



Daily Compliance Activity Report

Trade Date: 01/19/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUBER MACBAINE	033	AEOS	B	15,000	33.84	4-Jan	12-Jan	600.00	4.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	108.82	12-Jan	12-Jan	500.00	5.0
ROBERTSON STEVENS BC	033	AMR	B	51,300	39.58	n/a	n/a	2,052.00	4.0
JP MORGAN VENTURES	046	AMZN	SS	15,000	37.04	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	79.69	3-Nov	5-Jan	800.00	4.0
BELMONT GLOBAL ADV	248	ANN	S	10,000	33.65	5-Jan	5-Jan	500.00	5.0
COUGAR TRADING	044	ANN	S	5,000	33.67	5-Jan	5-Jan	250.00	5.0
ADAGE CAPITAL MGMT	030	AOS	B	10,200	35.55	21-Dec	19-Jan	408.00	4.0
BALYASNY ASSET MGMT	044	AOS	S	10,000	35.55	21-Dec	19-Jan	500.00	5.0
COUGAR TRADING	044	ARO	S	5,000	35.63	23-Oct	5-Jan	250.00	5.0
Glenn Redemann		ATHR	S	1200	0.35	n/a	n/a	0.00	0.0
SAC TRADING HOWARD	038	BBY	B	15,000	49.10	13-Dec	10-Jan	750.00	5.0
DELTEC ASSET MGMT.	040	BEBE	B	6,600	17.85	n/a	n/a	330.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	7,500	117.80	9-Nov	12-Jan	375.00	5.0
Glenn Redemann		BIDU	B	600	0.70	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY	036	BJS	B	100	26.55	n/a	n/a	0.00	0.0
INTEGRITY CAPITAL MGMT	039	BKC	B	15,000	20.91	n/a	21-Dec	450.00	3.0
MCCARTAN	028	BKHM	B	1,000	2.89	n/a	n/a	0.00	0.0
SINCLAIR	031	BKHM	B	2,000	2.90	n/a	n/a	0.00	0.0
EFSTATHIOU	044	BKHM	B	1,000	2.86	n/a	n/a	0.00	0.0
LUCHANSKY	036	BONT	S	100	36.61	23-Oct	5-Jan	0.00	0.0
BALYASNY ASSET MGMT	044	BSC	S	5,000	169.35	15-Dec	16-Jan	250.00	5.0
MORGAN STANLEY PRINC 2	040	CBEY	SS	32,500	30.75	n/a	n/a	1,300.00	4.0
MKT MAKER	099	CBEY	SS	66	30.75	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	CBI	S	49,800	26.39	n/a	n/a	2,490.00	5.0
BUCK CAPITAL MGMT	001	CBK	B	230,000	20.07	11-Dec	5-Jan	9,200.00	4.0
⌘ BUCK CAPITAL MGMT		CBK	B	230,000	20.07	11-Dec	5-Jan	non-brg	4.0
SAC TRADING HOWARD	038	CBK	SS	30,000	20.01	11-Dec	5-Jan	1,500.00	5.0
Õ Glenn Redemann		CCL	S	300	2.30	n/a	26-Jan	0.00	0.0
BALYASNY ASSET MGMT	044	CENT	SS	10,000	48.90	8-Dec	4-Jan	500.00	5.0
Õ Glenn Redemann		CHAP	S	200	0.35	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CHS	SS	5,000	20.93	5-Jan	5-Jan	250.00	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	10,000	12.61	n/a	n/a	non-brg	2.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		CMRG	B	20,000	12.61	n/a	n/a	non-brg 5.0
	JP MORGAN VENTURES	046	CMRG	S	26,000	12.69	n/a	n/a	1,300.00 5.0
	BUCK CAPITAL MGMT	001	COH	S	10,000	44.71	7-Dec	19-Jan	400.00 4.0
	OGORMAN	146	CVGW	B	600	10.80	n/a	n/a	0.00 0.0
ß	BUCK CAPITAL MGMT		CWTR	B	80,000	19.33	n/a	n/a	non-brg 1.0
	WHITE PINE CAPITAL	030	CWTR	C	500	20.53	n/a	n/a	25.00 5.0
	ZOLIDIS	011	CWTR	SS	500	19.75	n/a	n/a	0.00 0.0
	DEMARTINI	065	CWTR	B	1,000	20.37	n/a	n/a	0.00 0.0
	BALYASNY ASSET MGMT	044	C	B	35,000	54.30	11-Jan	22-Jan	1,750.00 5.0
