



Daily Compliance Activity Report

Trade Date: 10/18/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTH GROWTH RESEARCH	030	AAWW	S	8,575	56.42	n/a	n/a	343.00	4.0
NORTHPOINT	030	AAWW	S	9,600	56.42	n/a	n/a	384.00	4.0
LAGRANGE CAP ADV	048	ABG	B	11,600	18.96	18-Jun	8-Oct	580.00	5.0
B BUCK CAPITAL MGMT		AEO	B	50,000	23.08	12-Oct	12-Oct	non-brg	4.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	84,000	9.50	n/a	n/a	3,360.00	4.0
BALYASNY ASSET MGMT	044	ANF	SS	10,000	79.02	2-Oct	12-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	78.89	2-Oct	12-Oct	400.00	4.0
COUGAR TRADING	044	ANF	SS	5,000	78.65	2-Oct	12-Oct	250.00	5.0
ROTHSCHILD ASSET	040	ARJ	B	20,100	45.33	n/a	n/a	904.50	4.5
BUCK CAPITAL MGMT	001	ARO	B	188,500	20.60	n/a	12-Oct	7,540.00	4.0
VENTANA CAPITAL	060	ARO	SS	10,000	20.43	n/a	12-Oct	400.00	4.0
B BUCK CAPITAL MGMT		ASD	B	20,000	33.24	18-Oct	18-Oct	non-brg	4.0
NORTHPOINT	030	ATU	S	2,000	67.63	n/a	n/a	80.00	4.0
NOMURA CAPITAL	045	AWI	B	1,400	40.79	n/a	n/a	70.00	5.0
CHILTON CAPITAL MGMT.	036	BEAS	S	77,777	18.25	n/a	3-Apr	3,111.08	4.0
B BUCK CAPITAL MGMT		BONT	B	20,000	18.71	17-Oct	17-Oct	non-brg	1.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		BONT	B	60,000	18.73	17-Oct	17-Oct	non-brg	4.0
	LAGRANGE CAP ADV	048	BONT	B	15,000	18.65	17-Oct	17-Oct	750.00	5.0
	BUCK CAPITAL MGMT	001	BWS	B	20,000	20.05	n/a	n/a	800.00	4.0
	GEORGE WEISS	034	CBE	SS	2,000	54.62	19-Jul	9-Oct	80.00	4.0
	STRATTON	N21	CDL	B	500	4.15	n/a	n/a	0.00	0.0
	CHILTON CAPITAL MGMT.	036	CEM	SS	37,331	9.59	n/a	n/a	1,493.24	4.0
	PAKLER	N22	CHL	S	56	94.93	n/a	n/a	0.00	0.0
	BEAR STEARNS ASSET MGMT.	033	CHS	SS	50,000	12.86	12-Oct	12-Oct	2,000.00	4.0
ß	BUCK CAPITAL MGMT		CHS	S	100,000	13.13	12-Oct	12-Oct	non-brg	4.0
	PAKLER	N22	CMG	B	36	124.09	n/a	24-Apr	0.00	0.0
	CAPITAL GROWTH MGMT.	241	CMI	B	40,000	138.39	n/a	n/a	2,000.00	5.0
	SINCLAIR	031	CNMMV	S	2	20.70	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	COH	SS	380,000	42.53	15-Oct	15-Oct	15,200.00	4.0
ß	BUCK CAPITAL MGMT		COH	SS	200,000	42.61	15-Oct	15-Oct	non-brg	2.0
	LISTED ERR	099	COH	S	1,100	42.59	15-Oct	15-Oct	0.00	0.0
ß	BUCK CAPITAL MGMT		CTRN	S	90,000	19.52	n/a	n/a	non-brg	4.0
	TRIVIUM CAP MGMT	251	CTXS	B	33,600	39.34	n/a	n/a	1,344.00	4.0
	MUHLENKAMP FUND	046	C	S	200,000	44.01	n/a	16-Oct	10,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		DBRN	S	50,000	15.74	n/a	n/a	non-brg	4.0
PAKLER	N22	DRYS	S	31	120.84	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	D	SS	8,371	86.83	n/a	n/a	334.84	4.0
KERN	050	EDA	S	500	11.91	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	EL	B	25,000	43.72	16-Aug	16-Aug	1,000.00	4.0
CATAPULT	040	ETFC	B	10,000	11.47	n/a	n/a	500.00	5.0
CATAPULT	040	ETFC	SS	10,000	11.67	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		FLDR	SS	10,000	4.94	n/a	n/a	non-brg	1.0
