



Daily Compliance Activity Report

Trade Date: 10/30/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 2

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ABG	B	10,000	18.30	31-Oct	26-Oct	non-brg	4.0
LAGRANGE CAP ADV	048	ABG	B	21,900	18.21	31-Oct	26-Oct	1,095.00	5.0
MORTAR ROCK	033	ABG	B	13,000	18.21	31-Oct	26-Oct	650.00	5.0
SOMERSET ADV	044	AEM	B	4,000	54.79	n/a	n/a	160.00	4.0
COUGAR TRADING	044	AEO	B	10,000	23.94	12-Oct	12-Oct	500.00	5.0
CHARTER OAK	033	AFFY	S	22,705	28.54	n/a	n/a	1,135.25	5.0
COUGAR TRADING	044	ANF	B	5,000	79.54	2-Oct	25-Oct	250.00	5.0
NEW JERSEY DIV OF INV.	220	AOI	B	34,500	6.48	n/a	n/a	1,035.00	3.0
B BUCK CAPITAL MGMT	001	ARO	B	32,700	22.43	n/a	12-Oct	1,308.00	4.0
B BUCK CAPITAL MGMT		ARO	B	32,500	22.43	n/a	12-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		ARO	B	50,000	22.47	n/a	12-Oct	non-brg	2.0
B BUCK CAPITAL MGMT		ARO	B	60,000	22.63	n/a	12-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	74,800	22.73	n/a	12-Oct	non-brg	4.0
RAINIER INV MGMT	035	BAC	S	128,400	48.13	19-Oct	19-Oct	6,420.00	5.0
SUNOVA CAPITAL	031	BEN	S	20,000	126.51	25-Sep	25-Oct	1,000.00	5.0
S.A.C. CAPITAL MGMT.	044	BGC	B	50,000	70.87	n/a	n/a	2,500.00	5.0
LEDDY	035	BONT	B	900	16.89	17-Oct	17-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	CBK	B	700	13.45	n/a	12-Oct	0.00	0.0
TPG-AXON	040	CBS	SS	245,000	28.52	n/a	n/a	12,250.00	5.0
THE BOSTON COMPANY	214	CCL	B	43,300	48.00	n/a	26-Jan	2,165.00	5.0
MILLENIUM PARTNERS	028	CCU	B	10,000	37.78	n/a	n/a	500.00	5.0
MKT MAKER	099	CENT	B	100	8.00	n/a	18-Sep	0.00	0.0
PAKLER	N22	CMG	B	15	135.50	n/a	24-Apr	0.00	0.0
B BUCK CAPITAL MGMT		COH	S	40,000	35.88	24-Oct	24-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		COH	S	40,000	36.44	24-Oct	24-Oct	non-brg	4.0
J.W. SELIGMAN	041	COH	B	172,600	36.31	24-Oct	24-Oct	6,904.00	4.0
PAKLER	N22	CROX	B	28	71.83	n/a	n/a	0.00	0.0
SAB CAPITAL	034	CWTR	S	250,000	8.88	n/a	n/a	12,500.00	5.0
BUCK CAPITAL MGMT	001	DDS	SS	30,000	23.11	n/a	n/a	1,200.00	4.0
MADIGAN	031	DEEP	B	300	10.30	n/a	n/a	0.00	0.0
CATTANI	041	DRYS	B	75	123.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DSW	B	10,000	22.40	26-Oct	26-Oct	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	ELY	S	22,400	16.96	n/a	n/a	840.00	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARABOO GROWTH	031	ENG	B	15,000	13.45	n/a	n/a	600.00	4.0
NORTHPOINT	030	ENG	S	6,649	13.78	n/a	n/a	265.96	4.0
MERRILL ASSET	032	EQ	S	13,800	54.68	n/a	n/a	621.00	4.5
THE BOSTON COMPANY	214	FDRY	S	34,000	20.80	n/a	22-Mar	1,360.00	4.0
HIGHBRIDGE CAPITAL	038	FL	SS	108,570	14.76	22-Aug	4-Sep	5,428.50	5.0
APEX CAPITAL MGMT.	091	GES	SS	35,000	50.05	n/a	n/a	1,750.00	5.0
SAXON WOODS ADVISORS	038	GE	S	20,000	40.50	n/a	n/a	1,000.00	5.0
