



# Daily Compliance Activity Report

Trade Date: 03/13/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	S	10,000	27.54	n/a	n/a	non-brg	5.0
Glenn Redemann		ACGY	B	16	0.29	n/a	n/a	0.00	0.0
Glenn Redemann		ACGY	B	16	0.29	n/a	n/a	0.00	0.0
Glenn Redemann		ACGY	S	16	0.66	n/a	n/a	0.00	0.0
Glenn Redemann		ACGY	S	16	0.86	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AEO	S	10,000	29.66	4-Jan	9-Mar	non-brg	5.0
ENTRUST CAPITAL	040	AM	B	75,000	22.76	n/a	n/a	3,750.00	5.0
EFSTATHIOU	044	ANF	C	100	73.88	2-Feb	9-Mar	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	ANN	SS	60,000	35.92	5-Jan	13-Mar	2,400.00	4.0
BULL PATH CAPITAL	044	ANN	B	65,000	35.80	5-Jan	13-Mar	3,250.00	5.0
J L F ASSET MGMT	039	ANN	S	98,200	35.66	5-Jan	13-Mar	3,928.00	4.0
CHARTER OAK	037	APC	B	25,000	40.07	27-Feb	12-Mar	1,250.00	5.0
MERRILL ASSET	032	ASF	B	7,300	36.46	n/a	n/a	365.00	5.0
MERRILL LYNCH STRATEGICI	034	AVR	B	20,000	14.79	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	BBW	S	40,000	26.65	8-Jan	21-Feb	1,600.00	4.0
COUGAR TRADING	044	BBW	S	10,000	26.83	8-Jan	21-Feb	500.00	5.0
BUCK CAPITAL MGMT		BBY	S	20,000	47.73	13-Dec	21-Feb	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BDK	SS	40,000	83.33	n/a	n/a	non-brg	5.0
THE JAY GOLDMAN	034	BKE	B	30,000	36.03	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		BLDR	S	10,489	16.95	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		BONT	S	10,000	52.38	9-Mar	9-Mar	non-brg	5.0
COUGAR TRADING	044	BONT	B	5,000	54.40	9-Mar	9-Mar	250.00	5.0
STERLING JOHNSTON	035	BONT	S	10,000	54.36	9-Mar	9-Mar	500.00	5.0
LISTED ERR	099	BSCCI	B	3	2.80	n/a	n/a	0.00	0.0
LISTED ERR	099	BSCCI	S	3	3.28	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BSC	B	4,200	146.09	15-Dec	13-Mar	non-brg	5.0
OGORMAN	146	BSC	B	100	147.00	15-Dec	13-Mar	0.00	0.0
PLATTE RIVER CAPITAL	035	BUD	B	20,700	50.36	n/a	n/a	828.00	4.0
BUCK	015	CBM	S	100	23.62	n/a	n/a	0.00	0.0
WHEELER	008	CCCJU	S	200	0.90	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	CELG	B	146,508	50.91	n/a	n/a	2,930.16	2.0
STRONG/MARK GRONET	030	CHB	B	80,000	8.32	n/a	n/a	2,400.00	3.0
B BUCK CAPITAL MGMT		CHCG	B	100,000	6.35	n/a	n/a	non-brg	3.0
KORMAN	003	CHCG	B	15,000	6.40	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	CLE	SS	80,400	30.68	3-Nov	9-Mar	3,216.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ö Glenn Redemann		CLM	S	1162	8.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CMRG	B	10,000	11.52	n/a	n/a	non-brg	1.0
TRIBECA/DOUG	040	CNS	SS	10,000	39.56	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		COH	S	50,000	48.72	23-Feb	23-Feb	non-brg	5.0
ß BUCK CAPITAL MGMT		CTRN	S	5,000	42.30	n/a	n/a	non-brg	5.0
TPG-AXON	040	CVS	S	350,000	32.45	n/a	n/a	17,500.00	5.0
ß BUCK CAPITAL MGMT		CWTR	B	10,000	17.27	n/a	n/a	non-brg	1.0
