



## Daily Compliance Activity Report

Trade Date: 12/28/2006

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol      | B/S       | Shares        | Price        | MRI          | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|-------------|-----------|---------------|--------------|--------------|---------------|-----------------|------------|
| <b>BINDER</b>            | <b>007</b> | <b>ACMR</b> | <b>SS</b> | <b>300</b>    | <b>21.89</b> | <b>n/a</b>   | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| LATEFF MGMT              | 040        | ADM         | B         | 2,500         | 32.53        | n/a          | n/a           | 450.00          | 18.0       |
| IVORY CAPITAL            | 034        | AMR         | B         | 305,300       | 30.68        | n/a          | n/a           | 15,265.00       | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ANF</b>  | <b>B</b>  | <b>30,000</b> | <b>70.61</b> | <b>3-Nov</b> | <b>1-Dec</b>  | <b>1,200.00</b> | <b>4.0</b> |
| CAPITAL GROWTH MGMT.     | 241        | APH         | B         | 8,500         | 63.09        | n/a          | n/a           | 425.00          | 5.0        |
| <b>BINDER</b>            | <b>007</b> | <b>AUO</b>  | <b>S</b>  | <b>400</b>    | <b>13.69</b> | <b>n/a</b>   | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| PATTEN & PATTEN          | 067        | BBH         | S         | 100           | 182.54       | n/a          | n/a           | 5.00            | 5.0        |
| <b>BINDER</b>            | <b>007</b> | <b>BDK</b>  | <b>C</b>  | <b>100</b>    | <b>78.76</b> | <b>n/a</b>   | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>EFSTATHIOU</b>        | <b>044</b> | <b>BK</b>   | <b>S</b>  | <b>91</b>     | <b>39.84</b> | <b>5-Dec</b> | <b>12-Dec</b> | <b>0.00</b>     | <b>0.0</b> |
| XYLEM GLOBAL             | 024        | BOW         | SS        | 25,000        | 22.57        | 27-Oct       | 14-Dec        | 1,250.00        | 5.0        |
| PATTEN & PATTEN          | 067        | CBT         | S         | 200           | 43.58        | 2-Nov        | 2-Nov         | 10.00           | 5.0        |
| FRIESS MGMT              | 042        | CHK         | B         | 75,000        | 29.34        | n/a          | n/a           | 3,375.00        | 4.5        |
| APEX CAPITAL MGMT.       | 002        | CPWM        | B         | 26,500        | 9.99         | n/a          | n/a           | 1,060.00        | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>CRI</b>  | <b>B</b>  | <b>20,000</b> | <b>25.55</b> | <b>n/a</b>   | <b>n/a</b>    | <b>800.00</b>   | <b>4.0</b> |