SECOND CURVE	031	GHL	B	46,500	73.46	n/a	n/a	2,325.00	5.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	38.43	n/a	26-Oct	1,250.00	5.0
NORTHPOINT	030	GPX	B	2,420	10.98	n/a	n/a	96.80	4.0
B BUCK CAPITAL MGMT		GSF	S	5,000	80.19	n/a	n/a	non-brg	4.0
LEDDY	035	GSI	B	800	12.04	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	GT	S	12,500	29.26	n/a	n/a	625.00	5.0
HIGHBRIDGE CAPITAL	038	GDX	S	48,000	25.65	n/a	n/a	2,400.00	5.0
B BUCK CAPITAL MGMT		GYMB	B	20,000	33.67	10-Aug	18-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	B	20,000	34.31	10-Aug	18-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	GYMB	B	900	33.98	10-Aug	18-Oct	36.00	4.0
CROWLEY	061	HCGI	S	3,500	1.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HOS	S	20,000	39.61	n/a	n/a	non-brg	4.0
PHILADELPHIA FINANCIAL	033	IVZ	S	24,736	30.15	8-Oct	22-Oct	1,236.80	5.0
ROARING BLUE LION MGMT	012	IVZ	S	10,000	30.08	8-Oct	22-Oct	400.00	4.0
APEX CAPITAL MGMT.	091	JCG	B	40,000	35.23	24-Oct	24-Oct	2,000.00	5.0
B BUCK CAPITAL MGMT		JCG	S	18,600	35.98	24-Oct	24-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		JCG	S	197,800	35.86	24-Oct	24-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		JCG	S	230,000	35.95	24-Oct	24-Oct	non-brg	2.0
B BUCK CAPITAL MGMT		JCG	S	51,400	35.52	24-Oct	24-Oct	non-brg	1.0
THE BOSTON COMPANY	214	JNS	B	21,000	33.80	19-Oct	25-Oct	1,050.00	5.0
BUCK CAPITAL MGMT	001	JNY	SS	10,000	20.00	n/a	23-Oct	400.00	4.0
B BUCK CAPITAL MGMT		JOSB	S	10,000	29.14	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JOSB	S	5,000	29.06	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	JWN	B	70,000	39.64	12-Oct	12-Oct	2,800.00	4.0
SINCLAIR	031	KEG	B	540	13.34	29-Oct	29-Oct	0.00	0.0
WASHINGTON ASSET	048	KFT	S	8,000	32.63	n/a	n/a	400.00	5.0
BELMONT GLOBAL ADV	248	KMX	SS	6,000	20.16	n/a	10-Jan	300.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	56.83	27-Sep	12-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROBX	033	LCAV	S	60,000	19.94	n/a	n/a	1,800.00	3.0
PILOT ADV	038	LEH	SS	12,000	62.30	12-Jun	16-Oct	480.00	4.0
SINCLAIR	031	LESAM	B	20	3.60	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	LIZ	SS	10,000	29.09	n/a	23-Oct	400.00	4.0
THIRD POINT MGMT	044	LIZ	SS	100,000	29.14	n/a	23-Oct	4,000.00	4.0
SUNOVA CAPITAL	031	LM	S	20,000	81.22	12-Oct	24-Oct	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	035	LPX	B	50,000	16.71	30-Oct	30-Oct	2,500.00	5.0
SCOPUS FUND	041	LPX	S	18,000	16.80	30-Oct	30-Oct	900.00	5.0
COUGAR TRADING	044	LTD	B	10,000	21.96	n/a	17-Oct	500.00	5.0
PAKLER	N22	LULU	S	83	48.51	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	MDTH	B	5,850	28.13	n/a	n/a	292.50	5.0
BUCK	015	MERXL	B	15	2.15	n/a	n/a	0.00	0.0
CATAPULT	040	MS	SS	5,000	66.00	2-Jul	16-Oct	250.00	5.0
