



## Daily Compliance Activity Report

Trade Date: 12/26/2006

### POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	AAPL	B	5,000	81.50	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	AAPL	S	1,405	81.71	n/a	n/a	28.10	2.0
PIONEER OAKRIDGE	031	ABT	S	4,185	48.19	n/a	22-Apr	83.70	2.0
PIONEER OAKRIDGE	031	AFL	S	4,375	45.85	n/a	n/a	87.50	2.0
PIONEER OAKRIDGE	031	AMGN	S	2,320	68.32	n/a	26-Jan	46.40	2.0
LEVIN CAPITAL STRATEGIES	012	ARO	SS	12,500	30.33	23-Oct	1-Dec	500.00	4.0
KACELA CAPITAL	034	ATRS	B	10,000	25.75	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	AXP	S	3,325	61.07	n/a	n/a	66.50	2.0
PIONEER OAKRIDGE	031	BBY	S	3,665	49.19	13-Dec	13-Dec	73.30	2.0
<b>WYCKOFF</b>	<b>013</b>	<b>BEBE</b>	<b>S</b>	<b>200</b>	<b>19.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Glenn Redemann</b>		<b>BEP</b>	<b>S</b>	<b>2000</b>	<b>18.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	BIG	C	10,000	23.10	16-Nov	1-Dec	500.00	5.0
<b>WYCKOFF</b>	<b>013</b>	<b>BMJ</b>	<b>S</b>	<b>100</b>	<b>7.07</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>BWS</b>	<b>B</b>	<b>63,500</b>	<b>48.28</b>	<b>n/a</b>	<b>n/a</b>	<b>2,540.00</b>	<b>4.0</b>
FRIESS MGMT	042	CCK	S	47,300	20.68	n/a	n/a	2,128.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRIESS MGMT	042	CHK	B	233,100	29.49	n/a	n/a	10,489.50	4.5
PIONEER OAKRIDGE	031	CMCSA	S	4,830	42.69	27-Jul	29-Nov	96.60	2.0
PIONEER OAKRIDGE	031	CMX	S	4,220	57.75	n/a	n/a	84.40	2.0
PIONEER OAKRIDGE	031	COH	S	6,200	43.36	7-Dec	7-Dec	124.00	2.0
PIONEER OAKRIDGE	031	CSCO	S	9,665	27.15	n/a	22-Mar	193.30	2.0
PIONEER OAKRIDGE	031	CTSH	S	5,060	75.68	n/a	n/a	101.20	2.0
WYPER CAPITAL	044	CVS	S	66,527	31.14	n/a	n/a	2,661.08	4.0
PIONEER OAKRIDGE	031	DHR	S	3,270	72.63	n/a	n/a	65.40	2.0
FRIESS MGMT	042	DIS	S	373,900	34.45	n/a	n/a	16,825.50	4.5
WEISS PECK	040	DKS	C	3,800	49.47	n/a	n/a	190.00	5.0
PIONEER OAKRIDGE	031	DNA	S	3,390	79.96	n/a	n/a	67.80	2.0
PIONEER OAKRIDGE	031	ECL	S	3,730	45.12	n/a	20-Oct	74.60	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EV</b>	<b>S</b>	<b>13,500</b>	<b>32.35</b>	<b>2-Nov</b>	<b>22-Dec</b>	<b>540.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	FDX	S	1,800	107.16	n/a	n/a	36.00	2.0
FARBER/WEISS PECK	012	FD	S	12,000	37.77	9-Nov	21-Dec	600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEEDHAM CAP	067	FOSL	SS	18,875	22.50	15-Nov	15-Nov	755.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>50,000</b>	<b>59.68</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	GE	S	10,140	37.65	n/a	n/a	202.80	2.0
