



Daily Compliance Activity Report

Trade Date: 12/07/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	AA	S	500	30.85	n/a	n/a	25.00	5.0
1837 PARTNERS/RMB CAP	030	AG	B	33,500	33.66	n/a	n/a	1,675.00	5.0
BECK MACK & OLIVER LLC	044	AIG	S	400	70.40	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	AMAT	S	300	18.39	n/a	n/a	15.00	5.0
SUNOVA CAPITAL	031	AMG	B	10,000	104.18	25-Oct	28-Nov	500.00	5.0
HOOVER INV. MGMT	033	AOB	B	60,000	11.82	n/a	n/a	3,000.00	5.0
DELAWARE MANAGEMENT	243	ARRS	S	46,100	12.12	n/a	n/a	1,844.00	4.0
MAGUIRE	090	AVGN	S	10,000	6.00	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	044	AXP	S	200	59.81	n/a	n/a	10.00	5.0
BECK MACK & OLIVER LLC	044	BAX	S	1,000	44.83	n/a	22-Apr	50.00	5.0
SAILFISH	037	BBT	B	10,000	43.74	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	BDH	S	100	16.21	n/a	n/a	5.00	5.0
CAPITAL WORKS	048	BEAS	S	210,000	12.85	n/a	3-Apr	8,400.00	4.0
SANDLER O'NEILL ASSET	031	BEN	S	5,500	113.27	9-Nov	28-Nov	275.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BECK MACK & OLIVER LLC	044	BP	S	50	68.35	n/a	n/a	2.50	5.0
PATTEN & PATTEN	067	BP	S	56	68.37	n/a	n/a	2.80	5.0
BUCK	015	BYD	S	800	46.45	n/a	27-Oct	0.00	0.0
BECK MACK & OLIVER LLC	044	CAH	S	200	66.50	n/a	n/a	10.00	5.0
MKT MAKER	099	CBRL	S	300	44.84	n/a	n/a	0.00	0.0
CARDINAL CAPITAL	044	CHE	B	18,300	37.03	n/a	n/a	915.00	5.0
MKT MAKER	099	CHIC	S	300	31.60	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	CLB	B	20,000	89.96	6-Dec	6-Dec	1,000.00	5.0
BARROW HANLEY MEWHINNEY	031	CMCSA	B	86,100	42.07	27-Jul	29-Nov	3,444.00	4.0
PATTEN & PATTEN	067	CVS	B	100	30.00	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	DG	S	500	15.33	21-Aug	1-Dec	25.00	5.0
LOOMIS SALES/BOSTON	036	DJ	C	70,075	36.36	n/a	n/a	3,503.75	5.0
PATTEN & PATTEN	067	DOW	S	250	40.08	n/a	26-Oct	12.50	5.0
SECOND CURVE	031	DRL	SS	50,000	3.38	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	EP	S	600	14.80	n/a	n/a	30.00	5.0
MAGNETAR FINANCIAL	247	EVC	S	27,000	7.59	n/a	n/a	1,080.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EWJ	B	3,000	14.16	n/a	n/a	150.00	5.0
WALKER SMITH	031	GCO	S	54,500	41.30	n/a	10-Jan	2,725.00	5.0
BECK MACK & OLIVER LLC	044	GE	S	642	35.29	n/a	n/a	32.10	5.0
PATTEN & PATTEN	067	GLW	B	75	20.86	n/a	7-Dec	3.75	5.0
COUGAR TRADING	044	GPS	B	5,000	19.59	n/a	1-Dec	250.00	5.0
STANDARD PACIFIC CAPITAL	040	GPS	B	746,200	19.96	n/a	1-Dec	37,310.00	5.0
PILOT ROCK	028	GYMB	SS	31,200	39.57	1-Dec	1-Dec	1,248.00	4.0
MKT MAKER	099	GYMB	SS	43	39.57	1-Dec	1-Dec	0.00	0.0
OGORMAN	146	GYMB	C	100	39.87	1-Dec	1-Dec	0.00	0.0
PATTEN & PATTEN	067	HBI	B	100	23.88	n/a	n/a	5.00	5.0
BECK MACK & OLIVER LLC	044	HCC	S	800	30.12	n/a	n/a	40.00	5.0
INDEPENDENCE INV	039	HPQ	S	91,000	40.03	n/a	n/a	3,640.00	4.0
SCUDDER HEDGE	034	HP	B	25,000	27.20	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	HST	S	400	24.85	n/a	n/a	20.00	5.0
