



# Daily Compliance Activity Report

Trade Date: 11/23/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	5,000	21.98	9-Nov	20-Nov	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>40,000</b>	<b>75.78</b>	<b>2-Oct</b>	<b>21-Nov</b>	<b>1,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	B	5,000	77.16	2-Oct	21-Nov	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>100,000</b>	<b>31.99</b>	<b>6-Aug</b>	<b>16-Nov</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	B	5,000	25.87	9-Nov	20-Nov	250.00	5.0
OPTIMUM INV ADV	030	BG	B	3,500	105.88	n/a	n/a	140.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>25,000</b>	<b>12.72</b>	<b>9-Nov</b>	<b>21-Nov</b>	<b>non-brg</b>	<b>4.0</b>
WELLS/STRONG LEDDY	035	BONT	S	7,000	12.53	9-Nov	21-Nov	280.00	4.0
CSFB GLOBAL PROPRIETARY	035	CFC	B	143,200	9.99	n/a	n/a	7,160.00	5.0
COUGAR TRADING	044	CHIC	B	5,000	15.30	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	CMCSA	S	1,580	19.25	26-Oct	19-Nov	79.00	5.0
COUGAR TRADING	044	COH	B	5,000	35.93	24-Oct	24-Oct	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>B</b>	<b>30,000</b>	<b>15.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NATIONAL BK OF CAN	031	C	B	25,000	31.55	5-Nov	20-Nov	1,000.00	4.0
<b>OGORMAN</b>	<b>046</b>	<b>DXD</b>	<b>B</b>	<b>200</b>	<b>53.64</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.	
⚡ BUCK CAPITAL MGMT		EGLT	C	25,000	11.07	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	42.14	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		GIII	B	10,000	12.52	n/a	n/a	non-brg	1.0
NATIONAL BK OF CAN	031	GS	B	5,000	212.95	21-Sep	20-Nov	200.00	4.0
⚡ BUCK CAPITAL MGMT		GYMB	B	10,000	31.86	10-Aug	21-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HIBB	C	22,300	20.20	n/a	n/a	non-brg	4.0
OPTIMUM INV ADV	030	INTU	B	17,000	29.05	n/a	n/a	680.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	100,000	37.61	24-Oct	24-Oct	4,000.00	4.0
COUGAR TRADING	044	JCG	B	5,000	37.58	24-Oct	24-Oct	250.00	5.0
⚡ BUCK CAPITAL MGMT		JOSB	B	10,000	25.92	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	JWN	B	5,000	35.91	20-Nov	20-Nov	250.00	5.0
COUGAR TRADING	044	KSS	B	5,000	48.66	9-Nov	16-Nov	250.00	5.0
WOOSTER CAPITAL	035	KSS	B	125,000	48.59	9-Nov	16-Nov	6,250.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	20,000	16.24	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		M	B	125,000	29.47	9-Nov	15-Nov	non-brg	4.0
COUGAR TRADING	044	M	B	5,000	29.94	9-Nov	15-Nov	250.00	5.0
WOOSTER CAPITAL	035	M	B	150,000	29.64	9-Nov	15-Nov	7,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BARR</b>	<b>096</b>	<b>M</b>	<b>S</b>	<b>1,400</b>	<b>28.88</b>	<b>9-Nov</b>	<b>15-Nov</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	NUE	B	150,000	52.96	n/a	n/a	7,500.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>NU</b>	<b>B</b>	<b>71,900</b>	<b>32.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>NU</b>	<b>S</b>	<b>71,900</b>	<b>31.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>2,200</b>	<b>7.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	PDX	S	17,025	63.00	n/a	n/a	681.00	4.0
PENZ	044	PDX	S	75	63.00	n/a	n/a	3.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>50,000</b>	<b>23.72</b>	<b>26-Sep</b>	<b>23-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PSUN</b>	<b>C</b>	<b>62,533</b>	<b>14.92</b>	<b>n/a</b>	<b>21-Nov</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	PSUN	SS	5,000	15.13	n/a	21-Nov	250.00	5.0
ASCEND PARTNERS	033	PVH	B	25,000	40.42	21-Nov	21-Nov	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>50,000</b>	<b>65.50</b>	<b>8-Nov</b>	<b>8-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>C</b>	<b>250,000</b>	<b>93.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>C</b>	<b>400,000</b>	<b>94.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>SDS</b>	<b>B</b>	<b>200</b>	<b>57.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRONBOUND CAPITAL	012	TIN	B	3,000	42.60	9-Nov	9-Nov	150.00	5.0
SCOPUS FUND	041	TIN	B	28,800	42.52	9-Nov	9-Nov	1,440.00	5.0
XYLEM GLOBAL	091	TIN	S	50,000	42.57	9-Nov	9-Nov	2,500.00	5.0
ASCEND PARTNERS	033	TJX	B	25,000	28.41	21-Sep	14-Nov	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TJX	B	50,000	28.57	21-Sep	14-Nov	2,000.00	4.0
REICH AND TANG	067	TMO	S	10,000	56.99	n/a	n/a	500.00	5.0
ELM RIDGE ADVISORS	044	VC	B	75,000	3.93	n/a	19-Nov	2,250.00	3.0
STRATTON	N21	VWTAG	S	1	13.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WMT	B	50,000	45.29	20-Nov	20-Nov	2,000.00	4.0
OPTIMUM INV ADV	030	ZBRA	B	5,000	36.78	n/a	n/a	200.00	4.0
<b>TOTAL (Trade Date):</b>								<b>60,313.00</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/21	ROCKEFELLER & CO.	045	CMCSA	B	58,510	19.25	26-Oct	19-Nov	2925.50 5.0
AO,CRT	11/21	ROCKEFELLER & CO.	045	CMCSA	B	58,510	19.25	26-Oct	19-Nov	2340.40 4.0
AO,CXL	11/21	CARLYLE BLUE WAVE PR MG	224	SSCC	B	40,000	9.80	n/a	26-Oct	1600.00 4.0
AO,CRT	11/21	CARLYLE BLUE WAVE PR MG	224	SSCC	B	40,000	9.80	n/a	26-Oct	1600.00 4.0
AO,	11/21	COOKBIELER	033	WSM	S	50,100	28.01	n/a	n/a	2004.00 4.0
AO,CXL	11/21	COOKBIELER	033	WSM	S	50,100	28.01	n/a	n/a	20.04 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,398.86</b>
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TOTAL (Trade Date) :	60,313.00
TOTAL (AO, CXL, CRT) :	1,398.86

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>61,711.86</b>
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MRI Securities with Trade Activity on 23-Nov. NONE
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MRI Securities without Trade Activity on 23-Nov. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 44%

YTD = 19%

**Legend:**

**Õ: Employee Trades in Outside Accounts**

**ß: Non-BRG BCM Trades**

**[i]: Initiation of Coverage**

**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**