



# Daily Compliance Activity Report

Trade Date: 12/24/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	S	14,200	21.21	9-Nov	7-Dec	568.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	83.26	2-Oct	7-Dec	800.00	4.0
EFSTATHIOU	044	BBW	S	400	14.79	19-Dec	19-Dec	0.00	0.0
COUGAR TRADING	044	BONT	B	20,000	11.66	9-Nov	7-Dec	1,000.00	5.0
MAGUIRE	090	BONT	S	2,800	11.36	9-Nov	7-Dec	0.00	0.0
SAXON WOODS ADVISORS	038	CHS	S	20,000	9.58	5-Dec	7-Dec	800.00	4.0
MERRILL ASSET	032	CNC	S	10,500	26.71	n/a	n/a	472.50	4.5
BUCK CAPITAL MGMT	001	CRI	B	30,000	20.15	n/a	n/a	1,200.00	4.0
SAXON WOODS ADVISORS	038	DRI	B	10,000	27.71	n/a	24-Apr	500.00	5.0
OGORMAN	046	DXD	S	700	47.95	n/a	n/a	0.00	0.0
SUTERA	160	ETFC	B	2,500	3.66	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	20,000	42.46	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	40.98	5-Nov	11-Dec	400.00	4.0
MERRILL ASSET	032	HK	B	53,100	17.53	n/a	n/a	2,389.50	4.5
SAXON WOODS ADVISORS	038	HMA	S	10,000	6.09	31-Jul	3-Dec	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	HUM	B	12,500	76.96	n/a	n/a	562.50	4.5
ARIENCE CAPITAL	036	IVZ	B	71,000	31.30	20-Dec	24-Dec	3,550.00	5.0
BUCK CAPITAL MGMT	001	JAH	B	25,000	24.46	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	45,000	16.82	n/a	1-Nov	1,800.00	4.0
COUGAR TRADING	044	JWN	B	5,000	37.72	20-Nov	7-Dec	250.00	5.0
MS PRINCIPAL STRATEGIES	041	KND	SS	15,000	25.93	n/a	n/a	750.00	5.0
COUGAR TRADING	044	KSS	B	5,000	46.38	9-Nov	7-Dec	250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	46.28	9-Nov	7-Dec	250.00	5.0
BUCK CAPITAL MGMT	001	LTD	SS	15,000	18.98	n/a	7-Dec	600.00	4.0
EFSTATHIOU	044	LUV	S	500	12.60	n/a	n/a	0.00	0.0
COUGAR TRADING	044	M	B	10,000	27.08	9-Nov	7-Dec	500.00	5.0
KNOTT PARTNERS	044	PRX	S	50,000	22.81	28-Sep	21-Dec	2,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	39.21	5-Dec	21-Dec	400.00	4.0
OGORMAN	046	SDS	S	650	51.93	n/a	n/a	0.00	0.0
BARR	096	SYNP	B	1,500	5.25	n/a	n/a	0.00	0.0
EFSTATHIOU	044	TT	S	300	46.38	17-Dec	17-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	TWB	B	5,000	26.63	19-Nov	19-Nov	250.00	5.0
ROYCE TRADING	216	UNT	S	25,000	44.75	n/a	30-Nov	1,250.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>VC</b>	<b>B</b>	<b>1,000</b>	<b>4.55</b>	<b>n/a</b>	<b>13-Dec</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	VQ	S	10,300	19.71	n/a	n/a	463.50	4.5
<b>CROWLEY</b>	<b>061</b>	<b>WHT</b>	<b>B</b>	<b>2,000</b>	<b>2.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>23,206.00</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/21	US BANCORP (USBCSIMS)	030	ACN	B	294,421	37.93	n/a	n/a	14721.05 5.0
AO,	12/21	US BANCORP (USBCFEDSCC)	030	CBK	S	730	13.54	n/a	20-Dec	36.50 5.0
AO,	12/21	US BANCORP (USBCFABAXS)	030	CBK	S	773	13.54	n/a	20-Dec	38.65 5.0
AO,	12/21	US BANCORP (USBCEMGRX)	030	CBK	S	46,345	13.54	n/a	20-Dec	2317.25 5.0
