



Daily Compliance Activity Report

Trade Date: 01/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J L F ASSET MGMT	039	AAPL	S	22,250	84.97	n/a	n/a	890.00	4.0
FARBER/WEISS PECK	012	AEOS	C	29,000	32.86	4-Jan	5-Jan	1,450.00	5.0
GRUBER MACBAINE	033	AEOS	SS	13,000	33.38	4-Jan	5-Jan	6.50	0.1
MS PRINCIPAL STRATEGIES	040	ALC	SS	50,200	10.01	n/a	n/a	2,008.00	4.0
IVORY CAPITAL	034	AMD	B	200,000	19.69	n/a	n/a	10,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	40,000	74.62	3-Nov	5-Jan	1,600.00	4.0
THE BOSTON COMPANY	214	ANF	C	35,140	74.17	3-Nov	5-Jan	1,757.00	5.0
MAZAMA CAPITAL MGMT.	035	ARD	B	47,500	39.90	n/a	n/a	1,900.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	33.89	23-Oct	5-Jan	400.00	4.0
FARBER/WEISS PECK	012	ARO	C	44,000	34.19	23-Oct	5-Jan	2,200.00	5.0
J L F ASSET MGMT	039	ARO	S	67,000	33.96	23-Oct	5-Jan	2,680.00	4.0
DSG CAPITAL	225	AVZ	B	5,000	22.87	29-Dec	4-Jan	250.00	5.0
FIRST NEW YORK LEDDY	035	BBY	B	10,000	50.68	13-Dec	5-Jan	600.00	6.0
CASTLEROCK	040	BDK	SS	22,200	79.53	n/a	n/a	888.00	4.0
SCHEINER	037	BKC	SS	2,000	20.89	n/a	21-Dec	0.00	0.0
CENTURION PARTNERS	249	BONT	B	27,500	35.30	23-Oct	5-Jan	1,375.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	BONT	B	7,000	34.84	23-Oct	5-Jan	350.00	5.0
SAILFISH	037	BOW	SS	10,000	22.51	27-Oct	14-Dec	500.00	5.0
LEDDY	035	BSC	S	150	162.24	15-Dec	15-Dec	0.00	0.0
HAYGROUND COE	039	BUD	SS	23,300	48.89	n/a	n/a	1,165.00	5.0
BUCK CAPITAL MGMT	001	CBK	B	40,000	18.79	11-Dec	5-Jan	1,600.00	4.0
BUCK CAPITAL MGMT	001	COH	B	5,000	43.92	7-Dec	7-Dec	200.00	4.0
WAGO	048	C	B	14,500	54.72	n/a	15-Dec	580.00	4.0
GALLEON MGMT LP	033	DLTR	B	60,000	31.30	21-Nov	5-Jan	3,000.00	5.0
CIRCLE T PART	035	DRI	SS	35,000	39.45	12-Dec	19-Dec	1,400.00	4.0
J L F ASSET MGMT	039	DRI	B	18,000	39.61	12-Dec	19-Dec	720.00	4.0
SAILFISH	037	DTV	SS	10,000	24.47	22-Dec	22-Dec	500.00	5.0
WANG	192	EDA	B	300	9.20	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	FIC	B	15,425	40.22	n/a	n/a	771.25	5.0
AMBER CAPITAL	046	GBBK	B	75,000	26.18	n/a	n/a	3,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	GES	S	28,300	66.93	n/a	n/a	1,061.25	3.8
SCHEINER	037	GLW	S	1,500	19.00	n/a	20-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE BOSTON COMPANY	214	GYMB	C	66,700	43.53	4-Jan	5-Jan	3,335.00	5.0
DSG CAPITAL	225	HC	B	20,000	17.80	28-Jul	29-Nov	1,000.00	5.0
MAZAMA CAPITAL MGMT.	035	HS	S	79,400	20.00	n/a	n/a	3,176.00	4.0
RIVER RUN MGMT	031	ITCD	B	51,000	2.56	n/a	n/a	1,530.00	3.0
BULL PATH CAPITAL	044	JNS	SS	45,000	21.35	1-Dec	4-Jan	2,250.00	5.0
SENTINAL CAPITAL	067	JPM	S	7,800	47.73	n/a	12-Dec	390.00	5.0
CUMBERLAND	038	JWN	S	15,000	51.89	11-Dec	5-Jan	600.00	4.0
ROYCE TRADING	216	KCP	S	23,600	24.18	n/a	3-Nov	1,180.00	5.0
NCM CAPITAL MGMT	035	KRON	B	23,075	35.55	n/a	n/a	1,153.75	5.0
