



## Daily Compliance Activity Report

Trade Date: 01/08/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BULL PATH CAPITAL	044	AMTD	B	50,000	16.16	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>20,000</b>	<b>73.84</b>	<b>3-Nov</b>	<b>5-Jan</b>	<b>800.00</b>	<b>4.0</b>
FARBER/WEISS PECK	012	ANF	B	19,000	73.83	3-Nov	5-Jan	950.00	5.0
BELMONT GLOBAL ADV	248	ANN	S	18,000	33.77	5-Jan	5-Jan	900.00	5.0
MERRILL LYNCH STRATEGICI	034	ANN	B	25,000	33.56	5-Jan	5-Jan	1,250.00	5.0
BROMPTON CROSS	036	APH	B	25,000	62.85	n/a	n/a	1,250.00	5.0
MAZAMA CAPITAL MGMT.	035	ARD	B	12,400	40.00	n/a	n/a	496.00	4.0
MERRILL LYNCH STRATEGICI	034	ARG	B	25,000	40.26	27-Nov	27-Nov	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>10,000</b>	<b>34.32</b>	<b>23-Oct</b>	<b>5-Jan</b>	<b>400.00</b>	<b>4.0</b>
J L F ASSET MGMT	039	ARO	S	33,400	33.79	23-Oct	5-Jan	1,336.00	4.0
<b>WYCKOFF</b>	<b>013</b>	<b>AVP</b>	<b>S</b>	<b>300</b>	<b>33.35</b>	<b>n/a</b>	<b>5-Dec</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	AVZ	B	3,000	22.84	29-Dec	4-Jan	150.00	5.0
U.S.TRUST COMPANY	012	AVZ	B	54,250	23.00	29-Dec	4-Jan	2,441.25	4.5
HARVEST MGMT	039	BBW	B	10,000	28.12	n/a	n/a	500.00	5.0
NICHOLAS ADVISORS	034	BP	S	15,000	65.07	n/a	n/a	750.00	5.0
CHILTON CAPITAL MGMT.	036	BTH	B	69,523	21.83	n/a	n/a	2,780.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK</b>	<b>015</b>	<b>CAH</b>	<b>B</b>	<b>500</b>	<b>64.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WYCKOFF</b>	<b>013</b>	<b>CAKE</b>	<b>S</b>	<b>200</b>	<b>24.50</b>	<b>n/a</b>	<b>12-Dec</b>	<b>0.00</b>	<b>0.0</b>
RAINIER INV MGMT	035	CBL	S	61,075	42.44	n/a	n/a	3,053.75	5.0
SIGMA CAP BOBBY	044	CC	S	70,000	19.63	20-Dec	5-Jan	3,500.00	5.0
MERRILL LYNCH STRATEGICI	034	CF	S	75,000	26.36	n/a	n/a	3,750.00	5.0
RAINIER INV MGMT	035	CLB	B	40,500	76.89	6-Dec	6-Dec	2,025.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>20,000</b>	<b>44.01</b>	<b>7-Dec</b>	<b>7-Dec</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>20,000</b>	<b>25.28</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
MATRIX ASSET ADV.	036	CSCO	S	4,000	28.67	n/a	22-Mar	160.00	4.0
SAILFISH	037	C	B	15,000	55.10	n/a	15-Dec	750.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>DSW</b>	<b>S</b>	<b>1,000</b>	<b>37.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	ECA	B	20,000	45.74	n/a	n/a	1,000.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>EDA</b>	<b>B</b>	<b>500</b>	<b>9.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NICHOLAS ADVISORS	034	EFA	B	14,000	72.41	n/a	n/a	700.00	5.0
CAMBIAR CAP	046	ETN	S	100,260	74.22	16-Oct	28-Dec	4,010.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BACKUS	005	EVST	S	2,000	16.06	n/a	n/a	0.00	0.0
BUCK	015	EVVV	B	1,000	17.35	n/a	n/a	0.00	0.0
BUCK	015	EWJ	B	1,000	14.08	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	FD	S	15,500	36.86	9-Nov	5-Jan	620.00	4.0
BARR	096	FLT	S	2,200	1.16	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	FMC	SS	14,000	73.48	n/a	n/a	700.00	5.0
WYPER CAPITAL	044	F	B	30,000	7.71	n/a	n/a	900.00	3.0
MENCKE	055	GDI	S	50	35.75	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	GES	B	10,000	67.27	n/a	n/a	500.00	5.0
