



Daily Compliance Activity Report

Trade Date: 01/12/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEOS	B	10,000	33.64	4-Jan	12-Jan	500.00	5.0
FIRST NEW YORK LEDDY	035	AEOS	B	10,000	33.23	4-Jan	12-Jan	600.00	6.0
NEUBERGER BERMAN	238	AMD	S	60,000	18.44	n/a	n/a	3,000.00	5.0
SAXON WOODS ADVISORS	038	AMD	S	20,000	18.33	n/a	n/a	1,000.00	5.0
SUNOVA CAPITAL	031	AMG	B	20,000	109.51	12-Jan	12-Jan	1,000.00	5.0
VARDON PARTNERS	035	AM	SS	5,000	24.21	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	78.21	3-Nov	5-Jan	1,200.00	4.0
BACKUS	005	ANF	S	500	78.06	3-Nov	5-Jan	0.00	0.0
SIRIS	014	ARHNP	S	2,000	6.31	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	ARO	B	35,000	35.74	23-Oct	5-Jan	1,400.00	4.0
COMMISSUM CAPITAL	067	AVZ	B	20,000	23.47	29-Dec	12-Jan	1,000.00	5.0
DEEPHAVEN	031	AVZ	B	15,000	23.61	29-Dec	12-Jan	750.00	5.0
AMBER CAPITAL	046	BBX	SS	4,100	13.51	n/a	n/a	164.00	4.0
CASTLEROCK	040	BDK	SS	18,500	82.17	n/a	n/a	740.00	4.0
SANDLER CAPITAL	038	BEN	B	60,000	120.28	9-Nov	12-Jan	3,600.00	6.0
BUCK CAPITAL MGMT	001	BIG	B	10,000	25.48	16-Nov	5-Jan	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INTEGRITY CAPITAL MGMT	039	BKC	B	5,000	21.04	n/a	21-Dec	150.00	3.0
BALYASNY ASSET MGMT	044	BLK	B	5,000	169.31	16-Oct	12-Jan	250.00	5.0
WHALE ROCK CAP	030	BONT	B	60,000	37.87	23-Oct	5-Jan	1.51	0.0
LEDDY	035	BOOT	S	700	13.21	n/a	n/a	0.00	0.0
BUCK	015	CAH	S	500	66.64	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	CBI	S	54,200	26.49	n/a	n/a	2,710.00	5.0
BUCK CAPITAL MGMT	001	CBK	B	230,000	20.75	11-Dec	5-Jan	9,200.00	4.0
BUCK	015	CBM	B	1,000	22.44	n/a	n/a	0.00	0.0
FORTRESS CAPITAL	040	CCL	B	25,000	51.23	n/a	26-Jan	1,250.00	5.0
THOMSON HORSTMAN BRYANT	040	CENT	S	20,000	47.88	8-Dec	4-Jan	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	S	90,000	75.74	6-Dec	6-Dec	4,500.00	5.0
BUCK CAPITAL MGMT	001	CLE	S	2,850	34.55	3-Nov	5-Jan	114.00	4.0
BUCK	015	COO	B	500	51.52	n/a	n/a	0.00	0.0
BACKUS	005	CPNLQ	S	3,000	1.66	n/a	1-Dec	0.00	0.0
WASHINGTON ASSET	048	CWCO	S	3,777	23.85	n/a	n/a	188.85	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAILFISH	037	C	SS	20,000	54.48	11-Jan	11-Jan	1,000.00	5.0
J L F ASSET MGMT	039	DBRN	S	50,000	23.50	n/a	n/a	2,000.00	4.0
Õ Glenn Redemann		DELL	B	80	0.05	n/a	n/a	0.00	0.0
WEISS PECK	040	DSW	SS	2,224	39.29	n/a	n/a	88.96	4.0
BACKUS	005	DSW	S	500	39.25	n/a	n/a	0.00	0.0
BACKUS	005	EBHI	S	2,000	9.18	n/a	n/a	0.00	0.0
GLICK	059	EDA	B	1,000	10.62	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	B	4,400	41.18	21-Sep	5-Dec	176.00	4.0
BUCK	015	EVVV	S	1,000	18.04	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FD	B	50,000	39.28	9-Nov	5-Jan	2,000.00	4.0
COUGAR TRADING	044	FD	B	20,000	39.15	9-Nov	5-Jan	1,000.00	5.0
BALYASNY ASSET MGMT	044	FII	B	30,000	34.73	n/a	12-Jan	1,500.00	5.0
NEEDHAM CAP	067	FOSL	SS	5,000	23.41	15-Nov	15-Nov	200.00	4.0
MAZAMA CAPITAL MGMT.	035	GHL	S	400	76.00	n/a	n/a	16.00	4.0
BONANZA PARTNERS	031	GIII	SS	11,200	21.07	n/a	n/a	560.00	5.0
