



## Daily Compliance Activity Report

Trade Date: 12/27/2006

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account              | RR # | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm. ¢/Shr. |     |
|----------------------|------|--------|-----|---------|--------|--------|----------|--------------|-----|
| KACELA CAPITAL       | 034  | AAPL   | B   | 5,000   | 81.18  | n/a    | n/a      | 200.00       | 4.0 |
| CAPITAL GROWTH MGMT. | 241  | ADS    | S   | 30,000  | 61.78  | n/a    | n/a      | 1,500.00     | 5.0 |
| BARON ASSET MGMT*    | 012  | BBW    | B   | 25,000  | 28.19  | n/a    | n/a      | 1,250.00     | 5.0 |
| Glenn Redemann       |      | BCSI   | B   | 2       | 1.07   | n/a    | n/a      | 0.00         | 0.0 |
| Glenn Redemann       |      | BCSI   | B   | 2       | 1.43   | n/a    | n/a      | 0.00         | 0.0 |
| BUCK CAPITAL MGMT    | 001  | BID    | B   | 10,000  | 31.62  | n/a    | n/a      | 400.00       | 4.0 |
| CENTURION PARTNERS   | 249  | BONT   | B   | 2,151   | 35.09  | 23-Oct | 1-Dec    | 107.55       | 5.0 |
| FRIESS MGMT          | 042  | CCK    | S   | 26,100  | 20.87  | n/a    | n/a      | 1,174.50     | 4.5 |
| LEDDY                | 035  | CC     | B   | 800     | 19.45  | 20-Dec | 20-Dec   | 0.00         | 0.0 |
| ROYCE TRADING        | 216  | CEN    | S   | 6,200   | 28.20  | n/a    | n/a      | 310.00       | 5.0 |
| FRIESS MGMT          | 042  | CHK    | B   | 237,100 | 29.30  | n/a    | n/a      | 10,669.50    | 4.5 |
| FIRST NEW YORK LEDDY | 035  | CKR    | B   | 10,000  | 18.34  | n/a    | n/a      | 500.00       | 5.0 |
| ROYCE TRADING        | 216  | CLE    | S   | 7,600   | 33.17  | 3-Nov  | 1-Dec    | 380.00       | 5.0 |
| MKT MAKER            | 099  | CLMS   | B   | 300     | 27.04  | 2-Nov  | 22-Dec   | 0.00         | 0.0 |
| CAPITAL GROWTH MGMT. | 241  | CME    | S   | 10,000  | 510.16 | n/a    | 12-Dec   | 500.00       | 5.0 |

| Account                 | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm. ¢/Shr. |     |
|-------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT       | 001  | COH    | S   | 10,000  | 43.45 | 7-Dec  | 7-Dec    | 400.00       | 4.0 |
| BUCK CAPITAL MGMT       | 001  | CRI    | B   | 30,000  | 25.97 | n/a    | n/a      | 1,200.00     | 4.0 |
| KACELA CAPITAL          | 034  | CROX   | B   | 5,000   | 43.39 | n/a    | n/a      | 200.00       | 4.0 |
| FRIESS MGMT             | 042  | DIS    | S   | 374,100 | 34.52 | n/a    | n/a      | 16,834.50    | 4.5 |
| SONAR CAP MGMT          | 037  | DKS    | SS  | 11,200  | 49.32 | n/a    | n/a      | 560.00       | 5.0 |
| PROSPECTOR PARTNERS LLC | 036  | DR     | SS  | 4,000   | 23.46 | n/a    | n/a      | 200.00       | 5.0 |
| MKT MAKER               | 099  | DR     | S   | 200     | 23.49 | n/a    | n/a      | 0.00         | 0.0 |
| BARON ASSET MGMT*       | 012  | DSW    | S   | 20,000  | 39.61 | n/a    | n/a      | 1,000.00     | 5.0 |
| FIRST NEW YORK LEDDY    | 035  | DTV    | B   | 10,000  | 24.90 | 22-Dec | 22-Dec   | 500.00       | 5.0 |
| MKT MAKER               | 099  | ERIE   | S   | 20      | 57.95 | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann        |      | ESV    | B   | 6       | 0.22  | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann        |      | ESV    | B   | 6       | 0.59  | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann        |      | ESV    | S   | 6       | 0.78  | n/a    | n/a      | 0.00         | 0.0 |
| Õ Glenn Redemann        |      | ESV    | S   | 6       | 1.48  | n/a    | n/a      | 0.00         | 0.0 |
| BUCK CAPITAL MGMT       | 001  | EV     | S   | 10,800  | 32.99 | 2-Nov  | 22-Dec   | 432.00       | 4.0 |
| LEEDS                   | 002  | FD     | S   | 12,000  | 38.20 | 9-Nov  | 21-Dec   | 0.00         | 0.0 |
| MKT MAKER               | 099  | FINL   | S   | 23      | 14.25 | n/a    | 21-Dec   | 0.00         | 0.0 |

