



Daily Compliance Activity Report

Trade Date: 12/20/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
METROPOLITAN CAPITAL	044	AEO	B	13,800	21.36	9-Nov	7-Dec	690.00	5.0
LEVIN CAPITAL STRATEGIES	012	AIG	B	15,000	57.40	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	35,000	27.39	6-Aug	7-Dec	1,400.00	4.0
TRUST CO/COWEN/CALF.	040	AVY	B	106,960	51.25	13-Aug	20-Dec	5,348.00	5.0
TROOB CAPITAL	067	BBI	B	50,000	3.57	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	BBY	S	67,800	51.83	n/a	27-Jul	2,712.00	4.0
FIRST INV MGMT CORP	036	BEBE	S	105,000	12.72	n/a	n/a	5,250.00	5.0
MAZAMA CAPITAL MGMT.	035	BGS	S	40,000	10.08	n/a	n/a	1,600.00	4.0
ASCEND PARTNERS	033	BIG	C	40,000	15.98	30-Nov	7-Dec	2,000.00	5.0
AVESTA CAP	229	BJ	S	25,000	34.63	n/a	27-Jul	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	SS	22,000	81.01	n/a	n/a	1,100.00	5.0
CHRISTENSE	022	BPSG	S	300	1.15	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	BSC	S	10,000	92.03	5-Dec	19-Dec	400.00	4.0
BACKUS	005	CALPINE CORPB		200,000	114.13	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	CELL	SS	50,000	15.41	n/a	n/a	2,500.00	5.0
GRANITE CAPITAL	045	CMCSK	S	99,500	17.90	n/a	n/a	4,975.00	5.0
WHEELER	008	CPNLQ	S	100,000	0.34	n/a	29-Jun	0.00	0.0
HOFFMAN	014	CPNLQ	B	8,000	0.32	n/a	29-Jun	0.00	0.0
MERRILL ASSET	032	CRR	B	15,100	35.95	25-Oct	30-Nov	679.50	4.5
GALLEON MGMT LP	033	CSG	SS	10,000	50.09	n/a	n/a	500.00	5.0
Õ Alice Longley		CS	S	20	58.6400	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	CTSH	B	10,000	34.52	n/a	n/a	500.00	5.0
CLOVIS CAPITAL	012	CTV	B	50,000	49.35	n/a	n/a	2,500.00	5.0
FRIESS MGMT	042	CYH	B	83,100	36.52	10-Oct	3-Dec	3,739.50	4.5
WHEELER	008	DGTC	S	11,500	2.75	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	DIS	SS	30,000	32.21	n/a	n/a	1,500.00	5.0
MERRILL ASSET	032	DRC	S	15,000	37.08	n/a	n/a	675.00	4.5
BUCK CAPITAL MGMT	001	DSW	S	56,600	17.42	26-Oct	14-Dec	2,264.00	4.0
JACOB	068	EEE	S	370	2.73	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	EL	SS	21,300	43.89	25-Oct	17-Dec	1,065.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	EMR	S	10,000	55.38	n/a	n/a	600.00	6.0
REINHART & MAHONEY	031	FSP	S	10,000	15.08	n/a	n/a	500.00	5.0
BUCK	015	GAADQ	S	8	2.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	20,000	39.73	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	GNTX	SS	6,000	17.77	24-Jul	23-Oct	300.00	5.0
EMP ERROR	099	GOOG	B	180	682.48	n/a	n/a	0.00	0.0