BUCK CAPITAL MGMT	001	KSS	B	35,000	67.23	27-Dec	5-Jan	1,400.00	4.0
HIGHBRIDGE CAPITAL	038	LNC	B	8,000	65.20	n/a	n/a	400.00	5.0
SYSTEMATIC FINANCIAL MGT	035	LTD	B	87,500	27.54	5-Jan	5-Jan	3,281.25	3.8
BUCK CAPITAL MGMT	001	LTM	B	5,000	48.92	n/a	n/a	200.00	4.0
STRATIX ASSEST MGMT	035	MCRL	B	10,950	10.22	n/a	n/a	547.50	5.0
J L F ASSET MGMT	039	MTB	B	5,000	120.64	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOMERSET ADV	044	NDN	B	60,000	12.57	n/a	5-Jan	2,400.00	4.0
BUCK CAPITAL MGMT	001	NLS	B	100,000	13.85	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	NWY	B	5,000	14.69	1-Dec	5-Jan	250.00	5.0
UBS O'CONNOR/TOM LEDDY	035	ODP	SS	20,000	37.61	n/a	1-Dec	1,000.00	5.0
FRIESS MGMT	042	ORCL	B	681,000	17.60	n/a	n/a	30,645.00	4.5
HIGHBRIDGE CAPITAL	038	PFG	B	7,500	58.65	n/a	n/a	375.00	5.0
PEREGRINE	030	PRFT	S	2,900	16.62	n/a	n/a	116.00	4.0
PEREGRINE	030	PRSC	S	2,800	25.00	n/a	n/a	112.00	4.0
PEREGRINE	030	PSPT	S	5,000	19.87	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	52.05	22-Nov	22-Nov	400.00	4.0
PEREGRINE	030	PXD	S	2,100	37.78	7-Aug	8-Dec	84.00	4.0
PEREGRINE	030	QSFT	S	5,000	14.53	n/a	n/a	200.00	4.0
MERRILL ASSET	032	RGC	B	24,000	21.71	n/a	n/a	1,200.00	5.0
ROYCE TRADING	216	RL	S	25,000	80.00	7-Dec	7-Dec	1,250.00	5.0
PEREGRINE	030	RTIX	S	5,700	5.48	n/a	n/a	228.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MFP INVESTORS	032	SKS	S	18,500	18.38	n/a	n/a	925.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	32.51	n/a	7-Dec	800.00	4.0
PEREGRINE	030	SKYW	S	6,000	26.21	n/a	n/a	240.00	4.0
PEREGRINE	030	SMBI	S	3,300	17.60	n/a	n/a	132.00	4.0
PEREGRINE	030	SMMX	S	2,500	20.27	n/a	n/a	100.00	4.0
PEREGRINE	030	SNCR	S	3,100	13.97	n/a	n/a	124.00	4.0
PEREGRINE	030	SNTS	S	7,000	7.66	n/a	n/a	280.00	4.0
PEREGRINE	030	SONE	S	13,100	5.37	n/a	n/a	524.00	4.0
PEREGRINE	030	SONO	S	1,000	29.69	n/a	n/a	40.00	4.0
PEREGRINE	030	SPR	S	1,700	29.99	n/a	n/a	68.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	40,000	30.04	n/a	n/a	1,600.00	4.0
PEREGRINE	030	SVVS	S	1,200	34.64	n/a	n/a	48.00	4.0
NOLAN	067	SWN	B	20	32.95	7-Aug	20-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	TBL	S	100,000	30.77	15-Nov	7-Dec	4,000.00	4.0
PEREGRINE	030	TFSM	S	7,100	9.25	n/a	n/a	284.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PEREGRINE	030	THOR	S	7,200	17.33	n/a	n/a	288.00	4.0
PEREGRINE	030	TIBX	S	10,600	9.59	n/a	3-Apr	424.00	4.0
ADAGE CAPITAL MGMT	030	TJX	B	35,000	29.55	6-Oct	5-Jan	1,400.00	4.0
J L F ASSET MGMT	039	TJX	S	149,000	29.09	6-Oct	5-Jan	5,960.00	4.0
JP MORGAN VENTURES	046	TJX	S	17,100	29.08	6-Oct	5-Jan	855.00	5.0
LEVIN CAPITAL STRATEGIES	012	TJX	SS	15,000	29.65	6-Oct	5-Jan	600.00	4.0
PRINCIPLE CAPITAL	040	TLB	S	107,900	23.03	18-Oct	16-Nov	3,237.00	3.0
PEREGRINE	030	TRID	S	4,300	18.94	n/a	n/a	172.00	4.0
