



Daily Compliance Activity Report

Trade Date: 12/05/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIME CAPITAL	048	AA	B	2,700	30.90	n/a	n/a	135.00	5.0
IMPALA ASSET MMT	012	ABX	S	162,500	30.81	n/a	n/a	4,875.00	3.0
KEEFE BRUYETTE WOODS A	031	AB	S	7,500	80.03	25-Oct	28-Nov	375.00	5.0
PATTEN & PATTEN	067	AB	S	100	80.46	25-Oct	28-Nov	5.00	5.0
IMPALA ASSET MMT	012	AEM	B	318,373	44.64	n/a	n/a	9,551.19	3.0
J L F ASSET MGMT	039	AEOS	SS	51,600	47.55	15-Nov	5-Dec	2,064.00	4.0
IMPALA ASSET MMT	012	AG	S	81,000	32.13	n/a	n/a	2,430.00	3.0
IMPALA ASSET MMT	012	ALK	S	61,000	39.86	n/a	n/a	1,830.00	3.0
ANTEUS ASSOC.BAEL	065	ALU	S	24	13.06	n/a	n/a	1.20	5.0
J L F ASSET MGMT	039	ANF	SS	29,400	67.17	3-Nov	1-Dec	1,176.00	4.0
HOOVER INV. MGMT	033	AOB	B	80,000	11.68	n/a	n/a	4,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	30.34	23-Oct	1-Dec	800.00	4.0
BALYASNY ASSET MGMT	044	ASD	S	5,000	45.62	2-Oct	1-Dec	250.00	5.0
PZENA INV ADV	044	AZO	S	7,550	117.36	n/a	n/a	302.00	4.0
PATTEN & PATTEN	067	BBH	S	100	188.21	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIVER RUN MGMT	031	BBI	SS	45,000	5.45	n/a	n/a	1,800.00	4.0
BRIGHTPOINT CAP	067	BIG	SS	7,500	22.61	16-Nov	1-Dec	375.00	5.0
IMPALA ASSET MMT	012	BLL	S	50,000	43.25	n/a	n/a	1,500.00	3.0
RIDGECRST PARTNERS	035	BONT	B	2,500	38.40	23-Oct	1-Dec	125.00	5.0
PZENA INV ADV	044	BP	S	11,175	68.37	n/a	n/a	447.00	4.0
OGORMAN	146	BSC	B	100	156.11	n/a	13-Nov	0.00	0.0
GALLEON MGMT LP	033	BSX	S	50,000	16.35	n/a	22-Apr	2,500.00	5.0
PRIME CAPITAL	048	BSX	B	6,000	16.39	n/a	22-Apr	300.00	5.0
BUCK CAPITAL MGMT	001	BWS	SS	10,000	48.99	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	CAL	S	318,700	41.45	n/a	n/a	9,561.00	3.0
IMPALA ASSET MMT	012	CENX	S	81,000	43.75	n/a	n/a	2,430.00	3.0
SAB CAPITAL	034	CFC	S	265,000	40.63	n/a	n/a	13,250.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	B	30,000	90.96	7-Aug	22-Nov	1,500.00	5.0
IMPALA ASSET MMT	012	CLF	S	71,000	48.19	n/a	n/a	2,130.00	3.0
PATTEN & PATTEN	067	COP	B	200	67.99	n/a	n/a	10.00	5.0
RIVER RUN MGMT	031	CORE	S	2,200	33.52	n/a	n/a	110.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INTEGRITY CAPITAL MGMT	039	CRL	S	10,000	43.01	n/a	n/a	400.00	4.0
MORGAN LEWIS/MLH	046	CTX	B	5,000	56.91	n/a	n/a	250.00	5.0
OGORMAN	146	CYH	S	100	35.89	26-Oct	1-Dec	0.00	0.0
HIGHBRIDGE CAPITAL	038	CZN	B	10,500	14.23	n/a	n/a	525.00	5.0
PZENA INV ADV	044	C	S	38,575	50.32	n/a	13-Nov	1,543.00	4.0
PATTEN & PATTEN	067	DG	S	2,200	15.74	21-Aug	1-Dec	110.00	5.0
MOORE CAPITAL	036	DOW	S	47,300	39.97	n/a	26-Oct	1,892.00	4.0
MERRILL ASSET	032	DRC	S	23,700	24.25	n/a	n/a	1,185.00	5.0
HIGHFIELDS CAP MGMT	039	DTV	S	380,000	23.09	n/a	28-Nov	11,400.00	3.0
PATTEN & PATTEN	067	D	S	50	81.09	n/a	n/a	2.50	5.0
MKT MAKER	099	ENDP	S	88	27.24	18-Oct	4-Dec	0.00	0.0