	SAC TRADING HOWARD	038	DDS	B	7,000	34.11	n/a	n/a	350.00 5.0
Õ	Glenn Redemann		DE	S	100	8.90	n/a	n/a	0.00 0.0
	PLATTE RIVER CAPITAL	035	DG	B	5,000	17.37	21-Aug	5-Jan	200.00 4.0
ß	BUCK CAPITAL MGMT		DKS	SS	10,000	51.03	n/a	n/a	non-brg 5.0
Õ	Glenn Redemann		DPTR	S	600	1.40	n/a	n/a	0.00 0.0
	S.A.C. CAPITAL MGMT.	044	EAT	B	15,000	30.43	13-Sep	12-Dec	750.00 5.0
	CENTURION PARTNERS	249	EDA	B	5,000	10.68	n/a	n/a	250.00 5.0
	HUNTER GLOBAL INVESTOR	067	EMR	SS	135,000	44.57	n/a	n/a	6,750.00 5.0
	BALYASNY ASSET MGMT	044	EV	B	15,000	34.50	2-Nov	16-Jan	750.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	046	FAF	B	50,000	42.26	n/a	n/a	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		FD	B	30,000	40.12	9-Nov	5-Jan	non-brg	5.0
COUGAR TRADING	044	FD	S	5,000	40.22	9-Nov	5-Jan	250.00	5.0
BARR	096	FLT	S	3,225	1.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	50,000	22.43	n/a	19-Jan	2,000.00	4.0
LUCHANSKY1	036	FNM	S	200	56.93	n/a	n/a	0.00	0.0
NOLAN	067	GG	S	20	25.49	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	GHL	S	23,500	73.57	n/a	n/a	940.00	4.0
⚡ BUCK CAPITAL MGMT		GIII	B	5,000	22.05	n/a	n/a	non-brg	5.0
⚡ BUCK CAPITAL MGMT		GIL	B	40,000	52.36	n/a	n/a	non-brg	5.0
MILLENIUUM PARTNERS	028	GI	S	10,000	74.36	n/a	n/a	500.00	5.0
MAGNETAR FINANCIAL	247	GPS	S	12,100	20.00	n/a	5-Jan	484.00	4.0
SSI INVESTORS	048	GYMB	S	30,717	43.14	4-Jan	5-Jan	1,228.68	4.0
DKR CAPITAL	048	HMA	B	21,500	19.97	18-Jan	18-Jan	860.00	4.0
NEUBERGER BERMAN	238	HP	S	17,400	24.60	n/a	n/a	870.00	5.0
BUCK	015	ICEMV	B	5	4.08	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Glenn Redemann		ICE	B	600	0.00	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ICE	B	600	0.86	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ICE	B	600	115.00	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ICE	S	600	120.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ICON	B	3,200	19.53	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		INTC	B	10,000	20.79	n/a	n/a	non-brg	5.0
ROBERTSON STEVENS BC	033	INTC	S	59,800	20.68	n/a	n/a	2,392.00	4.0
BINDER	007	INTC	B	350	20.81	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	ISLE	S	15,000	25.54	n/a	26-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	30,000	36.08	n/a	20-Dec	1,200.00	4.0
CASTLE ARK	031	JCP	B	42,250	82.74	10-Nov	5-Jan	2,535.00	6.0
GRUBER MACBAINE	033	JNY	B	25,000	34.70	n/a	26-Oct	1,000.00	4.0
MAGUIRE	039	JPUBU	B	40	0.30	n/a	n/a	0.00	0.0
Õ Glenn Redemann		KBH	S	100	6.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KCP	B	44,700	23.98	n/a	3-Nov	1,788.00	4.0
ß BUCK CAPITAL MGMT		KKD	C	25,000	11.54	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	69.45	27-Dec	5-Jan	400.00	4.0
NCM CAPITAL MGMT	035	KSU	B	7,700	29.79	n/a	n/a	385.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	238	KWK	S	17,000	36.84	n/a	n/a	850.00	5.0
