



# Daily Compliance Activity Report

Trade Date: 12/31/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
XYLEM GLOBAL	091	ABH	B	45,000	19.96	n/a	21-Sep	2,250.00	5.0
KORMAN	003	ABKMX	S	30	1.55	n/a	n/a	0.00	0.0
KORMAN	003	ABK	B	2,000	26.00	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	AEO	B	40,500	20.69	9-Nov	7-Dec	2,025.00	5.0
BARR	096	ALSC	S	5,500	1.54	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	AMG	B	5,000	117.44	11-Dec	24-Dec	250.00	5.0
CROWLEY	061	APNS	B	20,000	0.09	n/a	n/a	0.00	0.0
GRONET	030	BAC	S	300	41.29	13-Nov	13-Dec	0.00	0.0
COUGAR TRADING	044	BONT	S	20,000	9.63	9-Nov	7-Dec	1,000.00	5.0
LEDDY	035	BONT	S	1,680	9.67	9-Nov	7-Dec	0.00	0.0
KAICHER	064	BONT	B	5,000	9.74	9-Nov	7-Dec	0.00	0.0
BARR	096	BQI	B	2,000	4.22	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	BWS	S	9,600	15.26	n/a	n/a	480.00	5.0
BUCK	015	CELG	C	400	45.99	n/a	n/a	0.00	0.0
BUCK	015	CMA	C	1,200	43.22	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	COH	S	10,000	30.41	24-Oct	24-Oct	500.00	5.0
FRIESS MGMT	042	CVS	S	372,000	39.74	n/a	n/a	16,740.00	4.5
<b>BUCK</b>	<b>015</b>	<b>C</b>	<b>B</b>	<b>500</b>	<b>28.89</b>	<b>5-Nov</b>	<b>19-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>DFS</b>	<b>SS</b>	<b>800</b>	<b>15.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WASHINGTON ASSET	048	DIS	S	3,000	32.36	n/a	n/a	150.00	5.0
COOKBIELER	033	FDO	B	252,900	19.18	7-Dec	7-Dec	10,116.00	4.0
IRONBOUND CAPITAL	012	FOR	B	52,066	23.10	n/a	n/a	2,603.30	5.0
<b>BARR</b>	<b>096</b>	<b>FXP</b>	<b>S</b>	<b>600</b>	<b>74.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>38.11</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BARR</b>	<b>096</b>	<b>GM</b>	<b>C</b>	<b>500</b>	<b>25.02</b>	<b>n/a</b>	<b>4-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>GSI</b>	<b>S</b>	<b>1,500</b>	<b>8.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>GS</b>	<b>S</b>	<b>300</b>	<b>210.00</b>	<b>21-Sep</b>	<b>19-Dec</b>	<b>0.00</b>	<b>0.0</b>
HARVEST MGMT	039	GYMB	B	25,000	30.20	10-Aug	7-Dec	1,250.00	5.0
<b>KAZMI</b>	<b>010</b>	<b>ITCD</b>	<b>S</b>	<b>2,000</b>	<b>4.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	IWF	SS	10,000	61.12	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	IWO	SS	10,000	83.53	n/a	n/a	500.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>JADE</b>	<b>S</b>	<b>5,000</b>	<b>6.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JAH</b>	<b>B</b>	<b>20,000</b>	<b>23.80</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
NEEDHAM CAP	067	JCG	S	5,000	48.65	28-Nov	30-Nov	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>10,000</b>	<b>16.10</b>	<b>n/a</b>	<b>1-Nov</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>JWN</b>	<b>SS</b>	<b>700</b>	<b>36.48</b>	<b>20-Nov</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	KCP	B	39,300	17.48	28-Sep	28-Sep	1,473.75	3.8
<b>BUCK</b>	<b>015</b>	<b>KFT</b>	<b>S</b>	<b>300</b>	<b>32.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAMBIAR CAP	046	LEH	S	54,140	64.14	n/a	19-Dec	2,165.60	4.0
<b>BUCK</b>	<b>015</b>	<b>LTR</b>	<b>B</b>	<b>1,000</b>	<b>50.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>MBI</b>	<b>B</b>	<b>1,000</b>	<b>18.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>MBI</b>	<b>B</b>	<b>5,000</b>	<b>18.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MDY</b>	<b>B</b>	<b>300</b>	<b>155.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>MER</b>	<b>S</b>	<b>700</b>	<b>52.42</b>	<b>24-Dec</b>	<b>24-Dec</b>	<b>0.00</b>	<b>0.0</b>
UNITED STATES PENSION	032	MHS	S	39,000	102.05	n/a	n/a	1,950.00	5.0
<b>GRONET</b>	<b>030</b>	<b>M</b>	<b>B</b>	<b>1,000</b>	<b>25.86</b>	<b>9-Nov</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STRATTON	N21	NETM	B	500	6.02	n/a	n/a	0.00	0.0
LEDDY	035	NEXC	S	4,100	4.74	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	NOK	B	10,000	38.35	n/a	n/a	500.00	5.0
BARR	096	PDFS	B	2,500	9.10	n/a	n/a	0.00	0.0
MERRILL ASSET	032	PG	B	538,300	73.64	11-Dec	11-Dec	24,223.50	4.5
BUCK	015	PHRM	S	1,000	63.01	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	Q	S	500,000	7.07	n/a	n/a	20,000.00	4.0
HART	056	RAD	B	500	2.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	S	50,000	20.52	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	10,000	14.96	21-Nov	7-Dec	400.00	4.0