KERN	099	GOOG	B	20	682.48	n/a	n/a	0.00	0.0
EMP ERROR	099	GOOG	S	180	683.82	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	B	10,000	21.31	n/a	7-Dec	400.00	4.0
HOFFMAN	014	HSHL	S	15,000	0.00	n/a	n/a	0.00	0.0
PALMYRA CAPITAL	048	HZO	SS	33,100	16.26	n/a	n/a	993.00	3.0
TRIVIUM CAP MGMT	251	IAR	SS	25,000	17.68	n/a	n/a	1,000.00	4.0
CHART WELL ADV	243	IBKR	B	59,044	31.60	n/a	n/a	2,657.02	4.5
WHEELER	008	IMMC	S	16,200	0.90	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	INFY	B	10,000	43.56	n/a	n/a	500.00	5.0
SERENGETI MGMT	030	IVZ	B	100,000	29.50	20-Dec	20-Dec	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JAH	B	15,000	24.01	n/a	n/a	600.00	4.0
THIRD COAST CAPITAL	035	JCG	SS	10,000	47.32	28-Nov	30-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	43.57	15-Nov	7-Dec	4,000.00	4.0
IRON HORSE CAPITAL MGMT	038	JMBA	S	15,650	3.91	n/a	n/a	469.50	3.0
BUCK CAPITAL MGMT	001	JWN	S	90,000	35.07	20-Nov	7-Dec	3,600.00	4.0
IRIDIAN ASSET MGMT.	036	KMB	B	51,920	69.42	n/a	n/a	2,596.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEH	B	12,500	62.47	n/a	19-Dec	500.00	4.0
SINCLAIR	031	LESAM	B	35	1.25	n/a	n/a	0.00	0.0
VISIUM/BALY HOWARD	038	LIZ	B	50,000	21.26	n/a	31-Oct	2,500.00	5.0
SARAS CAPITAL	038	LM	S	15,000	71.42	17-Dec	20-Dec	750.00	5.0
CAPITAL GROWTH MGMT.	241	MBT	S	30,000	94.52	n/a	n/a	1,500.00	5.0
AMBER CAPITAL	046	MCO	SS	200,000	37.04	n/a	n/a	8,000.00	4.0
HIGHFIELDS CAP MGMT	039	MS	B	300,000	50.57	20-Dec	20-Dec	12,000.00	4.0
BUCK CAPITAL MGMT	001	M	B	25,000	26.39	9-Nov	7-Dec	1,000.00	4.0
COUGAR TRADING	044	M	B	10,000	26.18	9-Nov	7-Dec	500.00	5.0
KARSCH CAPITAL	034	M	SS	60,000	25.95	9-Nov	7-Dec	1,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	040	M	B	7,500	25.71	9-Nov	7-Dec	375.00	5.0
STRATTON	N21	NETM	B	500	6.20	n/a	n/a	0.00	0.0
LUCID PARTNERS	067	NP	S	10,000	28.62	3-Dec	3-Dec	500.00	5.0
HIGHBRIDGE CAPITAL	038	NSC	SS	36,000	48.88	n/a	n/a	1,800.00	5.0
SAGE ASSET MGMT	012	NWS	B	25,000	20.92	n/a	n/a	1,250.00	5.0
MERRILL ASSET	032	ONB	S	53,300	14.95	n/a	n/a	2,398.50	4.5
GALLEON MGMT LP	033	ORCL	S	50,000	22.46	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	OXM	SS	30,000	24.45	n/a	n/a	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	PCL	B	10,000	45.39	n/a	23-Oct	500.00	5.0
HOOVER INV. MGMT	033	PCR	B	62,600	45.80	n/a	n/a	3,130.00	5.0
STRAUSS ASSET MGMT	040	PETM	S	7,500	24.83	n/a	n/a	375.00	5.0
