



Daily Compliance Activity Report

Trade Date: 12/21/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGHTPOINT CAP	067	ABD	S	6,000	27.06	n/a	n/a	300.00	5.0
KENNEDY CAPITAL	046	AMB	S	5,232	59.11	n/a	n/a	209.28	4.0
TRUSCO CAPITAL MGMT	040	AOS	B	38,800	37.12	21-Dec	21-Dec	1,940.00	5.0
Glenn Redemann		ATHR	B	12	0.10	n/a	n/a	0.00	0.0
Glenn Redemann		ATHR	B	12	0.20	n/a	n/a	0.00	0.0
Glenn Redemann		ATHR	S	12	0.50	n/a	n/a	0.00	0.0
Glenn Redemann		ATHR	S	12	0.68	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AZO	B	60,000	117.11	n/a	n/a	2,400.00	4.0
SARAS CAPITAL	038	BIG	B	25,000	23.67	16-Nov	1-Dec	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	BIIB	S	22,800	49.66	n/a	n/a	1,140.00	5.0
WHITE PINE CAPITAL	030	BIOS	S	1,000	3.53	n/a	n/a	20.00	2.0
TRIBECA	038	BRO	B	10,000	28.27	n/a	n/a	500.00	5.0
DISIPLINED GROWTH INV.	030	CAB	S	1,500	24.23	n/a	n/a	75.00	5.0
ROYCE TRADING	216	CBK	B	50,000	19.30	11-Dec	20-Dec	2,500.00	5.0
BUCK	015	CBM	B	2,000	22.99	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CBSS	SS	21,000	59.67	n/a	n/a	1,050.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROARING BLUE LION MGMT	012	CC	B	32,000	19.55	20-Dec	20-Dec	1,600.00	5.0
WEISS PECK	040	CHS	SS	9,400	21.57	29-Nov	8-Dec	470.00	5.0
BUCK CAPITAL MGMT	001	COH	B	30,000	43.91	7-Dec	7-Dec	1,200.00	4.0
FRIESS MGMT	042	COH	S	465,900	43.92	7-Dec	7-Dec	20,965.50	4.5
IRIDIAN ASSET MGMT.	036	C	S	14,800	54.73	n/a	15-Dec	740.00	5.0
FRIESS MGMT	042	DIS	S	374,000	34.60	n/a	n/a	16,830.00	4.5
BUCK CAPITAL MGMT	001	DKS	S	110,000	49.31	n/a	n/a	4,400.00	4.0
WESTLANE CAPITAL	044	EK	SS	2,700	25.82	n/a	n/a	135.00	5.0
PROSPECTOR PARTNERS LLC	036	ERIE	SS	23,300	57.49	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	EV	S	50,000	32.69	2-Nov	20-Dec	2,500.00	5.0
DISIPLINED GROWTH INV.	030	EW	S	2,500	47.74	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	50,000	29.44	3-Nov	21-Dec	2,000.00	4.0
FARBER/WEISS PECK	012	FDO	C	15,000	29.23	3-Nov	21-Dec	750.00	5.0
DISIPLINED GROWTH INV.	030	FDS	S	500	56.61	n/a	n/a	25.00	5.0
CAPITAL GROWTH MGMT.	241	FDX	S	84,000	108.74	n/a	n/a	4,200.00	5.0
COLONIAL FUND LLC	036	FD	SS	50,000	38.01	9-Nov	21-Dec	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARBER/WEISS PECK	012	FD	S	48,000	38.32	9-Nov	21-Dec	2,400.00	5.0
FIRST INV MGMT CORP	036	FIC	B	3,750	41.64	n/a	n/a	187.50	5.0
ROYCE TRADING	216	FII	B	12,400	33.94	n/a	20-Dec	620.00	5.0
TROOB CAPITAL	067	F	B	150,000	7.37	n/a	n/a	4,500.00	3.0
HOOVER INV. MGMT	033	GDP	S	64,500	37.41	n/a	n/a	3,225.00	5.0
IRIDIAN ASSET MGMT.	036	GD	S	26,100	74.72	n/a	n/a	1,305.00	5.0
DISCIPLINED GROWTH INV.	030	GENZ	S	2,000	62.97	n/a	n/a	100.00	5.0
ROYCE TRADING	216	GGG	B	11,700	40.10	n/a	n/a	585.00	5.0
WHITE PINE CAPITAL	030	GGG	B	1,075	40.09	n/a	n/a	53.75	5.0
DC CAPITAL	044	GLW	B	237,300	18.99	n/a	20-Dec	11,865.00	5.0
LISTED ERR	099	GLW	B	5	18.99	n/a	20-Dec	0.00	0.0
FRIESS MGMT	042	GRP	B	195,200	41.71	n/a	n/a	8,784.00	4.5
SAILFISH	037	HAL	S	10,000	31.96	n/a	n/a	500.00	5.0
