



Daily Compliance Activity Report

Trade Date: 12/13/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ABC	S	48,741	43.58	n/a	n/a	2,193.35	4.5
ASCEND PARTNERS	033	ABG	B	20,000	15.28	31-Oct	4-Dec	1,000.00	5.0
BENCHMARK	028	ADCT	B	7,500	18.68	n/a	n/a	375.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	20,000	21.00	9-Nov	7-Dec	800.00	4.0
CHARTER OAK	033	AIG	B	72,457	56.64	n/a	n/a	3,622.85	5.0
BUCK CAPITAL MGMT	001	ANN	B	20,000	27.73	6-Aug	7-Dec	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	ARO	SS	25,000	26.26	29-Nov	7-Dec	1,250.00	5.0
CARLYLE BLUE WAVE PR MG	224	ATI	B	4,000	90.43	n/a	n/a	200.00	5.0
AVESTA CAP	229	BBY	B	25,000	50.68	n/a	27-Jul	1,250.00	5.0
CARDINAL CAPITAL	044	BE	S	98,050	2.86	n/a	n/a	2,941.50	3.0
FRIESS MGMT	042	BHE	B	73,500	17.61	n/a	n/a	3,307.50	4.5
CAPITAL GROWTH MGMT.	241	BHP	S	100,000	73.33	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	BJ	B	200,000	35.74	n/a	27-Jul	8,000.00	4.0
CLOVIS CAPITAL	012	BLL	B	50,000	46.17	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	255	BONT	S	5,000	12.30	9-Nov	7-Dec	250.00	5.0
ROYCE TRADING	216	BWS	B	5,000	16.76	n/a	n/a	250.00	5.0
CATTANI	041	CAL	B	500	24.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	SS	20,000	14.36	n/a	7-Dec	800.00	4.0
GALLEON MGMT LP	033	CCE	SS	15,000	26.69	n/a	n/a	750.00	5.0
ASCEND PARTNERS	033	CFSG	B	22,800	14.73	n/a	n/a	1,140.00	5.0
BALYASNY ASSET MGMT	044	CLMS	S	20,000	28.83	n/a	11-Dec	1,000.00	5.0
CATAPULT	040	CMA	B	5,000	41.32	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	COH	SS	80,000	35.01	24-Oct	24-Oct	3,200.00	4.0
STRONG/MARK GRONET	030	COMS	B	100,000	4.33	n/a	n/a	3,000.00	3.0
FRIESS MGMT	042	CPWR	B	461,000	8.99	n/a	n/a	16,135.00	3.5
FRIESS MGMT	042	CRL	B	73,100	64.33	n/a	n/a	3,289.50	4.5
ROYCE TRADING	216	CR	S	5,000	44.50	n/a	n/a	250.00	5.0
MORRISON & FRASIER	040	CSE	S	100,800	17.01	n/a	n/a	4,032.00	4.0
HIGHBRIDGE CAPITAL	038	CVH	SS	3,000	58.43	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SSI INVESTORS	048	DISH	SS	38,700	37.77	15-Nov	19-Nov	1,548.00	4.0
PRINCIPLE CAPITAL	040	DKS	SS	35,500	30.51	n/a	27-Nov	1,065.00	3.0
BUCK CAPITAL MGMT	001	DSW	S	20,000	19.98	26-Oct	5-Dec	800.00	4.0
STRATTON	N21	FARO	B	100	26.95	n/a	n/a	0.00	0.0
FRIESS MGMT	042	FMC	B	48,800	53.36	n/a	n/a	2,196.00	4.5
REINHART & MAHONEY	031	FSP	S	1,700	15.39	n/a	n/a	85.00	5.0
MAGUIRE	090	FXP	S	3,500	76.00	n/a	n/a	0.00	0.0
STARK ASSET MGMT	031	F	B	100,000	6.96	n/a	4-Dec	4,000.00	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	41.60	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	80,000	40.19	5-Nov	11-Dec	3,200.00	4.0
ROYCE TRADING	216	GTI	S	5,000	18.23	n/a	n/a	250.00	5.0
MATTHES CAPITAL MGMT	033	HBI	SS	10,000	29.26	n/a	n/a	400.00	4.0
CHART WELL ADV	243	IBKR	B	9,945	30.00	n/a	n/a	447.54	4.5
GEORGE WEISS	034	IP	SS	6,000	33.31	n/a	5-Nov	240.00	4.0
BUCK CAPITAL MGMT	001	JAH	B	20,000	25.75	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	040	JBLU	B	25,000	6.99	n/a	n/a	750.00	3.0
MKT MAKER	099	JBLU	B	25,000	7.20	n/a	n/a	0.00	0.0
MKT MAKER	099	JBLU	S	25,000	6.99	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	JPM	S	80,000	45.36	19-Oct	13-Dec	3,200.00	4.0
NUMERIC	060	JWN	SS	78,800	36.47	20-Nov	7-Dec	2,364.00	3.0
SYSTEMATIC FINANCIAL MGT	035	KCP	B	11,100	17.92	28-Sep	28-Sep	416.25	3.8
SAGE ASSET MGMT	012	KFT	SS	116,300	33.97	n/a	n/a	5,815.00	5.0
COUGAR TRADING	044	KSS	B	10,000	47.89	9-Nov	7-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	10,000	17.04	n/a	n/a	400.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	10,000	34.92	n/a	n/a	500.00	5.0