SAILFISH	037	GM	B	15,000	30.63	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	GPS	SS	20,000	20.77	n/a	5-Jan	800.00	4.0
T. ROWE PRICE	033	GPS	S	150,000	20.26	n/a	5-Jan	6,000.00	4.0
KERN	050	GPS	B	200	20.76	n/a	5-Jan	0.00	0.0
BUCK	015	GQRAL	B	5	0.10	n/a	n/a	0.00	0.0
BUCK	015	GRMN	S	500	53.96	n/a	n/a	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	GYMB	B	7,300	42.82	4-Jan	5-Jan	365.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	HMA	B	10,000	20.49	n/a	22-Dec	500.00	5.0
MAZAMA CAPITAL MGMT.	035	HS	S	17,100	19.98	n/a	n/a	684.00	4.0
MERRILL LYNCH STRATEGICI	034	HUBB	B	25,000	43.42	n/a	n/a	1,250.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>ICON</b>	<b>S</b>	<b>1,000</b>	<b>18.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MATRIX ASSET ADV.	036	INTC	S	4,200	21.15	n/a	n/a	168.00	4.0
MISSOURI VALLEY PART	046	ISE	B	5,135	45.20	26-Oct	4-Jan	256.75	5.0
RIVER RUN MGMT	031	ITCD	B	34,800	2.56	n/a	n/a	1,044.00	3.0
ROYCE TRADING	216	KBW	S	2,000	28.47	n/a	n/a	100.00	5.0
ROYCE TRADING	216	KCP	S	8,400	24.15	n/a	3-Nov	420.00	5.0
MAZAMA CAPITAL MGMT.	035	KOG	B	127,500	3.92	n/a	n/a	3,825.00	3.0
NCM CAPITAL MGMT	035	KRON	B	23,600	35.92	n/a	n/a	1,180.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>LMC</b>	<b>S</b>	<b>100</b>	<b>33.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>30,000</b>	<b>26.86</b>	<b>5-Jan</b>	<b>5-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BARR</b>	<b>096</b>	<b>MEM</b>	<b>B</b>	<b>1,700</b>	<b>4.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>MSI</b>	<b>B</b>	<b>2,000</b>	<b>2.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	MW	B	24,200	39.13	n/a	n/a	1,210.00	5.0
MERRILL LYNCH STRATEGICI	034	MYE	B	65,000	15.19	n/a	n/a	3,250.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>NDN</b>	<b>S</b>	<b>3,000</b>	<b>12.60</b>	<b>n/a</b>	<b>5-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NLS</b>	<b>B</b>	<b>358,600</b>	<b>15.49</b>	<b>n/a</b>	<b>n/a</b>	<b>14,344.00</b>	<b>4.0</b>
TRIBECA	038	NTRS	B	10,000	59.53	n/a	12-Dec	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ODP</b>	<b>SS</b>	<b>20,000</b>	<b>37.46</b>	<b>n/a</b>	<b>1-Dec</b>	<b>800.00</b>	<b>4.0</b>
DSM CAPITAL PARTNERS	032	OIH	B	10,000	132.96	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	OII	B	20,000	38.21	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OMX</b>	<b>SS</b>	<b>20,000</b>	<b>49.26</b>	<b>n/a</b>	<b>15-Apr</b>	<b>800.00</b>	<b>4.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>OVTI</b>	<b>B</b>	<b>300</b>	<b>13.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	PBR	B	10,000	94.64	n/a	n/a	500.00	5.0
MERRILL LYNCH STRATEGICI	034	PBR	SS	10,000	95.81	n/a	n/a	500.00	5.0
<b>WYCKOFF</b>	<b>013</b>	<b>PSUN</b>	<b>S</b>	<b>200</b>	<b>19.86</b>	<b>n/a</b>	<b>5-Jan</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	RDC	B	30,000	31.25	n/a	n/a	1,500.00	5.0
HARVEST MGMT	039	RTH	SS	10,000	99.08	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	RVI	S	40,100	18.65	n/a	n/a	2,005.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BACKUS	005	RVI	S	2,000	18.72	n/a	n/a	0.00	0.0
ZOLIDIS	011	SHOE	C	3,000	7.20	n/a	n/a	0.00	0.0