TRELLUS PARTNERS LP	028	FOSL	C	40,000	37.26	12-Sep	12-Sep	2,000.00	5.0
BUCK CAPITAL MGMT	001	GES	S	20,000	54.30	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		GIII	S	6,300	19.76	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	GM	S	18,300	40.06	n/a	16-Oct	915.00	5.0
CHILTON CAPITAL MGMT.	036	GM	SS	50,000	38.33	n/a	16-Oct	2,000.00	4.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	39.65	n/a	16-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		GYMB	B	10,000	35.06	10-Aug	18-Oct	non-brg	4.0
DEEPHAVEN	031	HLT	S	50,000	47.34	n/a	n/a	2,000.00	4.0
THIRD COAST CAPITAL	035	HNI	B	15,000	38.68	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EFSTATHIOU	044	HONVL	B	10	0.65	n/a	n/a	0.00	0.0
LEDDY	035	HON	SS	600	60.69	9-Oct	9-Oct	0.00	0.0
THIRD COAST CAPITAL	035	IFLO	B	35,000	18.52	n/a	n/a	1,750.00	5.0
NORTH GROWTH RESEARCH	030	IIG	S	6,075	23.31	n/a	n/a	243.00	4.0
NORTHPOINT	030	IIG	S	7,100	23.31	n/a	n/a	284.00	4.0
ß BUCK CAPITAL MGMT		IKAN	S	50,000	6.15	n/a	n/a	non-brg	2.5
GALLEON MGMT LP	033	IMCL	B	15,000	47.66	n/a	n/a	750.00	5.0
ß BUCK CAPITAL MGMT		JADE	S	100,000	4.20	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		JADE	S	150,000	4.27	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		JADE	S	200,000	4.32	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		JCG	S	25,000	39.74	22-Jun	6-Sep	non-brg	2.0
ß BUCK CAPITAL MGMT		JCG	S	75,000	39.97	22-Jun	6-Sep	non-brg	4.0
COUGAR TRADING	044	JCG	B	5,000	39.99	22-Jun	6-Sep	250.00	5.0
TRELLUS PARTNERS LP	028	JCI	SS	11,700	42.21	2-Oct	10-Oct	585.00	5.0
APEX CAPITAL MGMT.	091	JCP	B	5,000	57.57	12-Oct	12-Oct	250.00	5.0
VISIUM/BALY HOWARD	038	JCP	B	25,000	57.82	12-Oct	12-Oct	1,250.00	5.0
UBS OCONNOR	031	JPM	B	105,000	45.90	19-Oct	18-Oct	3,150.00	3.0
BUCK CAPITAL MGMT	001	JWN	S	50,000	40.23	12-Oct	12-Oct	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRATTON	N21	KEG	B	200	15.25	23-Jul	11-Oct	0.00	0.0
CATAPULT	040	KEY	B	25,000	29.58	n/a	n/a	1,250.00	5.0
CHILTON CAPITAL MGMT.	036	KFT	S	10,000	33.78	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		KSS	B	10,000	56.00	27-Sep	12-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	S	100,000	56.16	27-Sep	12-Oct	non-brg	4.0
COUGAR TRADING	044	KSS	SS	10,000	55.42	27-Sep	12-Oct	500.00	5.0
COUGAR TRADING	044	KSS	S	5,000	55.99	27-Sep	12-Oct	250.00	5.0
CASTLEROCK	040	LIZ	SS	59,500	29.63	n/a	14-Sep	2,380.00	4.0
PAKLER	N22	LULU	B	83	54.06	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	MAR	B	1,900	41.00	n/a	n/a	95.00	5.0
SSI INVESTORS	048	MDT	SS	49,483	49.00	n/a	22-Apr	1,979.32	4.0
B BUCK CAPITAL MGMT		MVRX	SS	80,000	168.75	n/a	n/a	non-brg	16.9
BUCK CAPITAL MGMT	001	M	S	100,000	31.25	24-Sep	12-Oct	4,000.00	4.0
B BUCK CAPITAL MGMT		M	B	10,000	30.95	24-Sep	12-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		M	S	10,000	31.25	24-Sep	12-Oct	non-brg	4.0