METROPOLITAN CAPITAL	044	PLCE	B	16,800	26.72	3-Dec	7-Dec	840.00	5.0
CHRISTENSE	022	PLUG	S	42	3.85	n/a	n/a	0.00	0.0
WHEELER	008	PMD	S	4,300	15.15	n/a	n/a	0.00	0.0
KNOTT PARTNERS	044	PRX	S	50,000	21.52	28-Sep	18-Dec	2,500.00	5.0
COUGAR TRADING	044	PSUN	SS	10,000	14.89	n/a	7-Dec	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	PVH	B	15,000	38.18	5-Dec	5-Dec	750.00	5.0
UBS OCONNOR	031	PVH	B	50,000	38.22	5-Dec	5-Dec	1,500.00	3.0
SENTINAL CAPITAL	067	PX	S	4,900	87.66	n/a	24-Oct	245.00	5.0
ROTHSCHILD ASSET	040	RJF	S	37,690	32.85	n/a	n/a	1,696.05	4.5
BUCK CAPITAL MGMT	001	RVI	B	200,000	4.96	n/a	n/a	8,000.00	4.0
STRAUSS ASSET MGMT	040	SFLY	S	7,500	26.76	n/a	n/a	375.00	5.0
JACOB	068	SIRI	S	225	3.08	n/a	n/a	0.00	0.0
TROOB CAPITAL	067	SIX	B	50,000	2.39	n/a	n/a	1,500.00	3.0
AVESTA CAP	229	SVU	B	25,000	37.38	n/a	n/a	1,250.00	5.0
BARR	096	SYNP	B	1,700	5.02	n/a	n/a	0.00	0.0
STRATTON	N21	TGTDL	B	3	1.80	n/a	n/a	0.00	0.0
UBS OCONNOR	031	TGT	B	50,000	50.08	n/a	27-Jul	1,500.00	3.0
WHEELER	008	TIN	B	2,000	29.90	11-Dec	11-Dec	0.00	0.0
PRIME LOGIC ADV	039	TLB	SS	38,800	12.69	n/a	27-Nov	1,940.00	5.0
HIGHBRIDGE CAPITAL	038	UNP	SS	14,000	122.99	n/a	n/a	700.00	5.0
SENTINAL CAPITAL	067	UNP	B	5,000	123.43	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	USBCZ	S	20	1.35	n/a	n/a	0.00	0.0
S.A.C. CAPITAL MGMT.	044	USB	SS	200,000	31.41	n/a	n/a	10,000.00	5.0
CLOVIS CAPITAL	012	WFC	SS	130,000	30.31	n/a	n/a	6,500.00	5.0
HARVEST MGMT	039	WMT	B	50,000	47.72	20-Nov	7-Dec	2,500.00	5.0
TROUBH PART	067	YHOO	S	50,000	23.42	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date):								155,888.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/18	MARK ASSETMGMT (SR) (MAKAMAMCGS)	040	CFC	B	50,000	9.26	n/a	n/a	2500.00 5.0
AO,CXL	12/18	MARK/JETCAP (MARKJETMS)	030	CFC	B	50,000	9.26	n/a	n/a	2500.00 5.0
AO,CXL	12/19	MATTHES CAPITAL MGMT (MATTMSPB)	033	COH	SS	3,390	31.00	24-Oct	24-Oct	169.50 5.0
AO,CRT	12/19	MATTHES CAPITAL MGMT (MATTMSPB)	033	COH	SS	3,390	31.00	24-Oct	24-Oct	135.60 4.0
AO,CXL	12/19	MATTHES CAPITAL MGMT (MATTGSPB)	033	COH	SS	6,610	31.00	24-Oct	24-Oct	330.50 5.0
AO,CRT	12/19	MATTHES CAPITAL MGMT (MATTGSPB)	033	COH	SS	6,610	31.00	24-Oct	24-Oct	264.40 4.0
CRT	12/20	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DSW	S	56,600	17.42	26-Oct	14-Dec	2264.00 4.0
AO,CRT	12/19	REINHART & MAHONEY (REINCST64W)	031	FSP	S	3,000	15.19	n/a	n/a	150.00 5.0
