

Daily Compliance Activity Report Trade Date: 01/12/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
COUGAR TRADING	044	AEOS	В	10,000	33.64	4-Jan	12-Jan	500.00	5.0
FIRST NEW YORK LEDDY	035	AEOS	В	10,000	33.23	4-Jan	12-Jan	600.00	6.0
NEUBERGER BERMAN	238	AMD	S	60,000	18.44	n/a	n/a	3,000.00	5.0
SAXON WOODS ADVISORS	038	AMD	S	20,000	18.33	n/a	n/a	1,000.00	5.0
SUNOVA CAPITAL	031	AMG	В	20,000	109.51	12-Jan	12-Jan	1,000.00	5.0
VARDON PARTNERS	035	AM	SS	5,000	24.21	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	ANF	В	30,000	78.21	3-Nov	5-Jan	1,200.00	4.0
BACKUS	005	ANF	S	500	78.06	3-Nov	5-Jan	0.00	0.0
SIRIS	014	ARHNP	S	2,000	6.31	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	ARO	В	35,000	35.74	23-0ct	5-Jan	1,400.00	4.0
COMMISSUM CAPITAL	067	AVZ	В	20,000	23.47	29-Dec	12-Jan	1,000.00	5.0
DEEPHAVEN	031	AVZ	В	15,000	23.61	29-Dec	12-Jan	750.00	5.0
AMBER CAPITAL	046	BBX	SS	4,100	13.51	n/a	n/a	164.00	4.0
CASTLEROCK	040	BDK	SS	18,500	82.17	n/a	n/a	740.00	4.0
SANDLER CAPITAL	038	BEN	В	60,000	120.28	9-Nov	12-Jan	3,600.00	6.0
BUCK CAPITAL MGMT	001	BIG	В	10,000	25.48	16-Nov	5-Jan	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. (Shr.	
INTEGRITY CAPITAL MGMT	039	BKC	В	5,000	21.04	n/a	21-Dec	150.00	3.0	
BALYASNY ASSET MGMT	044	BLK	В	5,000	169.31	16-0ct	12-Jan	250.00	5.0	
WHALE ROCK CAP	030	BONT	В	60,000	37.87	23-Oct	5-Jan	1.51	0.0	
LEDDY	035	BOOT	s	700	13.21	n/a	n/a	0.00	0.0	
BUCK	015	САН	s	500	66.64	n/a	n/a	0.00	0.0	
NEUBERGER BERMAN	238	CBI	S	54,200	26.49	n/a	n/a	2,710.00	5.0	
BUCK CAPITAL MGMT	001	CBK	В	230,000	20.75	11-Dec	5-Jan	9,200.00	4.0	
BUCK	015	СВМ	В	1,000	22.44	n/a	n/a	0.00	0.0	
FORTRESS CAPITAL	040	CCL	В	25 , 000	51.23	n/a	26-Jan	1,250.00	5.0	
THOMSON HORSTMAN BRYANT	040	CENT	S	20,000	47.88	8-Dec	4-Jan	1,000.00	5.0	
CAPITAL GROWTH MGMT.	241	CLB	S	90,000	75.74	6-Dec	6-Dec	4,500.00	5.0	
BUCK CAPITAL MGMT	001	CLE	S	2,850	34.55	3-Nov	5-Jan	114.00	4.0	
BUCK	015	coo	В	500	51.52	n/a	n/a	0.00	0.0	
BACKUS	005	CPNLQ	S	3,000	1.66	n/a	1-Dec	0.00	0.0	
WASHINGTON ASSET	048	CWCO	S	3 , 777	23.85	n/a	n/a	188.85	5.0	

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	SAILFISH	037	С	SS	20,000	54.48	11-Jan	11-Jan	1,000.00	5.0
	J L F ASSET MGMT	039	DBRN	S	50,000	23.50	n/a	n/a	2,000.00	4.0
õ	Glenn Redemann		DELL	В	80	0.05	n/a	n/a	0.00	0.0
	WEISS PECK	040	DSW	SS	2,224	39.29	n/a	n/a	88.96	4.0
	BACKUS	005	DSW	S	500	39.25	n/a	n/a	0.00	0.0
	BACKUS	005	EBHI	S	2,000	9.18	n/a	n/a	0.00	0.0
	GLICK	059	EDA	В	1,000	10.62	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	EL	В	4,400	41.18	21-Sep	5-Dec	176.00	4.0