GALLEON MGMT LP	033	M	B	10,000	31.25	24-Sep	12-Oct	500.00	5.0
B BUCK CAPITAL MGMT		NAQ/U	B	200,000	10.00	n/a	n/a	non-brg	4.0
GOLD SACHS SPECIAL SIT	030	NDN	SS	53,300	10.48	13-Aug	12-Oct	2,665.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY HOWARD	038	NDN	S	40,000	10.27	13-Aug	12-Oct	2,000.00	5.0
BARR	096	NGI	B	9,950	4.98	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	NKTR	S	40,000	6.91	n/a	n/a	1,600.00	4.0
SUN AMERICA ASSET MGMT	030	NWY	B	50,000	6.41	25-May	18-Oct	2,500.00	5.0
THE JAY GOLDMAN	034	NWY	S	50,000	6.40	25-May	18-Oct	2,000.00	4.0
NORTH GROWTH RESEARCH	030	OMPI	S	4,890	21.05	n/a	n/a	195.60	4.0
NORTHPOINT	030	OMPI	S	9,100	21.05	n/a	n/a	364.00	4.0
BACK	041	ORCL	B	50,000	21.39	n/a	n/a	2,500.00	5.0
THIRD COAST CAPITAL	035	PCS	S	30,000	21.85	n/a	n/a	1,500.00	5.0
GARDNER LEWIS ASSET MGMT	028	PFE	C	41,000	24.64	n/a	31-Mar	2,050.00	5.0
LIGHTHOUSE FIN/QUAD	046	PIR	S	7,500	5.39	n/a	n/a	300.00	4.0
CSFB GLOBAL PROPRIETARY	035	PKG	S	30,000	31.00	18-Oct	18-Oct	1,500.00	5.0
BACK	041	PKG	S	22,500	30.78	18-Oct	18-Oct	1,125.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	100,000	18.87	n/a	n/a	4,000.00	4.0
LAGRANGE CAP ADV	048	PSS	B	15,000	18.69	n/a	n/a	750.00	5.0
METROPOLITAN CAPITAL	044	PSS	B	102,600	18.83	n/a	n/a	5,130.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	40,000	47.25	13-Aug	29-Aug	1,600.00	4.0
B BUCK CAPITAL MGMT		PVH	B	10,000	46.28	13-Aug	29-Aug	non-brg	4.0
COLUMBUS CIRCLE	036	PVH	S	42,116	46.16	13-Aug	29-Aug	1,684.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	PVH	B	15,200	46.45	13-Aug	29-Aug	570.00	3.8
THIRD COAST CAPITAL	035	PVH	SS	10,000	46.18	13-Aug	29-Aug	500.00	5.0
GOLDEN TREE	036	QQQQ	C	82,800	53.69	n/a	n/a	4,140.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	69.11	9-Aug	29-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	RL	S	10,000	68.27	9-Aug	29-Aug	400.00	4.0
CHILTON CAPITAL MGMT.	036	RL	S	3,000	69.32	9-Aug	29-Aug	120.00	4.0
COUGAR TRADING	044	RL	B	10,000	69.61	9-Aug	29-Aug	500.00	5.0
COUGAR TRADING	044	RL	SS	10,000	69.48	9-Aug	29-Aug	500.00	5.0
JP MORGAN VENTURES	046	RL	C	10,000	69.03	9-Aug	29-Aug	500.00	5.0
CHILTON CAPITAL MGMT.	036	RX	C	100,000	23.59	n/a	n/a	4,000.00	4.0
LAGRANGE CAP ADV	048	SAM	SS	6,300	54.18	n/a	n/a	315.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	70,000	20.44	n/a	13-Mar	2,800.00	4.0
BUCK CAPITAL MGMT		SKX	S	100,000	20.21	n/a	13-Mar	non-brg	4.0
CASTLEROCK	040	SPLS	SS	80,100	22.01	n/a	27-Jul	3,204.00	4.0
GOLDEN TREE	036	SPY	C	78,215	153.81	n/a	n/a	3,910.75	5.0
GTAM	036	SPY	C	9,185	153.81	n/a	n/a	459.25	5.0
STONERIDGE INV PART	033	SSI	B	47,395	18.08	3-Aug	12-Oct	2,369.75	5.0
ACT II PARTNERS	067	SSP	SS	25,000	44.65	n/a	n/a	1,250.00	5.0
