



Daily Compliance Activity Report

Trade Date: 08/27/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROARING BLUE LION MGMT	012	AB	S	3,200	83.92	9-Aug	22-Aug	160.00	5.0
SAGE ASSET MGMT	012	ACA	B	9,300	6.85	n/a	n/a	465.00	5.0
B BUCK CAPITAL MGMT		AEO	B	30,000	25.95	10-Jul	21-Aug	non-brg	5.0
LOCUS WOOD CAPITAL MGMT	044	AEO	B	25,000	26.08	10-Jul	21-Aug	1,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	AF	B	148,100	26.26	n/a	n/a	5,924.00	4.0
NEW JERSEY DIV OF INV.	220	AMD	B	130,000	12.05	n/a	n/a	3,900.00	3.0
Õ Glenn Redemann		ANDE	B	2	1.17	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ANDE	B	2	1.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	79.63	23-Aug	23-Aug	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	AOS	S	26,800	48.65	18-Jul	18-Jul	1,072.00	4.0
BARROW HANLEY MEWHINNEY	031	AVY	B	113,400	60.54	13-Aug	21-Aug	4,536.00	4.0
LEVIN CAPITAL STRATEGIES	012	BAC	SS	15,000	51.32	20-Apr	16-Aug	600.00	4.0
DOWNTOWN ASSOC	033	BECN	B	19,800	10.97	n/a	n/a	693.00	3.5
BUCK CAPITAL MGMT	001	BIG	B	50,000	26.75	9-Mar	27-Aug	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	BIG	C	10,000	26.59	9-Mar	27-Aug	400.00	4.0
B BUCK CAPITAL MGMT		BJ	SS	10,000	34.72	10-Apr	27-Jul	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BJ	SS	10,000	35.37	10-Apr	27-Jul	non-brg	5.0
CARLYLE BLUE WAVE PR MG	224	BUD	S	8,200	48.41	n/a	n/a	410.00	5.0
VISIUM/BALY HOWARD	038	CACH	B	25,000	16.56	n/a	n/a	1,250.00	5.0
CARLYLE BLUE WAVE PR MG	224	CAR	SS	7,100	23.15	n/a	n/a	355.00	5.0
ACT II PARTNERS	067	CCOI	B	21,962	26.88	n/a	n/a	1,098.10	5.0
AMATURO	001	CHCG	B	5,462	5.50	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CHS	B	5,000	16.85	10-Aug	10-Aug	250.00	5.0
MATTHES CAPITAL MGMT	033	CHS	SS	10,000	16.93	10-Aug	10-Aug	400.00	4.0
CROWLEY	061	CMU	B	2,000	5.59	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COH	B	30,000	43.54	n/a	1-Aug	non-brg	5.0
J L F ASSET MGMT	039	COH	S	133,400	43.20	n/a	1-Aug	5,336.00	4.0
MANNING & NAPIER	034	CVC	S	63,237	32.70	8-Aug	16-Aug	2,529.48	4.0
MATTHES CAPITAL MGMT	033	CWTR	SS	10,000	17.17	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		DSW	S	40,300	31.06	2-Aug	10-Aug	non-brg	5.0
B BUCK CAPITAL MGMT		EGLT	C	40,000	12.03	n/a	n/a	non-brg	5.0
LEDDY	035	EVST	S	1,200	32.52	n/a	n/a	0.00	0.0
MATTHES CAPITAL MGMT	033	FDO	SS	10,000	28.05	9-Aug	10-Aug	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		FOSL	B	10,000	33.65	15-Aug	15-Aug	non-brg 5.0
MAGNETAR FINANCIAL	247	GMT	B	6,420	43.58	n/a	n/a	192.60 3.0
MAGNETAR FINANCIAL	247	HCR	B	100,000	63.28	n/a	26-Jul	2,000.00 2.0
HIGHBRIDGE CAPITAL	038	ILF	B	4,500	207.41	n/a	n/a	225.00 5.0
BARR	096	IMB	C	800	23.07	n/a	n/a	0.00 0.0
GALLEON MGMT LP	033	IP	C	15,000	34.63	4-May	20-Aug	750.00 5.0
GENERAL ELECTIC CO	033	ITT	B	22,726	64.61	n/a	27-Jul	909.04 4.0
BUCK CAPITAL MGMT	001	JCG	B	5,000	51.08	22-Jun	6-Aug	200.00 4.0
COUGAR TRADING	044	JCP	B	5,000	66.50	21-Jun	16-Aug	250.00 5.0
B BUCK CAPITAL MGMT		JOSB	B	35,000	29.66	n/a	n/a	non-brg 5.0
BARR	096	JPM	SS	100	45.03	n/a	16-Aug	0.00 0.0
BUCK CAPITAL MGMT	001	JWN	B	5,000	48.68	12-Jul	17-Aug	200.00 4.0
MAZAMA CAPITAL MGMT.	035	KNL	S	47,300	18.91	n/a	n/a	1,892.00 4.0
STRONG/WELL HOWARD	038	KNL	B	18,000	18.79	n/a	n/a	720.00 4.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	57.57	14-Jun	27-Jul	1,200.00 4.0
B BUCK CAPITAL MGMT		LIZ	SS	10,000	34.51	n/a	6-Aug	non-brg 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	LOW	S	163,801	29.84	n/a	27-Jul	6,552.04	4.0
J L F ASSET MGMT	039	MAT	SS	97,600	21.72	n/a	n/a	3,904.00	4.0