	BUCK	015	EVVV	s	1,000	18.04	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	FD	В	50,000	39.28	9-Nov	5-Jan	2,000.00	4.0
	COUGAR TRADING	044	FD	В	20,000	39.15	9-Nov	5-Jan	1,000.00	5.0
	BALYASNY ASSET MGMT	044	FII	В	30,000	34.73	n/a	12-Jan	1,500.00	5.0
	NEEDHAM CAP	067	FOSL	SS	5,000	23.41	15-Nov	15-Nov	200.00	4.0
	MAZAMA CAPITAL MGMT.	035	GHL	S	400	76.00	n/a	n/a	16.00	4.0
	BONANZA PARTNERS	031	GIII	SS	11,200	21.07	n/a	n/a	560.00	5.0
	BROMPTON CROSS	036	GLW	S	50,000	19.44	n/a	20-Dec	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
BELMONT GLOBAL ADV	248	GRS	В	10,000	16.04	n/a	n/a	500.00	5.0
SIRIS	014	HAR	S	1,000	103.06	n/a	n/a	0.00	0.0
HERMES	048	НА	S	10,000	5.88	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	HIBB	В	10,400	32.88	n/a	n/a	416.00	4.0
SIRIS	014	IACI	S	2,000	37.84	n/a	n/a	0.00	0.0
BACKUS	005	ICON	S	1,000	20.68	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	ITCD	В	17,000	2.56	n/a	n/a	510.00	3.0
BUCK CAPITAL MGMT	001	JCG	В	20,000	37.78	n/a	20-Dec	800.00	4.0
J L F ASSET MGMT	039	JCP	S	800	78.45	10-Nov	5-Jan	32.00	4.0
ZOLIDIS	011	JMBA	В	1,000	10.39	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	JWN	В	10,000	54.06	11-Dec	5-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	KCP	В	50,000	23.83	n/a	3-Nov	2,000.00	4.0
VARDON PARTNERS	035	KFT	SS	10,000	35.94	n/a	n/a	500.00	5.0
GAULT	063	KOG	В	5,000	4.05	n/a	n/a	0.00	0.0
VARDON PARTNERS	035	KR	SS	10,000	23.77	n/a	n/a	500.00	5.0
	BELMONT GLOBAL ADV SIRIS HERMES J L F ASSET MGMT SIRIS BACKUS RIVER RUN MGMT BUCK CAPITAL MGMT J L F ASSET MGMT ZOLIDIS CENTURION PARTNERS BUCK CAPITAL MGMT VARDON PARTNERS GAULT	BELMONT GLOBAL ADV 248 SIRIS 014 HERMES 048 J L F ASSET MGMT 039 SIRIS 014 BACKUS 005 RIVER RUN MGMT 031 BUCK CAPITAL MGMT 001 J L F ASSET MGMT 039 ZOLIDIS 011 CENTURION PARTNERS 249 BUCK CAPITAL MGMT 001 VARDON PARTNERS 035 GAULT 063	BELMONT GLOBAL ADV 248 GRS SIRIS 014 HAR HERMES 048 HA J L F ASSET MGMT 039 HIBB SIRIS 014 IACI BACKUS 005 ICON RIVER RUN MGMT 031 ITCD BUCK CAPITAL MGMT 001 JCG J L F ASSET MGMT 039 JCP ZOLIDIS 011 JMBA CENTURION PARTNERS 249 JWN BUCK CAPITAL MGMT 001 KCP VARDON PARTNERS 035 KFT GAULT 063 KOG	BELMONT GLOBAL ADV 248 GRS B SIRIS 014 HAR S HERMES 048 HA S J L F ASSET MGMT 039 HIBB B SIRIS 014 IACI S BACKUS 005 ICON S RIVER RUN MGMT 031 ITCD B BUCK CAPITAL MGMT 001 JCG B J L F ASSET MGMT 039 JCP S ZOLIDIS 011 JMBA B CENTURION PARTNERS 249 JWN B BUCK CAPITAL MGMT 001 KCP B VARDON PARTNERS 035 KFT SS GAULT 063 KOG B	BELMONT GLOBAL ADV 248 GRS B 10,000 SIRIS 014 HAR S 1,000 