BALYASNY ASSET MGMT	044	LAZ	B	5,000	51.04	n/a	n/a	250.00	5.0
Õ Glenn Redemann		LEH	S	200	3.10	6-Dec	16-Jan	0.00	0.0
TRIBECA/DOUG	040	LFG	B	2,200	60.64	n/a	n/a	88.00	4.0
SAILFISH	037	LIZ	SS	25,000	45.05	n/a	27-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	28.38	5-Jan	5-Jan	2,000.00	4.0
GRANITE CAPITAL	067	LTD	B	20,000	28.14	5-Jan	5-Jan	1,000.00	5.0
Õ Glenn Redemann		MA	B	600	5.10	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MBFGIM	B	40,000	26.10	n/a	n/a	non-brg	5.2
ß BUCK CAPITAL MGMT		MDTL	C	14,000	14.45	n/a	n/a	non-brg	2.0
Õ Glenn Redemann		MON	S	300	4.00	n/a	4-Jan	0.00	0.0
EFSTATHIOU	044	MOT	B	200	19.01	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MRU+MX	S	256	8.20	n/a	n/a	non-brg	300.0
BARR	096	MTIC	B	9,900	0.81	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MWV	B	20,000	29.48	8-Jan	16-Jan	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	NCI	S	84,000	19.51	n/a	n/a	3,360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	034	NDN	S	240,000	15.00	16-Jan	16-Jan	12,000.00	5.0
PELL RUDMAN/ATLANTIC TR	030	NDN	B	6,000	14.82	16-Jan	16-Jan	0.00	0.0
PEREGRINE	030	NDN	B	248,100	14.82	16-Jan	16-Jan	12,405.00	5.0
B BUCK CAPITAL MGMT		NEXC	B	50,000	8.79	n/a	n/a	non-brg	5.0
Õ Glenn Redemann		NFI	S	300	3.90	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NFX	S	100	4.90	n/a	n/a	0.00	0.0
PRIME CAPITAL	048	NVS	B	9,900	58.40	n/a	n/a	495.00	5.0
COUGAR TRADING	044	NWY	S	15,000	14.86	1-Dec	10-Jan	750.00	5.0
NCM CAPITAL MGMT	035	NYB	B	28,200	16.26	n/a	n/a	1,410.00	5.0
VISIUM/BALY HOWARD	038	ODP	B	25,000	39.33	n/a	10-Jan	1,250.00	5.0
Õ Glenn Redemann		OSTK	B	1000	0.75	n/a	n/a	0.00	0.0
EFSTATHIOU	044	OVTI	S	200	11.73	n/a	n/a	0.00	0.0
GRONET	030	PCL	S	1,000	40.10	n/a	14-Dec	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	S	38,467	55.44	n/a	5-Jan	non-brg	5.0
B BUCK CAPITAL MGMT		PLCE	S	50,000	55.81	n/a	5-Jan	non-brg	5.0
B BUCK CAPITAL MGMT		PLCE	S	72,214	55.56	n/a	5-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		PLCE	S	77,786	55.64	n/a	5-Jan	non-brg	1.0
Õ Glenn Redemann		PLCE	??	200	5.10	n/a	5-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRUNNER	012	PNCL	B	1,000	17.52	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PSUN	S	45,000	20.77	n/a	12-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		PTT	B	40,000	7.54	n/a	n/a	non-brg	4.0
WHEELER	008	RAE	B	10,200	3.14	n/a	n/a	0.00	0.0
ENDEAVOUR CAPITAL	035	RAS	S	30,000	35.00	n/a	n/a	1,500.00	5.0
A.I.M. ADVISORS INC	031	RL	S	27,362	81.92	7-Dec	8-Jan	1,094.48	4.0
BENNETT LAWRENCE	044	RRC	B	1,000	28.76	n/a	n/a	50.00	5.0
⌘ BUCK CAPITAL MGMT		S4RETL	SS	12,000	436.77	n/a	n/a	non-brg	43.7
⌘ BUCK CAPITAL MGMT		S6RETL	SS	7,000	277.15	n/a	n/a	non-brg	27.7
MAGUIRE	090	SFUN	S	7,500	17.74	n/a	n/a	0.00	0.0
