



Daily Compliance Activity Report

Trade Date: 04/18/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ADBE	B	1,360	42.99	n/a	n/a	68.00	5.0
BALYASNY ASSET MGMT	044	AGE	S	10,000	73.52	n/a	n/a	500.00	5.0
TYEE/TYGH	035	AMG	S	5,000	115.18	5-Mar	10-Apr	200.00	4.0
BUCK CAPITAL MGMT	001	ANF	SS	50,000	80.46	2-Feb	13-Apr	2,000.00	4.0
RAMIUS CAP	040	AOS	SS	32,000	40.17	n/a	18-Apr	1,600.00	5.0
PATTEN & PATTEN	067	APC	B	1,300	46.18	27-Feb	12-Mar	65.00	5.0
GENERAL MOTORS INV CO	040	ARJ	B	2,600	31.36	n/a	n/a	104.00	4.0
PATTEN & PATTEN	067	ATO	S	350	32.27	n/a	n/a	17.50	5.0
BALYASNY ASSET MGMT	044	BAC	B	25,000	52.04	11-Jan	16-Apr	1,250.00	5.0
B BUCK CAPITAL MGMT		BBW	S	40,000	26.22	19-Mar	19-Mar	non-brg	5.0
MISSOURI VALLEY PART	046	BBW	S	33,100	26.29	19-Mar	19-Mar	1,655.00	5.0
BALYASNY ASSET MGMT	044	BEN	S	17,500	133.37	10-Apr	18-Apr	875.00	5.0
BUCK	015	BFB	B	300	64.02	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BHI	S	110	71.82	n/a	n/a	5.50	5.0
NEUBERGER BERMAN	036	BRY	B	4,400	32.92	n/a	n/a	220.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGUIRE	090	BTU	B	1,500	46.40	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CAG	B	2,880	25.10	n/a	n/a	144.00	5.0
BUCK	015	CAT	B	900	68.88	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CBK	S	40,000	17.99	30-Mar	13-Apr	non-brg	5.0
GENERAL MOTORS INV CO	040	CBU	S	1,400	20.73	n/a	n/a	56.00	4.0
FRIESS MGMT	042	CCK	S	412,800	24.29	n/a	n/a	18,576.00	4.5
PATTEN & PATTEN	067	CCL	S	50	46.29	n/a	26-Jan	2.50	5.0
OGORMAN	146	CDX	S	8	0.80	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CFC	B	1,250	38.19	n/a	n/a	62.50	5.0
B BUCK CAPITAL MGMT		CHCG	B	25,000	5.64	n/a	n/a	non-brg	4.0
CATAPULT	040	CMA	S	4,500	63.21	n/a	n/a	225.00	5.0
EOS PARTNERS	040	CME	S	3,000	559.10	n/a	16-Apr	150.00	5.0
BUCK CAPITAL MGMT	001	COH	S	22,000	52.15	23-Feb	23-Feb	880.00	4.0
B BUCK CAPITAL MGMT		COH	SS	60,000	52.25	23-Feb	23-Feb	non-brg	5.0
CROWLEY	061	CPNLQ	S	15,500	3.35	n/a	8-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	25.24	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		CRI	C	10,000	25.20	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		CRI	C	30,000	25.65	n/a	n/a	non-brg	5.0
NOMURA CAPITAL	040	CVO	B	11,800	25.76	n/a	n/a	590.00	5.0
PATTEN & PATTEN	067	CVX	S	285	77.59	n/a	n/a	14.25	5.0
PATTEN & PATTEN	067	C	S	250	53.09	11-Jan	17-Apr	12.50	5.0
⌘ BUCK CAPITAL MGMT		DECK	S	5,000	72.39	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	DE	S	50	112.12	n/a	n/a	2.50	5.0
GENERAL MOTORS INV CO	040	DFG	B	1,700	41.60	n/a	n/a	68.00	4.0
⌘ BUCK CAPITAL MGMT		DKS	B	20,000	57.05	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	DOV	S	60	48.87	n/a	n/a	3.00	5.0
FARBER/WEISS PECK	012	DPZ	B	48,000	34.09	23-Feb	23-Feb	2,400.00	5.0
GLG PARTNERS	034	DPZ	S	50,000	34.78	23-Feb	23-Feb	2,500.00	5.0
JP MORGAN VENTURES	046	DPZ	B	29,300	34.00	23-Feb	23-Feb	1,465.00	5.0
PATTEN & PATTEN	067	DUK	B	1,500	20.92	n/a	n/a	75.00	5.0
PATTEN & PATTEN	067	EEP	S	150	59.53	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	EFA	B	43	79.35	n/a	n/a	2.15	5.0
SYSTEMATIC FINANCIAL MGT	035	ELY	S	15,000	18.59	n/a	n/a	562.50	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ETFC	B	30,000	22.37	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	EWG	S	150	30.90	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	EWJ	B	2,140	14.66	n/a	n/a	107.00	5.0
BUCK CAPITAL MGMT	001	FD	SS	60,000	45.02	26-Jan	13-Apr	2,400.00	4.0
PATTEN & PATTEN	067	FHN	S	750	41.37	n/a	n/a	37.50	5.0
PATTEN & PATTEN	067	GCI	B	1,050	57.88	n/a	n/a	52.50	5.0