AMBER CAPITAL	046	MUR	SS	45,000	72.38	n/a	n/a	1,800.00	4.0
COUGAR TRADING	044	M	S	10,000	32.55	24-Sep	12-Oct	500.00	5.0
NORTHPOINT	030	NAVG	B	23,370	60.27	n/a	n/a	934.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HEALY CIRCLE	044	NCR	B	25,000	25.93	n/a	n/a	1,250.00	5.0
LEDDY	035	NEXC	S	3,819	6.02	n/a	n/a	0.00	0.0
BARR	096	NGI	B	5,750	5.09	n/a	n/a	0.00	0.0
BUCK	015	NMXWF	B	8	4.50	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	214	NSM	S	28,000	25.21	n/a	n/a	1,120.00	4.0
NOMURA CAPITAL	045	NWA	S	6,500	18.15	n/a	n/a	325.00	5.0
MAZAMA CAPITAL MGMT.	035	NZ	B	45,700	13.69	n/a	n/a	1,828.00	4.0
B BUCK CAPITAL MGMT		PLCE	B	100	25.15	26-Sep	18-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		PLCE	B	50,000	25.12	26-Sep	18-Oct	non-brg	4.0
OGORMAN	046	PLCE	B	300	25.25	26-Sep	18-Oct	0.00	0.0
STRATTON	N21	PRXI	B	250	10.68	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PSUN	B	5,000	16.33	n/a	25-Oct	250.00	5.0
B BUCK CAPITAL MGMT		PTT	S	10,000	11.08	n/a	n/a	non-brg	2.5
COUGAR TRADING	044	PVH	SS	5,000	46.49	13-Aug	29-Aug	250.00	5.0
WHITTIER CAP	048	PVH	B	3,610	46.49	13-Aug	29-Aug	144.40	4.0
AMBER CAPITAL	046	PXD	SS	60,000	49.65	n/a	11-Oct	2,400.00	4.0
NORTHPOINT	030	RADS	B	85,720	15.19	n/a	n/a	3,428.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	170,000	69.19	9-Aug	29-Aug	6,800.00	4.0
COUGAR TRADING	044	RL	SS	10,000	68.85	9-Aug	29-Aug	500.00	5.0
COUGAR TRADING	044	RL	S	10,000	68.54	9-Aug	29-Aug	500.00	5.0
⌘ BUCK CAPITAL MGMT		RSH	SS	70,000	20.93	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	SKS	S	25,000	20.95	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		SKS	S	90,000	20.93	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKX	S	10,000	24.72	n/a	13-Mar	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SKX	S	170,000	24.73	n/a	13-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKX	S	20,000	24.72	n/a	13-Mar	non-brg	1.0
MERRILL LYNCH STRATEGICI	034	SLB	S	10,000	99.29	n/a	n/a	600.00	6.0
STONERIDGE INV PART	033	SSI	B	17,200	17.59	3-Aug	12-Oct	860.00	5.0
⌘ BUCK CAPITAL MGMT		SWN	S	20,000	50.39	n/a	1-Oct	non-brg	4.0
ZOLIDIS	011	TBL	SS	300	19.79	n/a	13-Mar	0.00	0.0
ZOLIDIS	011	TIF	SS	100	52.85	18-Oct	18-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		TJX	B	100,000	28.57	21-Sep	12-Oct	non-brg	4.0
COUGAR TRADING	044	TJX	B	10,000	28.35	21-Sep	12-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		TRLG	B	20,000	15.51	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TWB	B	30,000	29.50	2-Oct	2-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	URBN	B	10,000	24.48	23-Oct	23-Oct	500.00	5.0
MATTHES CAPITAL MGMT	033	VFC	SS	10,000	85.72	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	WDR	S	20,000	32.24	23-Oct	23-Oct	1,000.00	5.0