MCCARTAN	028	SWK	C	100	54.77	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	TIF	SS	10,000	56.40	18-Oct	18-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TJX	S	50,000	28.94	21-Sep	12-Oct	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		TRLG	S	20,000	16.97	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	TUP	B	29,100	35.53	n/a	n/a	873.00	3.0
BUCK CAPITAL MGMT	001	TWB	B	45,000	30.64	2-Oct	2-Oct	1,800.00	4.0
⌘ BUCK CAPITAL MGMT		TWB	S	78,700	29.47	2-Oct	2-Oct	non-brg	4.0
COUGAR TRADING	044	TWB	B	10,000	30.86	2-Oct	2-Oct	500.00	5.0
JPMSI/TOM LEDDY	035	UA	B	10,000	56.13	n/a	n/a	500.00	5.0
MCCARTAN	028	UA	SS	100	56.38	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	B	20,000	22.81	31-Jul	10-Aug	non-brg	4.0
FIRST NY SEC/CHRIS	041	VC	B	15,000	5.93	n/a	10-Oct	900.00	6.0
MILLENIUM PARTNERS	028	VC	B	25,000	5.91	n/a	10-Oct	750.00	3.0
MATTHES CAPITAL MGMT	033	VFC	SS	10,000	82.17	n/a	n/a	400.00	4.0
STRATTON	N21	VFWAV	B	4	3.50	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	VMED	B	2,100	23.50	n/a	n/a	105.00	5.0
TPG-AXON	040	WAG	C	65,000	38.26	n/a	n/a	3,250.00	5.0
BARR	096	WBMD	S	200	51.17	n/a	n/a	0.00	0.0
SINCLAIR	031	WBWI	B	75	0.65	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		WRNC	S	50,000	40.14	19-Sep	28-Sep	non-brg	4.0
COUGAR TRADING	044	WRNC	B	5,000	39.98	19-Sep	28-Sep	250.00	5.0
STELLIAM INV ADV	040	WSM	B	10,000	29.85	n/a	n/a	500.00	5.0
Ⓐ BUCK CAPITAL MGMT		WSO	B	30,000	40.82	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	YRCW	SS	46,400	25.43	n/a	n/a	1,392.00	3.0
SINCLAIR	031	ZKEMI	B	100	0.20	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		ZQK	S	50,000	13.26	n/a	7-Sep	non-brg	4.0
TOTAL (Trade Date):							160,228.97		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/15	BUCK CAPITAL MGMT	001	COH	S	841,100	42.13	15-Oct	15-Oct	33644.00 4.0
AO,CRT	10/15	BUCK CAPITAL MGMT	001	COH	S	841,100	42.13	15-Oct	15-Oct	33644.00 4.0
AO,CXL	10/17	METROPOLITAN CAPITAL	044	KSS	B	17,100	56.98	27-Sep	12-Oct	684.00 4.0
AO,CRT	10/17	METROPOLITAN CAPITAL	044	KSS	B	17,100	56.98	27-Sep	12-Oct	855.00 5.0
AO,CRT	10/15	ACT II PARTNERS	067	LVLTT	B	100,000	4.39	6-Sep	17-Oct	4000.00 4.0
AO,CXL	10/15	ACT II PARTNERS	067	LVLTT	B	100,000	4.39	6-Sep	17-Oct	5000.00 5.0
AO,CRT	10/17	FORD FDN.	032	MDT	S	30,000	50.57	n/a	22-Apr	1500.00 5.0
AO,CXL	10/17	FORD FDN.	032	MDT	S	30,000	50.57	n/a	22-Apr	1500.00 5.0
AO,CXL	10/17	MATRIX ASSET ADV.	036	TEVA	S	2,600	45.26	2-Aug	18-Oct	3.62 0.0
AO,CRT	10/17	MATRIX ASSET ADV.	036	TEVA	S	2,600	45.26	2-Aug	18-Oct	104.00 4.0
AO,	10/17	GALLEON MGMT LP	033	WMT	B	90,000	45.46	4-Jun	27-Jul	4500.00 5.0
TOTAL (AO, CXL, CRT) :										3,771.38
TOTAL (Trade Date):										160,228.97
TOTAL (AO, CXL, CRT):										3,771.38
TOTAL (RUN DATE) / NFS:										164,000.35

MRI Securities with Trade Activity on 18-Oct.

ASD, PKG, TIF

MRI Securities without Trade Activity on 18-Oct.

APA

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

T-Date = 36%

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