



Daily Compliance Activity Report

Trade Date: 12/20/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGHTPOINT CAP	067	AAP	B	5,000	35.83	n/a	n/a	250.00	5.0
LATEFF MGMT	040	AA	B	500	30.04	n/a	n/a	150.00	30.0
PATTEN & PATTEN	067	AA	S	450	30.25	n/a	n/a	22.50	5.0
PATTEN & PATTEN	067	ADBE	B	1,100	41.72	n/a	n/a	55.00	5.0
TRIBECA	038	ADM	B	17,300	31.92	n/a	n/a	692.00	4.0
SEAROCK CAPITAL MANAGE	012	AEOS	B	75,900	31.20	15-Nov	5-Dec	3,036.00	4.0
MS PRINCIPAL STRATEGIES	040	ALC	SS	50,000	9.43	n/a	n/a	2,500.00	5.0
KENNEDY CAPITAL	046	AMB	S	27,400	59.02	n/a	n/a	1,096.00	4.0
FARBER/WEISS PECK	012	ANN	SS	8,500	33.49	n/a	1-Dec	425.00	5.0
THIRD COAST CAPITAL	035	ANN	B	20,000	33.60	n/a	1-Dec	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	30.95	23-Oct	1-Dec	1,600.00	4.0
FARBER/WEISS PECK	012	ARO	SS	5,000	31.09	23-Oct	1-Dec	250.00	5.0
TRIBECA	038	ARO	B	18,800	31.09	23-Oct	1-Dec	752.00	4.0
PATTEN & PATTEN	067	BBH	S	100	185.23	n/a	n/a	5.00	5.0
BUCK CAPITAL MGMT	001	BID	B	10,000	32.05	n/a	n/a	400.00	4.0
THE JAY GOLDMAN	034	BKE	SS	5,000	50.28	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KEEFE BRUYETTE WOODS A	031	BK	S	8,200	39.66	5-Dec	12-Dec	410.00	5.0
PATTEN & PATTEN	067	BK	B	2,600	39.65	5-Dec	12-Dec	130.00	5.0
WHITE PINE CAPITAL	030	BONT	B	1,250	35.51	23-Oct	1-Dec	62.50	5.0
WHEELER	008	BQI	B	5,000	4.60	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CAG	S	600	26.86	n/a	n/a	30.00	5.0
BANK OF NEW YORK	040	CAKE	B	10,160	25.00	n/a	12-Dec	457.20	4.5
LATEFF MGMT	040	CAT	B	1,250	61.50	n/a	n/a	450.00	36.0
PATTEN & PATTEN	067	CBS	S	150	31.67	n/a	n/a	7.50	5.0
TRIVIUM CAP MGMT	028	CHS	SS	25,000	22.10	29-Nov	8-Dec	1,000.00	4.0
PATTEN & PATTEN	067	CL	B	650	65.15	26-Oct	5-Dec	32.50	5.0
PATTEN & PATTEN	067	CNI	B	650	43.74	n/a	n/a	32.50	5.0
BUCK CAPITAL MGMT	001	COH	B	278,300	44.45	7-Dec	7-Dec	11,132.00	4.0
LEVIN CAPITAL STRATEGIES	012	COH	SS	7,500	44.08	7-Dec	7-Dec	300.00	4.0
SCUDDER HEDGE	034	COH	B	35,000	44.53	7-Dec	7-Dec	1,750.00	5.0
BUCK CAPITAL MGMT	001	CRI	B	50,000	26.35	n/a	n/a	2,000.00	4.0
STANDARD PACIFIC CAPITAL	040	DDS	B	148,100	35.19	n/a	n/a	7,405.00	5.0
PATTEN & PATTEN	067	DELL	B	1,000	25.80	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	DG	B	3,000	15.86	21-Aug	12-Dec	150.00	5.0
BUCK CAPITAL MGMT	001	DKS	S	95,900	48.67	n/a	n/a	3,836.00	4.0
EFSTATHIOU	044	EBS	B	300	11.52	n/a	n/a	0.00	0.0
LEDDY	035	EDA	B	1,000	8.84	n/a	n/a	0.00	0.0
SUTERA	160	EFT	B	1,800	18.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EWJ	B	5,900	14.07	n/a	n/a	295.00	5.0
FARBER/WEISS PECK	012	FDO	C	16,000	29.42	3-Nov	1-Dec	800.00	5.0
STADIA CAPITAL	035	FD	S	79,000	38.34	9-Nov	5-Dec	3,160.00	4.0
PATTEN & PATTEN	067	FHN	B	150	41.21	n/a	n/a	7.50	5.0
