



Daily Compliance Activity Report

Trade Date: 12/11/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	AAPL	B	350	88.85	n/a	n/a	17.50	5.0
PATTEN & PATTEN	067	AA	S	800	31.05	n/a	n/a	40.00	5.0
PRINCIPLE CAPITAL	040	AEOS	B	29,400	47.70	15-Nov	5-Dec	1,176.00	4.0
MKT MAKER	099	AMRN	B	101	2.24	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ANN	B	10,000	33.95	n/a	1-Dec	500.00	5.0
DELAWARE MANAGEMENT	243	ARRS	S	49,000	12.10	n/a	n/a	1,960.00	4.0
GAULT	063	AVRX	S	2,000	4.14	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BBH	S	200	188.24	n/a	n/a	10.00	5.0
COOKBIELER	033	BIG	S	237,100	23.43	16-Nov	1-Dec	9,484.00	4.0
SAILFISH	037	BNI	SS	15,000	75.82	n/a	n/a	750.00	5.0
SAILFISH	037	CAT	SS	10,000	63.13	n/a	n/a	500.00	5.0
STERLING JOHNSTON	035	CBK	S	46,150	18.79	11-Dec	11-Dec	2,307.50	5.0
PATTEN & PATTEN	067	CBT	S	1,500	42.28	2-Nov	2-Nov	75.00	5.0
CRAMER ROSENTHAL/SCOTT	012	CLE	B	41,900	34.31	3-Nov	1-Dec	2,095.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	90,000	42.90	7-Dec	7-Dec	3,600.00	4.0
MERRILL ASSET	032	DEI	S	30,100	26.13	n/a	n/a	1,505.00	5.0
GRANAHAN INV	039	DLTR	S	75,000	30.38	21-Nov	1-Dec	3,000.00	4.0
PATTEN & PATTEN	067	DOW	S	350	40.14	n/a	26-Oct	17.50	5.0
MERRILL ASSET	032	DRC	S	18,200	25.69	n/a	n/a	910.00	5.0
LEEDS	002	EDGR	B	10,000	3.18	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ERTS	S	10	2.15	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ERTS	S	7	3.60	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	247	EVC	S	26,000	7.83	n/a	n/a	1,040.00	4.0
PATTEN & PATTEN	067	EWJ	B	5,700	14.09	n/a	n/a	285.00	5.0
PRINCIPLE CAPITAL	040	FD	S	45,000	39.55	9-Nov	5-Dec	1,800.00	4.0
LOOMIS SALES/BOSTON	036	GIL	B	5,800	50.00	n/a	n/a	290.00	5.0
PATTEN & PATTEN	067	HD	S	50	38.62	n/a	15-Nov	2.50	5.0
TRIBECA	038	HET	B	3,900	79.79	3-Oct	26-Oct	156.00	4.0
CAXTON PART	040	HIG	S	60,000	88.12	n/a	n/a	2,400.00	4.0
BELMONT GLOBAL ADV	248	HLYS	B	7,000	30.54	n/a	n/a	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	HLYS	B	400	30.42	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	IAR	S	40	27.18	n/a	n/a	2.00	5.0
OTC ERROR	099	ITCD	B	5,000	2.55	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	JNJ	S	500	65.64	n/a	22-Apr	25.00	5.0
SUFFOLK CAPITAL MGMT	040	KO	B	175,000	48.72	n/a	n/a	7,000.00	4.0
TRIBECA	038	KO	B	9,500	48.65	n/a	n/a	380.00	4.0
TRIBECA	038	KR	B	8,800	23.70	n/a	n/a	352.00	4.0
CAPITAL GROWTH MGMT.	241	LCC	S	60,000	60.63	n/a	n/a	3,000.00	5.0
KORMAN	003	LNCR	B	3,000	39.05	2-Nov	8-Dec	0.00	0.0