HERMES 048 HA S 10,000 J L F ASSET MGMT 039 HIBB B 10,400 SIRIS 014 TACI S 2,000 BACKUS 005 ICON S 1,000 RIVER RUN MGMT 031 ITCD B 17,000 BUCK CAPITAL MGMT 039 JCP S 800 ZOLIDIS 011 JMBA B 1,000 CENTURION PARTNERS 249 JWN B 10,000 BUCK CAPITAL MGMT 001 KCP B 50,000 VARDON PARTNERS 035 KFT SS 10,000 GAULT 063 KOG B 5,000	BELMONT GLOBAL ADV 248 GRS B 10,000 16.04 SIRIS 014 HAR S 1,000 103.06 HERMES 048 HA S 10,000 5.88 J L F ASSET MGMT 039 HIBB B 10,400 32.88 SIRIS 014 IACI S 2,000 37.84 BACKUS 005 ICON S 1,000 20.68 RIVER RUN MGMT 031 ITCD B 17,000 2.56 BUCK CAPITAL MGMT 001 JCG B 20,000 37.78 J L F ASSET MGMT 039 JCP S 800 78.45 ZOLIDIS 011 JMBA B 1,000 10.39 CENTURION PARTNERS 249 JWN B 10,000 54.06 BUCK CAPITAL MGMT 001 KCP B 50,000 23.83 VARDON PARTNERS 035 KFT SS 10,000 35.94 GAULT 063 KOG B 5,000 4.05	BELMONT GLOBAL ADV 248 GRS B 10,000 16.04 n/a SIRIS 014 HAR S 1,000 103.06 n/a HERMES 048 HA S 10,000 5.88 n/a J L F ASSET MGMT 039 HIBB B 10,400 32.88 n/a SIRIS 014 IACI S 2,000 37.84 n/a BACKUS 005 ICON S 1,000 20.68 n/a RIVER RUN MGMT 031 ITCD B 17,000 2.56 n/a BUCK CAPITAL MGMT 039 JCP S 800 78.45 10-Nov ZOLIDIS 011 JMBA B 1,000 10.39 n/a CENTURION PARTNERS 249 JWN B 10,000 54.06 11-Dec BUCK CAPITAL MGMT 001 KCP B 50,000 23.83 n/a VARDON PARTNERS 035 KFT SS 10,000 35.94 n/a GAULT 063 KOG B 5,000 4.05 n/a	BELMONT GLOBAL ADV 248 GRS B 10,000 16.04 n/a n/a SIRIS 014 HAR S 1,000 103.06 n/a n/a HERMES 048 HA S 10,000 5.88 n/a n/a J L F ASSET MGMT 039 HIBB B 10,400 32.88 n/a n/a SIRIS 014 LACI S 2,000 37.84 n/a n/a BACKUS 005 ICON S 1,000 20.68 n/a n/a RIVER RUN MGMT 031 LTCD B 17,000 2.56 n/a n/a BUCK CAPITAL MGMT 031 JCG B 20,000 37.84 n/a 20-Dec J L F ASSET MGMT 039 JCP S 800 78.45 10-Nov 5-Jan ZOLIDIS 011 JMBA B 1,000 10.39 n/a n/a CENTURION PARTNERS 249 JWN B 10,000 54.06 11-Dec 5-Jan BUCK CAPITAL MGMT 001 KCP B 50,000 23.83 n/a 3-Nov VARDON PARTNERS 035 KFT SS 10,000 35.94 n/a n/a GAULT 063 KOG B 5,000 4.05 n/a n/a	BELMONT GLOBAL ADV 248 GRS B 10,000 16.04 n/a n/a 500.00 SIRIS 014 HAR S 1,000 103.06 n/a n/a 0.00 HERMES 048 HA S 10,000 5.88 n/a n/a 500.00 J L F ASSET MONT 039 HIBB B 10,400 32.88 n/a n/a 0.00 SIRIS 014 IACI S 2,000 37.84 n/a n/a 0.00 BACKUS 005 ICON S 1,000 20.68 n/a n/a 0.00 RIVER RUN MGMT 031 ITCD B 17,000 2.56 n/a n/a 510.00 BUCK CAPITAL MGMT 039 JCP S 800 78.45 n/a 20-Dec 800.00 J L F ASSET MGMT 039 JCP S 800 78.45 10-Nov 5-Jan 32.00 CENTURION PARTNERS 249 JWN B 10,000 54.06 11-Dec 5-Jan 500.00 BUCK CAPITAL MGMT 001 KCP B 50,000 23.83 n/a 3-Nov 2,000.00 VARDON PARTNERS 035 KFT SS 10,000 35.94 n/a n/a 500.00 GAULT 063 KOG B 5,000 4.05 n/a n/a 0.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