DISCIPLINED GROWTH INV.	030	HLX	S	1,000	33.00	n/a	n/a	50.00	5.0
WHITE PINE CAPITAL	030	HMX	B	775	7.30	n/a	n/a	38.75	5.0
Ö Glenn Redemann		HW	B	3	0.74	n/a	n/a	0.00	0.0
Ö Glenn Redemann		HW	B	3	0.86	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	ICON	S	175,000	18.66	n/a	n/a	8,750.00	5.0
WHITE PINE CAPITAL	030	IFF	B	200	49.25	10-Nov	22-Nov	10.00	5.0
DISIPLINED GROWTH INV.	030	IMN	S	4,000	46.64	n/a	n/a	200.00	5.0
DISIPLINED GROWTH INV.	030	INCY	S	1,000	6.01	n/a	n/a	50.00	5.0
DISIPLINED GROWTH INV.	030	INTU	S	4,000	30.66	n/a	n/a	200.00	5.0
ROYCE TRADING	216	IO	S	50,000	13.52	n/a	n/a	2,500.00	5.0
WHITE PINE CAPITAL	030	IO	B	800	13.50	n/a	n/a	40.00	5.0
FIRST INV MGMT CORP	036	ISIL	B	20,000	24.28	n/a	n/a	1,000.00	5.0
RIVER RUN MGMT	031	ITCD	B	18,500	2.56	n/a	n/a	555.00	3.0
BUCK CAPITAL MGMT	001	JAS	B	20,000	24.57	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	30,000	33.48	n/a	26-Oct	1,200.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	30,000	48.77	11-Dec	11-Dec	1,200.00	4.0
PROSPECTOR PARTNERS LLC	036	KIE	SS	17,100	56.87	n/a	n/a	855.00	5.0
MAGNETAR FINANCIAL	247	KKD	S	19,500	10.45	n/a	n/a	780.00	4.0
BARR	096	KOG	S	2,300	4.25	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	KRE	SS	23,800	49.78	n/a	n/a	1,190.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	KSS	SS	75,600	70.00	10-Nov	1-Dec	3,024.00	4.0
PILOT ADV	038	KSS	SS	4,600	69.98	10-Nov	1-Dec	184.00	4.0
PRINCIPLE CAPITAL	040	KSS	B	72,600	69.50	10-Nov	1-Dec	2,904.00	4.0
ADAGE CAPITAL MGMT	030	K	B	150,600	50.44	n/a	n/a	7,530.00	5.0
Õ Glenn Redemann		LEND	B	2	0.95	n/a	n/a	0.00	0.0
Õ Glenn Redemann		LEND	B	2	1.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	SS	30,000	43.73	n/a	27-Oct	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	MMC	S	76,600	30.07	n/a	n/a	3,830.00	5.0
WHITE PINE CAPITAL	030	MMR	S	1,100	15.10	n/a	n/a	55.00	5.0
XYLEM GLOBAL	024	MWV	B	50,000	29.90	n/a	14-Dec	2,500.00	5.0
CROWLEY	061	MZT	B	4,500	0.71	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NFI	B	3	0.40	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NFI	B	3	1.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NLS	B	35,000	14.33	n/a	n/a	1,400.00	4.0
BINDER	007	NOK	S	150	20.26	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	NTRI	S	14,972	65.40	n/a	n/a	598.88	4.0
THE JAY GOLDMAN	034	NWY	B	30,000	13.42	1-Dec	1-Dec	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
XYLEM GLOBAL	024	OI	B	8,700	18.63	n/a	n/a	435.00	5.0
FRIESS MGMT	042	ORCL	B	974,400	17.16	n/a	n/a	43,848.00	4.5
DISIPLINED GROWTH INV.	030	OTEX	S	1,500	20.23	n/a	n/a	75.00	5.0
Õ Glenn Redemann		PETD	B	1	1.07	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PETD	B	1	1.86	n/a	n/a	0.00	0.0
VANDER MOOLEN	040	PG	B	5,000	64.41	15-Dec	15-Dec	250.00	5.0
PROSPECTOR PARTNERS LLC	036	PMI	SS	26,700	46.98	n/a	n/a	1,335.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	37,600	51.98	22-Nov	22-Nov	1,504.00	4.0
CROWLEY	061	PXLW	S	4,000	2.38	n/a	n/a	0.00	0.0
TROOB CAPITAL	067	RAD	B	3,600	5.45	n/a	n/a	108.00	3.0