TRIBECA	038	MAR	SS	7,900	46.11	n/a	n/a	316.00	4.0
PATTEN & PATTEN	067	MDT	S	100	53.89	n/a	22-Apr	5.00	5.0
FORD FDN.	032	MRK	S	80,000	44.07	n/a	n/a	4,000.00	5.0
FRONTPOINT	044	NBL	SS	167,000	52.15	n/a	n/a	8,350.00	5.0
PATTEN & PATTEN	067	NEM	B	1,700	47.56	n/a	n/a	85.00	5.0
TRIBECA	038	NKE	SS	3,100	97.27	n/a	n/a	124.00	4.0
PATTEN & PATTEN	067	NOK	S	200	20.61	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	NRG	S	50,000	57.95	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	NSC	S	50	50.98	n/a	n/a	2.50	5.0
KEEFE BRUYETTE WOODS A	031	NTRS	B	7,500	56.94	n/a	13-Nov	375.00	5.0
CAXTON PART	040	NWS	S	112,260	22.28	n/a	n/a	4,490.40	4.0
HIGHBRIDGE CAPITAL	038	OMC	SS	9,000	103.73	n/a	n/a	450.00	5.0
TPG-AXON	040	ORCL	B	200,000	18.16	n/a	n/a	10,000.00	5.0
PATTEN & PATTEN	067	PBE	B	2,500	18.70	n/a	n/a	125.00	5.0
PATTEN & PATTEN	067	PCL	S	200	37.91	24-Oct	24-Oct	10.00	5.0
M. KRAUS & CO.	037	PFE	B	6,800	25.04	n/a	31-Mar	408.00	6.0
CAPITAL GROWTH MGMT.	241	PG	S	20,000	63.86	1-Nov	5-Dec	1,000.00	5.0
LOOMIS SALES/BOSTON	036	PG	B	84,800	63.82	1-Nov	5-Dec	4,240.00	5.0
PATTEN & PATTEN	067	PHO	B	1,100	18.57	n/a	n/a	55.00	5.0
EFSTATHIOU	044	PPCO	B	200	16.75	n/a	n/a	0.00	0.0
EMINENCE CAPITAL	038	PSS	B	50,000	31.77	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	25,000	50.00	22-Nov	22-Nov	1,000.00	4.0
KAICHER	064	REV	B	1,000	1.44	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
A.I.M. ADVISORS INC	031	RL	S	92,025	79.93	7-Dec	7-Dec	3,681.00	4.0
BENNETT LAWRENCE	044	RL	S	41,950	79.65	7-Dec	7-Dec	2,097.50	5.0
LOOMIS SALES/BOSTON	036	RL	B	85,850	79.94	7-Dec	7-Dec	4,292.50	5.0
EMP ERROR	099	RL	B	5,500	79.60	7-Dec	7-Dec	0.00	0.0
MAGUIRE	090	SFUN	B	5,000	18.77	n/a	n/a	0.00	0.0
BARR	096	SFUN	B	500	18.65	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SLB	B	650	66.47	n/a	n/a	32.50	5.0
ADAGE CAPITAL MGMT	030	SMG	SS	40,000	50.89	27-Oct	6-Dec	1,600.00	4.0
IRONBOUND CAPITAL	012	TIN	B	16,200	43.00	n/a	27-Oct	810.00	5.0
SIGMA CAPITAL ASSOCIATES	034	TIN	S	50,000	43.14	n/a	27-Oct	2,500.00	5.0
GRUBER MACBAINE	033	TROW	B	20,000	44.90	16-Oct	28-Nov	800.00	4.0
VANDER MOOLEN	040	TWX	B	5,000	21.03	n/a	n/a	250.00	5.0
MCCARTAN	028	UARM	C	100	52.06	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	WWY	S	136	52.48	n/a	n/a	6.80	5.0
PATTEN & PATTEN	067	WYE	B	1,050	50.46	n/a	31-Mar	52.50	5.0
ZIFF BROS	038	XMSR	B	150,000	15.44	n/a	n/a	7,500.00	5.0
AJB CAPITAL	067	XOHO	S	37,000	4.20	n/a	n/a	1,480.00	4.0
DELTEC ASSET MGMT.	040	ZQK	S	8,300	15.18	8-Sep	7-Dec	415.00	5.0