KORMAN	003	CXTI	B	10,000	5.53	n/a	n/a	0.00	0.0
GRUSS CAPITAL	040	DCT	B	25,000	11.41	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		DECK	S	5,000	69.90	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	DKS	B	15,000	55.68	n/a	n/a	600.00	4.0
ß BUCK CAPITAL MGMT		DLTR	S	40,000	36.59	8-Feb	12-Mar	non-brg	5.0
BUCK CAPITAL MGMT	001	DSW	S	10,000	40.65	n/a	9-Feb	400.00	4.0
J L F ASSET MGMT	039	EAT	SS	4,400	32.16	n/a	8-Mar	176.00	4.0
GRUSS CAPITAL	040	EGP	B	7,500	52.72	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LEDDY</b>	<b>035</b>	<b>EVST</b>	<b>S</b>	<b>600</b>	<b>18.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARON ASSET MGMT*	012	EV	B	12,500	34.58	2-Nov	5-Mar	625.00	5.0
<b>BUCK CAPITAL MGMT</b>		<b>EV</b>	<b>S</b>	<b>20,000</b>	<b>34.00</b>	<b>2-Nov</b>	<b>5-Mar</b>	<b>non-brg</b>	<b>5.0</b>
ADAGE CAPITAL MGMT	030	FDO	B	97,900	30.04	3-Nov	12-Mar	3,916.00	4.0
J L F ASSET MGMT	039	FDO	SS	16,600	29.44	3-Nov	12-Mar	664.00	4.0
PRINCIPLE CAPITAL	040	FDO	SS	120,000	29.71	3-Nov	12-Mar	3,600.00	3.0
MERRILL LYNCH STRATEGICI	034	FL	B	10,000	22.19	n/a	8-Mar	500.00	5.0
CAXTON PART	040	GE	S	106,426	34.08	n/a	n/a	4,257.04	4.0
<b>WHEELER</b>	<b>008</b>	<b>GHM</b>	<b>S</b>	<b>5,000</b>	<b>15.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	035	GLW	B	2,500	21.52	n/a	2-Mar	100.00	4.0
RAINIER INV MGMT	035	GMT	S	124,650	45.73	n/a	n/a	4,986.00	4.0
BARR	096	GM	SS	600	30.75	n/a	n/a	0.00	0.0
CATAPULT	040	GPN	S	5,000	37.65	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>		<b>GTRC</b>	<b>S</b>	<b>10,000</b>	<b>44.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
WAGONHOUND	048	GYMB	B	10,000	35.40	4-Jan	9-Mar	400.00	4.0
PLATTE RIVER CAPITAL	035	HD	B	9,000	37.85	n/a	1-Mar	360.00	4.0
SENTINAL CAPITAL	067	HLT	S	10,000	34.38	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		ICON	S	20,000	19.31	n/a	n/a	non-brg	5.0
ASCEND PARTNERS	033	ISE	B	20,000	45.62	26-Oct	13-Mar	1,000.00	5.0
GAULT	063	ISE	B	500	44.68	26-Oct	13-Mar	0.00	0.0
SUTERA	160	ISE	B	1,000	45.24	26-Oct	13-Mar	0.00	0.0
KERN	050	ITCD	B	3,000	2.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		JADE	B	10,000	9.52	n/a	n/a	non-brg	5.0
SANDLER O'NEILL ASSET	031	JNC	B	25,000	46.58	n/a	5-Mar	1,250.00	5.0
KEEFE BRUYETTE WOODS A	031	JNS	B	35,500	19.51	5-Mar	9-Mar	1,775.00	5.0
KEEFE BRUYETTE WOODS A	031	JNS	SS	15,100	20.05	5-Mar	9-Mar	755.00	5.0
BUCK CAPITAL MGMT		JOSB	B	30,000	31.71	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		JWN	S	45,000	51.93	27-Feb	9-Mar	non-brg	5.0
BUCK CAPITAL MGMT		KCP	S	5,000	25.17	n/a	28-Feb	non-brg	5.0
BUCK CAPITAL MGMT	001	KMX	S	10,000	50.76	n/a	10-Jan	400.00	4.0
MERRILL LYNCH STRATEGICI	034	KMX	SS	5,000	51.51	n/a	10-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	10,000	30.56	n/a	n/a	400.00	4.0
MAGUIRE	039	LEH	S	100	73.27	n/a	13-Mar	0.00	0.0