PIONEER OAKRIDGE	031	GLW	S	7,485	18.83	n/a	20-Dec	149.70	2.0
PIONEER OAKRIDGE	031	GOOG	S	600	456.92	n/a	n/a	12.00	2.0
<b>WHEELER</b>	<b>008</b>	<b>GYI</b>	<b>B</b>	<b>5,000</b>	<b>41.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	GYMB	B	5,000	36.89	1-Dec	1-Dec	250.00	5.0
<b>WYCKOFF</b>	<b>013</b>	<b>HC</b>	<b>S</b>	<b>200</b>	<b>19.06</b>	<b>28-Jul</b>	<b>29-Nov</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	HET	S	2,625	82.65	3-Oct	26-Oct	52.50	2.0
SEAROCK CAPITAL MANAGE	012	HNZ	B	50,000	45.07	n/a	n/a	2,000.00	4.0
THE BOSTON COMPANY	214	HOTT	S	71,200	12.99	n/a	1-Dec	2,136.00	3.0
<b>WYCKOFF</b>	<b>013</b>	<b>IPAR</b>	<b>S</b>	<b>100</b>	<b>19.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	IRM	S	2,520	41.81	n/a	n/a	50.40	2.0
RIVER RUN MGMT	031	ITCD	B	2,000	2.51	n/a	n/a	60.00	3.0
KACELA CAPITAL	034	JCP	SS	5,000	78.68	10-Nov	1-Dec	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	JNY	S	8,000	33.39	n/a	26-Oct	0.00	0.0
LISTED ERR	099	JWN	B	8,000	48.81	11-Dec	11-Dec	0.00	0.0
J L F ASSET MGMT	039	KSS	SS	83,600	68.60	10-Nov	1-Dec	3,344.00	4.0
BUCK CAPITAL MGMT	001	KWD	B	70,000	33.44	n/a	n/a	2,800.00	4.0
HIGHBRIDGE CAPITAL	038	LNC	B	3,000	65.53	n/a	n/a	150.00	5.0
PIONEER OAKRIDGE	031	MAR	S	6,070	47.29	n/a	n/a	121.40	2.0
Õ Glenn Redemann		MA	B	6	0.67	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MA	B	6	0.77	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MA	S	6	1.60	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MA	S	6	1.69	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	MCHP	S	5,630	33.17	n/a	n/a	112.60	2.0
PIONEER OAKRIDGE	031	MDT	S	3,505	53.34	n/a	22-Apr	70.10	2.0
PIONEER OAKRIDGE	031	MSFT	S	12,665	29.84	n/a	3-Apr	253.30	2.0
Õ Glenn Redemann		MT	B	13	0.35	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MT	B	13	0.56	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MT	S	13	0.78	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MT	S	13	1.10	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	MW	B	36,600	37.47	n/a	n/a	1,464.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CROWLEY	061	MZT	B	250	0.68	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NFX	B	1	1.95	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NFX	B	1	2.10	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	NVS	S	3,500	57.66	n/a	n/a	70.00	2.0
PIONEER OAKRIDGE	031	NWSA	S	9,780	21.39	n/a	n/a	195.60	2.0
WHITE PINE CAPITAL	030	OLN	S	4,000	16.62	n/a	27-Oct	200.00	5.0
PIONEER OAKRIDGE	031	ORCL	S	14,990	17.11	n/a	n/a	299.80	2.0
PIONEER OAKRIDGE	031	PAYX	S	5,410	39.67	n/a	n/a	108.20	2.0
