



Daily Compliance Activity Report

Trade Date: 12/07/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	AEO	S	500	22.33	9-Nov	7-Dec	0.00	0.0
ROYCE TRADING	216	ALOG	S	3,000	67.63	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	82.69	2-Oct	7-Dec	800.00	4.0
ZOLIDIS	011	ARO	B	500	25.75	29-Nov	7-Dec	0.00	0.0
ROYCE TRADING	216	ASYS	S	15,000	14.89	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	AVY	B	300	53.04	13-Aug	14-Nov	15.00	5.0
GAULT	063	AXE	S	500	64.62	9-Oct	28-Nov	0.00	0.0
KENNEDY CAPITAL	046	AXS	S	19,130	42.47	n/a	n/a	765.20	4.0
PRINCIPLE CAPITAL	040	BBBY	B	50,000	32.33	n/a	n/a	1,500.00	3.0
WHITTIER CAP	048	BBY	S	1,150	52.89	n/a	27-Jul	46.00	4.0
ROYCE TRADING	216	BEAV	S	5,000	50.24	n/a	n/a	250.00	5.0
MKT MAKER	099	BONT	S	451	13.21	9-Nov	7-Dec	0.00	0.0
PECONIC PARTNERS	036	BUD	C	351,300	52.94	n/a	n/a	17,565.00	5.0
GENERAL ELECTIC CO	033	CAKE	S	43,231	23.80	n/a	24-Apr	1,729.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATTANI	041	CAL	B	500	28.59	n/a	n/a	0.00	0.0
HPAR	031	CMCSK	B	26,100	18.15	n/a	n/a	1,305.00	5.0
KIRR MARBACH	030	COV	B	49,690	41.53	n/a	n/a	2,484.50	5.0
LUCHANSKY2	036	CROX	C	100	46.24	n/a	n/a	0.00	0.0
MERRILL ASSET	032	CRR	B	15,400	40.00	25-Oct	30-Nov	693.00	4.5
ROYCE TRADING	216	CTLM	B	25,000	1.22	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	DDS	SS	40,000	21.27	n/a	n/a	1,600.00	4.0
FRIESS MGMT	042	DELL	B	2,164,600	24.96	n/a	n/a	97,407.00	4.5
PATTEN & PATTEN	067	DOW	S	1,125	42.67	n/a	25-Oct	56.25	5.0
ROYCE TRADING	216	ELMG	S	5,000	31.24	n/a	n/a	250.00	5.0
FIRST INV MGMT CORP	036	FDO	B	15,000	20.49	7-Dec	7-Dec	750.00	5.0
SAC TRADING HOWARD	038	FDO	B	25,000	20.29	7-Dec	7-Dec	1,250.00	5.0
SERENGETI MGMT	030	FII	B	75,000	40.44	n/a	26-Nov	3,000.00	4.0
GRANITE CAPITAL	045	FMD	S	10,000	16.49	n/a	n/a	500.00	5.0
REINHART & MAHONEY	031	FSP	S	15,330	16.21	n/a	n/a	766.50	5.0
NORTHPOINT	030	GBTS	B	4,000	14.08	n/a	n/a	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	GCOM	B	10,000	11.35	n/a	n/a	500.00	5.0
ROYCE TRADING	216	GEHL	B	5,000	17.00	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GES	B	20,000	44.35	n/a	n/a	800.00	4.0
JPMSI/TOM LEDDY	035	GIL	B	20,000	37.67	5-Nov	7-Dec	1,000.00	5.0
ROTHSCHILD ASSET	040	GIS	S	12,890	60.70	n/a	n/a	580.05	4.5
SINCLAIR	031	GMME	B	50	0.57	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	B	50,000	21.69	n/a	7-Dec	2,000.00	4.0
ROYCE TRADING	216	IKAN	B	10,000	5.60	n/a	n/a	500.00	5.0
WENTWORTH HAUSER VIOLICH	033	INTC	S	36,110	27.74	n/a	n/a	1,805.50	5.0
KAZMI	010	ITCD	S	32	6.40	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	012	IVZ	S	14,800	27.74	21-Nov	3-Dec	592.00	4.0
WASHINGTON ASSET	048	IVZ	B	8,000	28.00	21-Nov	3-Dec	400.00	5.0
BUCK CAPITAL MGMT	001	JAH	B	50,000	27.63	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	50.15	28-Nov	30-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	JCP	S	340,000	46.68	15-Nov	7-Dec	13,600.00	4.0