SANDELL ADV	040	EQT	B	100,000	43.80	n/a	n/a	4,000.00	4.0
MAGNETAR FINANCIAL	247	EVC	S	26,000	7.60	n/a	n/a	1,040.00	4.0
PATTEN & PATTEN	067	EWJ	B	4,100	13.99	n/a	n/a	205.00	5.0
BALYASNY ASSET MGMT	044	FD	S	15,000	41.17	9-Nov	5-Dec	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	FD	B	23,300	41.32	9-Nov	5-Dec	1,165.00	5.0
HIGHBRIDGE CAPITAL	038	FWLT	B	25,000	55.48	n/a	n/a	1,250.00	5.0
MAGNETAR FINANCIAL	247	F	SS	200,000	7.61	n/a	n/a	6,000.00	3.0
PATTEN & PATTEN	067	GE	S	500	35.15	n/a	n/a	25.00	5.0
IMPALA ASSET MMT	012	GLW	B	79,400	21.00	n/a	25-Oct	2,382.00	3.0
IMPALA ASSET MMT	012	GMT	S	59,000	46.02	n/a	n/a	1,770.00	3.0
FRIESS MGMT	042	GRP	B	97,800	44.43	n/a	n/a	4,401.00	4.5
FORD FDN.	032	GS	S	20,000	199.10	9-Nov	13-Nov	1,000.00	5.0
IMPALA ASSET MMT	012	GWV	S	33,300	72.09	16-Nov	16-Nov	999.00	3.0
NCM CAPITAL MGMT	035	HEW	B	48,225	25.05	n/a	n/a	2,411.25	5.0
PRIME CAPITAL	048	HPQ	S	2,500	39.96	n/a	n/a	125.00	5.0
PATTEN & PATTEN	067	HST	S	850	25.10	n/a	n/a	42.50	5.0
PRIME CAPITAL	048	INTC	B	3,600	21.14	n/a	n/a	180.00	5.0
RIVER RUN MGMT	031	ITCD	B	2,400	2.48	n/a	n/a	72.00	3.0
IMPALA ASSET MMT	012	JBHT	B	39,300	21.33	n/a	n/a	1,179.00	3.0
IMPALA ASSET MMT	012	JBHT	S	40,700	21.25	n/a	n/a	1,221.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIME CAPITAL	048	JBLU	B	800	13.61	n/a	n/a	40.00	5.0
SAILFISH	037	JNS	SS	15,000	20.65	1-Dec	1-Dec	600.00	4.0
MAGNETAR FINANCIAL	247	KKD	S	20,000	9.67	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	012	KMX	B	47,300	48.14	n/a	10-Jan	1,419.00	3.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	71.09	10-Nov	1-Dec	800.00	4.0
COMMERCE BANK	046	KSS	B	7,400	71.55	10-Nov	1-Dec	444.00	6.0
JEFFRIES MIKE	067	KSS	S	40,000	70.62	10-Nov	1-Dec	2,000.00	5.0
MAZAMA CAPITAL MGMT.	035	LAZ	S	20,975	48.17	n/a	n/a	839.00	4.0
BRANDWINE	028	LIZ	B	13,600	43.44	n/a	27-Oct	680.00	5.0
PRIME CAPITAL	048	LLY	B	13,000	54.65	n/a	n/a	650.00	5.0
MFP INVESTORS	032	LMS	B	75,000	24.79	n/a	n/a	3,750.00	5.0
PRIME CAPITAL	048	LUV	B	1,000	15.62	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	MDT	S	600	52.98	n/a	22-Apr	30.00	5.0
PRIME CAPITAL	048	MDT	B	2,000	52.99	n/a	22-Apr	100.00	5.0
HIGHLINE ADV	044	MDY	B	67,100	149.81	n/a	n/a	3,355.00	5.0
UBS OCONNOR	031	MEL	S	50,000	42.97	5-Dec	5-Dec	2,500.00	5.0
PRIME CAPITAL	048	MON	S	5,002	48.51	n/a	11-Oct	250.10	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	NEM	B	1,800	46.93	n/a	n/a	90.00	5.0
MKT MAKER	099	NILE	S	500	35.09	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	NOK	S	1,100	20.25	n/a	n/a	55.00	5.0
IMPALA ASSET MMT	012	NOV	B	70,000	67.25	n/a	n/a	2,100.00	3.0
MS PRINCIPAL STRATEGIES	040	NUE	SS	37,800	64.06	n/a	n/a	1,890.00	5.0
PATTEN & PATTEN	067	NVS	B	400	57.91	n/a	n/a	20.00	5.0
FRIESS MGMT	042	ORCL	B	464,300	18.86	n/a	n/a	20,893.50	4.5