PIONEER OAKRIDGE	031	PCP	S	2,980	78.69	n/a	n/a	59.60	2.0
PIONEER OAKRIDGE	031	PEP	S	3,480	62.75	n/a	n/a	69.60	2.0
HIGHBRIDGE CAPITAL	038	PFG	B	3,500	58.80	n/a	n/a	175.00	5.0
PIONEER OAKRIDGE	031	PG	S	4,145	64.15	15-Dec	15-Dec	82.90	2.0
COUGAR TRADING	044	PLCE	SS	10,000	63.69	n/a	30-Nov	500.00	5.0
Õ Glenn Redemann		PLCE	B	2	1.46	n/a	30-Nov	0.00	0.0
Õ Glenn Redemann		PLCE	B	2	1.78	n/a	30-Nov	0.00	0.0
BULL PATH CAPITAL	044	PL	B	20,000	47.48	n/a	n/a	1,000.00	5.0
WYCKOFF	013	PSUN	S	200	19.27	3-Aug	1-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	QCOM	S	6,940	37.54	n/a	n/a	138.80	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>78.53</b>	<b>7-Dec</b>	<b>7-Dec</b>	<b>400.00</b>	<b>4.0</b>
SEAROCK CAPITAL MANAGE	012	SBUX	SS	123,200	35.66	6-Oct	12-Dec	3,696.00	3.0
PIONEER OAKRIDGE	031	SCHW	S	11,540	19.01	n/a	n/a	230.80	2.0
FRIESS MGMT	042	SKX	B	25,000	32.18	n/a	7-Dec	1,125.00	4.5
PIONEER OAKRIDGE	031	SLB	S	3,035	62.52	n/a	n/a	60.70	2.0
PIONEER OAKRIDGE	031	SPLS	S	12,280	26.98	n/a	15-Nov	245.60	2.0
<b>WHEELER</b>	<b>008</b>	<b>STXN</b>	<b>S</b>	<b>20,000</b>	<b>4.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAIRS AND POWER INV	030	SVU	S	30,000	36.02	n/a	n/a	1,800.00	6.0
PIONEER OAKRIDGE	031	TGT	S	3,525	57.13	n/a	1-Dec	70.50	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>90,000</b>	<b>23.76</b>	<b>18-Oct</b>	<b>16-Nov</b>	<b>3,600.00</b>	<b>4.0</b>
J L F ASSET MGMT	039	TSCO	SS	26,000	43.93	n/a	n/a	1,040.00	4.0
WHITE PINE CAPITAL	030	TUNE	S	1,100	4.58	n/a	n/a	44.00	4.0
J L F ASSET MGMT	039	TWB	S	52,650	39.86	5-Sep	8-Dec	1,053.00	2.0
PIONEER OAKRIDGE	031	TXN	S	6,835	28.57	n/a	n/a	136.70	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J L F ASSET MGMT	039	URBN	SS	78,100	22.82	7-Dec	11-Dec	3,124.00	4.0
TROOB CAPITAL	067	URI	S	5,000	25.36	n/a	n/a	150.00	3.0
PIONEER OAKRIDGE	031	USB	S	7,390	36.67	n/a	n/a	147.80	2.0
PIONEER OAKRIDGE	031	UTX	S	3,695	62.89	n/a	n/a	73.90	2.0
PIONEER OAKRIDGE	031	WAG	S	4,490	46.37	n/a	n/a	89.80	2.0
J L F ASSET MGMT	039	WMT	SS	129,100	45.40	5-Oct	1-Dec	5,164.00	4.0
PIONEER OAKRIDGE	031	XTO	S	4,830	47.61	n/a	n/a	96.60	2.0
PIONEER OAKRIDGE	031	ZMH	S	2,570	78.57	n/a	n/a	51.40	2.0
<b>TOTAL (Trade Date) :</b>								<b>80,286.48</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/20	SCUDDER HEDGE (SCUFDEUTSC)	034	COH	B	35,000	44.53	7-Dec	7-Dec	1750.00 5.0
AO,	12/20	SCUDDER HEDGE (SCUFDEUTSC)	034	COH	B	35,000	44.53	7-Dec	7-Dec	1400.00 4.0
<b>AO,CXL</b>	<b>12/22</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>20,000</b>	<b>25.80</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00 4.0</b>