LATEFF MGMT	040	FL	B	1,500	22.09	n/a	7-Dec	300.00	20.0
MAGNETAR FINANCIAL	247	F	SS	100,000	7.30	n/a	n/a	3,000.00	3.0
BROMPTON CROSS	036	GLW	B	100,000	19.41	n/a	20-Dec	4,000.00	4.0
PATTEN & PATTEN	067	GLW	B	4,200	19.40	n/a	20-Dec	210.00	5.0
EIDELMAN, FINGER & CO	046	GNSS	B	15,000	10.09	n/a	n/a	750.00	5.0
FRIESS MGMT	042	GRP	B	97,800	42.25	n/a	n/a	4,401.00	4.5
J L F ASSET MGMT	039	GTRC	SS	22,400	44.04	n/a	n/a	896.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	GYMB	B	5,000	38.30	1-Dec	1-Dec	250.00	5.0
SCHEINER	037	GYMB	C	1,000	38.42	1-Dec	1-Dec	0.00	0.0
PATTEN & PATTEN	067	HHH	S	100	53.90	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	HST	S	200	24.64	n/a	n/a	10.00	5.0
GRASSANO	053	ISLE	S	50	26.08	n/a	26-Jan	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	37,900	2.56	n/a	n/a	1,137.00	3.0
LEDDY	035	ITWR	S	1	0.02	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	JNJ	S	100	66.60	n/a	22-Apr	5.00	5.0
MAGNETAR FINANCIAL	247	KKD	S	19,000	10.17	n/a	n/a	760.00	4.0
BENNETT LAWRENCE	044	LIFC	B	60,450	23.72	n/a	n/a	3,022.50	5.0
HIGHBRIDGE CAPITAL	038	LNC	B	4,000	65.58	n/a	n/a	200.00	5.0
TRIBECA	038	LOW	B	17,900	30.53	n/a	21-Nov	716.00	4.0
PATTEN & PATTEN	067	MDT	S	200	54.17	n/a	22-Apr	10.00	5.0
KEEFE BRUYETTE WOODS A	031	MEL	S	2,200	42.56	5-Dec	12-Dec	110.00	5.0
TRIBECA/DOUG	040	MER	B	10,000	91.10	17-Oct	12-Dec	400.00	4.0
HIGHBRIDGE CAPITAL	038	MMC	S	111,500	30.37	n/a	n/a	5,575.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	MRK	S	700	43.43	n/a	n/a	35.00	5.0
LEDDY	035	MSI	B	2,500	1.50	n/a	n/a	0.00	0.0
TRIBECA	038	MW	B	17,100	37.78	n/a	n/a	684.00	4.0
PATTEN & PATTEN	067	NEM	B	950	46.35	n/a	n/a	47.50	5.0
KORMAN	003	NEXC	B	10,000	7.26	n/a	n/a	0.00	0.0
LEDDY	035	NEXC	B	1,200	7.37	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NKE	B	19,200	98.25	n/a	n/a	768.00	4.0
BUCK CAPITAL MGMT	001	NLS	B	60,000	14.39	n/a	n/a	2,400.00	4.0
PATTEN & PATTEN	067	NOK	S	1,000	20.41	n/a	n/a	50.00	5.0
LUCHANSKY1	036	NT	B	500	25.41	n/a	22-Mar	0.00	0.0
PATTEN & PATTEN	067	NVS	B	1,200	58.18	n/a	n/a	60.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	70,000	13.55	1-Dec	1-Dec	2,800.00	4.0
FRIESS MGMT	042	ORCL	B	486,900	17.15	n/a	n/a	21,910.50	4.5
PATTEN & PATTEN	067	OXY	B	1,000	49.99	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	PBE	B	1,300	18.32	n/a	n/a	65.00	5.0
PATTEN & PATTEN	067	PCL	S	500	38.85	24-Oct	14-Dec	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	PFE	S	1,000	26.28	n/a	31-Mar	50.00	5.0
HIGHBRIDGE CAPITAL	038	PFG	B	4,000	58.45	n/a	n/a	200.00	5.0
PATTEN & PATTEN	067	PHO	B	500	18.47	n/a	n/a	25.00	5.0
MCCARTAN	028	PLTE	B	250	18.54	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	B	40,000	51.87	22-Nov	22-Nov	1,600.00	4.0