| Account             | RR # | Symbol | B/S | Shares  | Price | MRI   | Research | Comm.¢/Shr. |     |
|---------------------|------|--------|-----|---------|-------|-------|----------|-------------|-----|
| MAGUIRE             | 090  | FLT    | S   | 5,000   | 1.16  | n/a   | n/a      | 0.00        | 0.0 |
| BUCK CAPITAL MGMT   | 001  | FL     | B   | 30,000  | 21.86 | n/a   | 7-Dec    | 1,200.00    | 4.0 |
| FRIESS MGMT         | 042  | FTI    | B   | 59,700  | 62.17 | n/a   | n/a      | 2,686.50    | 4.5 |
| BUCK CAPITAL MGMT   | 001  | GES    | B   | 20,000  | 61.72 | n/a   | n/a      | 800.00      | 4.0 |
| MAIRS AND POWER INV | 030  | GLW    | B   | 20,000  | 19.00 | n/a   | 20-Dec   | 1,200.00    | 6.0 |
| SENTINAL CAPITAL    | 067  | GLW    | S   | 15,000  | 19.03 | n/a   | 20-Dec   | 750.00      | 5.0 |
| BACKUS              | 005  | GLW    | S   | 4,000   | 19.03 | n/a   | 20-Dec   | 0.00        | 0.0 |
| FRIESS MGMT         | 042  | GRP    | B   | 44,900  | 40.40 | n/a   | n/a      | 2,020.50    | 4.5 |
| MKT MAKER           | 099  | GYMB   | B   | 43      | 38.13 | 1-Dec | 1-Dec    | 0.00        | 0.0 |
| Õ Michael Gasner    |      | HBP    | B   | 1500    | 5.25  | n/a   | n/a      | 0.00        | 0.0 |
| KACELA CAPITAL      | 034  | HLYS   | B   | 900     | 31.59 | n/a   | n/a      | 36.00       | 4.0 |
| LEDDY               | 035  | HLYS   | S   | 900     | 30.87 | n/a   | n/a      | 0.00        | 0.0 |
| ROYCE TRADING       | 216  | HL     | S   | 50,000  | 7.75  | n/a   | n/a      | 2,500.00    | 5.0 |
| MAGUIRE             | 090  | HOFF   | S   | 5,000   | 16.45 | n/a   | n/a      | 0.00        | 0.0 |
| THE BOSTON COMPANY  | 214  | HOTT   | S   | 120,010 | 13.08 | n/a   | 1-Dec    | 3,600.30    | 3.0 |
| Õ Glenn Redemann    |      | ICE    | B   | 6       | 0.86  | n/a   | n/a      | 0.00        | 0.0 |
| Õ Glenn Redemann    |      | ICE    | B   | 6       | 1.10  | n/a   | n/a      | 0.00        | 0.0 |