TOTAL (Trade Date):

110,093.70

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/08	COOKBIELER (COOK20023)	033	BIG	S	900	23.48	16-Nov	1-Dec	36.00 4.0
AO,	12/08	COOKBIELER (COOK14022)	033	BIG	S	200	23.48	16-Nov	1-Dec	8.00 4.0
AO,	12/08	COOKBIELER (COOK30062)	033	BIG	S	6,500	23.48	16-Nov	1-Dec	260.00 4.0
AO,	12/08	COOKBIELER (COOK20958)	033	BIG	S	8,100	23.48	16-Nov	1-Dec	324.00 4.0
AO,	12/08	COOKBIELER (COOK20043)	033	BIG	S	13,500	23.48	16-Nov	1-Dec	540.00 4.0
AO,	12/08	COOKBIELER (COOK20014)	033	BIG	S	300	23.48	16-Nov	1-Dec	12.00 4.0
AO,	12/08	COOKBIELER (COOK20256)	033	BIG	S	12,100	23.48	16-Nov	1-Dec	484.00 4.0
AO,	12/08	COOKBIELER (COOK40002)	033	BIG	S	2,100	23.48	16-Nov	1-Dec	84.00 4.0
AO,	12/08	COOKBIELER (COOK40001)	033	BIG	S	4,200	23.48	16-Nov	1-Dec	168.00 4.0
AO,	12/08	COOKBIELER (COOK30881)	033	BIG	S	2,600	23.48	16-Nov	1-Dec	104.00 4.0
AO,	12/08	COOKBIELER (COOK30449)	033	BIG	S	3,600	23.48	16-Nov	1-Dec	144.00 4.0
AO,	12/08	COOKBIELER (COOK30010)	033	BIG	S	3,500	23.48	16-Nov	1-Dec	140.00 4.0
AO,	12/08	COOKBIELER (COOK26001)	033	BIG	S	4,000	23.48	16-Nov	1-Dec	200.00 5.0
AO,	12/08	COOKBIELER (COOK20994)	033	BIG	S	2,400	23.48	16-Nov	1-Dec	96.00 4.0
AO,	12/08	COOKBIELER (COOK20991)	033	BIG	S	2,500	23.48	16-Nov	1-Dec	125.00 5.0
AO,	12/08	COOKBIELER (COOK20411)	033	BIG	S	900	23.48	16-Nov	1-Dec	36.00 4.0
AO,	12/08	COOKBIELER (COOK20361)	033	BIG	S	9,800	23.48	16-Nov	1-Dec	392.00 4.0
AO,	12/08	COOKBIELER (COOK30255)	033	BIG	S	1,300	23.48	16-Nov	1-Dec	52.00 4.0
AO,	12/08	COOKBIELER (COOK20918)	033	BIG	S	6,300	23.48	16-Nov	1-Dec	252.00 4.0
AO,	12/08	COOKBIELER (COOK20799)	033	BIG	S	16,000	23.48	16-Nov	1-Dec	640.00 4.0
AO,	12/08	COOKBIELER (COOK20611)	033	BIG	S	6,300	23.48	16-Nov	1-Dec	252.00 4.0
AO,	12/08	COOKBIELER (COOK20521)	033	BIG	S	1,800	23.48	16-Nov	1-Dec	72.00 4.0
AO,	12/08	COOKBIELER (COOK20033)	033	BIG	S	21,200	23.48	16-Nov	1-Dec	848.00 4.0
AO,	12/08	COOKBIELER (COOK20067)	033	BIG	S	1,300	23.48	16-Nov	1-Dec	52.00 4.0
AO,	12/08	COOKBIELER (COOK20066)	033	BIG	S	2,600	23.48	16-Nov	1-Dec	104.00 4.0
AO,	12/08	COOKBIELER (COOK30069)	033	BIG	S	3,500	23.48	16-Nov	1-Dec	140.00 4.0
AO,	12/08	COOKBIELER (COOK30555)	033	BIG	S	2,800	23.48	16-Nov	1-Dec	112.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/08	COOKBIELER (COOK20095)	033	BIG	S	2,600	23.48	16-Nov	1-Dec	104.00 4.0
AO,	12/08	COOKBIELER (COOK30190)	033	BIG	S	100	23.48	16-Nov	1-Dec	4.00 4.0
AO,	12/08	PILOT ROCK (PILRPBX)	028	F	B	750,000	0.03	n/a	n/a	20625.00 2.8

TOTAL (AO, CXL, CRT) :	26,410.00
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TOTAL (Trade Date):	110,093.70
TOTAL (AO, CXL, CRT):	26,410.00

TOTAL (RUN DATE) / NFS:	136,503.70
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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