AMBER CAPITAL	046	WFT	B	100,000	64.51	n/a	n/a	4,000.00	4.0
CAPITAL GROWTH MGMT.	241	WFT	S	200,000	64.58	n/a	n/a	10,000.00	5.0
B BUCK CAPITAL MGMT		WTSLA	S	148,000	2.65	n/a	n/a	non-brg	2.0
ESSEX CAP MGMT	067	XLE	SS	221,900	75.56	n/a	n/a	11,095.00	5.0
CATTANI	041	YHOO	B	300	31.42	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	YUM	SS	15,000	40.20	n/a	24-Apr	600.00	4.0
ZOLIDIS	011	ZUMZ	B	250	41.40	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								143,965.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/29	FIRST NY SEC/CHRIS	041	ABG	B	15,000	19.25	31-Oct	26-Oct	750.00 5.0
AO,CXL	10/29	FIRST NY SEC/CHRIS	041	ABG	B	15,000	19.25	31-Oct	26-Oct	900.00 6.0
AO,CXL	06/28	BUCK CAPITAL MGMT	015	BG	B	500	81.05	n/a	n/a	0.00 0.0
AO,CRT	06/28	BUCK CAPITAL MGMT	015	BG	B	500	81.05	n/a	n/a	0.00 0.0
AO,CXL	07/02	BUCK CAPITAL MGMT	015	BG	S	500	85.86	n/a	n/a	0.00 0.0
AO,CRT	07/02	BUCK CAPITAL MGMT	015	BG	S	500	85.86	n/a	n/a	0.00 0.0
AO,	10/29	ROBX	033	DUK	S	45,000	19.01	n/a	n/a	1350.00 3.0
AO,CXL	10/29	HIGHBRIDGE CAPITAL	038	FL	SS	166,500	14.57	22-Aug	4-Sep	8325.00 5.0
AO,CRT	10/29	HIGHBRIDGE CAPITAL	038	FL	SS	166,500	14.57	22-Aug	4-Sep	8325.00 5.0
AO,CRT	10/26	COUGAR TRADING	044	JCG	S	900	37.60	24-Oct	24-Oct	45.00 5.0
AO,CXL	10/26	COUGAR TRADING	044	JCG	S	900	27.60	24-Oct	24-Oct	45.00 5.0
AO,CRT	10/25	APEX CAPITAL MGMT.	091	KSS	B	5,000	56.00	27-Sep	12-Oct	250.00 5.0
AO,CXL	10/29	APEX CAPITAL MGMT.	091	KSS	B	5,000	56.00	27-Sep	12-Oct	250.00 5.0
AO,CRT	10/25	DAVIDSON KEMPNER ADVISOR	217	TWC	S	12,900	30.97	26-Oct	26-Oct	645.00 5.0
AO,CXL	10/25	DAVIDSON KEMPNER ADVISOR	217	TWC	S	12,900	30.97	26-Oct	26-Oct	645.00 5.0
AO,CRT	10/26	DAVIDSON KEMPNER ADVISOR	217	TWC	S	50,000	29.66	26-Oct	26-Oct	2500.00 5.0
AO,CXL	10/26	DAVIDSON KEMPNER ADVISOR	217	TWC	S	50,000	29.66	26-Oct	26-Oct	2500.00 5.0
AO,CXL	10/29	LISTED ERR	099	XLFF	B	50,000	33.45	n/a	n/a	0.00 0.0
AO,CRT	10/29	LISTED ERR	099	XLFF	B	50,000	33.45	n/a	n/a	0.00 0.0
AO,CXL	10/29	LISTED ERR	099	XLFF	S	50,000	33.45	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	10/29	LISTED ERR	099	XLFF	S	50,000	33.45	n/a	n/a

TOTAL (AO, CXL, CRT):								1,200.00	
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TOTAL (Trade Date):								143,965.81	
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TOTAL (AO, CXL, CRT):								1,200.00	
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TOTAL (RUN DATE) / NFS:								145,165.81	
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MRI Securities with Trade Activity on 30-Oct.
LPX

MRI Securities without Trade Activity on 30-Oct.
HRS

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 19%
YTD = 18%

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