



Daily Compliance Activity Report

Trade Date: 12/17/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	ADM	B	15,000	39.47	17-Dec	17-Dec	900.00	6.0
WASHINGTON ASSET	048	ADM	B	10,000	39.69	17-Dec	17-Dec	500.00	5.0
COUGAR TRADING	044	AEO	S	20,000	21.26	9-Nov	7-Dec	1,000.00	5.0
WHEELER	008	APSG	B	5,000	13.04	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARO	S	10,000	26.37	29-Nov	7-Dec	500.00	5.0
SINCUTMA	031	AXE	B	30	59.84	9-Oct	28-Nov	0.00	0.0
FRIESS MGMT	042	BHE	B	97,900	17.50	n/a	n/a	4,405.50	4.5
BUCK CAPITAL MGMT	001	BJ	B	179,000	35.97	n/a	27-Jul	7,160.00	4.0
NATIONAL BK OF CAN	031	BK	B	15,000	47.55	19-Oct	13-Dec	600.00	4.0
CENTURION PARTNERS	255	BONT	S	5,000	11.77	9-Nov	7-Dec	250.00	5.0
DAVID L BABSON & CO	039	BRY	S	2,000	41.84	n/a	n/a	80.00	4.0
PRINCIPLE CAPITAL	040	BSX	SS	109,400	11.63	n/a	22-Apr	3,282.00	3.0
COOKBIELER	033	CAH	B	50,000	58.53	n/a	n/a	2,000.00	4.0
STRATTON	N21	CDL	S	500	2.00	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CL	S	200	79.07	11-Dec	11-Dec	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATTHES CAPITAL MGMT	033	COH	SS	25,000	33.56	24-Oct	24-Oct	1,000.00	4.0
MKT MAKER	099	COWN	S	163	10.16	n/a	n/a	0.00	0.0
WHEELER	008	CPNLQ	B	100,000	0.35	n/a	29-Jun	0.00	0.0
FRIESS MGMT	042	CPWR	B	403,400	8.89	n/a	n/a	14,119.00	3.5
STRATTON	N21	DLIA	S	1,500	2.76	n/a	n/a	0.00	0.0
MERRILL ASSET	032	DRQ	S	22,100	54.52	n/a	n/a	1,105.00	5.0
BUCK CAPITAL MGMT	001	DSW	S	70,000	17.92	26-Oct	14-Dec	2,800.00	4.0
BRENCOURT	028	EL	SS	25,000	42.84	25-Oct	17-Dec	1,250.00	5.0
SCOPUS FUND	041	EL	B	10,000	42.62	25-Oct	17-Dec	500.00	5.0
TRELLUS PARTNERS LP	028	EL	SS	50,000	42.73	25-Oct	17-Dec	2,500.00	5.0
GALLEON MGMT LP	033	EP	S	40,000	16.34	n/a	n/a	2,000.00	5.0
BARROW HANLEY MEWHINNEY	031	FDO	B	148,800	18.57	7-Dec	7-Dec	5,952.00	4.0
LOOMIS SALES/BOSTON	036	FDO	SS	321,900	18.66	7-Dec	7-Dec	12,876.00	4.0
FRIESS MGMT	042	FMC	B	72,800	53.68	n/a	n/a	3,276.00	4.5
PECONIC PARTNERS	036	F	SS	200,000	6.76	n/a	4-Dec	8,000.00	4.0
SINCLAIR	031	GMME	S	150	1.00	n/a	n/a	0.00	0.0
PECONIC PARTNERS	036	GM	SS	100,000	26.46	n/a	4-Dec	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	GPYDF	B	7	13.40	n/a	n/a	0.00	0.0
EMP ERROR	099	GPYLD	B	10	2.10	n/a	n/a	0.00	0.0
EMP ERROR	099	GPYLD	S	10	2.20	n/a	n/a	0.00	0.0
EMP ERROR	099	GPYXT	B	10	3.30	n/a	n/a	0.00	0.0
EMP ERROR	099	GPYXT	S	10	2.85	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	GS	S	5,000	209.81	21-Sep	13-Dec	200.00	4.0
STRATTON	N21	HD	S	100	26.60	n/a	27-Jul	0.00	0.0
MERRILL ASSET	032	HPC	B	27,900	19.53	n/a	n/a	1,255.50	4.5
HIGHBRIDGE CAPITAL	038	HST	B	10,000	17.39	n/a	n/a	500.00	5.0
CHART WELL ADV	243	IBKR	B	9,945	30.09	n/a	n/a	447.54	4.5
WHEELER	008	IMMC	S	23,447	0.91	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	IVZ	B	20,000	27.95	21-Nov	10-Dec	1,000.00	5.0