BROMPTON CROSS	036	GLW	S	50,000	19.44	n/a	20-Dec	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BELMONT GLOBAL ADV	248	GRS	B	10,000	16.04	n/a	n/a	500.00	5.0
SIRIS	014	HAR	S	1,000	103.06	n/a	n/a	0.00	0.0
HERMES	048	HA	S	10,000	5.88	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	HIBB	B	10,400	32.88	n/a	n/a	416.00	4.0
SIRIS	014	IACI	S	2,000	37.84	n/a	n/a	0.00	0.0
BACKUS	005	ICON	S	1,000	20.68	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	17,000	2.56	n/a	n/a	510.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	37.78	n/a	20-Dec	800.00	4.0
J L F ASSET MGMT	039	JCP	S	800	78.45	10-Nov	5-Jan	32.00	4.0
ZOLIDIS	011	JMBA	B	1,000	10.39	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	JWN	B	10,000	54.06	11-Dec	5-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	KCP	B	50,000	23.83	n/a	3-Nov	2,000.00	4.0
VARDON PARTNERS	035	KFT	SS	10,000	35.94	n/a	n/a	500.00	5.0
GAULT	063	KOG	B	5,000	4.05	n/a	n/a	0.00	0.0
VARDON PARTNERS	035	KR	SS	10,000	23.77	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	KSS	SS	30,000	67.52	27-Dec	5-Jan	1,200.00	4.0
BACKUS	005	KSS	S	1,000	68.06	27-Dec	5-Jan	0.00	0.0
IRON HORSE CAPITAL MGMT	038	LVLIT	S	200,000	6.74	18-Oct	12-Jan	6,000.00	3.0
SAILFISH	037	MA	SS	5,000	106.52	n/a	n/a	250.00	5.0
CIRCLE T PART	035	MCD	B	60,000	44.37	12-Oct	12-Jan	2,400.00	4.0
GALLEON MGMT LP	033	MNT	S	13,794	51.25	n/a	n/a	689.70	5.0
UBS O'CONNOR/TOM LEDDY	035	MWV	B	55,000	29.29	8-Jan	8-Jan	2,750.00	5.0
BUCK CAPITAL MGMT	001	MW	B	2,300	42.44	n/a	n/a	92.00	4.0
CENTURION PARTNERS	249	OATS	B	30,000	14.78	n/a	n/a	1,500.00	5.0
BARR	096	ONNN	C	1,500	8.17	n/a	n/a	0.00	0.0
SAILFISH	037	PCAR	B	10,000	68.98	n/a	n/a	500.00	5.0
BUCK	015	PFE	B	700	26.80	n/a	31-Mar	0.00	0.0
LOOMIS SALES/BOSTON	036	PG	S	132,845	64.73	15-Dec	9-Jan	5,313.80	4.0
VARDON PARTNERS	035	PG	S	20,000	64.99	15-Dec	9-Jan	1,000.00	5.0
FIRST NEW YORK LEDDY	035	POOL	B	10,000	36.25	n/a	n/a	600.00	6.0
A.I.M. ADVISORS INC	031	PVH	B	15,000	53.90	22-Nov	22-Nov	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	RCKY	S	500	16.59	n/a	n/a	0.00	0.0
LOOMIS SALES/BOSTON	036	RGR	S	14,000	9.50	n/a	n/a	280.00	2.0
BRUNNER	012	RJET	S	2,000	18.43	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	50,000	82.44	7-Dec	8-Jan	2,000.00	4.0
WEISS PECK	040	RVI	B	6,100	19.24	n/a	n/a	244.00	4.0
BACKUS	005	RVI	S	2,000	19.27	n/a	n/a	0.00	0.0
MFP INVESTORS	032	SKS	S	25,000	18.55	n/a	n/a	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	TIE	B	30,000	29.42	n/a	n/a	1,500.00	5.0
BACKUS	005	TYC	B	2,000	31.65	2-Oct	15-Nov	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	WFMI	B	80,000	45.74	n/a	n/a	3,200.00	4.0
ARIENCE CAPITAL	036	WMT	B	20,380	47.64	5-Oct	5-Jan	1,019.00	5.0
FORTRESS CAPITAL	040	WMT	B	100,000	47.57	5-Oct	5-Jan	5,000.00	5.0
J L F ASSET MGMT	039	WMT	S	250,000	47.32	5-Oct	5-Jan	10,000.00	4.0
SSI INVESTORS	048	WPI	SS	75,000	25.98	11-Jan	11-Jan	3,000.00	4.0
J L F ASSET MGMT	039	WRNC	S	26,000	25.30	2-Nov	12-Jan	1,040.00	4.0
PRESIDIO	033	XLK	B	12,500	24.02	n/a	n/a	500.00	4.0
LEDDY	035	XOHO	B	3,500	4.07	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