OGORMAN	146	LEH	B	100	72.00	n/a	13-Mar	0.00	0.0
GAULT	063	LESCO	B	30	0.65	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRIBECA/DOUG	040	LM	B	5,000	97.34	n/a	6-Mar	200.00	4.0
PRIME CAPITAL	048	LUV	B	25,000	14.86	n/a	n/a	1,000.00	4.0
WHITTIER CAP	048	LYV	B	8,370	22.06	n/a	n/a	334.80	4.0
US BANCORP	030	MAT	S	222,618	27.53	n/a	n/a	11,130.90	5.0
PLATTE RIVER CAPITAL	035	MEG	B	7,000	40.27	n/a	n/a	280.00	4.0
CSFB GLOBAL PROPRIETARY	035	MWV	B	100,000	29.48	8-Jan	1-Feb	5,000.00	5.0
MAGUIRE	090	MZZ	B	10,000	60.80	n/a	n/a	0.00	0.0
MERRILL ASSET	032	NCT	S	6,900	27.53	n/a	n/a	345.00	5.0
⚡ BUCK CAPITAL MGMT		NTRI	S	20,000	46.23	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	NWY	S	45,000	14.99	1-Dec	9-Mar	1,800.00	4.0
LOOMIS SALES/BOSTON	036	ODP	B	267,948	34.54	n/a	2-Mar	10,717.92	4.0
⚡ BUCK CAPITAL MGMT		OEF	SS	31,000	64.14	n/a	n/a	non-brg	2.0
GALLEON MGMT LP	033	OIH	C	5,000	138.33	n/a	n/a	250.00	5.0
BARR	096	OPY	S	500	33.05	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		PFCB	SS	20,000	41.77	n/a	20-Feb	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	PFCB	SS	6,100	41.90	n/a	20-Feb	244.00	4.0
STRONG/MARK GRONET	030	PGIC	S	100,000	5.71	n/a	n/a	3,000.00	3.0
MATRIX ASSET ADV.	036	PGR	B	18,000	22.01	n/a	n/a	720.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>5,000</b>	<b>55.35</b>	<b>n/a</b>	<b>9-Mar</b>	<b>non-brg</b>	<b>5.0</b>
BEAR STEARNS ASSET MGMT.	033	PNRA	SS	10,000	60.00	n/a	n/a	400.00	4.0
KNOTT PARTNERS	044	PRX	B	25,000	24.34	30-Jan	14-Mar	1,000.00	4.0
<b>SUTERA</b>	<b>160</b>	<b>PZZA</b>	<b>S</b>	<b>1,000</b>	<b>30.28</b>	<b>n/a</b>	<b>28-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>QCOM</b>	<b>B</b>	<b>4</b>	<b>0.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>QCOM</b>	<b>B</b>	<b>4</b>	<b>0.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SEASONS CAPITAL	040	QCOM	SS	200,000	41.68	n/a	n/a	10,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>25,000</b>	<b>84.64</b>	<b>2-Feb</b>	<b>16-Feb</b>	<b>1,000.00</b>	<b>4.0</b>
CRAMER ROSENTHAL/SCOTT	012	RL	C	25,000	84.81	2-Feb	16-Feb	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RVI</b>	<b>S</b>	<b>10,000</b>	<b>20.40</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>RVI</b>	<b>S</b>	<b>800</b>	<b>20.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SDXC</b>	<b>B</b>	<b>17,000</b>	<b>18.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
STRONG/MARK GRONET	030	SLXP	B	80,000	12.63	n/a	n/a	3,200.00	4.0
WHITTIER CAP	048	SSI	B	5,215	21.65	26-Feb	9-Mar	208.60	4.0
CATAPULT	040	STT	S	5,000	62.84	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MCCARTAN	028	SWK	C	100	55.69	n/a	n/a	0.00	0.0
CROWLEY	061	TACT	B	1,500	7.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TGT	S	5,000	60.05	n/a	8-Mar	non-brg	5.0