BUCK CAPITAL MGMT	001	JAH	B	10,000	23.81	n/a	n/a	400.00	4.0
GALLEON MGMT LP	033	JAH	B	15,000	23.82	n/a	n/a	750.00	5.0
CARLYLE BLUE WAVE PR MG	224	JBHT	B	5,000	27.37	n/a	n/a	250.00	5.0
NATIONAL BK OF CAN	031	JPM	SS	50,000	44.69	19-Oct	13-Dec	2,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	229,800	34.78	20-Nov	7-Dec	9,192.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	KCP	B	22,400	17.52	28-Sep	28-Sep	840.00	3.8
BUCK CAPITAL MGMT	001	KMX	SS	30,000	21.05	n/a	10-Jan	1,200.00	4.0
MS PRINCIPAL STRATEGIES	041	KND	B	15,000	21.89	n/a	n/a	750.00	5.0
GRUSS CAPITAL	045	KSWs	B	5,000	16.92	n/a	13-Mar	200.00	4.0
KORMAN	003	LDKAJ	S	60	25.00	n/a	n/a	0.00	0.0
KORMAN	003	LDKLI	B	60	29.10	n/a	n/a	0.00	0.0
BUCK	015	LEH	SS	500	62.04	n/a	14-Dec	0.00	0.0
STRATTON	N21	LEH	C	100	61.63	n/a	14-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	SS	10,000	19.15	n/a	7-Dec	400.00	4.0
AMBER CAPITAL	046	MCO	SS	145,800	37.91	n/a	n/a	5,832.00	4.0
BUCK	015	MS	C	800	48.77	5-Dec	13-Dec	0.00	0.0
COUGAR TRADING	044	M	S	5,000	27.80	9-Nov	7-Dec	250.00	5.0
THE JAY GOLDMAN	034	M	B	20,000	27.50	9-Nov	7-Dec	800.00	4.0
BENCHMARK	028	ORCL	S	15,000	20.93	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	PCL	S	128,500	44.31	n/a	23-Oct	6,425.00	5.0
PATTEN & PATTEN	067	PID	S	2,000	20.24	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVID L BABSON & CO	039	PWAV	B	2,200	4.09	n/a	n/a	88.00	4.0
MATTHES CAPITAL MGMT	033	RDEN	SS	25,000	20.78	n/a	6-Nov	1,000.00	4.0
WAGONHOUND	048	RL	SS	11,910	63.76	8-Nov	8-Nov	476.40	4.0
KARSCH CAPITAL	034	RRR	S	81,090	11.73	n/a	n/a	2,432.70	3.0
PATTEN & PATTEN	067	RSG	S	600	31.52	n/a	n/a	30.00	5.0
BUCK CAPITAL MGMT	001	RVI	B	425,000	4.44	n/a	n/a	17,000.00	4.0
MAGUIRE	090	SFBLP	B	100	1.20	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	SHLD	SS	35,000	104.72	n/a	n/a	1,400.00	4.0
STRATTON	N21	SIRV	S	5,000	0.16	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	SLB	B	40,000	89.73	n/a	n/a	2,000.00	5.0
MAGUIRE	039	SMN	B	100	43.39	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	THI	B	10,000	38.70	n/a	24-Apr	400.00	4.0
GEORGE WEISS	034	TIN	B	10,000	32.00	11-Dec	11-Dec	400.00	4.0
IRONBOUND CAPITAL	012	TIN	B	18,900	31.83	11-Dec	11-Dec	945.00	5.0
GAULT	063	TIN	B	1,000	31.66	11-Dec	11-Dec	0.00	0.0
MAGUIRE	090	TIN	B	5,000	31.77	11-Dec	11-Dec	0.00	0.0
JS ASSET MGMT	028	TSN	S	5,400	14.26	n/a	n/a	216.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	TT	S	200	45.24	17-Dec	17-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	S	191,453	23.04	19-Nov	19-Nov	7,658.12	4.0
SAC TRADING HOWARD	038	TWB	B	30,000	22.88	19-Nov	19-Nov	1,500.00	5.0
PATTEN & PATTEN	067	TXN	S	700	33.25	n/a	n/a	35.00	5.0
DIAMONDBACK CAP MGMT	232	T	S	50,000	40.75	21-Sep	12-Dec	2,500.00	5.0
FRIESS MGMT	042	UAPH	S	369,200	38.51	n/a	n/a	16,614.00	4.5
CAPITAL GROWTH MGMT.	241	WFT	B	290,000	64.11	n/a	n/a	11,600.00	4.0