AO,CXL	12/19	REINHART & MAHONEY (REINCST64M)	031	FSP	S	3,000	15.19	n/a	n/a	150.00 5.0
CRT	12/20	BALYASNY ASSET MGMT (BALY)	044	GNTX	SS	6,000	17.77	24-Jul	23-Oct	300.00 5.0
CRT	12/20	EMP ERROR (EMP ERROR)	099	GOOG	S	180	683.82	n/a	n/a	0.00 0.0
AO,CRT	12/18	SAB CAPITAL (SABCMORGAN)	034	IWM	B	47,000	74.99	n/a	n/a	2350.00 5.0
AO,CXL	12/18	SAB CAPITAL (SABCGOLDMA)	034	IWM	B	47,000	74.99	n/a	n/a	2350.00 5.0
AO,CRT	12/19	SAB CAPITAL (SABCMORGAN)	034	IWM	B	67,500	75.27	n/a	n/a	3375.00 5.0
AO,CXL	12/19	SAB CAPITAL (SABCGOLDMA)	034	IWM	B	67,500	75.27	n/a	n/a	3375.00 5.0
AO,CXL	12/19	MATTHES CAPITAL MGMT (MATTMSPB)	033	JCG	SS	16,950	47.41	28-Nov	30-Nov	847.50 5.0
AO,CRT	12/19	MATTHES CAPITAL MGMT (MATTMSPB)	033	JCG	SS	16,950	47.41	28-Nov	30-Nov	678.00 4.0
AO,CXL	12/19	MATTHES CAPITAL MGMT (MATTGSPB)	033	JCG	SS	33,050	47.41	28-Nov	30-Nov	1652.50 5.0
AO,CRT	12/19	MATTHES CAPITAL MGMT (MATTGSPB)	033	JCG	SS	33,050	47.41	28-Nov	30-Nov	1322.00 4.0
AO,CXL	12/14	REICH AND TANG (RICHWALLAC)	067	KCI	B	500	51.39	n/a	n/a	25.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/14	REICH AND TANG (RICHTAUBEN)	067	KCI	B	2,000	51.39	n/a	n/a	100.00 5.0
AO,	12/14	REICH AND TANG (RICHTAUBEN)	067	KCI	B	3,300	51.39	n/a	n/a	165.00 5.0
AO,CXL	12/14	REICH AND TANG (RICHMIN2)	067	KCI	B	700	51.39	n/a	n/a	35.00 5.0
AO,CXL	12/14	REICH AND TANG (RICHMIN3)	067	KCI	B	100	51.39	n/a	n/a	5.00 5.0
CRT	12/20	AMBER CAPITAL (AMBRLEH)	046	MCO	SS	200,000	37.04	n/a	n/a	8000.00 4.0
AO,CXL	12/18	CAPITAL GROWTH MGMT. (CAPGMUSEUM)	241	MHS	B	10,000	99.92	n/a	n/a	500.00 5.0
AO,CRT	12/18	CAPITAL GROWTH MGMT. (CAPGMUSEUM)	241	MHS	B	10,000	99.04	n/a	n/a	500.00 5.0
AO,CXL	12/18	CAPITAL GROWTH MGMT. (CAPGWELFAR)	241	MHS	B	10,000	99.04	n/a	n/a	500.00 5.0
AO,CRT	12/18	CAPITAL GROWTH MGMT. (CAPGWELFAR)	241	MHS	B	10,000	99.92	n/a	n/a	500.00 5.0
AO,	12/18	MARK ASSETMGMT (SR) (MAKAMAMCGS)	040	QQQQ	SS	240,000	49.28	n/a	n/a	7200.00 3.0
AO,CXL	12/18	MARK/JETCAP (MARKJETMS)	030	QQQQ	SS	240,000	49.28	n/a	n/a	7200.00 3.0
AO,	12/19	TROOB CAPITAL (TROOBSPB)	067	SIX	B	33,300	2.34	n/a	n/a	999.00 3.0
AO,	12/19	TROOB CAPITAL (TROOMSPB)	067	SIX	B	19,200	2.34	n/a	n/a	576.00 3.0

TOTAL (AO, CXL, CRT) :	11,539.00
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TOTAL (Trade Date):	155,888.07
TOTAL (AO, CXL, CRT):	11,539.00

TOTAL (RUN DATE) / NFS:	167,427.07
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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