| Account                 | RR #       | Symbol      | B/S       | Shares       | Price        | MRI           | Research      | Comm. ¢/Shr. |            |
|-------------------------|------------|-------------|-----------|--------------|--------------|---------------|---------------|--------------|------------|
| PATTEN & PATTEN         | 067        | CVS         | S         | 500          | 31.16        | n/a           | n/a           | 25.00        | 5.0        |
| FRIESS MGMT             | 042        | DIS         | S         | 168,100      | 34.65        | n/a           | n/a           | 7,564.50     | 4.5        |
| PROSPECTOR PARTNERS LLC | 036        | DR          | SS        | 6,100        | 23.20        | n/a           | n/a           | 305.00       | 5.0        |
| STRAUSS ASSET MGMT      | 040        | EMU         | B         | 7,500        | 8.20         | n/a           | n/a           | 225.00       | 3.0        |
| PORTER-ORLIN-FELDMAN    | 044        | ESRX        | S         | 6,000        | 72.27        | n/a           | n/a           | 300.00       | 5.0        |
| CAPITAL GROWTH MGMT.    | 241        | FDX         | S         | 55,000       | 107.60       | n/a           | n/a           | 2,750.00     | 5.0        |
| PORTER-ORLIN-FELDMAN    | 044        | FIS         | S         | 30,000       | 40.03        | n/a           | n/a           | 1,500.00     | 5.0        |
| <b>BARR</b>             | <b>096</b> | <b>FLT</b>  | <b>S</b>  | <b>6,000</b> | <b>1.10</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>  | <b>0.0</b> |
| <b>MKT MAKER</b>        | <b>099</b> | <b>FOSL</b> | <b>SS</b> | <b>83</b>    | <b>23.05</b> | <b>15-Nov</b> | <b>15-Nov</b> | <b>0.00</b>  | <b>0.0</b> |
| FRIESS MGMT             | 042        | FTI         | B         | 47,200       | 62.43        | n/a           | n/a           | 2,124.00     | 4.5        |
| PORTER-ORLIN-FELDMAN    | 044        | GENZ        | S         | 25,200       | 61.65        | n/a           | n/a           | 1,260.00     | 5.0        |
| BONANZA PARTNERS        | 031        | GIII        | SS        | 30,300       | 19.09        | n/a           | n/a           | 0.00         | 0.0        |
| PORTER-ORLIN-FELDMAN    | 044        | GILD        | S         | 5,000        | 65.26        | n/a           | n/a           | 250.00       | 5.0        |
| PATTEN & PATTEN         | 067        | GLW         | S         | 200          | 18.76        | n/a           | 20-Dec        | 10.00        | 5.0        |
| <b>EFSTATHIOU</b>       | <b>044</b> | <b>GLW</b>  | <b>B</b>  | <b>200</b>   | <b>18.92</b> | <b>n/a</b>    | <b>20-Dec</b> | <b>0.00</b>  | <b>0.0</b> |
| FRIESS MGMT             | 042        | GRP         | B         | 96,800       | 40.43        | n/a           | n/a           | 4,356.00     | 4.5        |

| Account                  | RR #       | Symbol      | B/S       | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.   |            |
|--------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| APEX CAPITAL MGMT.       | 002        | GYMB        | B         | 35,800        | 38.37        | 1-Dec         | 1-Dec         | 1,790.00      | 5.0        |
| <b>GASNER</b>            | <b>025</b> | <b>HBP</b>  | <b>B</b>  | <b>2,000</b>  | <b>5.22</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| <b>LEDDY</b>             | <b>035</b> | <b>HLYS</b> | <b>S</b>  | <b>1,600</b>  | <b>32.70</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| PATTEN & PATTEN          | 067        | HST         | S         | 500           | 24.31        | n/a           | n/a           | 25.00         | 5.0        |
| PATTEN & PATTEN          | 067        | IBB         | S         | 500           | 78.09        | n/a           | n/a           | 25.00         | 5.0        |
| <b>MAGUIRE</b>           | <b>090</b> | <b>IRIX</b> | <b>S</b>  | <b>7,300</b>  | <b>9.21</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>   | <b>0.0</b> |
| RIVER RUN MGMT           | 031        | ITCD        | B         | 5,000         | 2.57         | n/a           | n/a           | 150.00        | 3.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>JNY</b>  | <b>SS</b> | <b>6,200</b>  | <b>33.50</b> | <b>n/a</b>    | <b>26-Oct</b> | <b>248.00</b> | <b>4.0</b> |
| <b>BINDER</b>            | <b>007</b> | <b>JWN</b>  | <b>SS</b> | <b>100</b>    | <b>48.26</b> | <b>11-Dec</b> | <b>11-Dec</b> | <b>0.00</b>   | <b>0.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>KSS</b>  | <b>S</b>  | <b>17,200</b> | <b>69.39</b> | <b>27-Dec</b> | <b>27-Dec</b> | <b>688.00</b> | <b>4.0</b> |
| CUMBERLAND               | 038        | KSS         | SS        | 10,000        | 68.73        | 27-Dec        | 27-Dec        | 400.00        | 4.0        |
| APEX CAPITAL MGMT.       | 002        | LCC         | B         | 50,000        | 55.13        | n/a           | n/a           | 2,500.00      | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>LIZ</b>  | <b>SS</b> | <b>10,000</b> | <b>43.45</b> | <b>n/a</b>    | <b>27-Oct</b> | <b>400.00</b> | <b>4.0</b> |
| PATTEN & PATTEN          | 067        | LOW         | S         | 400           | 31.13        | n/a           | 21-Nov        | 20.00         | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>LTM</b>  | <b>B</b>  | <b>10,000</b> | <b>49.33</b> | <b>n/a</b>    | <b>n/a</b>    | <b>400.00</b> | <b>4.0</b> |
| CIRCLE T PART            | 035        | MCD         | B         | 25,000        | 44.25        | 12-Oct        | 12-Dec        | 1,000.00      | 4.0        |

