



# Daily Compliance Activity Report

Trade Date: 12/29/2006

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRIESS MGMT	042	AGR	S	490,200	19.39	n/a	n/a	22,059.00	4.5
<b>SUTERA</b>	<b>160</b>	<b>ARO</b>	<b>SS</b>	<b>1,000</b>	<b>31.53</b>	<b>23-Oct</b>	<b>1-Dec</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	AVZ	B	2,300	24.73	29-Dec	29-Dec	92.00	4.0
SUNOVA CAPITAL	031	AVZ	B	200,000	24.67	29-Dec	29-Dec	10,000.00	5.0
APEX CAPITAL MGMT.	002	BLUD	SS	40,000	29.77	n/a	n/a	2,000.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>BONT</b>	<b>B</b>	<b>500</b>	<b>34.55</b>	<b>23-Oct</b>	<b>1-Dec</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	CC	B	8,300	18.96	20-Dec	20-Dec	332.00	4.0
FRIESS MGMT	042	CHK	B	117,700	29.04	n/a	n/a	5,296.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>10,000</b>	<b>25.68</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>CRI</b>	<b>B</b>	<b>500</b>	<b>25.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	034	DKS	SS	10,000	49.14	n/a	n/a	400.00	4.0
IRIDIAN ASSET MGMT.	036	DRC	B	13,000	24.49	n/a	n/a	650.00	5.0
<b>BARR</b>	<b>096</b>	<b>FLT</b>	<b>S</b>	<b>5,000</b>	<b>1.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRIESS MGMT	042	FTI	B	49,500	61.61	n/a	n/a	2,227.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>10,000</b>	<b>37.37</b>	<b>n/a</b>	<b>10-Jan</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BONANZA PARTNERS	031	GIII	SS	5,000	19.15	n/a	n/a	250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>GLW</b>	<b>S</b>	<b>500</b>	<b>18.78</b>	<b>n/a</b>	<b>20-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>GLW</b>	<b>S</b>	<b>5</b>	<b>18.68</b>	<b>n/a</b>	<b>20-Dec</b>	<b>0.00</b>	<b>0.0</b>
FRIESS MGMT	042	GRP	B	25,000	39.85	n/a	n/a	1,125.00	4.5
COUGAR TRADING	044	GYMB	B	5,000	38.84	1-Dec	1-Dec	250.00	5.0
FARBER/WEISS PECK	012	GYMB	B	25,000	38.76	1-Dec	1-Dec	1,250.00	5.0
TRELLUS PARTNERS LP	028	GYMB	SS	50,000	38.30	1-Dec	1-Dec	2,500.00	5.0
<b>GASNER</b>	<b>025</b>	<b>HBP</b>	<b>B</b>	<b>150</b>	<b>5.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	HLS	B	11,600	22.67	n/a	n/a	580.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>HLYS</b>	<b>B</b>	<b>900</b>	<b>31.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	HRH	B	16,200	42.33	n/a	n/a	810.00	5.0
SEAROCK CAPITAL MANAGE	012	ICON	B	100,000	19.35	n/a	n/a	3,000.00	3.0
IRIDIAN ASSET MGMT.	036	ID	B	57,700	15.14	n/a	n/a	2,885.00	5.0
RIVER RUN MGMT	031	ITCD	B	8,600	2.56	n/a	n/a	258.00	3.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>JMBA</b>	<b>S</b>	<b>300</b>	<b>10.04</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>JNY</b>	<b>SS</b>	<b>3,800</b>	<b>33.56</b>	<b>n/a</b>	<b>26-Oct</b>	<b>152.00</b>	<b>4.0</b>
SONAR CAP MGMT	037	JWN	B	100,000	49.11	11-Dec	11-Dec	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BINDER</b>	<b>007</b>	<b>JWN</b>	<b>C</b>	<b>100</b>	<b>49.32</b>	<b>11-Dec</b>	<b>11-Dec</b>	<b>0.00</b>	<b>0.0</b>
CUMBERLAND	038	KSS	B	10,000	68.93	27-Dec	27-Dec	400.00	4.0
