



Daily Compliance Activity Report

Trade Date: 12/15/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	S	400	30.98	n/a	n/a	20.00	5.0
WANGER ASS	031	AH	B	100,000	55.05	n/a	n/a	5,000.00	5.0
ROBERTSON STEVENS BC	033	ALEX	S	25,000	44.79	n/a	n/a	750.00	3.0
BARR	096	ALSC	B	2,200	4.22	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	S	50,000	69.88	3-Nov	1-Dec	2,499.00	4.5
ROBERTSON STEVENS BC	033	APOL	B	30,000	38.84	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	31.59	23-Oct	1-Dec	400.00	4.0
ROBERTSON STEVENS BC	033	ARO	B	16,300	31.64	23-Oct	1-Dec	652.00	4.0
RIVER RUN MGMT	031	BBI	SS	30,100	5.44	n/a	n/a	1,204.00	4.0
Glenn Redemann		BHI	S	4	3.30	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BHI	B	200	77.61	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	BJS	B	500	32.54	n/a	n/a	25.00	5.0
LEDDY	035	BONT	B	500	35.10	23-Oct	1-Dec	0.00	0.0
FARBER/WEISS PECK	012	CAKE	C	9,000	26.19	n/a	12-Dec	450.00	5.0
BUCK CAPITAL MGMT	001	CBK	B	20,000	18.83	11-Dec	11-Dec	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	CBK	S	600	18.75	11-Dec	11-Dec	0.00	0.0
PATTEN & PATTEN	067	CBT	S	400	42.00	2-Nov	2-Nov	20.00	5.0
FORTRESS CAPITAL	040	COST	SS	50,000	54.17	n/a	15-Dec	2,500.00	5.0
TRIVIUM CAP MGMT	028	COST	SS	25,000	54.42	n/a	15-Dec	1,000.00	4.0
HERMES	048	CQB	B	25,000	15.88	n/a	n/a	1,000.00	4.0
FARBER/WEISS PECK	012	DLTR	C	7,500	30.62	21-Nov	1-Dec	375.00	5.0
BACKUS	005	DSW	S	1,000	39.91	n/a	n/a	0.00	0.0
EFSTATHIOU	044	EBS	B	300	10.12	n/a	n/a	0.00	0.0
BACKUS	005	EVST	S	2,000	18.16	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EWJ	B	1,000	14.22	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	EWZ	B	200	46.80	n/a	n/a	10.00	5.0
MILLENIUM PARTNERS	028	FL	B	20,000	23.04	n/a	7-Dec	800.00	4.0
NEEDHAM CAP	067	FOSL	SS	18,875	22.30	15-Nov	15-Nov	755.00	4.0
PATTEN & PATTEN	067	FPL	S	400	54.67	n/a	n/a	20.00	5.0
FARBER/WEISS PECK	012	FRED	C	20,000	12.32	30-Nov	1-Dec	1,000.00	5.0
LEDDY	035	GBIXQ	S	4,000	0.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	GE	S	1,000	37.15	n/a	n/a	50.00	5.0
BINDER	007	GLW	B	390	19.85	n/a	13-Dec	0.00	0.0
MCCARTAN	028	GLW	B	100	19.46	n/a	13-Dec	0.00	0.0
LEDDY	035	GLW	S	700	19.50	n/a	13-Dec	0.00	0.0
FRIESS MGMT	042	GRP	B	97,500	43.98	n/a	n/a	4,387.50	4.5
DEMARTINI	065	GTEM	S	10,000	0.47	n/a	n/a	0.00	0.0
IRONWOOD CAPITAL	067	HAWK	S	3,300	12.73	n/a	n/a	132.00	4.0
MISSOURI VALLEY PART	046	HD	S	55,475	40.10	n/a	15-Dec	2,773.75	5.0
Ö Glenn Redemann		ICE	B	8	0.95	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	IIF	B	200	52.40	n/a	n/a	10.00	5.0