PATTEN & PATTEN	067	JWN	B	1,500	38.11	20-Nov	7-Dec	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	KMX	B	125,000	22.05	n/a	10-Jan	5,000.00	4.0
WHITE PINE CAPITAL	030	KSS	B	13,800	51.98	9-Nov	7-Dec	690.00	5.0
FORD FDN.	032	LEH	S	10,200	64.60	n/a	5-Dec	510.00	5.0
MORGAN LEWIS/MLH	046	LII	B	15,000	35.39	n/a	n/a	750.00	5.0
MERRILL ASSET	032	LNG	S	54,500	35.33	n/a	n/a	2,452.50	4.5
PATTEN & PATTEN	067	MAV	B	1,000	14.45	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	MHI	B	1,000	14.08	n/a	n/a	50.00	5.0
CASTANEDA	001	MPXL	B	58	13.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	B	50,000	32.08	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	M	S	5,000	30.25	9-Nov	7-Dec	250.00	5.0
GENERAL ELECTRIC CO	033	NIHD	B	39,557	52.66	n/a	n/a	791.14	2.0
CARLYLE BLUE WAVE PR MG	224	NLC	S	5,000	24.10	n/a	n/a	250.00	5.0
ROYCE TRADING	216	NNBR	B	5,000	8.97	n/a	n/a	250.00	5.0
1837 PARTNERS/RMB CAP	030	NYT	B	5,000	17.00	n/a	n/a	200.00	4.0
ROYCE TRADING	216	OCCF	B	5,000	4.05	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROBX	035	PBCT	B	100,000	17.06	n/a	n/a	4,000.00	4.0
LEDDY	035	PFE	S	250	24.23	n/a	31-Mar	0.00	0.0
CATAPULT	040	PLCE	B	36,000	30.35	3-Dec	7-Dec	1,440.00	4.0
WHITTIER CAP	048	PLCE	B	10,165	29.85	3-Dec	7-Dec	406.60	4.0
COUGAR TRADING	044	PSUN	SS	5,000	16.49	n/a	7-Dec	250.00	5.0
BELMONT GLOBAL ADV	248	PWRD	S	20,000	31.09	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	RL	S	40,000	68.65	8-Nov	8-Nov	1,600.00	4.0
ADAGE CAPITAL MGMT	030	RSH	SS	100,000	19.56	n/a	n/a	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	RSH	B	50,000	19.55	n/a	n/a	2,500.00	5.0
CASTLE ARK	031	SLB	S	179,040	97.11	n/a	n/a	10,742.40	6.0
ROXBURY CAPITAL MGMT	035	SSI	S	125,000	16.23	21-Nov	7-Dec	5,000.00	4.0
SAXON WOODS ADVISORS	038	TIN	B	100,000	46.89	9-Nov	9-Nov	4,000.00	4.0
GAULT	063	TIN	S	500	47.34	9-Nov	9-Nov	0.00	0.0
ADAGE CAPITAL MGMT	030	TJX	S	48,700	30.25	21-Sep	7-Dec	1,948.00	4.0
CAPITAL GROWTH MGMT.	241	TKC	B	50,000	28.97	n/a	n/a	2,500.00	5.0
ROYCE TRADING	216	TKLC	B	5,000	12.46	n/a	22-Mar	250.00	5.0
ROYCE TRADING	216	TQNT	S	10,000	6.14	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	T	B	1,000	38.79	21-Sep	5-Dec	50.00	5.0
LEDDY	035	VC	B	1,500	4.36	n/a	19-Nov	0.00	0.0
LEHMAN PROPRIETARY TRAD	041	VMC	SS	20,000	88.93	n/a	n/a	800.00	4.0
CARLSON CAPITAL	031	WFC	B	91,000	32.28	n/a	n/a	4,550.00	5.0
MATRIX ASSET ADV.	036	WMT	S	5,000	49.15	20-Nov	7-Dec	200.00	4.0
TPG-AXON	040	WYE	S	200,000	47.64	n/a	31-Mar	10,000.00	5.0
KAZMI	010	XOHO	B	4,000	2.25	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :							228,175.88		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CRT	12/07	MKT MAKER (MKT MAKER)	099	BONT	S	100	13.20	9-Nov	7-Dec	0.00	0.0
CRT	12/07	MKT MAKER (MKT MAKER)	099	BONT	S	51	13.21	9-Nov	7-Dec	0.00	0.0