GENERAL MOTORS INV CO	040	GGL	B	1,500	17.61	n/a	n/a	60.00	4.0
BULL PATH CAPITAL	044	GHL	B	19,000	63.12	n/a	n/a	950.00	5.0
DAWSON	075	GILD	B	50	78.62	n/a	n/a	0.00	0.0
CASTLE ARK	031	GIL	B	32,670	65.04	n/a	2-Apr	1,960.20	6.0
PATTEN & PATTEN	067	GRP	S	480	50.04	n/a	n/a	24.00	5.0
BRENCOURT	028	HC	B	50,000	22.01	14-Mar	5-Apr	2,500.00	5.0
PATTEN & PATTEN	067	HD	S	25	38.87	n/a	1-Mar	1.25	5.0
BUCK	015	HIW	S	1,000	42.44	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	HMC	B	35	34.61	n/a	n/a	1.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OPTIMUM INV ADV	030	HRS	B	300	50.00	31-Jan	31-Jan	12.00	4.0
PATTEN & PATTEN	067	IBM	S	200	94.48	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	INTC	B	450	21.15	n/a	n/a	22.50	5.0
AMBER CAPITAL	046	ITB	B	100,000	36.32	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	067	IXN	B	235	59.22	n/a	n/a	11.75	5.0
AMBER CAPITAL	046	IYR	SS	175,000	86.89	n/a	n/a	5,250.00	3.0
BUCK CAPITAL MGMT	001	JCP	B	10,000	80.83	23-Feb	18-Apr	400.00	4.0
BUCK CAPITAL MGMT		JCP	B	30,000	82.37	23-Feb	18-Apr	non-brg	5.0
PATTEN & PATTEN	067	JNJ	S	50	64.29	n/a	22-Apr	2.50	5.0
BUCK CAPITAL MGMT		JOSB	S	100,000	38.70	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		JOSB	S	50,000	38.53	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		KCP	S	28,300	27.19	n/a	28-Feb	non-brg	5.0
BUCK	015	KFT	S	173	32.71	n/a	n/a	0.00	0.0
CUMBERLAND	038	KSS	B	7,500	77.91	27-Dec	12-Apr	300.00	4.0
COUGAR TRADING	044	LAD	SS	5,000	28.34	n/a	13-Apr	250.00	5.0
GENERAL MOTORS INV CO	040	LSS	S	300	66.26	n/a	n/a	12.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Glenn Redemann		MA	B	6	0.63	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MA	B	6	0.82	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MA	SS	6	1.32	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MA	SS	6	1.48	n/a	n/a	0.00	0.0
PERSHING SQUARE	028	MBI	SS	81,400	68.20	n/a	n/a	4,070.00	5.0
BULL PATH CAPITAL	044	MCD	S	50,000	48.82	11-Apr	13-Apr	2,500.00	5.0
B BUCK CAPITAL MGMT		MDTL	SS	10,000	18.72	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	067	MGU	B	2,975	32.40	n/a	n/a	148.75	5.0
PATTEN & PATTEN	067	MIC	B	325	41.41	n/a	n/a	16.25	5.0
NOMURA CAPITAL	040	MIR	S	10,000	45.00	n/a	n/a	500.00	5.0
LISTED ERR	099	MI	S	5,000	47.54	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MMC	B	2,975	31.44	n/a	n/a	148.75	5.0
BUCK	015	MON	B	1,000	58.39	n/a	4-Apr	0.00	0.0
NOMURA CAPITAL	040	MOS	B	8,300	30.44	n/a	n/a	332.00	4.0
PATTEN & PATTEN	067	MOT	S	900	18.24	n/a	n/a	45.00	5.0
BUCK	015	MO	S	250	70.01	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MSFT	S	250	28.48	n/a	3-Apr	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	MS	S	10,500	83.41	22-Mar	16-Apr	525.00	5.0
NOMURA CAPITAL	040	MWAB	B	9,000	14.14	n/a	n/a	360.00	4.0
NOMURA CAPITAL	040	MWA	S	4,900	14.44	n/a	n/a	196.00	4.0
AMBER CAPITAL	046	NCC	SS	80,000	37.43	n/a	n/a	3,200.00	4.0
CAPITAL GROWTH MGMT.	241	NCS	B	10,000	47.28	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	NFP	B	20,000	48.17	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	NS	S	25	67.89	n/a	n/a	1.25	5.0
TPG-AXON	040	ORCL	S	488,000	18.85	n/a	n/a	24,400.00	5.0
B BUCK CAPITAL MGMT		OXM	S	10,000	47.33	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	PBW	B	35	19.86	n/a	n/a	1.75	5.0
CAPITAL GROWTH MGMT.	241	PCU	B	20,000	79.91	n/a	n/a	1,000.00	5.0
SUFFOLK CAPITAL MGMT	040	PG	B	100,000	63.61	15-Dec	30-Mar	4,000.00	4.0
PATTEN & PATTEN	067	PHO	B	35	19.09	n/a	n/a	1.75	5.0