IRONWOOD CAPITAL	067	ILA	S	14,400	4.73	n/a	n/a	576.00	4.0
PATTEN & PATTEN	067	INTC	S	100	21.18	n/a	n/a	5.00	5.0
WHITE PINE CAPITAL	030	INTC	S	600	21.06	n/a	n/a	30.00	5.0
BARR	096	IRIX	S	1,200	9.51	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	5,000	2.59	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT	001	JNY	SS	20,000	33.84	n/a	26-Oct	800.00	4.0
CENTURION PARTNERS	249	JWN	B	20,000	51.09	11-Dec	11-Dec	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORTRESS CAPITAL	040	JWN	SS	100,000	50.94	11-Dec	11-Dec	5,000.00	5.0
FIRST NEW YORK LEDDY	035	KSS	SS	20,000	70.75	10-Nov	1-Dec	1,000.00	5.0
THE JAY GOLDMAN	034	KSS	SS	25,000	71.29	10-Nov	1-Dec	1,000.00	4.0
BUCK CAPITAL MGMT	001	LIZ	SS	30,000	44.27	n/a	27-Oct	1,200.00	4.0
SAILFISH	037	LSI	B	15,000	9.37	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	30.86	1-Dec	1-Dec	1,200.00	4.0
THE JAY GOLDMAN	034	LTD	B	50,000	30.73	1-Dec	1-Dec	2,000.00	4.0
WHEELER	008	MAG	S	10,000	5.62	n/a	n/a	0.00	0.0
BINDER	007	MOT	B	200	20.96	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	214	MO	S	34,600	85.07	n/a	n/a	1,730.00	5.0
LOOMIS SALES/BOSTON	036	MS	B	201,843	79.84	6-Dec	12-Dec	10,092.15	5.0
SYSTEMATIC FINANCIAL MGT	035	MWRK	B	16,100	41.95	n/a	n/a	644.00	4.0
MKT MAKER	099	MWRK	B	2	41.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	38.09	n/a	n/a	1,200.00	4.0
PATTEN & PATTEN	067	NEM	B	400	47.40	n/a	n/a	20.00	5.0
Glenn Redemann		NE	S	2	0.75	n/a	n/a	0.00	0.0
FRANKLIN FUND OF CALIFOR	033	NFP	S	12,900	42.51	n/a	n/a	645.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRANKLIN FUNDS N J	035	NFP	S	35,100	42.51	n/a	n/a	1,755.00	5.0
WHITE PINE CAPITAL	030	NT	S	500	22.96	n/a	22-Mar	25.00	5.0
BACKUS	005	NWY	S	1,000	14.13	1-Dec	1-Dec	0.00	0.0
MILLENIUM PARTNERS	028	OS	B	15,000	62.15	n/a	n/a	600.00	4.0
GALLEON MGMT LP	033	PDS	SS	15,000	24.75	n/a	n/a	750.00	5.0
SOMERSET ADV	044	PEIX	SS	2,500	17.66	n/a	n/a	125.00	5.0
PATTEN & PATTEN	067	PHO	B	900	18.47	n/a	n/a	45.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	51.49	22-Nov	22-Nov	400.00	4.0
COLUMBIA PARTNERS	098	PVH	B	30,899	51.56	22-Nov	22-Nov	1,235.96	4.0
PORTER-ORLIN-FELDMAN	044	QQQQ	S	160,000	44.63	n/a	n/a	8,000.00	5.0
Ö Glenn Redemann		RIG	S	3	3.50	n/a	n/a	0.00	0.0
Ö Glenn Redemann		RTI	B	8	3.40	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	RTN	S	800	53.02	n/a	n/a	40.00	5.0
BACKUS	005	RVI	S	5,000	19.60	n/a	n/a	0.00	0.0
SENECA CAPITAL LP NY	028	SAI	S	42,000	18.67	n/a	n/a	2,100.00	5.0