PATTEN & PATTEN	067	QCOM	S	200	38.49	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	QLGC	S	100	21.76	n/a	n/a	5.00	5.0
HIGHBRIDGE CAPITAL	038	RGC	SS	100,700	20.76	n/a	n/a	5,035.00	5.0
PATTEN & PATTEN	067	RHHBY	B	450	89.95	n/a	n/a	22.50	5.0
J L F ASSET MGMT	039	RI	B	61,300	27.40	n/a	n/a	2,452.00	4.0
BUCK CAPITAL MGMT	001	RL	B	80,000	79.25	7-Dec	7-Dec	3,200.00	4.0
WHITE PINE CAPITAL	030	RVI	S	2,500	19.45	n/a	n/a	125.00	5.0
MFP INVESTORS	032	SKS	S	25,000	18.21	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	70,000	32.40	n/a	7-Dec	2,800.00	4.0
PATTEN & PATTEN	067	SRZ	B	1,700	30.40	n/a	n/a	85.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	SVU	S	20,000	36.02	n/a	n/a	1,200.00	6.0
TRIBECA	038	SVU	B	19,400	36.13	n/a	n/a	776.00	4.0
BAIRD INVESTMENT	031	SWN	B	10,570	37.61	7-Aug	20-Dec	528.50	5.0
LATEFF MGMT	040	TEVA	B	1,500	31.63	8-Nov	18-Dec	330.00	22.0
EGS ASSOCIATES LP	059	TLB	B	10,000	24.50	18-Oct	16-Nov	600.00	6.0
HIGHBRIDGE CAPITAL	038	TMK	B	8,000	63.86	n/a	n/a	400.00	5.0
BULL PATH CAPITAL	044	TROW	B	20,500	43.53	16-Oct	20-Dec	1,025.00	5.0
J L F ASSET MGMT	039	TSCO	SS	1,400	45.35	n/a	n/a	56.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	100,000	41.58	5-Sep	8-Dec	4,000.00	4.0
J L F ASSET MGMT	039	TWB	B	46,600	41.57	5-Sep	8-Dec	1,864.00	4.0
PATTEN & PATTEN	067	TXN	S	500	29.14	n/a	n/a	25.00	5.0
HIGHBRIDGE CAPITAL	038	T	B	75,000	35.15	21-Sep	20-Dec	3,750.00	5.0
PATTEN & PATTEN	067	T	S	200	35.27	21-Sep	20-Dec	10.00	5.0
KENNEDY CAPITAL	046	VTR	B	54,400	41.72	n/a	n/a	2,176.00	4.0
J L F ASSET MGMT	039	WCC	SS	6,500	61.51	n/a	n/a	260.00	4.0
A.I.M. ADVISORS INC	031	WMT	B	28,300	46.00	5-Oct	1-Dec	1,132.00	4.0
J L F ASSET MGMT	039	WSM	B	29,400	32.19	n/a	n/a	1,176.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	WYE	B	550	51.00	n/a	31-Mar	27.50	5.0
PATTEN & PATTEN	067	XBI	B	150	48.03	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	XOM	S	800	76.33	n/a	n/a	40.00	5.0
J L F ASSET MGMT	039	ZLC	S	24,000	28.42	n/a	n/a	960.00	4.0
DELTEC ASSET MGMT.	040	ZQK	S	81,800	15.57	8-Sep	15-Dec	4,090.00	5.0
TOTAL (Trade Date):								141,876.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/19	MORGAN LEWIS/MLH (MORLBS)	046	ACI	B	15,000	32.65	n/a	n/a	750.00 5.0
AO,CXL	12/19	MORGENS WATERFALL (MORGMORGAN)	040	ACI	B	15,000	32.65	n/a	n/a	750.00 5.0
AO,CXL	12/19	CASTLEROCK (CASTMERRIL)	040	ADM	B	25,118	32.59	n/a	n/a	0.00 0.0
AO,CRT	12/19	CASTLEROCK (CASTMERRIL)	040	ADM	B	25,118	32.59	n/a	n/a	1004.72 4.0
AO,CXL	12/19	CASTLEROCK (CASTABN AM)	040	ADM	B	45,282	32.59	n/a	n/a	0.00 0.0
AO,CRT	12/19	CASTLEROCK (CASTABN AM)	040	ADM	B	45,282	32.59	n/a	n/a	1811.28 4.0