103,695.82

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/10	GAULT (GAULT)	063		S	45,000	93.00	n/a	n/a	0.00 0.0
AO,CRT	01/10	GAULT (GAULT)	063		S	45,000	93.00	n/a	n/a	0.00 0.0
AO,CXL	01/09	NCM CAPITAL MGMT (NCMCLOC210)	035	CLMS	B	6,500	26.27	2-Nov	12-Jan	325.00 5.0
AO,CRT	01/09	NCM CAPITAL MGMT (NCMCLOC210)	035	CLMS	B	6,500	26.27	2-Nov	12-Jan	325.00 5.0
AO,CXL	01/11	WEISS PECK (PECKMS)	040	DSW	SS	578	39.10	n/a	n/a	0.23 0.0
AO,CRT	01/11	WEISS PECK (PECKMS)	040	DSW	SS	576	39.10	n/a	n/a	23.04 4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATHOFF18)	035	EMC	B	1,500	14.37	n/a	n/a	60.00 4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATMICR11)	035	EMC	B	1,500	14.37	n/a	n/a	60.00 4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATNWN14)	035	EMC	B	1,500	14.37	n/a	n/a	60.00 4.0
AO,CXL	01/11	PLATTE RIVER CAPITAL (PLATOREGON)	035	EMC	B	1,500	14.37	n/a	n/a	60.00 4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATOREGON)	035	EMC	B	600	14.37	n/a	n/a	24.00 4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATSWINDE)	035	EMC	B	2,500	14.37	n/a	n/a	100.00 4.0
AO,CXL	01/11	NEEDHAM CAP (NEEDSMASHO)	067	FOSL	SS	250	23.38	15-Nov	15-Nov	12.50 5.0
AO,CRT	01/11	NEEDHAM CAP (NEEDSMASHO)	067	FOSL	SS	250	23.38	15-Nov	15-Nov	10.00 4.0
AO,CXL	01/11	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL	SS	5,160	23.38	15-Nov	15-Nov	258.00 5.0
AO,CRT	01/11	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL	SS	5,160	23.38	15-Nov	15-Nov	206.40 4.0
AO,CXL	01/11	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL	SS	260	23.38	15-Nov	15-Nov	13.00 5.0
AO,CRT	01/11	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL	SS	260	23.38	15-Nov	15-Nov	10.40 4.0
AO,CXL	01/11	NEEDHAM CAP (NEEDHEDGE)	067	FOSL	SS	4,830	23.38	15-Nov	15-Nov	241.50 5.0
AO,CRT	01/11	NEEDHAM CAP (NEEDHEDGE)	067	FOSL	SS	4,830	23.38	15-Nov	15-Nov	193.20 4.0
AO,CXL	01/11	RIVER RUN MGMT (RIVEGSPB)	031	ITCD	B	16,500	2.56	n/a	n/a	825.00 5.0
AO,CRT	01/11	RIVER RUN MGMT (RIVEGSPB)	031	ITCD	B	16,500	2.56	n/a	n/a	495.00 3.0
AO,CRT	01/09	BRUNNER (BRUNNER)	012	RJET	B	1,000	18.38	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	01/09	BRUNNER (BRUNNER)	012	RJET	B	1,000	17.95	n/a	n/a	0.00	0.0
AO,CXL	01/09	BRUNNER (BRUNNER)	012	RJET	B	1,000	18.38	n/a	n/a	0.00	0.0
AO,CXL	01/09	BRUNNER (BRUNNER)	012	RJET	B	1,000	17.95	n/a	n/a	0.00	0.0
AO,CRT	01/11	BRUNNER (BRUNNER)	012	RJET	S	2,000	18.40	n/a	n/a	0.00	0.0
AO,CXL	01/11	BRUNNER (BRUNNER)	012	RJET	S	2,000	18.40	n/a	n/a	0.00	0.0
AO,CXL	01/11	HOLLIS CAPITAL (HOLLBS)	040	WPI	SS	10,000	26.03	11-Jan	11-Jan	0.00	0.0
AO,CRT	01/11	HOLLIS CAPITAL (HOLLBS)	040	WPI	SS	10,000	26.03	11-Jan	11-Jan	500.00	5.0

TOTAL (AO, CXL, CRT) :	331.81
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TOTAL (Trade Date) :	103,695.82
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TOTAL (RUN DATE) / NFS :	104,027.63
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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