CRT	12/07	MKT MAKER (MKT MAKER)	099	BONT	S	300	13.21	9-Nov	7-Dec	0.00	0.0
AO,	12/06	TRELLUS PARTNERS LP (TRELMERR)	028	CCMP	C	1,532	38.84	14-Sep	25-Oct	76.60	5.0
AO,	12/06	TRELLUS PARTNERS LP (TRELGS)	028	CCMP	C	1,883	38.84	14-Sep	25-Oct	94.15	5.0
AO,	12/06	TRELLUS PARTNERS LP (TRELMAIN)	028	CCMP	C	30,802	38.84	14-Sep	25-Oct	1540.10	5.0
AO,CXL	12/06	ROXBURY CAPITAL MGMT (ROXB40246)	035	CLB	B	245	120.13	6-Nov	30-Nov	9.80	4.0
AO,CXL	12/06	ROXBURY CAPITAL MGMT (ROXB40450)	035	CLB	B	970	120.13	6-Nov	30-Nov	38.80	4.0
AO,	12/06	ROXBURY CAPITAL MGMT (ROXB40450)	035	CLB	B	1,215	120.13	6-Nov	30-Nov	48.60	4.0
AO,	12/06	JANA CAPITAL (JANAGOLDMA)	044	GE	B	10,600	37.04	n/a	n/a	424.00	4.0
AO,	12/06	JANA CAPITAL (JANAABN AM)	044	GE	B	489,400	37.04	n/a	n/a	19576.00	4.0
AO,CRT	12/06	BARROW HANLEY MEWHINNEY (BARR)	096	GLD	B	300	78.84	n/a	n/a	0.00	0.0
AO,CXL	12/06	BARROW HANLEY MEWHINNEY (BARR)	096	GLD	B	300	78.84	n/a	n/a	0.00	0.0
CRT	12/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JCP	S	339,300	46.68	15-Nov	7-Dec	13572.00	4.0
AO,	12/06	PILOT ADV (PILOARLENE)	038	JCP	B	800	43.18	15-Nov	7-Dec	32.00	4.0
AO,	12/06	PILOT ADV (PILOTM.FRI)	038	JCP	B	400	43.18	15-Nov	7-Dec	16.00	4.0
AO,	12/06	PILOT ADV (PILOWHEATO)	038	JCP	B	400	43.18	15-Nov	7-Dec	16.00	4.0
AO,	12/06	PILOT ADV (PILOMEYERM)	038	JCP	B	900	43.18	15-Nov	7-Dec	36.00	4.0
AO,CXL	12/06	ADAGE CAPITAL MGMT (ADAGESHORT)	030	M	SS	150,000	29.92	9-Nov	7-Dec	6000.00	4.0
AO,CRT	12/06	ADAGE CAPITAL MGMT (ADAGESHORT)	030	M	SS	150,000	29.92	9-Nov	7-Dec	6000.00	4.0
AO,CXL	12/06	WOOSTER CAPITAL (WOOSGOLDMA)	035	M	B	50,000	29.83	9-Nov	7-Dec	2500.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/06	WOOSTER CAPITAL (WOOSGOLDMA)	035	M	B	50,000	29.83	9-Nov	7-Dec	2500.00 5.0
CRT	12/07	COUGAR TRADING (COUGPB MS)	044	PSUN	SS	5,000	16.49	n/a	7-Dec	250.00 5.0
CRT	12/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	S	39,800	68.65	8-Nov	8-Nov	1592.00 4.0
AO,CXL	12/06	PALMYRA CAPITAL (PALMFNYSGS)	048	SPY	C	166,763	150.64	n/a	n/a	5002.89 3.0
AO,	12/06	PALMYRA CAPITAL (PALMFNYSGS)	048	SPY	C	3,237	150.64	n/a	n/a	97.11 3.0
AO,CXL	12/06	PALMYRA CAPITAL (PALMGSCO)	048	SPY	C	3,237	150.64	n/a	n/a	97.11 3.0
AO,	12/06	PALMYRA CAPITAL (PALMGSCO)	048	SPY	C	166,763	150.64	n/a	n/a	5002.89 3.0
AO,	12/06	LIGHTHOUSE FIN/QUAD (LHFGJGUARI)	046	SYMC	S	5,000	17.91	n/a	3-Apr	250.00 5.0
AO,	12/06	LIGHTHOUSE FIN/QUAD (LHFGJGUARI)	046	SYMC	S	5,000	17.91	n/a	3-Apr	250.00 5.0
AO,CXL	12/06	CLOVIS CAPITAL (CLOVGOLDMA)	012	XLE	B	200,000	75.81	n/a	n/a	10000.00 5.0
AO,CRT	12/06	CLOVIS CAPITAL (CLOVGOLDMA)	012	XLE	B	200,000	75.81	n/a	n/a	6000.00 3.0

TOTAL (AO, CXL, CRT) :

33,724.85

TOTAL (Trade Date) :

228,175.88

TOTAL (AO, CXL, CRT) :

33,724.85

TOTAL (RUN DATE) / NFS :

261,900.73

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