IMPALA ASSET MMT	012	OXY	S	50,000	50.27	n/a	n/a	1,500.00	3.0
IMPALA ASSET MMT	012	PCAR	B	155,000	67.71	n/a	n/a	4,650.00	3.0
PATTEN & PATTEN	067	PCL	S	600	37.17	24-Oct	24-Oct	30.00	5.0
SAILFISH	037	PDCO	SS	15,000	37.81	n/a	n/a	600.00	4.0
MORGAN LEWIS/MLH	046	PHM	B	5,000	34.22	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	PHO	B	1,050	18.56	n/a	n/a	52.50	5.0
TRELLUS PARTNERS LP	028	PLCE	SS	30,000	66.44	n/a	30-Nov	1,500.00	5.0
PRIME CAPITAL	048	PX	B	700	62.49	n/a	25-Oct	35.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	Q	B	21,000	7.78	n/a	n/a	1,050.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	15,000	80.20	9-Nov	9-Nov	600.00	4.0
STADIA CAPITAL	035	RL	S	49,000	80.76	9-Nov	9-Nov	1,960.00	4.0
IMPALA ASSET MMT	012	ROK	B	255,000	62.18	n/a	n/a	7,650.00	3.0
MORGAN LEWIS/MLH	046	SHLD	B	20,000	173.98	n/a	n/a	1,000.00	5.0
BRIGHTPOINT CAP	067	SHW	SS	3,500	62.48	n/a	19-Oct	175.00	5.0
PATTEN & PATTEN	067	SLB	B	50	67.62	n/a	n/a	2.50	5.0
PRIME CAPITAL	048	SLB	B	2,000	67.50	n/a	n/a	100.00	5.0
AMBER CAPITAL	046	SMF	B	14,600	19.00	n/a	n/a	584.00	4.0
MAGUIRE	039	SPC	B	800	9.25	n/a	15-Nov	0.00	0.0
IMPALA ASSET MMT	012	SPWR	B	154,989	37.99	n/a	n/a	4,649.67	3.0
SANDELL ADV	040	SRE	SS	25,000	55.65	n/a	n/a	1,250.00	5.0
SPEARS GRISANTI & BROWN	048	SSCC	B	18,000	11.35	26-Oct	27-Oct	900.00	5.0
PRIME CAPITAL	048	SYMC	B	500	20.48	n/a	3-Apr	25.00	5.0
PRIME CAPITAL	048	S	B	4,200	19.46	n/a	n/a	210.00	5.0
BRANDWINE	028	TGT	B	13,100	58.28	n/a	1-Dec	655.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRONBOUND CAPITAL	012	TIN	B	80,000	40.70	n/a	27-Oct	4,000.00	5.0
RAMIUS CAP	040	TIN	B	40,000	41.33	n/a	27-Oct	2,000.00	5.0
MERRILL ASSET	032	TXT	B	122,979	98.18	n/a	n/a	6,148.95	5.0
PATTEN & PATTEN	067	T	S	200	34.50	21-Sep	1-Dec	10.00	5.0
TILDALE MGMT.	048	T	S	10,000	34.58	21-Sep	1-Dec	500.00	5.0
MORGAN LEWIS/MLH	046	UARM	SS	5,000	48.97	n/a	n/a	250.00	5.0
IMPALA ASSET MMT	012	UAUA	B	47,637	41.90	n/a	n/a	1,429.11	3.0
PATTEN & PATTEN	067	UNM	S	50	20.45	n/a	n/a	2.50	5.0
COMMERCE BANK	046	UTX	B	13,200	64.91	n/a	n/a	792.00	6.0
TILDALE MGMT.	048	VZ	B	10,000	34.51	20-Nov	1-Dec	500.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	20,000	25.96	2-Nov	28-Nov	1,000.00	5.0
PATTEN & PATTEN	067	WFR	B	500	41.69	n/a	n/a	25.00	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	6,000	13.89	n/a	n/a	300.00	5.0
• Ted Wheeler		WLTV	S	75	82.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WWY	S	75	52.87	n/a	n/a	3.75	5.0
PATTEN & PATTEN	067	XBI	B	525	50.98	n/a	n/a	26.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRIBECA	038	YUM	SS	25,000	63.03	n/a	12-Oct	1,000.00	4.0
TOTAL (Trade Date):								202,534.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/30	MKT MAKER (MKT MAKER)	099	AMRN	S	76	2.40	n/a	n/a	0.00	0.0
