



Daily Compliance Activity Report

Trade Date: 12/10/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	AAI	S	10,000	8.47	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	ACL	B	75	147.20	26-Oct	4-Dec	3.75	5.0
COUGAR TRADING	044	AEO	B	10,000	22.60	9-Nov	7-Dec	500.00	5.0
DURANGO INVESTMENTS	031	AIMC	S	7,900	17.00	n/a	n/a	316.00	4.0
DAVIDSON KEMPNER ADVISOR	217	AMGN	SS	50,000	50.25	n/a	26-Jan	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ANF	B	5,000	84.10	2-Oct	7-Dec	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	46,200	30.25	6-Aug	7-Dec	1,848.00	4.0
SIGMA CAPITAL ASSOCIATES	237	ANN	S	60,000	30.25	6-Aug	7-Dec	3,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	72,900	26.15	29-Nov	7-Dec	2,733.75	3.8
MAGUIRE	090	AVNX	S	45,000	1.47	n/a	n/a	12.00	0.0
CAPITAL GROWTH MGMT.	241	BAC	B	30,000	45.88	13-Nov	20-Nov	1,500.00	5.0
PATTEN & PATTEN	067	BAC	B	125	46.63	13-Nov	20-Nov	6.25	5.0
PZENA INV ADV	044	BAC	S	16,725	45.92	13-Nov	20-Nov	669.00	4.0
SIGMA CAPITAL ASSOCIATES	237	BEBE	B	10,000	12.93	n/a	n/a	500.00	5.0
PZENA INV ADV	044	BMJ	S	15,525	29.25	n/a	n/a	621.00	4.0
PATTEN & PATTEN	067	CAG	B	415	25.91	n/a	n/a	20.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	CBR	S	10,000	6.71	n/a	n/a	500.00	5.0
ROYCE TRADING	216	CCC	S	10,000	16.54	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	217	CELG	SS	200,000	51.90	n/a	n/a	10,000.00	5.0
ROYCE TRADING	216	CIR	S	3,000	45.23	n/a	n/a	150.00	5.0
PATTEN & PATTEN	067	CMCSA	S	36	18.41	26-Oct	5-Dec	1.80	5.0
H PARTNERS MGMT LLC	031	CMCSK	B	71,955	18.13	n/a	n/a	3,597.75	5.0
COUGAR TRADING	044	COH	B	10,000	36.82	24-Oct	24-Oct	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	COH	SS	20,000	36.74	24-Oct	24-Oct	1,000.00	5.0
MATRIX ASSET ADV.	036	COP	B	7,900	83.64	n/a	n/a	316.00	4.0
HIGHBRIDGE CAPITAL	038	CVH	SS	5,000	59.31	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	CVS	B	260	40.20	n/a	n/a	13.00	5.0
MATRIX ASSET ADV.	036	CVX	B	3,300	91.44	n/a	n/a	132.00	4.0
CROWLEY	061	CXE	B	3,220	5.49	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CY	S	5,000	36.16	n/a	n/a	250.00	5.0
MAGUIRE	090	DB	B	1,100	134.91	n/a	n/a	12.00	0.0
FRIESS MGMT	042	DELL	B	1,566,400	25.20	n/a	n/a	70,488.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	035	DKS	S	50,000	31.91	n/a	27-Nov	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	DSW	B	77,700	20.90	26-Oct	5-Dec	3,885.00	5.0
POST ROAD CAP	045	DTV	B	10,000	24.28	15-Nov	19-Nov	500.00	5.0
MATRIX ASSET ADV.	036	DVN	B	4,000	88.89	22-Oct	30-Nov	160.00	4.0
CROWLEY	061	EFT	S	700	15.89	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	EOG	S	160,000	88.54	n/a	n/a	3,200.00	2.0
PATTEN & PATTEN	067	EPD	S	380	31.34	n/a	n/a	19.00	5.0
PATTEN & PATTEN	067	ERF	S	101	38.65	n/a	n/a	5.05	5.0
ROYCE TRADING	216	ESL	S	10,000	51.45	n/a	n/a	500.00	5.0
CATTANI	041	ETN	S	200	95.80	5-Dec	5-Dec	0.00	0.0