WHEELER	008	SCI	B	5,000	10.40	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	SLB	B	400	68.59	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	SRZ	B	400	30.72	n/a	n/a	20.00	5.0
IRONBOUND CAPITAL	012	SSCC	SS	110,000	11.20	26-Oct	14-Dec	5,500.00	5.0
MKT MAKER	099	SSCC	SS	91	11.20	26-Oct	14-Dec	0.00	0.0
PATTEN & PATTEN	067	STI	S	100	84.61	n/a	n/a	5.00	5.0
CROSS CAPITAL	028	STRL	B	14,600	21.23	n/a	n/a	730.00	5.0
WHITE PINE CAPITAL	030	SUNW	S	2,000	5.61	n/a	n/a	100.00	5.0
BACKUS	005	TBL	S	500	32.42	15-Nov	7-Dec	0.00	0.0
TRUST CO OF THE WEST/NY	040	TER	S	36,000	15.03	n/a	n/a	1,440.00	4.0
IRONWOOD CAPITAL	067	THG	S	1,900	50.40	n/a	n/a	76.00	4.0
COUGAR TRADING	044	TLB	S	5,000	26.01	18-Oct	16-Nov	250.00	5.0
PATTEN & PATTEN	067	UNM	S	100	20.07	n/a	n/a	5.00	5.0
DSG CAPITAL	225	WDR	B	100	26.00	15-Dec	15-Dec	0.00	0.0
DSG CAPITAL	225	WDR	S	100	26.45	15-Dec	15-Dec	0.00	0.0
SANDLER O'NEILL ASSET	031	WDR	S	45,000	26.49	15-Dec	15-Dec	2,250.00	5.0
SUNOVA CAPITAL	031	WDR	B	70,000	26.37	15-Dec	15-Dec	3,500.00	5.0
MKT MAKER	099	WEBM	B	30	7.10	n/a	3-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAILFISH	037	WEN	SS	5,000	33.52	12-Dec	12-Dec	250.00	5.0
WHITE PINE CAPITAL	030	WFC	S	1,500	35.57	n/a	n/a	75.00	5.0
WILLIAM BLAIR	031	WTW	B	52,320	46.83	n/a	n/a	2,092.80	4.0
PATTEN & PATTEN	067	WYE	B	800	51.22	n/a	31-Mar	40.00	5.0
DAVIDSON KEMPNER ADVISOR	217	WY	S	10,600	73.00	15-Dec	15-Dec	530.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	10,000	15.00	8-Sep	15-Dec	400.00	4.0
DELTEC ASSET MGMT.	040	ZQK	S	59,200	15.90	8-Sep	15-Dec	2,960.00	5.0
TOTAL (Trade Date):								92,255.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/14	CENTURION PARTNERS (CENTGSCO)	249	CVS	B	30,000	30.90	n/a	n/a	1.55 0.0
AO,CRT	12/14	CENTURION PARTNERS (CENTGSCO)	249	CVS	B	30,000	30.90	n/a	n/a	1500.00 0.0
AO,	12/14	MERRILL ASSET (MERR45)	032	DEI	S	2,400	26.43	n/a	n/a	120.00 5.0
AO,	12/14	MERRILL ASSET (MERR45)	032	DEI	S	2,400	26.43	n/a	n/a	120.00 5.0
AO,	12/14	MERRILL ASSET (MERR31)	032	DEI	S	200	26.43	n/a	n/a	10.00 5.0
AO,	12/14	MERRILL ASSET (MERR31)	032	DEI	S	200	26.43	n/a	n/a	10.00 5.0
AO,	12/14	MERRILL ASSET (MERR2800)	032	DEI	S	28,100	26.43	n/a	n/a	1405.00 5.0
AO,	12/14	MERRILL ASSET (MERR2800)	032	DEI	S	28,200	26.43	n/a	n/a	1410.00 5.0
AO,	12/14	MERRILL ASSET (MERR2900)	032	DEI	S	6,800	26.43	n/a	n/a	340.00 5.0
AO,	12/14	MERRILL ASSET (MERR2900)	032	DEI	S	6,800	26.43	n/a	n/a	340.00 5.0