AO,CRT	12/04	MKT MAKER (MKT MAKER)	099	BONT	B	50	38.54	23-Oct	1-Dec	0.00	0.0
AO,CRT	12/04	MKT MAKER (MKT MAKER)	099	CHIC	B	300	31.45	n/a	n/a	0.00	0.0
AO,	12/04	SAC TRADING HOWARD (SACHGS)	038	CHIC	S	32,500	31.40	n/a	n/a	1625.00	5.0
AO,	12/04	JP MORGAN VENTURES (JPMVGS)	046	CLE	B	14,900	33.32	3-Nov	1-Dec	745.00	5.0
AO,CXL	12/04	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	217	CVTX	SS	63,000	12.98	n/a	n/a	3150.00	5.0
AO,	12/04	DAVIDSON KEMPNER ADVISOR (DAVIGS)	217	CVTX	SS	63,000	12.98	n/a	n/a	3150.00	5.0
AO,	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	EAGL	B	58,497	31.74	n/a	n/a	1754.91	3.0
AO,	12/04	PATTEN & PATTEN (PATTSCHWAB)	067	EWJ	B	700	14.01	n/a	n/a	35.00	5.0
AO,CXL	12/01	SAILFISH (SAILG2)	037	FD	B	25,000	41.00	9-Nov	5-Dec	1250.00	5.0
AO,	12/01	SAILFISH (SAILG2)	037	FD	B	25,000	41.00	9-Nov	5-Dec	1000.00	4.0
AO,CXL	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	GMT	S	40,600	49.79	n/a	n/a	1218.00	3.0
AO,	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	GMT	S	40,600	45.79	n/a	n/a	1218.00	3.0
AO,CXL	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	GS	SS	50,000	79.82	9-Nov	13-Nov	1500.00	3.0
AO,	11/21	OTC ERROR (OTC ERROR)	099	ITCD	S	5,000	2.35	n/a	n/a	0.00	0.0
AO,	11/30	ANTEUS ASSOC.BAEL (ANTAFRBNTR)	065	KO	S	25	46.45	n/a	n/a	1.25	5.0
AO,	11/30	ANTEUS ASSOC.BAEL (ANTASARBTR)	065	KO	S	25	46.45	n/a	n/a	1.25	5.0
AO,	11/30	ANTEUS ASSOC.BAEL (ANTAJBEITR)	065	KO	S	25	46.45	n/a	n/a	1.25	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/30	ANTEUS ASSOC.BAEL (ANTAFWBETR)	065	KO	S	25	46.45	n/a	n/a	1.25 5.0
AO,CXL	12/04	BELAY CAPITAL (BELABANC O)	039	KSS	B	9,800	70.67	10-Nov	1-Dec	490.00 5.0
AO,	12/04	BELAY CAPITAL (BELABANC O)	039	KSS	B	9,800	70.67	10-Nov	1-Dec	392.00 4.0
AO,CXL	12/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	OXM	SS	30,000	46.68	n/a	n/a	1200.00 4.0
AO,CXL	12/04	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	60,000	7.81	n/a	n/a	3000.00 5.0
AO,	12/04	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	60,000	7.81	n/a	n/a	1800.00 3.0
AO,CXL	12/04	AMBER CAPITAL (AMBRGS)	046	SMF	B	29,700	18.69	n/a	n/a	1188.00 4.0
AO,	12/04	AMBER CAPITAL (AMBRLEH)	046	SMF	B	29,700	18.69	n/a	n/a	1188.00 4.0
AO,	12/04	IMPALA ASSET MMT (IMPAGOLDMA)	012	SU	SS	50,000	79.82	n/a	n/a	1500.00 3.0
AO,	12/04	FRIESS MGMT (FRISRJIM)	042	TJX	S	100	27.72	6-Oct	1-Dec	4.50 4.5
AO,CXL	12/04	FRIESS MGMT (FRISIHP)	042	TJX	S	100	27.72	6-Oct	1-Dec	4.50 4.5

TOTAL (AO, CXL, CRT) :	1,416.91
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TOTAL (Trade Date):	202,534.47
TOTAL (AO, CXL, CRT):	1,416.91

TOTAL (RUN DATE) / NFS:	203,951.38
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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