|   | Account                  | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm.¢/Shr. |     |
|---|--------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| Õ | Glenn Redemann           |      | ICE    | S   | 6      | 1.53  | n/a    | n/a      | 0.00        | 0.0 |
| Õ | Glenn Redemann           |      | ICE    | S   | 6      | 2.23  | n/a    | n/a      | 0.00        | 0.0 |
|   | MAGUIRE                  | 090  | IRIX   | S   | 700    | 9.38  | n/a    | n/a      | 0.00        | 0.0 |
|   | BUCK CAPITAL MGMT        | 001  | JNY    | SS  | 15,000 | 33.50 | n/a    | 26-Oct   | 600.00      | 4.0 |
|   | GARTMORE/NORTHPOINT/VILL | 033  | KSS    | SS  | 32,400 | 68.05 | 27-Dec | 27-Dec   | 1,296.00    | 4.0 |
|   | LEVIN CAPITAL STRATEGIES | 012  | KSS    | SS  | 2,500  | 67.90 | 27-Dec | 27-Dec   | 100.00      | 4.0 |
|   | TRIVIUM CAP MGMT         | 028  | KSS    | SS  | 40,000 | 68.39 | 27-Dec | 27-Dec   | 1,600.00    | 4.0 |
|   | SCHEINER                 | 037  | KSS    | S   | 1,000  | 69.08 | 27-Dec | 27-Dec   | 0.00        | 0.0 |
|   | BUCK CAPITAL MGMT        | 001  | LIZ    | SS  | 15,000 | 43.61 | n/a    | 27-Oct   | 600.00      | 4.0 |
|   | AAD CAPITAL              | 048  | LTD    | B   | 25,100 | 29.25 | 1-Dec  | 1-Dec    | 753.00      | 3.0 |
|   | BEAR STEARNS ASSET MGMT. | 033  | MMM    | S   | 20,000 | 78.57 | 20-Oct | 20-Oct   | 800.00      | 4.0 |
|   | MKT MAKER                | 099  | MWRK   | S   | 2      | 39.72 | n/a    | n/a      | 0.00        | 0.0 |
|   | TRIBECA                  | 038  | NCC    | SS  | 10,000 | 37.25 | n/a    | n/a      | 500.00      | 5.0 |
|   | BUCK CAPITAL MGMT        | 001  | NLS    | B   | 20,000 | 14.19 | n/a    | n/a      | 800.00      | 4.0 |
|   | BACKUS                   | 005  | NLS    | B   | 4,000  | 13.88 | n/a    | n/a      | 0.00        | 0.0 |
|   | SENDROW                  | 073  | NWOG   | S   | 3,000  | 0.07  | n/a    | n/a      | 0.00        | 0.0 |
|   | TRIBECA                  | 038  | NYX    | B   | 3,500  | 95.52 | n/a    | n/a      | 140.00      | 4.0 |
|   | MAGUIRE                  | 090  | OCWAZ  | S   | 2,980  | 5.15  | n/a    | n/a      | 0.00        | 0.0 |

| Account                 | RR #       | Symbol      | B/S      | Shares       | Price        | MRI           | Research      | Comm.¢/Shr. |            |
|-------------------------|------------|-------------|----------|--------------|--------------|---------------|---------------|-------------|------------|
| CIRCLE T PART           | 035        | ODP         | SS       | 20,000       | 38.92        | n/a           | 1-Dec         | 1,000.00    | 5.0        |
| FRIESS MGMT             | 042        | ORCL        | B        | 205,100      | 17.13        | n/a           | n/a           | 9,229.50    | 4.5        |
| TRIBECA                 | 038        | OXPS        | B        | 20,000       | 23.20        | n/a           | n/a           | 800.00      | 4.0        |
| ROYCE TRADING           | 216        | PER         | B        | 5,700        | 16.85        | n/a           | n/a           | 285.00      | 5.0        |
| WEISS PECK              | 040        | PLCE        | C        | 2,700        | 63.98        | n/a           | 30-Nov        | 135.00      | 5.0        |
| BULL PATH CAPITAL       | 044        | PL          | B        | 20,000       | 47.66        | n/a           | n/a           | 1,000.00    | 5.0        |
| PROSPECTOR PARTNERS LLC | 036        | PNX         | SS       | 11,600       | 15.95        | n/a           | n/a           | 580.00      | 5.0        |
| <b>SIRIS</b>            | <b>013</b> | <b>PQE</b>  | <b>S</b> | <b>2,082</b> | <b>10.48</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b> | <b>0.0</b> |
| SAXON WOODS ADVISORS    | 038        | PXD         | S        | 10,000       | 40.00        | 7-Aug         | 8-Dec         | 500.00      | 5.0        |
| KACELA CAPITAL          | 034        | RI          | B        | 10,000       | 27.82        | n/a           | n/a           | 400.00      | 4.0        |
| FRIESS MGMT             | 042        | ROST        | B        | 97,000       | 29.76        | n/a           | n/a           | 4,365.00    | 4.5        |
| WHITE PINE CAPITAL      | 030        | RVI         | S        | 5,000        | 19.34        | n/a           | n/a           | 250.00      | 5.0        |
| FRIESS MGMT             | 042        | SKX         | B        | 20,000       | 32.69        | n/a           | 7-Dec         | 900.00      | 4.5        |
| FORTRESS CAPITAL        | 040        | SPLS        | SS       | 200,000      | 26.94        | n/a           | 15-Nov        | 10,000.00   | 5.0        |
| <b>MKT MAKER</b>        | <b>099</b> | <b>SSCC</b> | <b>B</b> | <b>91</b>    | <b>10.88</b> | <b>26-Oct</b> | <b>14-Dec</b> | <b>0.00</b> | <b>0.0</b> |