BULL PATH CAPITAL	044	HUM	B	25,000	55.60	n/a	n/a	1,250.00	5.0
GALLEON MGMT LP	033	IN	S	25,000	23.60	n/a	n/a	1,250.00	5.0
COMMERCE BANK	046	IR	S	12,200	40.11	n/a	n/a	610.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAILFISH	037	IYR	SS	5,000	85.67	n/a	n/a	200.00	4.0
FINANCIAL STOCK LP	028	JNS	S	100,000	20.58	1-Dec	1-Dec	4,000.00	4.0
SAILFISH	037	JPM	B	15,000	47.08	n/a	13-Nov	600.00	4.0
MAGNETAR FINANCIAL	247	KSS	SS	10,000	71.10	10-Nov	1-Dec	400.00	4.0
PATTEN & PATTEN	067	LEH	B	150	76.49	6-Dec	6-Dec	7.50	5.0
FORD FDN.	032	LLY	B	90,000	53.98	n/a	n/a	4,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	LPX	SS	15,000	21.96	14-Sep	25-Oct	600.00	4.0
SAILFISH	037	LPX	SS	50,000	21.95	14-Sep	25-Oct	2,000.00	4.0
XYLEM GLOBAL	024	LPX	SS	25,000	22.25	14-Sep	25-Oct	1,250.00	5.0
BLUE HARBOR	036	LSI	B	500,000	9.19	n/a	n/a	15,000.00	3.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	31.24	1-Dec	1-Dec	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	034	LVLIT	B	150,000	5.80	18-Oct	1-Dec	5,250.00	3.5
BUCK	015	LVSAS	B	5	5.54	n/a	n/a	0.00	0.0
BUCK	015	LVSCT	S	5	6.40	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	044	MASB	S	450	32.66	n/a	n/a	22.50	5.0
PATTEN & PATTEN	067	MDT	S	300	53.53	n/a	22-Apr	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	MOT	B	200	21.48	n/a	n/a	10.00	5.0
BELMONT GLOBAL ADV	248	MTRX	S	23,000	16.14	n/a	n/a	1,150.00	5.0
PATTEN & PATTEN	067	NEM	B	1,000	47.20	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	NOK	S	500	20.42	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	20,000	13.21	1-Dec	1-Dec	800.00	4.0
JETSTREAM GLOBAL FUND LP	065	ORCL	B	95,200	17.54	n/a	n/a	4,760.00	5.0
PATTEN & PATTEN	067	PBE	B	1,200	18.72	n/a	n/a	60.00	5.0
GENERAL ELECTIC CO	033	PG	B	62,487	64.00	1-Nov	5-Dec	2,811.95	4.5
PATTEN & PATTEN	067	PHO	B	500	18.62	n/a	n/a	25.00	5.0
SAC TRADING HOWARD	038	PSUN	B	30,000	20.36	3-Aug	1-Dec	1,500.00	5.0
BECK MACK & OLIVER LLC	044	RA	S	400	46.04	n/a	n/a	20.00	5.0
ZOLIDIS	011	RCKY	S	300	14.78	n/a	n/a	0.00	0.0
DISIPLINED GROWTH INV.	030	RCL	B	4,900	41.36	n/a	1-Nov	245.00	5.0
BECK MACK & OLIVER LLC	044	RDSA	S	210	71.33	n/a	n/a	10.50	5.0
PILOT ROCK	028	RIMM	S	29,600	130.41	n/a	n/a	1,184.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	039	RKT	S	10,000	26.42	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	5,000	82.92	7-Dec	7-Dec	200.00	4.0
SAXON WOODS ADVISORS	038	SBH	B	15,000	10.18	n/a	n/a	750.00	5.0
MFP INVESTORS	032	SKS	S	10,000	17.60	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	SLB	B	585	66.87	n/a	n/a	29.25	5.0
PATTEN & PATTEN	067	SNE	S	150	39.96	n/a	n/a	7.50	5.0
IRONBOUND CAPITAL	012	SSCC	SS	235,000	11.06	26-Oct	27-Oct	11,750.00	5.0
PATTEN & PATTEN	067	SSP	B	150	50.06	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	SWN	S	400	40.41	7-Aug	22-Nov	20.00	5.0
SAILFISH	037	TIF	SS	10,000	39.16	n/a	30-Nov	400.00	4.0