PEREGRINE	030	TSRA	S	4,000	40.22	n/a	n/a	160.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	40.80	5-Sep	8-Dec	400.00	4.0
LEDDY	035	TYC	S	500	30.53	2-Oct	15-Nov	0.00	0.0
PATTEN & PATTEN	067	T	S	3,600	33.99	21-Sep	5-Jan	180.00	5.0
PEREGRINE	030	UCTT	S	3,000	13.61	n/a	n/a	120.00	4.0
PEREGRINE	030	ULTI	S	4,300	22.48	n/a	n/a	172.00	4.0
GARTMORE/NORTHPOINT/VILL	033	USTR	B	17,570	46.30	n/a	6-Nov	702.80	4.0
PEREGRINE	030	VITA	S	10,200	3.41	n/a	n/a	408.00	4.0
PEREGRINE	030	VSEA	S	1,900	45.22	n/a	n/a	76.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PEREGRINE	030	WEBX	S	1,100	34.02	n/a	n/a	44.00	4.0
SAILFISH	037	WEN	SS	5,000	33.81	12-Dec	18-Dec	250.00	5.0
PEREGRINE	030	WMGI	S	2,400	22.49	n/a	n/a	96.00	4.0
BUCK	015	WMT	S	300	47.34	5-Oct	5-Jan	0.00	0.0
PEREGRINE	030	WTSLA	S	16,400	6.49	n/a	n/a	656.00	4.0
PEREGRINE	030	WTS	S	2,600	39.27	n/a	n/a	104.00	4.0
PEREGRINE	030	ZGEN	S	5,500	15.18	n/a	n/a	220.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	30,000	15.31	8-Sep	15-Dec	1,200.00	4.0
CHARTER OAK	037	ZQK	SS	20,000	15.31	8-Sep	15-Dec	1,000.00	5.0
PEREGRINE	030	ZQK	S	5,400	15.30	8-Sep	15-Dec	216.00	4.0
SAILFISH	037	ZQK	SS	4,500	15.60	8-Sep	15-Dec	225.00	5.0
TOTAL (Trade Date):								134,336.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/04	GRUBER MACBAINE (GRBRMAIN)	033	AEOS	SS	20,000	32.53	4-Jan	5-Jan	800.00 4.0
AO,	01/04	GRUBER MACBAINE (GRBRMAIN)	033	AEOS	SS	5,000	32.53	4-Jan	5-Jan	200.00 4.0
AO,CRT	01/04	MORGAN LEWIS/MLH (MORLBS)	046	COP	S	30,000	66.06	n/a	n/a	1500.00 5.0
AO,CXL	01/04	MORGENS WATERFALL (MORMORGAN)	040	COP	S	30,000	66.06	n/a	n/a	1500.00 5.0
AO,CXL	01/03	NEEDHAM CAP (NEEDORBSHO)	067	FOSL	SS	9,200	23.23	15-Nov	15-Nov	368.00 4.0
AO,CRT	01/03	NEEDHAM CAP (NEEDHEDGE)	067	FOSL	SS	9,200	23.23	15-Nov	15-Nov	368.00 4.0
AO,	01/04	BONANZA PARTNERS (BONZBAC PB)	031	GIII	SS	29,700	19.42	n/a	n/a	1485.00 5.0
AO,	01/04	MKT MAKER (MKT MAKER)	099	GYMB	B	4	42.95	4-Jan	5-Jan	0.00 0.0
AO,CXL	01/04	RIDGECRST PARTNERS (RIDGNEUBER)	035	GYMB	C	3,500	42.89	4-Jan	5-Jan	175.00 5.0
AO,CXL	01/04	RIDGECRST PARTNERS (RIDGMORGAN)	035	GYMB	C	1,500	42.89	4-Jan	5-Jan	75.00 5.0
AO,CXL	01/03	ALLEN & CO (ALLNALLEN)	032	JNJ	B	41,000	66.70	n/a	22-Apr	1640.00 4.0
AO,	01/03	ALLEN & CO (ALLNALLEN)	032	JNJ	B	41,000	66.74	n/a	22-Apr	1640.00 4.0
AO,CXL	01/03	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	SSI	B	10,000	29.66	n/a	n/a	400.00 4.0
AO,CRT	01/03	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TJX	B	35,000	29.07	6-Oct	5-Jan	1400.00 4.0
AO,CXL	01/03	BUCK CAPITAL MGMT (BUCKTHE NE)	001	TJX	B	35,000	29.07	6-Oct	5-Jan	1400.00 4.0
TOTAL (AO, CXL, CRT) :										1,835.00

TOTAL (Trade Date):	134,336.30
TOTAL (AO, CXL, CRT):	1,835.00

TOTAL (RUN DATE) / NFS:

136,171.30

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