<b>AO,CRT</b>	<b>12/22</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>30,000</b>	<b>25.80</b>	<b>n/a</b>	<b>n/a</b>	<b>1200.00 4.0</b>
AO,CXL	12/22	CAPITAL GROWTH MGMT. (CAPG4810)	241	EV	S	80,000	32.27	2-Nov	22-Dec	4000.00 5.0
AO,CRT	12/22	CAPITAL GROWTH MGMT. (CAPG4810)	241	EV	S	80,000	32.27	2-Nov	22-Dec	4000.00 5.0
AO,	12/21	HOOVER INV. MGMT (HOOV84)	033	GDP	S	1,100	37.41	n/a	n/a	55.00 5.0
AO,	12/21	HOOVER INV. MGMT (HOOV21)	033	GDP	S	500	37.41	n/a	n/a	25.00 5.0
AO,CXL	12/21	HOOVER INV. MGMT (HOOVCLOSED)	033	GDP	S	1,100	37.41	n/a	n/a	55.00 5.0
AO,CXL	12/21	HOOVER INV. MGMT (HOOVCLOSED)	033	GDP	S	500	37.41	n/a	n/a	25.00 5.0
AO,CXL	12/22	MATRIX ASSET ADV. (MATXADLGCO)	036	GPS	S	11,000	20.05	n/a	1-Dec	0.60 0.0
AO,CRT	12/22	MATRIX ASSET ADV. (MATXADLGCO)	036	GPS	S	11,000	20.05	n/a	1-Dec	330.00 3.0
AO,CXL	12/22	MATRIX ASSET ADV. (MATXWFGROW)	036	GPS	S	10,000	20.05	n/a	1-Dec	0.60 0.0
AO,CRT	12/22	MATRIX ASSET ADV. (MATXWFGROW)	036	GPS	S	10,000	20.05	n/a	1-Dec	300.00 3.0
AO,CXL	12/22	HIGHBRIDGE CAPITAL (HIGBNEW)	038	MBI	S	20,000	72.25	n/a	n/a	1000.00 5.0
<b>AO,CXL</b>	<b>12/22</b>	<b>MAGUIRE (MAGUIRE)</b>	<b>090</b>	<b>MEM</b>	<b>B</b>	<b>10,000</b>	<b>4.47</b>	<b>n/a</b>	<b>n/a</b>	<b>12.00 0.0</b>
<b>AO,CRT</b>	<b>12/22</b>	<b>MAGUIRE (MAGUIRE)</b>	<b>090</b>	<b>MEM</b>	<b>B</b>	<b>10,000</b>	<b>4.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,CXL</b>	<b>12/22</b>	<b>BARROW HANLEY MEWHINNEY (BARR)</b>	<b>096</b>	<b>MEM</b>	<b>B</b>	<b>10,000</b>	<b>4.47</b>	<b>n/a</b>	<b>n/a</b>	<b>12.00 0.0</b>
<b>AO,CRT</b>	<b>12/22</b>	<b>BARROW HANLEY MEWHINNEY (BARR)</b>	<b>096</b>	<b>MEM</b>	<b>B</b>	<b>10,000</b>	<b>4.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CXL	12/20	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	NNI	S	100,000	28.99	n/a	n/a	5000.00 5.0
AO,	12/20	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	NNI	S	100,000	28.99	n/a	n/a	3000.00 3.0
AO,CXL	12/22	SIGMA CAPITAL ASSOCIATES (SIGMAINMS)	034	WMT	SS	50,000	45.52	5-Oct	1-Dec	2500.00 5.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/22	SIGMA CAPITAL ASSOCIATES (SIGMGS-USE)	034	WMT	SS	50,000	45.52	5-Oct	1-Dec	2500.00 5.0

<b>TOTAL (AO, CXL, CRT) :</b>									<b>-2,345.20</b>	
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TOTAL (Trade Date) :									80,286.48	
TOTAL (AO, CXL, CRT) :									-2,345.20	

<b>TOTAL (RUN DATE) / NFS :</b>									<b>77,941.28</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