IRONBOUND CAPITAL	012	TIN	B	200,000	42.72	n/a	27-Oct	10,000.00	5.0
ANTEUS ASSOC.BAEL	065	TWB	S	16	43.25	5-Sep	16-Nov	0.80	5.0
ZOLIDIS	011	UARM	C	100	51.60	n/a	n/a	0.00	0.0
OGORMAN	146	UBS	S	150	60.53	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WYE	B	300	50.20	n/a	31-Mar	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
XYLEM GLOBAL	024	WY	B	10,000	66.49	21-Sep	27-Oct	500.00	5.0
AJB CAPITAL	067	XOHO	S	9,500	4.20	n/a	n/a	380.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	40,000	15.14	8-Sep	7-Dec	1,600.00	4.0
TOTAL (Trade Date):								152,639.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	11/30	LISTED ERR (LISTED ERR)	099		S	33	2.59	n/a	n/a	0.00	0.0
AO,	11/30	LISTED ERR (LISTED ERR)	099		S	33	2.59	n/a	n/a	0.00	0.0
AO,	11/30	LISTED ERR (LISTED ERR)	099		S	33	2.59	n/a	n/a	0.00	0.0
AO,	11/30	LISTED ERR (LISTED ERR)	099		S	33	2.59	n/a	n/a	0.00	0.0
AO,CRT	12/06	ZOLIDIS (ZOLIDIS)	011	BZH	B	100	48.02	n/a	n/a	0.00	0.0
AO,CXL	12/06	ZOLIDIS (ZOLIDIS)	011	BZH	B	100	48.02	n/a	n/a	0.00	0.0
AO,CRT	12/06	MKT MAKER (MKT MAKER)	099	CBRL	B	300	42.79	n/a	n/a	0.00	0.0
AO,CXL	12/01	HIGHBRIDGE CAPITAL (HIGBCITI)	038	GCI	B	70,263	59.62	n/a	n/a	3513.15	5.0
AO,	12/01	HIGHBRIDGE CAPITAL (HIGBMAIN)	038	GCI	B	70,263	59.62	n/a	n/a	3513.15	5.0
AO,CRT	12/06	ZOLIDIS (ZOLIDIS)	011	HOV	B	130	38.33	n/a	n/a	0.00	0.0
AO,CXL	12/06	ZOLIDIS (ZOLIDIS)	011	HOV	B	130	38.33	n/a	n/a	0.00	0.0
AO,	12/06	DAVIDSON KEMPNER ADVISOR (DAVICSFBPB)	217	IP	SS	75,000	33.80	n/a	3-Nov	3750.00	5.0
AO,CRT	12/06	ZOLIDIS (ZOLIDIS)	011	KBH	B	100	53.40	n/a	n/a	0.00	0.0
AO,CXL	12/06	ZOLIDIS (ZOLIDIS)	011	KBH	B	100	53.40	n/a	n/a	0.00	0.0
AO,CXL	11/30	ANTEUS ASSOC.BAEL (ANTAFRBNTR)	065	LU	S	33	2.59	n/a	22-Mar	1.65	5.0
AO,CXL	11/30	ANTEUS ASSOC.BAEL (ANTASARBTR)	065	LU	S	33	2.59	n/a	22-Mar	1.65	5.0
AO,CXL	11/30	ANTEUS ASSOC.BAEL (ANTAJBEITR)	065	LU	S	33	2.59	n/a	22-Mar	1.65	5.0
AO,CXL	11/30	ANTEUS ASSOC.BAEL (ANTAFWBETR)	065	LU	S	33	2.59	n/a	22-Mar	1.65	5.0
AO,CXL	12/06	ANTEUS ASSOC.BAEL (ANTAREG)	065	QCOM	S	345	38.85	n/a	n/a	0.00	0.0
AO,	12/06	ANTEUS ASSOC.BAEL (ANTAREG)	065	QCOM	S	345	38.85	n/a	n/a	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/01	ZOLIDIS (ZOLIDIS)	011	SCSS	B	600	17.67	n/a	n/a	0.00 0.0
AO,CXL	12/01	ZOLIDIS (ZOLIDIS)	011	SCSS	B	600	17.67	n/a	n/a	0.00 0.0
AO,CRT	12/06	MKT MAKER (MKT MAKER)	099	SVVS	S	155	32.62	n/a	n/a	0.00 0.0
AO,CRT	12/06	ZOLIDIS (ZOLIDIS)	011	TOL	B	150	33.28	n/a	n/a	0.00 0.0
AO,CXL	12/06	ZOLIDIS (ZOLIDIS)	011	TOL	B	150	33.28	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) :	3,743.40
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TOTAL (Trade Date) :	152,639.90
TOTAL (AO, CXL, CRT) :	3,743.40

TOTAL (RUN DATE) / NFS :	156,383.30
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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