BARR	096	SFUN	S	1,500	17.26	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SHOO	B	35,000	30.98	n/a	n/a	non-brg	5.0
MFP INVESTORS	032	SKS	S	7,800	18.93	n/a	n/a	390.00	5.0
GRONET	030	SNTS	S	2,000	7.00	n/a	n/a	0.00	0.0
VISIUM/BALY HOWARD	038	SRZ	SS	15,000	35.65	n/a	n/a	750.00	5.0
AMBER CAPITAL	046	S	B	200,000	17.23	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCM CAPITAL MGMT	035	TCB	B	17,100	26.66	n/a	n/a	855.00	5.0
LUCHANSKY1	036	TEVA	B	300	34.01	8-Nov	19-Jan	0.00	0.0
NEUBERGER BERMAN	238	TKR	S	25,000	28.53	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		TWB	S	246,500	34.89	9-Jan	19-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		TWB	S	91,000	35.05	9-Jan	19-Jan	non-brg	5.0
COUGAR TRADING	044	TWB	SS	10,000	35.43	9-Jan	19-Jan	500.00	5.0
THE JAY GOLDMAN	034	TWB	S	20,400	35.51	9-Jan	19-Jan	816.00	4.0
HUNTER GLOBAL INVESTOR	067	TWX	S	40,000	22.81	n/a	n/a	2,000.00	5.0
SONAR CAP MGMT	037	TXN	B	100,000	28.66	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		URBN	B	30,000	24.73	7-Dec	5-Jan	non-brg	5.0
RIDGECRST PARTNERS	035	URBN	B	5,000	24.69	7-Dec	5-Jan	250.00	5.0
SANDLER O'NEILL ASSET	031	WDR	B	20,000	26.22	12-Jan	12-Jan	1,000.00	5.0
BALYASNY ASSET MGMT	044	WMT	S	30,000	48.35	5-Oct	5-Jan	1,500.00	5.0
B BUCK CAPITAL MGMT		WRNC	B	10,000	26.92	18-Jan	18-Jan	non-brg	5.0
AMBER CAPITAL	046	ZLC	B	25,000	27.69	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date):							119,176.16		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/18	PLATTE RIVER CAPITAL	035	CAT	S	14,100	59.78	n/a	n/a	564.00	4.0
AO,CRT	01/18	PLATTE RIVER CAPITAL	035	CAT	S	14,100	59.78	n/a	n/a	564.00	4.0
AO,CXL	01/18	REINHART & MAHONEY	031	CHD	S	190	44.56	8-Nov	4-Dec	0.00	0.0
AO,CRT	01/18	REINHART & MAHONEY	031	CHD	S	190	44.56	8-Nov	4-Dec	9.50	5.0
AO,	01/18	FORCE CAPITAL MGMT	030	EXP	B	30,000	44.41	n/a	n/a	900.00	3.0
AO,CXL	01/18	FORCE CAPITAL MGMT	030	EXP	S	30,000	44.41	n/a	n/a	900.00	3.0
AO,CRT	01/18	MATTHES CAPITAL MGMT	033	FDO	B	28,000	31.34	3-Nov	5-Jan	1120.00	4.0
AO,CXL	01/18	MATTHES CAPITAL MGMT	033	FDO	B	25,000	31.34	3-Nov	5-Jan	1000.00	4.0
AO,CRT	01/18	AVENUE CAPITAL MGMT	036	MWV	B	44,500	29.19	8-Jan	16-Jan	2225.00	5.0
AO,CXL	01/18	AVENUE CAPITAL MGMT	036	MWV	B	44,500	29.19	8-Jan	16-Jan	2670.00	6.0
AO,CRT	01/17	HIGHBRIDGE CAPITAL	038	SII	SS	2,300	36.65	n/a	n/a	115.00	5.0
AO,CXL	01/17	HIGHBRIDGE CAPITAL	038	SII	SS	2,300	36.65	n/a	n/a	115.00	5.0
TOTAL (AO, CXL, CRT) :										-315.50	

TOTAL (Trade Date) :	119,176.16
TOTAL (AO, CXL, CRT) :	-315.50

TOTAL (RUN DATE) / NFS:	118,860.66
--------------------------------	-------------------

MRI Securities with Trade Activity on 19-Jan.
NONE

MRI Securities without Trade Activity on 19-Jan.
MER

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 14%
YTD = 21%

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