SAB CAPITAL	034	WG	S	75,000	34.03	n/a	n/a	3,750.00	5.0
BUCK	015	WM	C	2,000	15.12	n/a	n/a	0.00	0.0
CARLYLE BLUE WAVE PR MG	224	WRI	S	5,000	33.78	n/a	n/a	250.00	5.0
STRATTON	N21	WRVAF	S	2	7.40	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZQK	B	10,000	9.00	n/a	14-Dec	500.00	5.0
TOTAL (Trade Date):							185,402.76		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/14	US BANCORP (USBCFEDMCG)	030	ARP	S	110	16.51	n/a	n/a	5.50 5.0
AO,	12/14	US BANCORP (USBCSCHULZ)	030	ARP	S	90	16.51	n/a	n/a	4.50 5.0
AO,	12/14	US BANCORP (USBCSIMS)	030	ARP	S	249	16.51	n/a	n/a	12.45 5.0
AO,	12/14	US BANCORP (USBCFRSLX)	030	ARP	S	11,978	16.51	n/a	n/a	598.90 5.0
AO,	12/14	US BANCORP (USBCCTAMCG)	030	ARP	S	273	16.51	n/a	n/a	13.65 5.0
CRT	12/17	MKT MAKER (MKT MAKER)	099	COWN	S	63	10.16	n/a	n/a	0.00 0.0
CRT	12/17	MKT MAKER (MKT MAKER)	099	COWN	S	100	10.16	n/a	n/a	0.00 0.0
CRT	12/17	STRAUSS ASSET MGMT (STRATTON)	N21	DLIA	S	1,000	2.74	n/a	n/a	0.00 0.0
AO,CXL	12/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GIL	B	30,000	40.48	5-Nov	11-Dec	1200.00 4.0
AO,CRT	12/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GIL	B	29,900	40.48	5-Nov	11-Dec	1196.00 4.0
AO,	12/14	BUCK CAPITAL MGMT (BUCKGIL)	001	GIL	B	100	40.48	5-Nov	11-Dec	4.00 4.0
CRT	12/17	EMP ERROR (EMP ERROR)	099	GPYLD	B	10	2.10	n/a	n/a	0.00 0.0
CRT	12/17	EMP ERROR (EMP ERROR)	099	GPYLD	S	10	2.20	n/a	n/a	0.00 0.0
CRT	12/17	EMP ERROR (EMP ERROR)	099	GPYXT	B	10	3.30	n/a	n/a	0.00 0.0
CRT	12/17	EMP ERROR (EMP ERROR)	099	GPYXT	S	10	2.85	n/a	n/a	0.00 0.0
AO,CRT	12/14	RHO CAPITAL MGMT (RHOCTR1)	041	IMA	S	1,924	55.50	n/a	n/a	76.96 4.0
AO,CXL	12/14	RHO CAPITAL MGMT (RHOCBSPB)	041	IMA	S	1,924	55.50	n/a	n/a	76.96 4.0
AO,CXL	12/14	REICH AND TANG (RICHMIN2)	067	KCI	B	100	51.39	n/a	n/a	5.00 5.0
AO,	12/14	REICH AND TANG (RICHMIN3)	067	KCI	B	100	51.39	n/a	n/a	5.00 5.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM800054)	044	LOW	B	55,500	22.81	n/a	27-Jul	1665.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM917)	044	LOW	B	11,700	22.81	n/a	27-Jul	351.00 3.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM772)	044	LOW	B	38,680	22.81	n/a	27-Jul	1160.40 3.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM553)	044	LOW	B	44,300	22.81	n/a	27-Jul	1329.00 3.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM26)	044	LOW	B	155,068	22.81	n/a	27-Jul	4652.04 3.0
AO,	12/05	OTC ERROR (OTC ERROR)	099	PNRA	B	77,300	39.01	n/a	n/a	0.00 0.0
AO,	12/05	OTC ERROR (OTC ERROR)	099	PNRA	S	77,300	38.57	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) :	9,792.44
-------------------------------	-----------------

TOTAL (Trade Date) :	185,402.76
TOTAL (AO, CXL, CRT) :	9,792.44

TOTAL (RUN DATE) / NFS:	195,195.20
--------------------------------	-------------------

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