



Daily Compliance Activity Report

Trade Date: 09/12/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	ABX	S	200,000	37.31	n/a	n/a	6,000.00	3.0
BALYASNY ASSET MGMT	044	AB	S	5,000	80.15	9-Aug	22-Aug	250.00	5.0
SECOND CURVE	031	ACF	B	50,000	18.62	n/a	n/a	2,500.00	5.0
IMPALA ASSET MMT	012	AEM	B	325,000	49.30	n/a	n/a	9,750.00	3.0
WEISS PECK	040	AEO	S	36,100	25.18	10-Jul	7-Sep	1,805.00	5.0
HIGHBRIDGE CAPITAL	038	APC	B	3,000	50.59	22-Jun	4-Sep	150.00	5.0
MAZAMA CAPITAL MGMT.	035	ARD	S	15,300	64.41	n/a	n/a	612.00	4.0
B BUCK CAPITAL MGMT		ARO	C	20,000	18.61	n/a	7-Sep	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	25,300	18.75	n/a	7-Sep	948.75	3.8
XYLEM GLOBAL	091	AVY	SS	25,000	56.31	13-Aug	11-Sep	1,250.00	5.0
SANDLER O'NEILL ASSET	031	BAC	S	25,000	49.23	20-Apr	16-Aug	1,250.00	5.0
TRIVIUM CAP MGMT	028	BBI	B	500,000	5.05	n/a	n/a	10,000.00	2.0
GRANAHAN INV	039	BBW	S	50,000	16.55	11-Sep	11-Sep	2,000.00	4.0
BALYASNY ASSET MGMT	044	BEN	S	4,100	124.35	8-Aug	12-Sep	205.00	5.0
CAPITAL GROWTH MGMT.	241	BGC	S	30,000	52.83	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGNETAR FINANCIAL	247	BOBE	B	6,538	30.59	n/a	n/a	261.52	4.0
BUCK CAPITAL MGMT	001	BWS	B	10,000	19.87	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		CACH	S	20,000	16.07	n/a	n/a	non-brg	5.0
WHEELER	008	CALPINE CORP	B	100,000	99.75	n/a	n/a	0.00	0.0
GAULT	063	CALPINE CORP	B	100,000	99.75	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	CBK	S	32,975	12.10	7-Jun	7-Sep	1,648.75	5.0
STRONG/MARK GRONET	030	CDL	B	200,000	4.18	n/a	n/a	6,000.00	3.0
MORRISON & FRASIER	040	CERS	S	33,200	7.54	n/a	n/a	1,328.00	4.0
BONANZA PARTNERS	031	CHUX	S	25,000	15.01	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	012	CNQ	SS	100,000	73.02	n/a	n/a	3,000.00	3.0
Õ Glenn Redemann		CRM	B	3	0.62	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CRM	B	3	0.77	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CRM	SS	3	1.90	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CRM	SS	3	1.99	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CTRN	B	40,000	21.53	n/a	n/a	non-brg	4.0
Õ Glenn Redemann		CVX	B	2	1.04	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CVX	B	2	1.44	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	DVA	S	21,700	61.77	n/a	n/a	868.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		ETH	SS	20,000	31.84	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	FOSL	SS	100,000	37.30	12-Sep	12-Sep	3,000.00	3.0
BUCK CAPITAL MGMT	001	GES	B	5,000	44.36	n/a	n/a	200.00	4.0
WHITE PINE CAPITAL	030	GGG	S	800	39.56	n/a	n/a	40.00	5.0
BUCK CAPITAL MGMT	001	GPS	SS	50,000	17.98	n/a	7-Sep	2,000.00	4.0
Ⓐ BUCK CAPITAL MGMT		ICON	S	10,000	21.99	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAPITAL	038	IP	SS	100,000	34.57	4-May	20-Aug	5,000.00	5.0
KORMAN	003	JADE	S	30,000	6.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	35,000	42.75	22-Jun	6-Sep	1,400.00	4.0
Ⓐ BUCK CAPITAL MGMT		JOSB	B	20,000	30.78	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	46.84	12-Jul	7-Sep	400.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	5,000	53.54	14-Jun	27-Jul	200.00	4.0
KORMAN	003	LEH	B	3,500	57.04	12-Jun	4-Sep	0.00	0.0
KORMAN	003	LESUK	S	50	1.75	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	MET	S	180,700	63.72	n/a	n/a	7,228.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	MET	S	32	64.02	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	MWV	S	6,400	29.85	31-Jul	20-Aug	320.00	5.0
MAGUIRE	039	MZZ	B	100	56.15	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		M	B	20,000	29.01	13-Jul	7-Sep	non-brg	4.0
TRIVIUM CAP MGMT	028	M	B	75,000	28.88	13-Jul	7-Sep	3,000.00	4.0
CAPITAL GROWTH MGMT.	241	NUE	B	30,000	51.96	n/a	n/a	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		OIH	C	30,000	184.80	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PERY	S	10,000	27.01	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PSS	B	130,000	21.36	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSS	B	20,000	21.37	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSS	B	20,000	21.52	n/a	n/a	non-brg	2.0
STRONG/MARK GRONET	030	PSS	B	100,000	21.19	n/a	n/a	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		RTH	SS	75,000	98.37	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RVI	B	10,000	10.55	n/a	n/a	non-brg	4.0
Õ Henry Ngan		SCSS	S	1100	17.90	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	SKX	S	30,000	20.64	n/a	13-Mar	900.00	3.0
KAICHER	064	SNCR	S	2,000	37.29	n/a	n/a	0.00	0.0
OPTIMUM INV ADV	030	TEK	B	6,000	31.88	n/a	n/a	240.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Glenn Redemann		TEX	B	2	0.84	n/a	n/a	0.00	0.0
Õ Glenn Redemann		TEX	B	2	0.92	n/a	n/a	0.00	0.0
Õ Glenn Redemann		TEX	SS	2	1.70	n/a	n/a	0.00	0.0
Õ Glenn Redemann		TEX	SS	2	1.92	n/a	n/a	0.00	0.0
BUCK	015	TGTJM	S	6	1.95	n/a	n/a	0.00	0.0
EATON VANCE MGMT	039	VZ	B	100,000	42.00	31-Jul	6-Sep	3,000.00	3.0
THE JAY GOLDMAN	034	VZ	SS	35,000	42.13	31-Jul	6-Sep	1,400.00	4.0
IMPALA ASSET MMT	012	WCC	B	200,000	42.20	n/a	n/a	6,000.00	3.0
TOKIO MARINE ASSET MGMT	044	WFC	B	25,000	35.92	n/a	n/a	1,250.00	5.0
MAGNETAR FINANCIAL	247	WMT	B	200,000	42.71	4-Jun	27-Jul	4,000.00	2.0
TOTAL (Trade Date) :								98,055.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/11	WHEELER	008	CCC	S	600	7.50	n/a	n/a	0.00 0.0
AO,	09/11	LISTED ERR	099	MET	B	32	63.60	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	98,055.02
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	98,055.02
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MRI Securities with Trade Activity on 12-Sep.
FOSL

MRI Securities without Trade Activity on 12-Sep.
ECL

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 24%
YTD = 16%

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