FRIESS MGMT	042	SKX	B	28,600	34.03	n/a	8-Jan	1,287.00	4.5
CAXTON PART	040	SNDK	B	100,000	44.58	n/a	n/a	4,000.00	4.0
MORGAN BANK /JPM	012	SPY	S	74,390	140.84	n/a	n/a	2,231.70	3.0
BUCK CAPITAL MGMT	001	TBL	S	95,800	30.15	15-Nov	7-Dec	3,832.00	4.0
J L F ASSET MGMT	039	TLB	B	84,400	23.47	18-Oct	16-Nov	3,376.00	4.0
PRINCIPLE CAPITAL	040	TLB	S	32,500	23.21	18-Oct	16-Nov	975.00	3.0
BACKUS	005	TRI	S	1,000	40.56	17-Oct	4-Jan	0.00	0.0
J L F ASSET MGMT	039	TUES	B	14,962	16.20	n/a	n/a	598.48	4.0
SENTINAL CAPITAL	067	TYC	S	5,000	30.63	2-Oct	15-Nov	250.00	5.0
ROXBURY CAPITAL MGMT	035	UCO	B	25,000	57.80	11-Oct	29-Nov	1,000.00	4.0
ADAGE CAPITAL MGMT	030	URBN	B	100,000	23.36	7-Dec	5-Jan	4,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	URBN	S	58,600	23.40	7-Dec	5-Jan	2,930.00	5.0
KEEFE BRUYETTE WOODS A	031	WDR	SS	21,000	26.70	15-Dec	4-Jan	1,050.00	5.0
GALLEON MGMT LP	033	WMT	B	18,200	47.14	5-Oct	5-Jan	910.00	5.0
MERRILL LYNCH STRATEGICI	034	XOM	B	20,000	72.67	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	XRX	S	239,900	17.05	n/a	n/a	7,197.00	3.0
SCHEINER	037	ZQK	SS	3,000	15.40	8-Sep	15-Dec	0.00	0.0
TOTAL (Trade Date):								121,612.25	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/05	GRUBER MACBAINE (GRBRMAIN)	033	AEOS	SS	2,600	33.38	4-Jan	5-Jan	1.30 0.1
AO,CXL	01/05	GRUBER MACBAINE (GRBRMAIN)	033	AEOS	SS	10,400	33.38	4-Jan	5-Jan	5.20 0.1
AO,	01/05	GRUBER MACBAINE (GRBRMAIN)	033	AEOS	SS	2,600	33.38	4-Jan	5-Jan	104.00 4.0
AO,	01/05	GRUBER MACBAINE (GRBRMAIN)	033	AEOS	SS	10,400	33.38	4-Jan	5-Jan	416.00 4.0
AO,CXL	01/05	CENTURION PARTNERS (CENTBSPT)	249	BONT	B	10,000	35.30	23-Oct	5-Jan	500.00 5.0
AO,CXL	01/05	AMBER CAPITAL (AMBRLEH)	046	GBBK	B	75,000	26.18	n/a	n/a	3000.00 4.0
AO,CRT	01/05	AMBER CAPITAL (AMBRLEH)	046	GBBK	B	75,000	26.18	n/a	n/a	3000.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2561)	044	MOT	S	5,400	18.80	n/a	n/a	216.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM1663)	044	MOT	S	400	18.80	n/a	n/a	16.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM1664)	044	MOT	S	240	18.80	n/a	n/a	9.60 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2352)	044	MOT	S	775	18.80	n/a	n/a	31.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2421)	044	MOT	S	2,400	18.80	n/a	n/a	96.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3291)	044	MOT	S	950	18.80	n/a	n/a	38.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM1698)	044	MOT	S	400	18.80	n/a	n/a	16.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2445)	044	MOT	S	75	18.80	n/a	n/a	3.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3081)	044	MOT	S	80	18.80	n/a	n/a	3.20 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM1531)	044	MOT	S	3,028	18.80	n/a	n/a	121.12 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2691)	044	MOT	S	3,100	18.80	n/a	n/a	124.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2486)	044	MOT	S	60	18.80	n/a	n/a	2.40 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3183)	044	MOT	S	3,700	18.80	n/a	n/a	148.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM945)	044	MOT	S	39,100	18.80	n/a	n/a	1564.