BALYASNY ASSET MGMT	044	TROW	B	10,000	61.06	21-Nov	24-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	UA	B	30,000	43.96	n/a	n/a	1,200.00	4.0
OGORMAN	046	VC	B	4,000	4.23	n/a	13-Dec	0.00	0.0
HART	056	VC	B	300	4.23	n/a	13-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	B	5,000	69.18	n/a	n/a	200.00	4.0
TRUSTCO/SUNTRUST	040	WRE	B	35,048	31.06	n/a	n/a	1,051.44	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	WY	S	200	72.98	1-Nov	1-Nov	0.00	0.0
CASTANEDA	001	XOHO	B	1,500	2.01	n/a	n/a	0.00	0.0
OGORMAN	046	XOHO	B	10,000	2.01	n/a	n/a	0.00	0.0
HART	056	XOHO	B	500	2.01	n/a	n/a	0.00	0.0
FIRST INV MGMT CORP	036	YHOO	B	5,000	23.30	n/a	n/a	250.00	5.0
COUGAR TRADING	044	ZQK	B	5,000	8.66	n/a	18-Dec	250.00	5.0
<b>TOTAL (Trade Date):</b>							<b>96,328.59</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/28	TROOB CAPITAL (TROOBSPB)	067	BBI	S	25,000	3.99	n/a	n/a	750.00 3.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM1003)	036	CAG	S	40	24.01	n/a	n/a	0.40 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM1003)	036	CAG	S	40	24.01	n/a	n/a	1.60 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM137)	036	CAG	S	300	24.01	n/a	n/a	3.00 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM137)	036	CAG	S	300	24.01	n/a	n/a	12.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM149)	036	CAG	S	800	24.01	n/a	n/a	8.00 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM149)	036	CAG	S	800	24.01	n/a	n/a	32.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM600)	036	CAG	S	5,100	24.01	n/a	n/a	51.00 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM600)	036	CAG	S	5,100	24.01	n/a	n/a	204.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM642)	036	CAG	S	70	24.01	n/a	n/a	0.70 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM642)	036	CAG	S	70	24.01	n/a	n/a	2.80 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM950)	036	CAG	S	900	24.01	n/a	n/a	9.00 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM950)	036	CAG	S	900	24.01	n/a	n/a	36.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM92)	036	CAG	S	320	24.01	n/a	n/a	3.20 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM92)	036	CAG	S	320	24.01	n/a	n/a	12.80 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM672)	036	CAG	S	300	24.01	n/a	n/a	3.00 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM672)	036	CAG	S	300	24.01	n/a	n/a	12.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM9000)	036	CAG	S	220	24.01	n/a	n/a	2.20 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM9000)	036	CAG	S	220	24.01	n/a	n/a	8.80 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM997)	036	CAG	S	3,700	24.01	n/a	n/a	37.00 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM997)	036	CAG	S	3,700	24.01	n/a	n/a	148.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM998)	036	CAG	S	6,900	24.01	n/a	n/a	69.00 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM998)	036	CAG	S	6,900	24.01	n/a	n/a	276.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM130)	036	CAG	S	27,300	24.01	n/a	n/a	273.00 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM130)	036	CAG	S	27,300	24.01	n/a	n/a	1092.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM34)	036	CAG	S	12,100	24.01	n/a	n/a	121.00 1.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/28	OPPENHEIMER MGMT. (OPPM34)	036	CAG	S	12,100	24.01	n/a	n/a	484.00 4.0
AO,CXL	12/28	OPPENHEIMER MGMT. (OPPM127)	036	CAG	S	22,650	24.01	n/a	n/a	226.50 1.0
AO,	12/28	OPPENHEIMER MGMT. (OPPM127)	036	CAG	S	22,650	24.01	n/a	n/a	906.00 4.0
AO,	12/28	ROYCE TRADING (ROYC42)	216	HEIA	S	9,900	41.89	n/a	n/a	495.00 5.0
AO,CRT	12/21	STRAUSS ASSET MGMT (STRATTON)	N21	NETM	B	1,000	6.20	n/a	n/a	0.00 0.0
AO,CXL	12/21	STRAUSS ASSET MGMT (STRATTON)	N21	NETM	B	1,000	6.20	n/a	n/a	0.00 0.0
AO,CXL	12/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RVI	B	94,000	5.19	n/a	n/a	3760.00 4.0
AO,CRT	12/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RVI	B	94,000	5.19	n/a	n/a	2820.00 3.0
AO,	12/28	TROOB CAPITAL (TROOBSPB)	067	SIX	S	95,200	2.14	n/a	n/a	2856.00 3.0
AO,	12/28	TROOB CAPITAL (TROOMSPB)	067	SIX	S	54,800	2.14	n/a	n/a	1644.00 3.0

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

**7,226.00**

TOTAL (Trade Date) :

96,328.59

TOTAL (AO, CXL, CRT) :

7,226.00

**TOTAL (RUN DATE) / NFS :**

**103,554.59**

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