| Account               | RR #       | Symbol       | B/S      | Shares        | Price        | MRI        | Research      | Comm.¢/Shr. |            |
|-----------------------|------------|--------------|----------|---------------|--------------|------------|---------------|-------------|------------|
| PATTEN & PATTEN       | 067        | MDT          | S        | 500           | 52.83        | n/a        | 22-Apr        | 25.00       | 5.0        |
| PATTEN & PATTEN       | 067        | NEM          | B        | 1,400         | 45.42        | n/a        | n/a           | 70.00       | 5.0        |
| APEX CAPITAL MGMT.    | 002        | NEW          | B        | 20,000        | 31.82        | n/a        | n/a           | 1,000.00    | 5.0        |
| FRIESS MGMT           | 042        | ORCL         | B        | 248,000       | 17.17        | n/a        | n/a           | 11,160.00   | 4.5        |
| <b>LEDDY</b>          | <b>035</b> | <b>PFE</b>   | <b>B</b> | <b>1,000</b>  | <b>25.95</b> | <b>n/a</b> | <b>31-Mar</b> | <b>0.00</b> | <b>0.0</b> |
| PATTEN & PATTEN       | 067        | PHO          | B        | 1,600         | 18.52        | n/a        | n/a           | 80.00       | 5.0        |
| ASCEND PARTNERS       | 033        | PVH          | S        | 19,800        | 50.87        | 22-Nov     | 22-Nov        | 792.00      | 4.0        |
| <b>EFSTATHIOU</b>     | <b>044</b> | <b>RCKY</b>  | <b>S</b> | <b>300</b>    | <b>15.98</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b> | <b>0.0</b> |
| FRIESS MGMT           | 042        | ROST         | B        | 99,100        | 29.75        | n/a        | n/a           | 4,459.50    | 4.5        |
| FRIESS MGMT           | 042        | SKX          | B        | 64,100        | 33.33        | n/a        | 7-Dec         | 2,884.50    | 4.5        |
| PATTEN & PATTEN       | 067        | SLB          | B        | 1,000         | 63.26        | n/a        | n/a           | 50.00       | 5.0        |
| <b>CROWLEY</b>        | <b>061</b> | <b>SOLUQ</b> | <b>S</b> | <b>10,000</b> | <b>0.67</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b> | <b>0.0</b> |
| CHILTON CAPITAL MGMT. | 036        | SWY          | S        | 100,000       | 35.06        | n/a        | n/a           | 1.40        | 0.0        |
| APEX CAPITAL MGMT.    | 002        | TEX          | SS       | 50,000        | 65.46        | n/a        | n/a           | 2,500.00    | 5.0        |
| STERLING JOHNSTON     | 035        | TOMO         | S        | 20,000        | 15.41        | n/a        | n/a           | 1,000.00    | 5.0        |