AO,	12/21	US BANCORP (USBCSIMS)	030	CBK	S	1,088	13.54	n/a	20-Dec	54.40 5.0
AO,	12/21	SAXON WOODS ADVISORS (SAXOREALTY)	038	DFT	S	1,800	20.40	n/a	n/a	90.00 5.0
AO,	12/21	FIRST INV MGMT CORP (FIMCLIFVAL)	036	HVT	S	3,600	10.04	n/a	n/a	180.00 5.0
AO,	12/21	FIRST INV MGMT CORP (FIMCVALUE)	036	HVT	S	16,400	10.04	n/a	n/a	820.00 5.0
AO,CRT	12/21	CAPITAL GROWTH MGMT. (CAPGJAMAIC)	241	NOV	S	25,000	71.59	n/a	n/a	1000.00 4.0
AO,CXL	12/21	CAPITAL GROWTH MGMT. (CAPGIAC9)	241	NOV	S	25,000	71.59	n/a	n/a	1000.00 4.0
AO,CXL	12/21	STG INVESTORS (STGIGOLDMA)	041	QQQQ	SS	50,000	51.81	n/a	n/a	2500.00 5.0
AO,	12/21	STG INVESTORS (STGIGOLDMA)	041	QQQQ	SS	1,100	51.81	n/a	n/a	44.00 4.0
AO,	12/21	STG INVESTORS (STGIBANC O)	041	QQQQ	SS	18,600	51.81	n/a	n/a	744.00 4.0
AO,	12/21	STG INVESTORS (STGIMAIN.)	041	QQQQ	SS	30,300	51.81	n/a	n/a	1212.00 4.0
<b>AO,CXL</b>	<b>12/21</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>RVI</b>	<b>B</b>	<b>50,000</b>	<b>4.95</b>	<b>n/a</b>	<b>n/a</b>	<b>2000.00 4.0</b>
<b>AO,CRT</b>	<b>12/21</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>RVI</b>	<b>B</b>	<b>50,000</b>	<b>4.95</b>	<b>n/a</b>	<b>n/a</b>	<b>1500.00 3.0</b>
AO,CXL	12/19	SEMINOLE CAP (SEMIMORGAN)	036	STI	B	109,372	64.01	n/a	n/a	5468.60 5.0
AO,CRT	12/19	SEMINOLE CAP (SEMIMORGAN)	036	STI	B	109,372	64.01	n/a	n/a	5468.60 5.0
AO,	12/21	ROTHSCHILD ASSET (ROTH500130)	040	TRA	S	230	45.21	n/a	n/a	10.35 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/21	ROTHSCHILD ASSET (ROTH500110)	040	TRA	S	550	45.21	n/a	n/a	24.75 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH500100)	040	TRA	S	210	45.21	n/a	n/a	9.45 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH344)	040	TRA	S	80	45.21	n/a	n/a	3.60 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH000331)	040	TRA	S	510	45.21	n/a	n/a	22.95 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH347)	040	TRA	S	30	45.21	n/a	n/a	1.35 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH346)	040	TRA	S	170	45.21	n/a	n/a	7.65 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH309)	040	TRA	S	5,600	45.21	n/a	n/a	252.00 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH306)	040	TRA	S	530	45.21	n/a	n/a	23.85 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH396)	040	TRA	S	4,470	45.21	n/a	n/a	201.15 4.5
AO,	12/21	ROTHSCHILD ASSET (ROTH304)	040	TRA	S	1,250	45.21	n/a	n/a	56.25 4.5
AO,CXL	12/18	PATTEN & PATTEN (PATTPERSHI)	067	TT	S	1,565	45.47	17-Dec	17-Dec	78.25 5.0
AO,CRT	12/18	PATTEN & PATTEN (PATTPERSHI)	067	TT	S	430	45.47	17-Dec	17-Dec	21.50 5.0
AO,	12/18	PATTEN & PATTEN (PATTSCHWAB)	067	TT	S	1,135	45.47	17-Dec	17-Dec	56.75 5.0

**TOTAL (AO, CXL, CRT) :** **17,871.20**

TOTAL (Trade Date) : 23,206.00

TOTAL (AO, CXL, CRT) : 17,871.20

**TOTAL (RUN DATE) / NFS:** **41,077.20**

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