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM8)	044	MOT	S	126	18.80	n/a	n/a	5.04 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM8)	044	MOT	S	40	18.80	n/a	n/a	1.60 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3238)	044	MOT	S	19,275	18.80	n/a	n/a	771.00 4.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM1)	044	MOT	S	2,554	18.80	n/a	n/a	102.16 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM1)	044	MOT	S	14,734	18.80	n/a	n/a	589.36 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2624)	044	MOT	S	550	18.80	n/a	n/a	22.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2878)	044	MOT	S	210	18.80	n/a	n/a	8.40 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3237)	044	MOT	S	38,900	18.80	n/a	n/a	1556.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3375)	044	MOT	S	4,900	18.80	n/a	n/a	196.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3393)	044	MOT	S	380	18.80	n/a	n/a	15.20 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3452)	044	MOT	S	670	18.80	n/a	n/a	26.80 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3482)	044	MOT	S	3,157	18.80	n/a	n/a	126.28 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3559)	044	MOT	S	71	18.80	n/a	n/a	2.84 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3560)	044	MOT	S	75	18.80	n/a	n/a	3.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3563)	044	MOT	S	1,396	18.80	n/a	n/a	55.84 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3573)	044	MOT	S	75	18.80	n/a	n/a	3.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3597)	044	MOT	S	136	18.80	n/a	n/a	5.44 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3621)	044	MOT	S	42	18.80	n/a	n/a	1.68 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3677)	044	MOT	S	8,825	18.80	n/a	n/a	353.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3744)	044	MOT	S	1,020	18.80	n/a	n/a	40.80 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3745)	044	MOT	S	1,163	18.80	n/a	n/a	46.52 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3796)	044	MOT	S	6,668	18.80	n/a	n/a	266.72 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3797)	044	MOT	S	228	18.80	n/a	n/a	9.12 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM)	044	MOT	S	107	18.80	n/a	n/a	4.28 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3810)	044	MOT	S	974	18.80	n/a	n/a	38.96 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3857)	044	MOT	S	6,652	18.80	n/a	n/a	266.08 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3858)	044	MOT	S	393	18.80	n/a	n/a	15.72 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM2206)	044	MOT	S	800	18.80	n/a	n/a	32.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT (GSAM3483)	044	MOT	S	221	18.80	n/a	n/a	8.84 4.0
AO,	01/05	BALYASNY ASSET MGMT (BALY)	039	MTB	B	5,000	120.64	n/a	n/a	250.00 5.0
AO,CXL	01/05	J L F ASSET MGMT (JLFA\$0.04)	039	MTB	B	5,000	120.64	n/a	n/a	250.00 5.0

**TOTAL (AO, CXL, CRT) :**

**6,975.50**

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TOTAL (Trade Date):	121,612.25
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TOTAL (AO, CXL, CRT):	6,975.50
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>128,587.75</b>
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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