BALYASNY ASSET MGMT	044	TROW	S	30,000	46.39	n/a	5-Mar	1,500.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	50,000	34.88	22-Feb	22-Feb	2,000.00	4.0
GOLDMAN SACHS ASSET MGMT	044	T	B	187,000	37.43	26-Jan	12-Mar	3,740.00	2.0
WHALE ROCK CAP	030	T	B	25,000	37.35	26-Jan	12-Mar	1,000.00	4.0
LEDDY	035	T	S	600	37.20	26-Jan	12-Mar	0.00	0.0
ROXBURY CAPITAL MGMT	035	USTR	B	75,000	57.87	16-Feb	16-Feb	3,000.00	4.0
BEAR STEARNS ASSET MGMT.	033	USU	B	35,000	15.04	n/a	n/a	1,400.00	4.0
DAVIDSON TRUST CO	033	WB	S	1,000	53.90	n/a	n/a	90.00	9.0
Õ Glenn Redemann		WFR	B	7	0.31	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WFR	B	7	0.51	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WFR	S	7	0.89	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WFR	S	7	1.58	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WHR	SS	40,000	84.80	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		WHR	SS	40,000	85.50	n/a	n/a	non-brg	5.0
HARVEST MGMT	039	WMT	S	64,300	46.21	n/a	8-Mar	3,215.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		WTSLA	B	40,000	5.72	n/a	n/a	non-brg	4.0
SAILFISH	037	WYE	B	20,000	49.59	n/a	31-Mar	1,000.00	5.0
KERN	050	XOHO	B	2,000	4.34	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	275,000	11.32	9-Mar	13-Mar	11,000.00	4.0
ß BUCK CAPITAL MGMT		ZQK	S	100,000	11.25	9-Mar	13-Mar	non-brg	5.0
ß BUCK CAPITAL MGMT		ZQK	S	150,000	11.19	9-Mar	13-Mar	non-brg	5.0
ß BUCK CAPITAL MGMT		ZQK	S	25,000	11.27	9-Mar	13-Mar	non-brg	5.0
ß BUCK CAPITAL MGMT		ZUMZ	S	5,000	36.20	n/a	n/a	non-brg	5.0
TOTAL (Trade Date):							156,407.42		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/12	WAGONHOUND	048	GYMB	B	5,000	36.04	4-Jan	9-Mar	200.00 4.0
AO,CXL	03/12	WAGONHOUND	048	GYMB	B	5,000	36.04	4-Jan	9-Mar	250.00 5.0
AO,	03/12	NCM CAPITAL MGMT	035	SBH	S	3,150	9.62	n/a	n/a	157.50 5.0
AO,CRT	03/12	NCM CAPITAL MGMT	035	SBH	S	10,700	9.62	n/a	n/a	385.00 3.3
AO,CXL	03/12	NCM CAPITAL MGMT	035	SBH	S	15,700	9.62	n/a	n/a	635.00 3.3
AO,	03/12	MKT MAKER	099	USTR	B	50	58.03	16-Feb	16-Feb	0.00 0.0
AO,	03/12	MKT MAKER	099	USTR	S	100	58.30	16-Feb	16-Feb	0.00 0.0
AO,CXL	03/12	XYLEM GLOBAL	091	WY	S	16,500	81.69	15-Dec	9-Feb	825.00 5.0
AO,	03/12	XYLEM GLOBAL	091	WY	S	19,500	81.57	15-Dec	9-Feb	975.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>7.50</b>
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TOTAL (Trade Date):	156,407.42
TOTAL (AO, CXL, CRT):	7.50

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>156,414.92</b>
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MRI Securities with Trade Activity on 13-Mar. NONE
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MRI Securities without Trade Activity on 13-Mar.

USG

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 31%

YTD = 17%

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