| Account                     | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm.¢/Shr.      |      |
|-----------------------------|------|--------|-----|--------|-------|--------|----------|------------------|------|
| LATEFF MGMT                 | 040  | TEVA   | B   | 1,500  | 31.51 | 8-Nov  | 27-Dec   | 345.00           | 23.0 |
| BUCK CAPITAL MGMT           | 001  | TLB    | S   | 80,000 | 23.96 | 18-Oct | 16-Nov   | 3,200.00         | 4.0  |
| MKT MAKER                   | 099  | TRLG   | S   | 6      | 15.80 | n/a    | n/a      | 0.00             | 0.0  |
| MKT MAKER                   | 099  | UNFI   | B   | 95     | 36.94 | n/a    | n/a      | 0.00             | 0.0  |
| SEAROCK CAPITAL MANAGE      | 012  | VFC    | SS  | 40,100 | 82.25 | n/a    | n/a      | 0.00             | 0.0  |
| BEAR STEARNS ASSET MGMT.    | 033  | WAG    | C   | 40,000 | 45.91 | n/a    | n/a      | 1,600.00         | 4.0  |
| MKT MAKER                   | 099  | WEBM   | S   | 122    | 7.43  | n/a    | 3-Apr    | 0.00             | 0.0  |
| <b>TOTAL (Trade Date) :</b> |      |        |     |        |       |        |          | <b>94,889.85</b> |      |