AO,CRT	12/19	MORGAN LEWIS/MLH (MORLBS)	046	BOL	B	25,000	53.29	n/a	n/a	1250.00 5.0
AO,CXL	12/19	MORGENS WATERFALL (MORGMORGAN)	040	BOL	B	25,000	53.29	n/a	n/a	1250.00 5.0
AO,CXL	12/19	SEAROCK CAPITAL MANAGE (SEARMS)	012	CC	B	50,000	19.04	20-Dec	20-Dec	2500.00 5.0
AO,CRT	12/19	SEAROCK CAPITAL MANAGE (SEARMS)	012	CC	B	50,000	19.04	20-Dec	20-Dec	2000.00 4.0
AO,CXL	12/19	CAPITAL GROWTH MGMT. (CAPG4810)	241	CLB	B	1,100	82.85	6-Dec	6-Dec	55.00 5.0
AO,CRT	12/19	CAPITAL GROWTH MGMT. (CAPG4810)	241	CLB	B	1,100	82.85	6-Dec	6-Dec	55.00 5.0
AO,CRT	12/15	HERMES (HERMBOFA)	048	CQB	B	25,000	15.88	n/a	n/a	1250.00 5.0
AO,CXL	12/15	HERMES (HERMMSCLOS)	048	CQB	B	25,000	15.88	n/a	n/a	1000.00 4.0
AO,CXL	12/19	SEAROCK CAPITAL MANAGE (SEARMS)	012	DRI	B	40,000	40.08	12-Dec	19-Dec	2000.00 5.0
AO,CRT	12/19	SEAROCK CAPITAL MANAGE (SEARMS)	012	DRI	B	40,000	40.08	12-Dec	19-Dec	1600.00 4.0
AO,	12/19	MKT MAKER (MKT MAKER)	099	FINL	B	23	13.97	n/a	7-Dec	0.00 0.0
AO,	12/15	NEEDHAM CAP (NEEDGRSHOR)	067	FOSL	SS	9,250	22.30	15-Nov	15-Nov	370.00 4.0
AO,	12/15	NEEDHAM CAP (NEEDAGSHRT)	067	FOSL	SS	475	22.30	15-Nov	15-Nov	19.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/15	NEEDHAM CAP (NEEDGROWTH)	067	FOSL	SS	9,250	22.30	15-Nov	15-Nov	370.00 4.0
AO,CXL	12/15	NEEDHAM CAP (NEEDSMALLC)	067	FOSL	SS	450	22.30	15-Nov	15-Nov	18.00 4.0
AO,CXL	12/15	NEEDHAM CAP (NEEDAGGRES)	067	FOSL	SS	475	22.30	15-Nov	15-Nov	19.00 4.0
AO,	12/15	NEEDHAM CAP (NEEDORBSHO)	067	FOSL	SS	450	22.30	15-Nov	15-Nov	18.00 4.0
AO,CXL	12/19	SEAROCK CAPITAL MANAGE (SEARMS)	012	KSS	B	62,200	71.01	10-Nov	1-Dec	3110.00 5.0
AO,CRT	12/19	SEAROCK CAPITAL MANAGE (SEARMS)	012	KSS	B	62,200	71.01	10-Nov	1-Dec	2488.00 4.0
AO,CXL	12/19	REINHART & MAHONEY (REINLAKECO)	031	MSM	B	1,300	39.16	n/a	n/a	52.00 4.0
AO,CRT	12/19	REINHART & MAHONEY (REINLAKECO)	031	MSM	B	1,300	39.16	n/a	n/a	65.00 5.0
AO,CXL	12/19	REINHART & MAHONEY (REINIBEW)	031	MSM	B	1,900	39.16	n/a	n/a	76.00 4.0
AO,CRT	12/19	REINHART & MAHONEY (REINIBEW)	031	MSM	B	1,900	39.16	n/a	n/a	95.00 5.0
AO,CXL	12/19	PIONEER OAKRIDGE (PIOO154)	031	NWSA	B	1,365	21.60	n/a	n/a	27.30 2.0
AO,CRT	12/19	MORGAN LEWIS/MLH (MORLBS)	046	PFE	B	5,000	25.83	n/a	31-Mar	250.00 5.0
AO,CXL	12/19	MORGENS WATERFALL (MORGMORGAN)	040	PFE	B	5,000	25.83	n/a	31-Mar	250.00 5.0
AO,CXL	12/18	PALMYRA CAPITAL (PALMGSCO)	048	S	S	147,000	19.21	n/a	n/a	7350.00 5.0
AO,CRT	12/18	PALMYRA CAPITAL (PALMGSCO)	048	S	S	147,000	19.21	n/a	n/a	4410.00 3.0
AO,	12/19	MKT MAKER (MKT MAKER)	099	TRLG	S	32	15.25	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) : -1,391.30

TOTAL (Trade Date) : 141,876.70

TOTAL (AO, CXL, CRT):

-1,391.30

TOTAL (RUN DATE) / NFS:

140,485.40

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