CAPITAL GROWTH MGMT.	241	MBT	S	100,000	93.33	n/a	n/a	5,000.00	5.0
TOKIO MARINE ASSET MGMT	045	MCD	B	15,000	61.52	n/a	24-Apr	750.00	5.0
NATIONAL BK OF CAN	031	MER	SS	20,000	56.76	16-Nov	13-Dec	800.00	4.0
TOKIO MARINE ASSET MGMT	045	MMM	B	10,000	86.02	27-Sep	13-Dec	500.00	5.0
ROYCE TRADING	216	MSC	B	5,000	6.88	n/a	n/a	250.00	5.0
NATIONAL BK OF CAN	031	MS	B	20,000	50.22	5-Dec	13-Dec	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	M	B	5,000	28.10	9-Nov	7-Dec	250.00	5.0
TRIVIUM CAP MGMT	251	NDN	B	100,000	7.72	9-Nov	7-Dec	4,000.00	4.0
CARLYLE BLUE WAVE PR MG	224	NSC	S	4,000	51.06	n/a	n/a	200.00	5.0
COUGAR TRADING	044	NWY	B	30,000	7.34	n/a	20-Nov	1,500.00	5.0
WENTWORTH HAUSER VIOLICH	033	OII	S	16,025	71.43	n/a	n/a	801.25	5.0
BUCK CAPITAL MGMT	001	OXM	SS	10,000	23.48	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	RL	S	10,000	65.12	8-Nov	8-Nov	400.00	4.0
COUGAR TRADING	044	RL	B	5,000	65.45	8-Nov	8-Nov	250.00	5.0
ZOLIDIS	011	SDS	B	400	53.88	n/a	n/a	0.00	0.0
MORGAN LEWIS/MLH	046	SEPR	B	10,000	25.08	n/a	n/a	500.00	5.0
CLOVIS CAPITAL	012	SFI	B	25,000	28.17	n/a	n/a	1,250.00	5.0
LIGHTHOUSE FIN/QUAD	046	SIRI	S	7,000	3.45	n/a	n/a	350.00	5.0
MAGUIRE	090	SKF	S	5,000	99.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	20,000	20.02	n/a	n/a	800.00	4.0
WAGONHOUND	048	SKS	S	18,535	19.55	n/a	n/a	741.40	4.0
CARLYLE BLUE WAVE PR MG	224	SPR	B	5,000	33.86	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	SSCC	SS	24,800	10.96	n/a	26-Oct	992.00	4.0
PRINCIPLE CAPITAL	040	SVNT	SS	250,000	17.75	n/a	n/a	7,500.00	3.0
STADIA CAPITAL	035	SVU	SS	25,000	37.74	n/a	n/a	1,000.00	4.0
CARLYLE BLUE WAVE PR MG	224	TIN	S	15,000	32.52	11-Dec	11-Dec	750.00	5.0
IRONBOUND CAPITAL	012	TIN	B	2,100	32.27	11-Dec	11-Dec	84.00	4.0
S.A.C. CAPITAL MGMT.	044	TIN	S	100,000	32.51	11-Dec	11-Dec	5,000.00	5.0
CARLYLE BLUE WAVE PR MG	224	TKR	B	5,000	32.50	n/a	n/a	250.00	5.0
ROYCE TRADING	216	TRN	B	5,000	26.55	n/a	n/a	250.00	5.0
IRIDIAN ASSET MGMT.	036	TXN	B	202,960	33.42	n/a	n/a	10,148.00	5.0
CARLYLE BLUE WAVE PR MG	224	WMI	B	5,000	34.01	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	WSM	SS	10,000	27.20	n/a	n/a	400.00	4.0
TOKIO MARINE ASSET MGMT	045	WYE	B	19,000	48.49	n/a	31-Mar	950.00	5.0
TOTAL (Trade Date) :								144,880.14	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	12/10	MAGUIRE (MAGUIRE)	090	AVNX	S	45,000	1.47	n/a	n/a	0.00 0.0
AO, CRT	12/10	MAGUIRE (MAGUIRE)	090	AVNX	S	45,000	1.47	n/a	n/a	0.00 0.0
AO, CRT	12/10	MAGUIRE (MAGUIRE)	090	DB	B	1,100	134.91	n/a	n/a	0.00 0.0
AO, CXL	12/10	MAGUIRE (MAGUIRE)	090	DB	B	1,100	134.91	n/a	n/a	0.00 0.0
AO, CXL	12/10	POST ROAD CAP (POSTUBS)	045	DTV	B	10,000	24.28	15-Nov	19-Nov	500.00 5.0
AO, CRT	12/10	POST ROAD CAP (POSTUBS)	045	DTV	B	10,000	24.28	15-Nov	19-Nov	400.00 4.0
AO, CXL	12/10	MAGUIRE (MAGUIRE)	090	ILE	S	20,000	2.85	n/a	n/a	0.00 0.0
AO, CRT	12/10	MAGUIRE (MAGUIRE)	090	ILE	S	20,000	2.85	n/a	n/a	0.00 0.0
AO, CXL	12/10	MAGUIRE (MAGUIRE)	090	NXG	S	20,000	3.10	n/a	n/a	0.00 0.0
AO, CRT	12/10	MAGUIRE (MAGUIRE)	090	NXG	S	20,000	3.10	n/a	n/a	0.00 0.0
AO,	12/12	GOLDEN TREE (GTRE2215NY)	036	TWX	S	34,090	17.09	n/a	n/a	1704.50 5.0
AO, CXL	12/12	GOLDEN TREE (GTRE2215BA)	036	TWX	S	34,090	17.09	n/a	n/a	1704.50 5.0
TOTAL (AO, CXL, CRT) :										-100.00

TOTAL (Trade Date) :	144,880.14
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS :	144,780.14
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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