Õ Glenn Redemann		PJC	??	7	0.07	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PJC	??	7	0.08	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	PJC	B	32,800	65.93	n/a	n/a	1,312.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYEE/TYGH	035	PLCE	S	69,530	50.07	12-Apr	13-Apr	2,781.20	4.0
ß BUCK CAPITAL MGMT		PSUN	S	2,175	21.99	n/a	13-Apr	non-brg	1.0
Õ Glenn Redemann		RCL	B	3	0.82	n/a	6-Feb	0.00	0.0
Õ Glenn Redemann		RCL	B	3	0.93	n/a	6-Feb	0.00	0.0
PATTEN & PATTEN	067	RDSA	S	250	69.65	n/a	n/a	12.50	5.0
CATAPULT	040	RF	S	10,000	34.69	n/a	n/a	500.00	5.0
GENERAL MOTORS INV CO	040	SAI	B	1,900	18.28	n/a	n/a	76.00	4.0
ß BUCK CAPITAL MGMT		SHOO	B	20,000	30.86	n/a	n/a	non-brg	5.0
TRIVIUM CAP MGMT	028	SHOO	B	31,036	31.10	n/a	n/a	1,241.44	4.0
ß BUCK CAPITAL MGMT		SHRP	C	20,000	11.36	n/a	n/a	non-brg	5.0
Õ Glenn Redemann		SIGM	B	7	0.18	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SIGM	B	7	0.22	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SIGM	SS	7	0.95	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SIGM	SS	7	1.05	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	044	STX	B	25,000	20.92	n/a	n/a	1,250.00	5.0
NEW JERSEY DIV OF INV.	220	STZ	S	140,000	21.99	n/a	n/a	5,600.00	4.0
Õ Glenn Redemann		SU	B	1	1.25	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SU	B	1	2.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	S	S	5,000	20.37	n/a	n/a	300.00	6.0
MORTAR ROCK	033	TEN	SS	10,000	29.22	n/a	n/a	500.00	5.0
GENERAL MOTORS INV CO	040	TG	B	2,100	23.82	n/a	n/a	84.00	4.0
XYLEM GLOBAL	091	TIN	S	20,000	61.10	26-Feb	18-Apr	1,000.00	5.0
PATTEN & PATTEN	067	TIP	B	835	100.53	n/a	n/a	41.75	5.0
BUCK CAPITAL MGMT	001	TLB	S	20,000	24.69	10-Jan	8-Mar	800.00	4.0
LISTED ERR	099	TSN	B	25	20.50	n/a	n/a	0.00	0.0
LISTED ERR	099	TSN	S	25	20.52	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	TWTC	B	100	20.70	8-Feb	4-Apr	5.00	5.0
PATTEN & PATTEN	067	TXN	S	25	32.05	n/a	n/a	1.25	5.0
GENERAL MOTORS INV CO	040	UBH	S	1,500	22.16	n/a	n/a	60.00	4.0
PATTEN & PATTEN	067	UNH	S	25	54.21	n/a	n/a	1.25	5.0
B BUCK CAPITAL MGMT		URBN	B	5,000	25.15	2-Apr	2-Apr	non-brg	5.0
PATTEN & PATTEN	067	UTX	B	275	66.66	n/a	n/a	13.75	5.0
PATTEN & PATTEN	067	VMC	S	100	113.70	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	VOX	S	70	78.12	n/a	n/a	3.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	VTI	S	64	146.36	n/a	n/a	3.20	5.0
BUCK	015	WB	S	700	55.61	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	WM	SS	50,000	42.21	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	XOM	S	279	78.14	n/a	n/a	13.95	5.0
PATTEN & PATTEN	067	XRAY	S	275	33.13	n/a	n/a	13.75	5.0
BUCK CAPITAL MGMT	001	ZQK	S	10,000	13.50	9-Mar	17-Apr	400.00	4.0
TOTAL (Trade Date):								118,509.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/13	PENN CAPITAL MGMT	033	BRL	B	3,165	47.97	1-Mar	18-Apr	126.60 4.0
AO,CRT	04/13	PENN CAPITAL MGMT	033	BRL	B	3,165	47.97	1-Mar	18-Apr	126.60 4.0
AO,CRT	04/17	LISTED ERR	099	MI	SS	5,000	48.20	n/a	n/a	0.00 0.0
AO,CRT	04/17	CATAPULT	040	MI	SS	5,000	48.20	n/a	n/a	250.00 5.0
TOTAL (AO, CXL, CRT) :										250.00

TOTAL (Trade Date) :	118,509.39
TOTAL (AO, CXL, CRT) :	250.00

TOTAL (RUN DATE) / NFS :	118,759.39
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MRI Securities with Trade Activity on 18-Apr. NONE

MRI Securities without Trade Activity on 18-Apr. EL, SHPGY

BRG comm. as a % of BCM Total Comm. paid. T-Date = 24% YTD = 17%
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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