PATTEN & PATTEN	067	EWZ	B	50	84.91	n/a	n/a	2.50	5.0
CAPITAL GROWTH MGMT.	241	FCX	B	50,000	107.90	n/a	n/a	2,500.00	5.0
BUCK	015	FDX	C	400	100.65	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	FMR	S	12,200	22.37	n/a	n/a	488.00	4.0
AAD CAPITAL	048	FOSL	SS	104,056	45.68	13-Nov	13-Nov	4,162.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	FPL	S	100	71.16	n/a	n/a	5.00	5.0
BUCK CAPITAL MGMT	001	GES	B	20,000	45.14	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	GLW	B	200	25.27	n/a	6-Dec	10.00	5.0
STADIA CAPITAL	035	GME	S	10,000	61.36	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GPS	B	20,000	21.48	n/a	7-Dec	800.00	4.0
ROYCE TRADING	216	GRB	S	5,000	9.82	n/a	n/a	250.00	5.0
AMATURO	018	GSI	B	1,804	10.07	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	GXP	S	164	30.38	n/a	n/a	8.20	5.0
SIGMA CAPITAL ASSOCIATES	237	GYMB	B	12,000	35.05	10-Aug	7-Dec	600.00	5.0
SIGMA CAPITAL ASSOCIATES	237	GYMB	SS	5,000	35.00	10-Aug	7-Dec	250.00	5.0
PATTEN & PATTEN	067	HMC	B	300	35.06	n/a	n/a	15.00	5.0
MERRILL LYNCH STRATEGICI	034	HPC	B	20,000	20.30	n/a	n/a	800.00	4.0
HIGHBRIDGE CAPITAL	038	HST	B	24,000	19.57	n/a	n/a	1,200.00	5.0
MERRILL LYNCH STRATEGICI	034	HST	S	16,900	19.83	n/a	n/a	676.00	4.0
ROYCE TRADING	216	HXL	S	5,000	26.90	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	IAI	B	100	52.81	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	IAR	S	5	18.47	n/a	n/a	0.25	5.0
PATTEN & PATTEN	067	IFN	S	78	67.29	n/a	n/a	3.90	5.0
PATTEN & PATTEN	067	IGM	B	200	60.83	n/a	n/a	10.00	5.0
MAGUIRE	090	ILE	S	20,000	2.85	n/a	n/a	12.00	0.0
WHEELER	008	IMMC	S	26,064	0.94	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ITT	B	385	65.38	n/a	13-Nov	19.25	5.0
SERENGETI MGMT	030	IVZ	B	100,000	28.07	21-Nov	10-Dec	5,000.00	5.0
PATTEN & PATTEN	067	IYK	S	50	66.25	n/a	n/a	2.50	5.0
BUCK CAPITAL MGMT	001	JAH	B	120,000	28.60	n/a	n/a	4,800.00	4.0
BUCK CAPITAL MGMT	001	JCP	S	170,000	47.53	15-Nov	7-Dec	6,800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	JCP	SS	15,000	47.51	15-Nov	7-Dec	750.00	5.0
BARROW HANLEY MEWHINNEY	031	JPM	B	50,000	47.48	19-Oct	20-Nov	2,000.00	4.0
PATTEN & PATTEN	067	JWN	B	150	38.45	20-Nov	7-Dec	7.50	5.0
COUGAR TRADING	044	KSS	SS	15,000	51.99	9-Nov	7-Dec	750.00	5.0
FORD FDN.	032	LEH	S	4,200	64.52	n/a	5-Dec	210.00	5.0
GOLDEN TREE	036	LOW	S	188,000	25.02	n/a	27-Jul	9,400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	LTD	SS	10,000	20.70	n/a	7-Dec	500.00	5.0
DISCIPLINED GROWTH INV.	030	LVLTT	S	7,300	3.48	24-Oct	4-Dec	219.00	3.0
HIGHBRIDGE CAPITAL	038	MAR	B	7,000	37.60	n/a	n/a	350.00	5.0
PATTEN & PATTEN	067	MBI	S	295	33.69	n/a	n/a	14.75	5.0
CROWLEY	061	MFMT	S	900	7.13	n/a	n/a	0.00	0.0
ROYCE TRADING	216	MTZ	S	10,000	10.69	n/a	n/a	500.00	5.0
MAGUIRE	090	MZZ	S	16,500	51.08	n/a	n/a	12.00	0.0
MAGUIRE	090	NMTI	S	10,000	5.78	n/a	n/a	12.00	0.0
PATTEN & PATTEN	067	NVS	B	175	57.25	n/a	n/a	8.75	5.0