WHALE ROCK CAP	030	KSS	SS	30,000	67.52	27-Dec	5-Jan	1,200.00	4.0
BACKUS	005	KSS	S	1,000	68.06	27-Dec	5-Jan	0.00	0.0
IRON HORSE CAPITAL MGMT	038	LVLT	S	200,000	6.74	18-Oct	12-Jan	6,000.00	3.0
SAILFISH	037	MA	SS	5,000	106.52	n/a	n/a	250.00	5.0
CIRCLE T PART	035	MCD	В	60,000	44.37	12-Oct	12-Jan	2,400.00	4.0
GALLEON MGMT LP	033	MNT	S	13,794	51.25	n/a	n/a	689.70	5.0
UBS O'CONNOR/TOM LEDDY	035	MWV	В	55,000	29.29	8-Jan	8-Jan	2,750.00	5.0
BUCK CAPITAL MGMT	001	MW	В	2,300	42.44	n/a	n/a	92.00	4.0
CENTURION PARTNERS	249	OATS	В	30,000	14.78	n/a	n/a	1,500.00	5.0
BARR	096	ONNN	С	1,500	8.17	n/a	n/a	0.00	0.0
SAILFISH	037	PCAR	В	10,000	68.98	n/a	n/a	500.00	5.0
BUCK	015	PFE	В	700	26.80	n/a	31-Mar	0.00	0.0
LOOMIS SALES/BOSTON	036	PG	S	132,845	64.73	15-Dec	9-Jan	5,313.80	4.0
VARDON PARTNERS	035	PG	S	20,000	64.99	15-Dec	9-Jan	1,000.00	5.0
FIRST NEW YORK LEDDY	035	POOL	В	10,000	36.25	n/a	n/a	600.00	6.0
A.I.M. ADVISORS INC	031	PVH	В	15,000	53.90	22-Nov	22-Nov	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
ZOLIDIS	011	RCKY	S	500	16.59	n/a	n/a	0.00	0.0
LOOMIS SALES/BOSTON	036	RGR	S	14,000	9.50	n/a	n/a	280.00	2.0
BRUNNER	012	RJET	S	2,000	18.43	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	50,000	82.44	7-Dec	8-Jan	2,000.00	4.0
WEISS PECK	040	RVI	В	6,100	19.24	n/a	n/a	244.00	4.0
BACKUS	005	RVI	S	2,000	19.27	n/a	n/a	0.00	0.0
MFP INVESTORS	032	SKS	S	25,000	18.55	n/a	n/a	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	TIE	В	30,000	29.42	n/a	n/a	1,500.00	5.0
BACKUS	005	TYC	В	2,000	31.65	2-0ct	15-Nov	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	WFMI	В	80,000	45.74	n/a	n/a	3,200.00	4.0
ARIENCE CAPITAL	036	WMT	В	20,380	47.64	5-0ct	5-Jan	1,019.00	5.0
FORTRESS CAPITAL	040	WMT	В	100,000	47.57	5-0ct	5-Jan	5,000.00	5.0
J L F ASSET MGMT	039	WMT	S	250,000	47.32	5-0ct	5-Jan	10,000.00	4.0
SSI INVESTORS	048	WPI	SS	75 , 000	25.98	11-Jan	11-Jan	3,000.00	4.0
J L F ASSET MGMT	039	WRNC	S	26,000	25.30	2-Nov	12-Jan	1,040.00	4.0
PRESIDIO	033	XLK	В	12,500	24.02	n/a	n/a	500.00	4.0
LEDDY	035	хоно	В	3,500	4.07	n/a	n/a	0.00	0.0

TOTAL (Trade Date): 103,695.82

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/5	5	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CXL	01/10	GAULT (GAULT)	063			S	45,000	93.00	n/a	n/a	0.00	0.0
AO, CRT	01/10	GAULT (GAULT)	063			S	45,000	93.00	n/a	n/a	0.00	0.0
AO,CXL	01/09	NCM CAPITAL MGMT (NCMCLOC210)	035	CLMS	В		6,500	26.27	2-Nov	12-Jan	325.00	5.0