TROOB CAPITAL	067	RAD	S	100,000	5.51	n/a	n/a	3,000.00	3.0
HIGHBRIDGE CAPITAL	038	RGC	SS	331,300	20.76	n/a	n/a	16,565.00	5.0
CAPITAL GROWTH MGMT.	241	RIG	B	25,000	80.59	n/a	n/a	1,250.00	5.0
LUCHANSKY2	036	RIMM	B	100	134.45	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	RJF	B	20,000	30.31	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	RL	B	72,800	79.66	7-Dec	7-Dec	2,912.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
XYLEM GLOBAL	024	RYN	B	20,000	40.73	n/a	14-Dec	1,000.00	5.0
MAGUIRE	039	SDS	B	100	57.88	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	SF	SS	6,100	39.50	n/a	n/a	305.00	5.0
ROSENBERG	034	SPC	S	1,000	10.51	n/a	15-Nov	0.00	0.0
WHITE PINE CAPITAL	030	SYNO	B	400	10.06	n/a	n/a	20.00	5.0
WHITE PINE CAPITAL	030	TCBI	B	225	19.79	n/a	n/a	11.25	5.0
BARR	096	TGIC	C	200	54.42	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	THG	SS	16,000	49.11	n/a	n/a	800.00	5.0
J L F ASSET MGMT	039	TJX	SS	47,500	28.75	6-Oct	1-Dec	1,900.00	4.0
IRIDIAN ASSET MGMT.	036	TK	B	5,500	43.50	n/a	n/a	275.00	5.0
RIDGECRST PARTNERS	035	TLB	SS	15,000	23.98	18-Oct	16-Nov	750.00	5.0
WHITE PINE CAPITAL	030	TSAI	B	125	33.02	n/a	n/a	6.25	5.0
J L F ASSET MGMT	039	TSCO	SS	67,400	44.90	n/a	n/a	2,696.00	4.0
GALLEON MGMT LP	033	TUP	C	30,000	21.56	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	41.52	5-Sep	8-Dec	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	TWB	B	22,200	41.67	5-Sep	8-Dec	888.00	4.0
MORGAN LEWIS/MLH	046	TWX	S	10,000	21.98	n/a	n/a	500.00	5.0
TROOB CAPITAL	067	URI	B	50,000	25.74	n/a	n/a	1,500.00	3.0
WHITE PINE CAPITAL	030	USPI	B	900	27.77	n/a	n/a	45.00	5.0
J L F ASSET MGMT	039	WCC	SS	61,600	60.21	n/a	n/a	2,464.00	4.0
BALYASNY ASSET MGMT	044	WDR	S	17,500	27.02	15-Dec	20-Dec	875.00	5.0
FIRST INV MGMT CORP	036	WFR	B	5,000	40.81	n/a	n/a	250.00	5.0
BINDER	007	WLIV	B	3,500	1.30	n/a	n/a	0.00	0.0
CROWLEY	061	WLIV	S	2,000	1.30	n/a	n/a	0.00	0.0
MARATHON CAPITAL MGMT.	032	WMT	S	5,100	45.72	5-Oct	1-Dec	204.00	4.0
WHITE PINE CAPITAL	030	WYN	S	240	32.57	n/a	n/a	12.00	5.0
LEDDY	035	XOHO	B	3,000	4.05	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :							236,878.16		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/20	BRIGHTPOINT CAP (BRIGMAIN)	067	AAP	B	5,000	35.83	n/a	n/a	250.00 5.0
AO,	12/20	BRIGHTPOINT CAP (BRIGMAIN)	067	AAP	B	5,000	35.81	n/a	n/a	250.00 5.0
AO,CXL	12/20	SEAROCK CAPITAL MANAGE (SEARMS)	012	AEOS	B	75,900	31.20	15-Nov	5-Dec	3036.00 4.0
AO,	12/20	SEAROCK CAPITAL MANAGE (SEARMS)	012	AEOS	B	75,900	31.20	15-Nov	5-Dec	2277.00 3.0
AO,	12/20	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	NNI	S	100,000	28.99	n/a	n/a	5000.00 5.0
AO,	12/20	BAIRD INVESTMENT (BAIRJR068M)	031	SWN	B	40	37.61	7-Aug	20-Dec	2.00 5.0
TOTAL (AO, CXL, CRT) :										4,243.00

TOTAL (Trade Date) :	236,878.16
TOTAL (AO, CXL, CRT) :	4,243.00

TOTAL (RUN DATE) / NFS :	241,121.16
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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