AO,	12/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DKS	B	10,000	53.52	n/a	n/a	400.00 4.0
AO,CXL	12/14	NEEDHAM CAP (NEEDORBSHO)	067	FOSL	S	14,500	22.12	15-Nov	15-Nov	725.00 5.0
AO,	12/14	NEEDHAM CAP (NEEDORBSHO)	067	FOSL	S	1,450	22.12	15-Nov	15-Nov	58.00 4.0
AO,CXL	12/14	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL	S	29,500	22.12	15-Nov	15-Nov	1475.00 5.0
AO,	12/14	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL	S	29,500	22.12	15-Nov	15-Nov	1180.00 4.0
AO,CXL	12/14	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL	S	1,550	22.12	15-Nov	15-Nov	77.50 5.0
AO,	12/14	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL	S	1,550	22.12	15-Nov	15-Nov	62.00 4.0
AO,CXL	12/14	NEEDHAM CAP (NEEDHEDGE)	067	FOSL	S	27,500	22.12	15-Nov	15-Nov	1375.00 5.0
AO,	12/14	NEEDHAM CAP (NEEDHEDGE)	067	FOSL	S	27,500	22.12	15-Nov	15-Nov	1100.00 4.0
AO,	12/14	FRIESS MGMT (FRISLANC)	042	GRP	B	2,500	44.31	n/a	n/a	112.50 4.5
AO,	12/14	FRIESS MGMT (FRISNCCOUN)	042	GRP	B	400	44.31	n/a	n/a	18.00 4.5
AO,	12/14	FRIESS MGMT (FRISLIRR)	042	GRP	B	1,400	44.31	n/a	n/a	63.00 4.5
AO,	12/14	FRIESS MGMT (FRISCTA)	042	GRP	B	1,300	44.31	n/a	n/a	58.50 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/14	FRIESS MGMT (FRISMARSH)	042	GRP	B	5,200	44.31	n/a	n/a	234.00 4.5
AO,	12/14	FRIESS MGMT (FRISWINTER)	042	GRP	B	600	44.31	n/a	n/a	27.00 4.5
AO,	12/14	FRIESS MGMT (FRISFCCS)	042	GRP	B	400	44.31	n/a	n/a	18.00 4.5
AO,	12/14	FRIESS MGMT (FRISGUNP)	042	GRP	B	2,900	44.31	n/a	n/a	130.50 4.5
AO,	12/14	FRIESS MGMT (FRISLONGWO)	042	GRP	B	4,700	44.31	n/a	n/a	211.50 4.5
AO,	12/14	FRIESS MGMT (FRISBRANDY)	042	GRP	B	120,800	44.31	n/a	n/a	5436.00 4.5
AO,	12/14	FRIESS MGMT (FRISCATH)	042	GRP	B	700	44.31	n/a	n/a	31.50 4.5
AO,	12/14	FRIESS MGMT (FRISCORN)	042	GRP	B	2,200	44.31	n/a	n/a	99.00 4.5
AO,	12/14	FRIESS MGMT (FRISLIR 2)	042	GRP	B	1,300	44.31	n/a	n/a	58.50 4.5
AO,	12/14	FRIESS MGMT (FRISIHC)	042	GRP	B	2,400	44.31	n/a	n/a	108.00 4.5
AO,	12/14	FRIESS MGMT (FRISSAMAC)	042	GRP	B	300	44.31	n/a	n/a	13.50 4.5
AO,	12/14	FRIESS MGMT (FRISUDEAC)	042	GRP	B	800	44.31	n/a	n/a	36.00 4.5
AO,	12/14	FRIESS MGMT (FRISFE)	042	GRP	B	1,700	44.31	n/a	n/a	76.50 4.5
AO,	12/14	FRIESS MGMT (FRISAZNUS)	042	GRP	B	1,500	44.31	n/a	n/a	67.50 4.5
AO,	12/14	FRIESS MGMT (FRISNUKEAC)	042	GRP	B	1,000	44.31	n/a	n/a	45.00 4.5
AO,	12/14	FRIESS MGMT (FRISSELF)	042	GRP	B	800	44.31	n/a	n/a	36.00 4.5
AO,	12/14	FRIESS MGMT (FRISTELC)	042	GRP	B	1,200	44.31	n/a	n/a	54.00 4.5
AO,	12/14	FRIESS MGMT (FRISPSD)	042	GRP	B	700	44.31	n/a	n/a	31.50 4.5
