



Daily Compliance Activity Report

Trade Date: 12/08/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AAPL	B	50	88.38	n/a	n/a	2.50	5.0
BALYASNY ASSET MGMT	044	AB	B	10,000	79.90	25-Oct	28-Nov	500.00	5.0
WHITE PINE CAPITAL	030	AGO	S	250	26.97	n/a	n/a	12.50	5.0
BUCK CAPITAL MGMT	001	ANF	S	60,000	67.43	3-Nov	1-Dec	2,400.00	4.0
HIGHFIELDS CAP MGMT	039	ANW	S	50,000	14.93	n/a	n/a	2,500.00	5.0
DELAWARE MANAGEMENT	243	ARRS	S	55,400	12.10	n/a	n/a	2,216.00	4.0
KAICHER	064	ARTG	B	500	2.38	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BBY	B	200	53.01	n/a	8-Dec	10.00	5.0
CENTURION PARTNERS	249	BONT	B	5,000	37.15	23-Oct	1-Dec	250.00	5.0
WHITE PINE CAPITAL	030	BONT	S	400	37.00	23-Oct	1-Dec	20.00	5.0
DELTEC ASSET MGMT.	040	CACH	S	25,000	25.21	n/a	n/a	1,250.00	5.0
BELMONT GLOBAL ADV	248	CBK	B	3,000	18.91	3-Nov	1-Dec	150.00	5.0
SAILFISH	037	CBSS	B	6,412	57.99	n/a	n/a	320.60	5.0
CENTURION PARTNERS	249	CHK	S	50,000	32.07	n/a	n/a	2,500.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	B	30,000	91.61	6-Dec	6-Dec	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAP BOBBY	044	CLE	B	7,000	32.74	3-Nov	1-Dec	350.00	5.0
PATTEN & PATTEN	067	CL	S	40	65.53	26-Oct	5-Dec	2.00	5.0
BUCK CAPITAL MGMT	001	CRI	B	10,000	27.25	n/a	n/a	400.00	4.0
LEDDY	035	CRI	B	400	27.30	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	CVS	B	25,000	30.14	n/a	n/a	1,250.00	5.0
WHITE PINE CAPITAL	030	DRC	S	250	26.01	n/a	n/a	12.50	5.0
LISTED ERR	099	D	B	40	81.25	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	040	EAT	SS	10,000	30.02	13-Sep	4-Dec	500.00	5.0
MAGNETAR FINANCIAL	247	EVC	S	26,000	7.68	n/a	n/a	1,040.00	4.0
SAILFISH	037	FITB	B	5,000	39.62	n/a	n/a	250.00	5.0
BELMONT GLOBAL ADV	248	FLOW	S	13,000	9.85	n/a	n/a	650.00	5.0
WALKER SMITH	031	GCO	S	20,500	40.72	n/a	10-Jan	1,025.00	5.0
WHITE PINE CAPITAL	030	GGG	S	200	41.97	n/a	n/a	10.00	5.0
BUCK CAPITAL MGMT	001	GPS	SS	10,000	19.63	n/a	1-Dec	400.00	4.0
FORD FDN.	032	GS	S	15,000	203.30	6-Dec	6-Dec	750.00	5.0
M. KRAUS & CO.	037	HAIN	S	9,700	29.91	n/a	n/a	582.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	HLYS	B	200	37.42	n/a	n/a	0.00	0.0
LEDY	035	HLYS	B	1,600	37.24	n/a	n/a	0.00	0.0
SIGMA CAP BOBBY	044	HMX	S	5,000	6.73	n/a	n/a	250.00	5.0
SIGMA CAP BOBBY	044	HOTT	B	30,000	13.78	n/a	1-Dec	1,500.00	5.0
WHITE PINE CAPITAL	030	HRL	S	450	38.46	n/a	n/a	22.50	5.0
COUGAR TRADING	044	ICON	B	10,000	19.72	n/a	n/a	500.00	5.0
ZOLIDIS	011	ICON	S	1,000	19.61	n/a	n/a	0.00	0.0
GRONET	030	ICON	S	1,000	19.61	n/a	n/a	0.00	0.0
SCHEINER	037	ILA	B	3,000	4.63	n/a	n/a	0.00	0.0
BINDER	007	INTC	B	400	20.69	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	IO	S	600	11.77	n/a	n/a	30.00	5.0
SAILFISH	037	JNS	B	15,000	20.71	1-Dec	8-Dec	750.00	5.0
THE JAY GOLDMAN	034	JWN	B	10,000	48.79	3-Nov	8-Dec	400.00	4.0
THE JAY GOLDMAN	034	KSS	S	10,000	71.36	10-Nov	1-Dec	400.00	4.0
SIGMA CAP BOBBY	044	KSWs	SS	10,000	32.00	n/a	7-Dec	500.00	5.0
BARR	096	LEND	SS	800	27.28	n/a	n/a	0.00	0.0
TILLDALE MGMT.	048	LNCr	B	10,000	39.06	2-Nov	8-Dec	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	20,000	30.90	1-Dec	1-Dec	800.00	4.0
TRELLUS PARTNERS LP	028	LTD	B	50,000	30.73	1-Dec	1-Dec	2,500.00	5.0
LOOMIS SALES/BOSTON	036	MCO	B	50,000	69.95	n/a	n/a	2,500.00	5.0
SCUDDER HEDGE	034	NEM	B	30,000	46.83	n/a	n/a	1,500.00	5.0