SEAROCK CAPITAL MANAGE	012	KSS	B	31,200	69.22	27-Dec	27-Dec	1,248.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>S</b>	<b>375,000</b>	<b>29.15</b>	<b>1-Dec</b>	<b>1-Dec</b>	<b>15,000.00</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	MDY	SS	6,600	146.59	n/a	n/a	330.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>MTRX</b>	<b>S</b>	<b>5,000</b>	<b>15.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>NEXC</b>	<b>B</b>	<b>1,200</b>	<b>7.08</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>NWY</b>	<b>B</b>	<b>15,000</b>	<b>13.28</b>	<b>1-Dec</b>	<b>1-Dec</b>	<b>600.00</b>	<b>4.0</b>
UBS OCONNOR	031	ODP	SS	65,000	38.50	n/a	1-Dec	3,250.00	5.0
FRIESS MGMT	042	ORCL	B	70,400	17.14	n/a	n/a	3,168.00	4.5
<b>WHEELER</b>	<b>008</b>	<b>QXWBV</b>	<b>B</b>	<b>240</b>	<b>3.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GABELLI FUNDS	037	RDA	B	50,000	16.75	n/a	n/a	2,500.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>RGBL</b>	<b>S</b>	<b>1,000</b>	<b>0.92</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>RL</b>	<b>S</b>	<b>19,500</b>	<b>78.31</b>	<b>7-Dec</b>	<b>7-Dec</b>	<b>780.00</b>	<b>4.0</b>
FRIESS MGMT	042	ROST	B	30,900	29.48	n/a	n/a	1,390.50	4.5
FRIESS MGMT	042	SKX	B	100,000	33.39	n/a	7-Dec	4,500.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	002	SNDK	B	10,000	42.88	n/a	n/a	500.00	5.0
<b>SUTERA</b>	<b>160</b>	<b>STXN</b>	<b>S</b>	<b>5,000</b>	<b>5.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	TK	B	10,300	43.74	n/a	n/a	515.00	5.0
STERLING JOHNSTON	035	TOMO	B	60,000	15.61	n/a	n/a	3,000.00	5.0
LOCUS WOOD CAPITAL MGMT	044	TWX	S	50,000	21.84	n/a	n/a	2,000.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>UA</b>	<b>C</b>	<b>250</b>	<b>51.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAXON WOODS ADVISORS	038	WB	S	10,510	57.10	n/a	n/a	525.50	5.0
Õ <b>Glenn Redemann</b>		<b>WGO</b>	<b>B</b>	<b>2</b>	<b>0.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>WGO</b>	<b>B</b>	<b>3</b>	<b>0.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARROW HANLEY MEWHINNEY	031	WLP	B	48,700	78.72	n/a	n/a	1,948.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>WLV</b>	<b>B</b>	<b>1,100</b>	<b>1.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>WMTAW</b>	<b>B</b>	<b>20</b>	<b>0.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LOCUS WOOD CAPITAL MGMT	044	WMT	B	50,000	46.37	5-Oct	29-Dec	2,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>105,572.00</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/28	APEX CAPITAL MGMT. (APEXMORGAN)	002	CPWM	B	26,500	9.99	n/a	n/a	1060.00 4.0
AO,CRT	12/28	APEX CAPITAL MGMT. (APEXMORGAN)	002	CPWM	B	26,500	9.99	n/a	n/a	1325.00 5.0
AO,CXL	12/28	STRAUSS ASSET MGMT (STRANEUBER)	040	EMU	B	7,500	8.20	n/a	n/a	225.00 3.0
AO,	12/28	STRAUSS ASSET MGMT (STRANEUBER)	040	EMU	B	7,500	8.20	n/a	n/a	300.00 4.0
AO,CRT	12/28	MKT MAKER (MKT MAKER)	031	GIII	SS	81	19.09	n/a	n/a	0.00 0.0
AO,CXL	12/28	BONANZA PARTNERS (BONZBAC PB)	031	GIII	SS	30,300	19.09	n/a	n/a	0.00 0.0
AO,	12/28	BONANZA PARTNERS (BONZBAC PB)	031	GIII	SS	30,300	19.09	n/a	n/a	1515.00 5.0
AO,CXL	12/28	CHILTON CAPITAL MGMT. (CHILMORGAN)	036	SWY	S	100,000	35.06	n/a	n/a	1.40 0.0
AO,CRT	12/28	CHILTON CAPITAL MGMT. (CHILMORGAN)	036	SWY	S	100,000	35.06	n/a	n/a	0.04 0.0

**TOTAL (AO, CXL, CRT) :****1,853.64**

TOTAL (Trade Date):

105,572.00

TOTAL (AO, CXL, CRT):

1,853.64

**TOTAL (RUN DATE) / NFS:****107,425.64**

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