ROYCE TRADING	216	NWK	S	10,000	12.89	n/a	n/a	500.00	5.0
MAGUIRE	090	NXG	S	20,000	3.10	n/a	n/a	12.00	0.0
MATRIX ASSET ADV.	036	ODP	B	20,000	17.52	n/a	27-Jul	600.00	3.0
BUCK CAPITAL MGMT	001	OXMT	SS	30,000	24.00	n/a	n/a	1,200.00	4.0
MAGUIRE	090	PBH	S	9,600	7.98	n/a	n/a	12.00	0.0
MAGUIRE	090	PDC	S	20,000	11.70	n/a	n/a	12.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	PEP	B	200	77.35	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	PG	S	100	74.30	25-Oct	31-Oct	5.00	5.0
LUCHANSKY	036	PHM	B	100	12.17	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	PHO	B	500	21.87	n/a	n/a	25.00	5.0
BELMONT GLOBAL ADV	248	PLCE	S	55,000	30.02	3-Dec	7-Dec	2,750.00	5.0
SIGMA CAPITAL ASSOCIATES	237	PLCE	B	15,000	30.06	3-Dec	7-Dec	750.00	5.0
ROYCE TRADING	216	PMC	B	5,000	14.57	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	PTT	S	5,000	13.29	n/a	n/a	200.00	4.0
MERRILL ASSET	032	PVA	S	14,500	44.29	n/a	n/a	652.50	4.5
MAGUIRE	039	QID	B	200	36.82	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	B	5,000	7.15	n/a	n/a	300.00	6.0
APEX CAPITAL MGMT.	091	RL	B	5,000	69.62	8-Nov	8-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	RL	S	20,000	70.59	8-Nov	8-Nov	800.00	4.0
CROWLEY	061	RNJ	S	500	15.80	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	217	RNT	SS	25,000	19.93	n/a	n/a	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	SCSS	S	100,000	10.46	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	039	SDS	B	100	51.11	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SE	S	33	24.48	n/a	n/a	1.65	5.0
MAGUIRE	090	SKF	B	2,100	86.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	30,000	21.04	n/a	n/a	1,200.00	4.0
BELMONT GLOBAL ADV	248	SMBL	B	15,000	11.67	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	SNA	S	50	49.00	n/a	n/a	2.50	5.0
PATTEN & PATTEN	067	SRZ	S	575	30.68	n/a	n/a	28.75	5.0
PATTEN & PATTEN	067	SUN	S	100	64.74	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	SWN	B	200	53.20	15-Nov	4-Dec	10.00	5.0
PATTEN & PATTEN	067	TGT	B	135	55.83	n/a	27-Jul	6.75	5.0
SIGMA CAPITAL ASSOCIATES	237	TGT	B	5,000	55.72	n/a	27-Jul	250.00	5.0
SANDLER O'NEILL ASSET	031	TIN	B	25,000	36.64	9-Nov	9-Nov	1,250.00	5.0
BUCK	015	TIN	S	1,200	36.32	9-Nov	9-Nov	0.00	0.0
PATTEN & PATTEN	067	TMA	S	300	11.76	n/a	n/a	15.00	5.0
H PARTNERS MGMT LLC	031	TPX	SS	10,000	31.87	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	TPX	B	25,000	31.67	n/a	n/a	1,250.00	5.0
MERRILL LYNCH STRATEGICI	034	TT	SS	20,000	37.06	31-Oct	31-Oct	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	TWB	B	10,000	25.63	19-Nov	19-Nov	500.00	5.0
MAGUIRE	090	TWM	B	5,000	66.80	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	TWTC	B	200	23.21	9-Nov	4-Dec	10.00	5.0
BUCK CAPITAL MGMT	001	UA	B	180,000	49.85	n/a	n/a	7,200.00	4.0
HIGHBRIDGE CAPITAL	038	UNH	SS	5,000	57.50	n/a	n/a	250.00	5.0