BARR	096	NEW	SS	500	34.91	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NLS	B	30,000	15.80	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	60,000	13.90	1-Dec	1-Dec	2,400.00	4.0
KORMAN	003	NWY	S	11,000	13.98	1-Dec	1-Dec	0.00	0.0
SCHEINER	037	PG	S	500	63.97	1-Nov	5-Dec	0.00	0.0
VISIUM/BALY HOWARD	038	PSUN	B	35,000	20.69	3-Aug	1-Dec	1,750.00	5.0
WHITE PINE CAPITAL	030	RCKY	S	400	15.26	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	15,000	80.80	7-Dec	7-Dec	600.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	31.25	n/a	7-Dec	400.00	4.0
SAXON WOODS ADVISORS	038	SMG	B	100,000	50.17	27-Oct	6-Dec	5,000.00	5.0
COMMISSUM CAPITAL	067	SOV	S	10,000	25.40	n/a	n/a	500.00	5.0
CAPITAL WORKS	048	TEK	S	60,600	30.89	n/a	n/a	2,424.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRONBOUND CAPITAL	012	TIN	B	10,000	43.55	n/a	27-Oct	500.00	5.0
RAMIUS CAP	040	TIN	B	180,000	43.59	n/a	27-Oct	9,000.00	5.0
WHITE PINE CAPITAL	030	TRGL	S	300	25.88	n/a	n/a	15.00	5.0
BARR	096	WM	SS	500	43.88	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	WPS	S	150	52.81	n/a	n/a	7.50	5.0
ZIFF BROS	038	XMSR	B	750,000	14.85	n/a	n/a	37,500.00	5.0
SAILFISH	037	XOM	B	10,000	75.79	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	YHOO	S	350	26.50	n/a	n/a	17.50	5.0
BUCK	015	YUM	C	400	58.88	n/a	12-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	B	20,000	14.95	8-Sep	7-Dec	800.00	4.0
DELTEC ASSET MGMT.	040	ZQK	S	15,000	15.11	8-Sep	7-Dec	750.00	5.0
TOTAL (Trade Date) :								96,389.60	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/06	LISTED ERR (LISTED ERR)	099	D	S	40	81.25	n/a	n/a	0.00	0.0
AO,CXL	12/06	PATTEN & PATTEN (PATTBERSHI)	067	D	S	40	81.25	n/a	n/a	2.00	5.0
AO,	12/07	MAGNETAR FINANCIAL (MAGNGSCO)	247	EVC	S	27,000	7.59	n/a	n/a	810.00	3.0
AO,CXL	12/07	MAGNETAR FINANCIAL (MAGNGSCO)	247	EVC	S	27,000	7.59	n/a	n/a	1080.00	4.0
AO,	12/05	IMPALA ASSET MMT (IMPAMORGAN)	012	JBHT	B	3	21.33	n/a	n/a	0.09	3.0
AO,CXL	12/07	SIGMA CAPITAL ASSOCIATES (SIGMMAINMS)	034	LVLTL	B	150,000	5.80	18-Oct	1-Dec	5250.00	3.5
AO,	12/07	SIGMA CAPITAL ASSOCIATES (SIGMGS-USE)	034	LVLTL	B	150,000	5.80	18-Oct	1-Dec	5250.00	3.5
AO,	12/07	MKT MAKER (MKT MAKER)	099	MTRX	B	300	16.14	n/a	n/a	0.00	0.0
AO,	12/07	SEGAL BRYANT HAMMILL (SEGA0413)	037	PFE	S	300	24.83	n/a	31-Mar	15.00	5.0
AO,CXL	12/06	ANTEUS ASSOC.BAEL (ANTAREG)	065	QCOM	S	345	38.85	n/a	n/a	0.00	0.0
AO,	12/06	ANTEUS ASSOC.BAEL (ANTAREG)	065	QCOM	S	345	38.85	n/a	n/a	17.25	5.0
AO,	12/07	SEGAL BRYANT HAMMILL (SEGA0413)	037	RIG	S	100	80.08	n/a	n/a	5.00	5.0
AO,CXL	12/07	IRONBOUND CAPITAL (IROBGS)	012	SSCC	SS	235,000	11.06	26-Oct	27-Oct	11750.00	5.0
AO,	12/07	IRONBOUND CAPITAL (IROBGS)	012	SSCC	SS	235,000	11.06	26-Oct	27-Oct	7050.00	3.0
AO,CXL	12/07	IRONBOUND CAPITAL (IROBGS)	012	TIN	B	90,000	42.72	n/a	27-Oct	4500.00	5.0
AO,CRT	12/07	OGORMAN (OGORMAN)	146	UBS	S	150	60.53	n/a	n/a	0.00	0.0
AO,CXL	12/07	OGORMAN (OGORMAN)	146	UBS	S	150	60.53	n/a	n/a	0.00	0.0
AO,	12/07	SEGAL BRYANT HAMMILL (SEGA0413)	037	UBS	S	100	60.51	n/a	n/a	5.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									-9,429.66
TOTAL (Trade Date) :									96,389.60
TOTAL (AO, CXL, CRT) :									-9,429.66
TOTAL (RUN DATE) / NFS :									86,959.94

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