| Account                     | RR #       | Symbol     | B/S      | Shares     | Price        | MRI        | Research   | Comm. ¢/Shr.     |            |
|-----------------------------|------------|------------|----------|------------|--------------|------------|------------|------------------|------------|
| PATTEN & PATTEN             | 067        | WAG        | B        | 325        | 46.08        | n/a        | n/a        | 16.25            | 5.0        |
| <b>LUCHANSKY</b>            | <b>036</b> | <b>WCI</b> | <b>B</b> | <b>90</b>  | <b>18.83</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| PATTEN & PATTEN             | 067        | WFR        | B        | 150        | 39.59        | n/a        | n/a        | 7.50             | 5.0        |
| <b>BINDER</b>               | <b>007</b> | <b>WLV</b> | <b>B</b> | <b>500</b> | <b>1.25</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| UBS OCONNOR                 | 031        | WMT        | B        | 50,000     | 46.07        | 5-Oct      | 1-Dec      | 2,500.00         | 5.0        |
| PATTEN & PATTEN             | 067        | WYE        | B        | 600        | 50.97        | n/a        | 31-Mar     | 30.00            | 5.0        |
| XYLEM GLOBAL                | 024        | WY         | B        | 25,000     | 71.23        | 15-Dec     | 15-Dec     | 1,250.00         | 5.0        |
| <b>TOTAL (Trade Date) :</b> |            |            |          |            |              |            |            | <b>79,981.65</b> |            |

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

| Type                          | Date  | Account                         | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm.¢/Shr.     |
|-------------------------------|-------|---------------------------------|------|--------|-----|--------|-------|--------|----------|-----------------|
| AO,                           | 12/27 | WEISS PECK (PECKOPPVAl)         | 040  | AEOS   | B   | 19,400 | 31.25 | 15-Nov | 5-Dec    | 970.00 5.0      |
| AO,                           | 12/27 | UBS OCONNOR (UBSOWARBUR)        | 031  | CC     | B   | 20,000 | 19.74 | 20-Dec | 20-Dec   | 1000.00 5.0     |
| AO, CXL                       | 12/27 | MKT MAKER (MKT MAKER)           | 099  | DR     | S   | 200    | 23.49 | n/a    | n/a      | 0.00 0.0        |
| AO, CRT                       | 12/27 | MKT MAKER (MKT MAKER)           | 099  | DR     | S   | 200    | 23.49 | n/a    | n/a      | 0.00 0.0        |
| AO, CRT                       | 12/27 | MKT MAKER (MKT MAKER)           | 099  | DR     | SS  | 39     | 23.30 | n/a    | n/a      | 0.00 0.0        |
| AO, CRT                       | 12/27 | MKT MAKER (MKT MAKER)           | 097  | HLYS   | S   | 900    | 31.59 | n/a    | n/a      | 0.00 0.0        |
| AO, CXL                       | 12/27 | TRIBECA (TRIBMS4CEN)            | 038  | NCC    | SS  | 10,000 | 37.25 | n/a    | n/a      | 500.00 5.0      |
| AO,                           | 12/27 | TRIBECA (TRIBMS4CEN)            | 038  | NCC    | SS  | 10,000 | 37.25 | n/a    | n/a      | 400.00 4.0      |
| AO, CXL                       | 12/27 | CIRCLE T PART (CIRCMAlN)        | 035  | ODP    | SS  | 20,000 | 38.92 | n/a    | 1-Dec    | 1000.00 5.0     |
| AO, CRT                       | 12/27 | CIRCLE T PART (CIRCMAlN)        | 035  | ODP    | SS  | 20,000 | 38.92 | n/a    | 1-Dec    | 800.00 4.0      |
| AO, CXL                       | 12/27 | SEAROCK CAPITAL MANAGE (SEARMS) | 012  | VFC    | SS  | 40,100 | 82.25 | n/a    | n/a      | 0.00 0.0        |
| AO,                           | 12/27 | SEAROCK CAPITAL MANAGE (SEARMS) | 012  | VFC    | SS  | 40,100 | 82.25 | n/a    | n/a      | 1604.00 4.0     |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                                 |      |        |     |        |       |        |          | <b>3,274.00</b> |

|                       |           |
|-----------------------|-----------|
| TOTAL (Trade Date):   | 79,981.65 |
| TOTAL (AO, CXL, CRT): | 3,274.00  |

TOTAL (RUN DATE) / NFS:

83,255.65

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