AO,	12/14	FRIESS MGMT (FRISHAM)	042	GRP	B	2,500	44.31	n/a	n/a	112.50 4.5
AO,	12/14	FRIESS MGMT (FRISTEAMNY)	042	GRP	B	1,900	44.31	n/a	n/a	85.50 4.5
AO,	12/14	FRIESS MGMT (FRISWY)	042	GRP	B	5,700	44.31	n/a	n/a	256.50 4.5
AO,	12/14	FRIESS MGMT (FRISOCE)	042	GRP	B	300	44.31	n/a	n/a	13.50 4.5
AO,	12/14	FRIESS MGMT (FRISNCF1)	042	GRP	B	500	44.31	n/a	n/a	22.50 4.5
AO,	12/14	FRIESS MGMT (FRISLGH)	042	GRP	B	500	44.31	n/a	n/a	22.50 4.5
AO,	12/14	FRIESS MGMT (FRISNAMB)	042	GRP	B	400	44.31	n/a	n/a	18.00 4.5
AO,	12/14	FRIESS MGMT (FRISJLP)	042	GRP	B	2,400	44.31	n/a	n/a	108.00 4.5
AO,	12/14	FRIESS MGMT (FRISRJIM)	042	GRP	B	100	44.31	n/a	n/a	4.50 4.5
AO,	12/14	FRIESS MGMT (FRISPHS)	042	GRP	B	1,400	44.31	n/a	n/a	63.00 4.5
AO,	12/14	FRIESS MGMT (FRISPHPP)	042	GRP	B	400	44.31	n/a	n/a	18.00 4.5
AO,	12/14	FRIESS MGMT (FRISIHP)	042	GRP	B	1,800	44.31	n/a	n/a	81.00 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/14	FRIESS MGMT (FRISAZN)	042	GRP	B	5,100	44.31	n/a	n/a	229.50 4.5
AO,	12/14	FRIESS MGMT (FRISMEG)	042	GRP	B	600	44.31	n/a	n/a	27.00 4.5
AO,	12/14	FRIESS MGMT (FRISNCF)	042	GRP	B	1,600	44.31	n/a	n/a	72.00 4.5
AO,	12/14	FRIESS MGMT (FRISCFJH)	042	GRP	B	300	44.31	n/a	n/a	13.50 4.5
AO,	12/14	FRIESS MGMT (FRISEPA)	042	GRP	B	6,700	44.31	n/a	n/a	301.50 4.5
AO,	12/14	FRIESS MGMT (FRISFCE)	042	GRP	B	800	44.31	n/a	n/a	36.00 4.5
AO,	12/14	RIVER RUN MGMT (RIVEGSPB)	031	ITCD	B	7,700	2.60	n/a	n/a	231.00 3.0
AO,	12/14	FRONTPOINT (FROP CSFB)	044	OIS	SS	31,800	33.99	n/a	n/a	1590.00 5.0
AO,	12/14	FRONTPOINT (FROP MORGAN)	044	OIS	SS	129,900	33.99	n/a	n/a	6495.00 5.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM800054)	044	STI	B	13,900	84.73	n/a	n/a	278.00 2.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM3050)	044	STI	B	12,000	84.73	n/a	n/a	240.00 2.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM2058)	044	STI	B	11,370	84.73	n/a	n/a	227.40 2.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM26)	044	STI	B	11,200	84.73	n/a	n/a	224.00 2.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM2001)	044	STI	B	19,170	84.73	n/a	n/a	383.40 2.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM2762)	044	STI	B	17,450	84.73	n/a	n/a	349.00 2.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT (GSAM137040)	044	STI	B	15,200	84.73	n/a	n/a	304.00 2.0
TOTAL (AO, CXL, CRT) :										23,173.75

TOTAL (Trade Date):	92,255.16
TOTAL (AO, CXL, CRT):	23,173.75
TOTAL (RUN DATE) / NFS:	115,428.91



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