AO, CRT	01/09	NCM CAPITAL MGMT (NCMCLOC210)	035	CLMS	В		6 , 500	26.27	2-Nov	12-Jan	325.00	5.0
AO, CXL	01/11	WEISS PECK (PECKMS)	040	DSW		SS	578	39.10	n/a	n/a	0.23	0.0
AO,CRT	01/11	WEISS PECK (PECKMS)	040	DSW		SS	576	39.10	n/a	n/a	23.04	4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATHOFF18)	035	EMC	В		1,500	14.37	n/a	n/a	60.00	4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATMICR11)	035	EMC	В		1,500	14.37	n/a	n/a	60.00	4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATNWN14)	035	EMC	В		1,500	14.37	n/a	n/a	60.00	4.0
AO,CXL	01/11	PLATTE RIVER CAPITAL (PLATOREGON)	035	EMC	В		1,500	14.37	n/a	n/a	60.00	4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATOREGON)	035	EMC	В		600	14.37	n/a	n/a	24.00	4.0
AO,	01/11	PLATTE RIVER CAPITAL (PLATSWINDE)	035	EMC	В		2,500	14.37	n/a	n/a	100.00	4.0
AO,CXL	01/11	NEEDHAM CAP (NEEDSMASHO)	067	FOSL		SS	250	23.38	15-Nov	15-Nov	12.50	5.0
AO,CRT	01/11	NEEDHAM CAP (NEEDSMASHO)	067	FOSL		SS	250	23.38	15-Nov	15-Nov	10.00	4.0
AO,CXL	01/11	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL		SS	5,160	23.38	15-Nov	15-Nov	258.00	5.0
AO,CRT	01/11	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL		SS	5,160	23.38	15-Nov	15-Nov	206.40	4.0
AO,CXL	01/11	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL		SS	260	23.38	15-Nov	15-Nov	13.00	5.0
AO,CRT	01/11	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL		SS	260	23.38	15-Nov	15-Nov	10.40	4.0
AO,CXL	01/11	NEEDHAM CAP (NEEDHEDGE)	067	FOSL		SS	4,830	23.38	15-Nov	15-Nov	241.50	5.0
AO, CRT	01/11	NEEDHAM CAP (NEEDHEDGE)	067	FOSL		SS	4,830	23.38	15-Nov	15-Nov	193.20	4.0
AO,CXL	01/11	RIVER RUN MGMT (RIVEGSPB)	031	ITCD	В		16,500	2.56	n/a	n/a	825.00	5.0
AO,CRT	01/11	RIVER RUN MGMT (RIVEGSPB)	031	ITCD	В		16,500	2.56	n/a	n/a	495.00	3.0
AO, CRT	01/09	BRUNNER (BRUNNER)	012	RJET	В		1,000	18.38	n/a	n/a	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	01/09	BRUNNER (BRUNNER)	012	RJET	В	1,000	17.95	n/a	n/a	0.00	0.0
AO, CXL	01/09	BRUNNER (BRUNNER)	012	RJET	В	1,000	18.38	n/a	n/a	0.00	0.0
AO, CXL	01/09	BRUNNER (BRUNNER)	012	RJET	В	1,000	17.95	n/a	n/a	0.00	0.0
AO, CRT	01/11	BRUNNER (BRUNNER)	012	RJET	S	2,000	18.40	n/a	n/a	0.00	0.0
AO, CXL	01/11	BRUNNER (BRUNNER)	012	RJET	S	2,000	18.40	n/a	n/a	0.00	0.0
AO,CXL	01/11	HOLLIS CAPITAL (HOLLBS)	040	WPI	SS	10,000	26.03	11-Jan	11-Jan	0.00	0.0
O, CRT	01/11	HOLLIS CAPITAL (HOLLBS)	040	WPI	SS	10,000	26.03	11-Jan	11-Jan	500.00	5.0

TOTAL (RUN DATE) / NFS:	104,027.63
TOTAL (AO, CXL, CRT):	331.81
TOTAL (Trade Date):	103,695.82

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