):							161,748.25		



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/13	OTC ERROR (OTC ERROR)	096	GYMB	B	10,000	39.65	1-Dec	1-Dec	0.00	0.0
AO,	12/13	OTC ERROR (OTC ERROR)	099	GYMB	SS	10,000	39.60	1-Dec	1-Dec	0.00	0.0
AO,CXL	12/13	FIRST NEW YORK LEDDY (FNYS)	035	GYMB	SS	10,000	39.60	1-Dec	1-Dec	600.00	6.0
AO,	12/13	FIRST NEW YORK LEDDY (FNYS)	035	GYMB	SS	10,000	39.65	1-Dec	1-Dec	600.00	6.0
AO,CXL	12/13	LEVIN CAPITAL STRATEGIES (LEVSMS)	012	GYMB	SS	5,000	39.98	1-Dec	1-Dec	150.00	3.0
AO,	12/13	LEVIN CAPITAL STRATEGIES (LEVSMS)	012	GYMB	SS	5,000	39.98	1-Dec	1-Dec	150.00	3.0
AO,	12/11	RIVER RUN MGMT (RIVEGSPB)	031	ITCD	B	5,000	2.48	n/a	n/a	150.00	3.0
AO,CXL	12/11	FRONTPOINT (FROPSCFB)	044	NBL	SS	67,000	52.15	n/a	n/a	0.00	0.0
AO,	12/11	FRONTPOINT (FROPSCFB)	044	NBL	SS	67,000	52.15	n/a	n/a	3350.00	5.0
AO,CXL	12/11	FRONTPOINT (FROP Morgan)	044	NBL	SS	100,000	52.15	n/a	n/a	0.00	0.0
AO,	12/11	FRONTPOINT (FROP Morgan)	044	NBL	SS	100,000	52.15	n/a	n/a	5000.00	5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>8,500.00</b>	

TOTAL (Trade Date) :	161,748.25
TOTAL (AO, CXL, CRT) :	8,500.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>170,248.25</b>
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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