### Cancel/Corrects and As-Of Trades

| Type          | Date         | Account                               | RR #       | Symbol      | B/S      | Shares    | Price        | MRI        | Research     | Comm.¢/Shr.     |
|---------------|--------------|---------------------------------------|------------|-------------|----------|-----------|--------------|------------|--------------|-----------------|
| AO,           | 12/20        | MS PRINCIPAL STRATEGIES (MSPSMS\$.05) | 040        | ALC         | SS       | 50,000    | 9.43         | n/a        | n/a          | 2000.00 4.0     |
| AO,CXL        | 12/20        | MS PRINCIPAL STRATEGIES (MSPSMS\$.05) | 040        | ALC         | SS       | 50,000    | 9.43         | n/a        | n/a          | 2500.00 5.0     |
| AO,           | 12/26        | W.D.WITTER (WDWIWDW981)               | 040        | ANF         | S        | 200       | 69.02        | 3-Nov      | 1-Dec        | 10.00 5.0       |
| AO,           | 12/26        | W.D.WITTER (WDWIWDW911)               | 040        | ANF         | S        | 2,200     | 69.02        | 3-Nov      | 1-Dec        | 110.00 5.0      |
| AO,           | 12/26        | W.D.WITTER (WDWIWDW951)               | 040        | ANF         | S        | 8,800     | 69.02        | 3-Nov      | 1-Dec        | 440.00 5.0      |
| AO,           | 12/26        | W.D.WITTER (WDWIWDW932)               | 040        | ANF         | S        | 6,500     | 69.02        | 3-Nov      | 1-Dec        | 325.00 5.0      |
| AO,CXL        | 12/21        | TROOB CAPITAL (TROOBSPB)              | 067        | CVS         | S        | 13,150    | 30.27        | n/a        | n/a          | 394.50 3.0      |
| AO,           | 12/21        | TROOB CAPITAL (TROOBSPB)              | 067        | CVS         | S        | 25,000    | 30.27        | n/a        | n/a          | 750.00 3.0      |
| AO,CXL        | 12/21        | TROOB CAPITAL (TROOMSPB)              | 067        | CVS         | S        | 11,850    | 30.27        | n/a        | n/a          | 355.50 3.0      |
| AO,CRT        | 12/26        | NEEDHAM CAP (NEEDSMASHO)              | 067        | FOSL        | SS       | 450       | 22.50        | 15-Nov     | 15-Nov       | 18.00 4.0       |
| AO,CRT        | 12/26        | NEEDHAM CAP (NEEDGRSHOR)              | 067        | FOSL        | SS       | 9,250     | 22.50        | 15-Nov     | 15-Nov       | 370.00 4.0      |
| AO,CRT        | 12/26        | NEEDHAM CAP (NEEDAGSHRT)              | 067        | FOSL        | SS       | 475       | 22.50        | 15-Nov     | 15-Nov       | 19.00 4.0       |
| AO,CXL        | 12/26        | NEEDHAM CAP (NEEDGROWTH)              | 067        | FOSL        | SS       | 9,250     | 22.50        | 15-Nov     | 15-Nov       | 370.00 4.0      |
| AO,CXL        | 12/26        | NEEDHAM CAP (NEEDSMALLC)              | 067        | FOSL        | SS       | 450       | 22.50        | 15-Nov     | 15-Nov       | 18.00 4.0       |
| AO,CXL        | 12/26        | NEEDHAM CAP (NEEDAGGRES)              | 067        | FOSL        | SS       | 475       | 22.50        | 15-Nov     | 15-Nov       | 19.00 4.0       |
| AO,           | 12/26        | W.D.WITTER (WDWI9320)                 | 040        | GI          | S        | 12,700    | 75.55        | n/a        | n/a          | 635.00 5.0      |
| AO,           | 12/26        | W.D.WITTER (WDWIWDW951)               | 040        | GI          | S        | 17,100    | 75.55        | n/a        | n/a          | 855.00 5.0      |
| <b>AO,CRT</b> | <b>12/26</b> | <b>MKT MAKER (MKT MAKER)</b>          | <b>099</b> | <b>HOTT</b> | <b>B</b> | <b>16</b> | <b>12.99</b> | <b>n/a</b> | <b>1-Dec</b> | <b>0.00 0.0</b> |
| AO,           | 12/26        | AAD CAPITAL (AADCS\$0.04)             | 048        | LTD         | B        | 50,000    | 29.00        | 1-Dec      | 1-Dec        | 1000.00 2.0     |
| AO,CXL        | 12/26        | J L F ASSET MGMT (JLFA\$0.04)         | 039        | TWB         | S        | 52,650    | 39.86        | 5-Sep      | 8-Dec        | 1053.00 2.0     |

| Type   | Date  | Account                       | RR # | Symbol | B/S | Shares | Price | MRI   | Research | Comm.¢/Shr. |
|--------|-------|-------------------------------|------|--------|-----|--------|-------|-------|----------|-------------|
| AO,CRT | 12/26 | J L F ASSET MGMT (JLFA\$0.04) | 039  | TWB    | S   | 52,650 | 39.86 | 5-Sep | 8-Dec    | 2106.00 4.0 |

|                               |  |  |  |  |  |  |  |  |                 |  |
|-------------------------------|--|--|--|--|--|--|--|--|-----------------|--|
| <b>TOTAL (AO, CXL, CRT) :</b> |  |  |  |  |  |  |  |  | <b>3,928.00</b> |  |
|-------------------------------|--|--|--|--|--|--|--|--|-----------------|--|

|                        |  |  |  |  |  |  |  |  |           |  |
|------------------------|--|--|--|--|--|--|--|--|-----------|--|
| TOTAL (Trade Date) :   |  |  |  |  |  |  |  |  | 94,889.85 |  |
| TOTAL (AO, CXL, CRT) : |  |  |  |  |  |  |  |  | 3,928.00  |  |

|                                 |  |  |  |  |  |  |  |  |                  |  |
|---------------------------------|--|--|--|--|--|--|--|--|------------------|--|
| <b>TOTAL (RUN DATE) / NFS :</b> |  |  |  |  |  |  |  |  | <b>98,817.85</b> |  |
|---------------------------------|--|--|--|--|--|--|--|--|------------------|--|



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