MERRILL ASSET	032	VQ	S	12,200	17.91	n/a	n/a	549.00	4.5
PATTEN & PATTEN	067	VZ	B	200	45.34	21-Sep	19-Nov	10.00	5.0
PATTEN & PATTEN	067	WBC	B	114	48.20	n/a	24-Oct	5.70	5.0
PATTEN & PATTEN	067	WRI	S	41	36.24	n/a	n/a	2.05	5.0
MAGUIRE	090	XJT	S	12,000	2.80	n/a	n/a	12.00	0.0
HUNTER GLOBAL INVESTOR	067	XLF	B	315,000	31.92	n/a	n/a	9,450.00	3.0
PATTEN & PATTEN	067	XOM	S	300	92.00	n/a	n/a	15.00	5.0
TOTAL (Trade Date):							196,215.84		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	12/10	DAVIDSON KEMPNER ADVISOR (DAVIGS)	217	AMGN	SS	50,000	50.25	n/a	26-Jan	2500.00	5.0
AO,	12/07	MATTHES CAPITAL MGMT (MATTMSPB)	033	FDO	SS	6,945	20.92	7-Dec	7-Dec	277.80	4.0
AO,	12/07	MATTHES CAPITAL MGMT (MATTGSPB)	033	FDO	SS	13,055	20.92	7-Dec	7-Dec	522.20	4.0
AO,	12/07	NUMERIC (NUMISAFEWA)	060	GTI	S	3,200	18.97	n/a	n/a	96.00	3.0
AO,	12/07	NUMERIC (NUMISCPMIC)	060	GTI	S	2,000	18.97	n/a	n/a	60.00	3.0
AO,	12/07	NUMERIC (NUMINCSMVA)	060	GTI	S	5,200	18.97	n/a	n/a	156.00	3.0
AO,	12/07	NUMERIC (NUMINCMIC)	060	GTI	S	2,500	18.97	n/a	n/a	75.00	3.0
AO,	12/07	NUMERIC (NUMISMLCFE)	060	GTI	S	700	18.97	n/a	n/a	21.00	3.0
AO,	12/07	NUMERIC (NUMIMONTSM)	060	GTI	S	2,800	18.97	n/a	n/a	84.00	3.0
AO,	12/07	NUMERIC (NUMIMASTER)	060	GTI	S	9,600	18.97	n/a	n/a	288.00	3.0
AO,	12/07	NUMERIC (NUMILUCENT)	060	GTI	S	1,900	18.97	n/a	n/a	57.00	3.0
AO,	12/07	NUMERIC (NUMI)	060	GTI	S	9,100	18.97	n/a	n/a	273.00	3.0
AO,	12/07	NUMERIC (NUMIGNZSGR)	060	GTI	S	3,000	18.97	n/a	n/a	90.00	3.0
AO,	12/07	NUMERIC (NUMIEMICRO)	060	GTI	S	5,500	18.97	n/a	n/a	165.00	3.0
AO,	12/07	NUMERIC (NUMIARCMIC)	060	GTI	S	1,100	18.97	n/a	n/a	33.00	3.0
AO,	12/07	NUMERIC (NUMIADVOCA)	060	GTI	S	3,300	18.97	n/a	n/a	99.00	3.0
AO,	12/07	NUMERIC (NUMISMLCMA)	060	GTI	S	1,800	18.97	n/a	n/a	54.00	3.0
AO,	12/07	NUMERIC (NUMISOCMIC)	060	GTI	S	600	18.97	n/a	n/a	18.00	3.0
AO,	12/07	NUMERIC (NUMIGS)	060	GTI	S	5,300	18.97	n/a	n/a	159.00	3.0
AO,	12/07	NUMERIC (NUMIMORGAN)	060	GTI	S	12,300	18.97	n/a	n/a	369.00	3.0
AO,	12/07	TRELLUS PARTNERS LP (TRELMMERR)	028	PLCE	B	1,796	30.01	3-Dec	7-Dec	89.80	5.0
AO,	12/07	TRELLUS PARTNERS LP (TRELGS)	028	PLCE	B	1,796	30.01	3-Dec	7-Dec	89.80	5.0
AO,	12/07	TRELLUS PARTNERS LP (TRELMAIN)	028	PLCE	B	16,408	30.01	3-Dec	7-Dec	820.40	5.0
AO,CXL	12/07	SIGMA CAPITAL ASSOCIATES (SIGMMAINMS)	237	RSH	B	50,000	19.55	n/a	n/a	2500.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/07	SIGMA CAPITAL ASSOCIATES (SIGMGS-USE)	237	RSH	B	50,000	19.55	n/a	n/a	2500.00 5.0
AO,CXL	12/07	MATRIX ASSET ADV. (MATXAGGRES)	036	WMT	S	2,000	49.15	20-Nov	7-Dec	80.00 4.0
AO,CRT	12/07	MATRIX ASSET ADV. (MATXVALUE)	036	WMT	S	2,000	49.15	20-Nov	7-Dec	80.00 4.0
TOTAL (AO, CXL, CRT) :										6,397.00

TOTAL (Trade Date):	196,215.84
TOTAL (AO, CXL, CRT):	6,397.00

TOTAL (RUN DATE) / NFS:	202,612.84
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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