Õ Glenn Redemann		MCO	B	3	1.25	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MCO	B	3	1.57	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MCO	SS	3	2.25	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MCO	SS	3	3.10	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MDTL	SS	5,000	10.26	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MSMSBMVR	C	35,000	185.63	n/a	n/a	non-brg	18.6
MAZAMA CAPITAL MGMT.	035	MSO	S	22,800	12.95	n/a	n/a	912.00	4.0
ROTHSCHILD ASSET	040	MTN	S	14,540	56.82	n/a	n/a	654.30	4.5
PLATTE RIVER CAPITAL	240	MTU	S	54,000	9.71	n/a	n/a	2,160.00	4.0
ß BUCK CAPITAL MGMT		MVRX	C	60,000	179.14	n/a	n/a	non-brg	17.9
BUCK CAPITAL MGMT	001	M	S	180,000	31.59	13-Jul	16-Aug	7,200.00	4.0
J L F ASSET MGMT	039	NKE	S	62,700	54.09	n/a	n/a	2,508.00	4.0
AMBER CAPITAL	046	NLC	B	150,600	26.01	n/a	n/a	6,024.00	4.0
Õ Claire Mencke		NTE	S	660	12.51	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	ODP	S	119,000	24.05	n/a	27-Jul	4,760.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		OIH	SS	15,000	174.76	n/a	n/a	non-brg	2.0
LEDDY	035	OPY	S	300	48.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	OXM	SS	25,000	36.75	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		PERY	S	18,000	28.00	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		PERY	S	46,800	28.15	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		PERY	S	5,200	28.01	n/a	n/a	non-brg	2.0
STRONG/WELL HOWARD	038	PMI	B	25,800	30.89	n/a	n/a	1,032.00	4.0
AMBER CAPITAL	046	PPG	S	50,000	73.55	n/a	21-Aug	2,000.00	4.0
ROTHSCHILD ASSET	040	RKT	S	4,860	29.67	n/a	n/a	218.70	4.5
ARTISAN PARTNERS LP	031	RL	S	39,900	76.58	9-Aug	9-Aug	1,995.00	5.0
⌘ BUCK CAPITAL MGMT		RL	B	30,000	76.50	9-Aug	9-Aug	non-brg	5.0
ARTM	031	RL	S	100	76.58	9-Aug	9-Aug	5.00	5.0
BALYASNY ASSET MGMT	044	RSO	B	20,000	10.80	n/a	n/a	1,000.00	5.0
CARLYLE BLUE WAVE PR MG	224	SLE	SS	9,800	16.65	n/a	n/a	490.00	5.0
EMP ERROR	099	SNPS	B	500	26.99	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	SPY	C	10,000	147.30	n/a	n/a	500.00	5.0
MATLIN PATTERSON	046	SWN	B	25,000	37.74	n/a	3-Aug	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND	048	TIF	B	4,610	45.64	28-Aug	13-Jun	184.40	4.0
ß BUCK CAPITAL MGMT		TLB	SS	25,000	23.10	n/a	23-Aug	non-brg	5.0
Õ Claire Mencke		TLT	S	100	88.28	n/a	n/a	0.00	0.0
WANG	192	TWB	S	75	28.99	23-Aug	23-Aug	0.00	0.0
MAGNETAR FINANCIAL	247	TXU	B	200,000	65.75	n/a	n/a	4,000.00	2.0
KAICHER	064	UIS	B	300	7.34	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	B	35,000	22.73	31-Jul	10-Aug	non-brg	5.0
COUGAR TRADING	044	URBN	B	5,000	22.84	31-Jul	10-Aug	250.00	5.0
SSI INVESTORS	048	USM	B	13,965	97.44	n/a	n/a	558.60	4.0
HIGHBRIDGE CAPITAL	038	VMC	B	4,300	91.42	n/a	n/a	215.00	5.0
SAGE ASSET MGMT	012	WFMI	B	43,000	45.66	n/a	n/a	2,150.00	5.0
COUGAR TRADING	044	ZQK	S	5,000	12.83	9-Mar	27-Jun	250.00	5.0
TOTAL (Trade Date) :								93,490.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	08/24	BALYASNY ASSET MGMT	044	AEO	B	30,000	24.74	10-Jul	21-Aug	1500.00	5.0
AO,CXL	08/24	BALYASNY ASSET MGMT	044	AEO	B	30,000	24.74	10-Jul	21-Aug	1500.00	5.0
AO,CXL	08/23	NATIONAL BK OF CAN	031	BSC	S	10,000	116.53	10-Aug	16-Aug	300.00	3.0
AO,CRT	08/23	NATIONAL BK OF CAN	031	BSC	S	10,000	116.53	10-Aug	16-Aug	400.00	4.0
AO,CRT	08/24	MKT MAKER	097	CPWM	B	37	5.03	n/a	n/a	0.00	0.0
AO,	08/24	MANNING & NAPIER	034	CVC	S	281,900	32.84	8-Aug	16-Aug	11276.00	4.0
AO,CRT	08/24	HIGHBRIDGE CAPITAL	038	ILF	B	10,500	206.77	n/a	n/a	315.00	3.0
AO,CXL	08/24	HIGHBRIDGE CAPITAL	038	ILF	B	10,500	206.77	n/a	n/a	525.00	5.0
AO,CXL	08/22	PATTEN & PATTEN	067	ITT	B	50	64.19	n/a	27-Jul	2.50	5.0
AO,CRT	08/22	PATTEN & PATTEN	067	ITT	B	50	64.19	n/a	27-Jul	2.50	5.0
AO,CRT	08/23	EMP ERROR	099	SNPS	S	500	26.48	n/a	n/a	0.00	0.0
AO,CXL	08/23	BARROW HANLEY MEWHINNEY	096	SNPS	S	500	26.48	n/a	n/a	0.00	0.0
AO,CRT	08/24	BUCK CAPITAL MGMT	001	ZQK	S	9,900	13.03	9-Mar	27-Jun	396.00	4.0
AO,CXL	08/24	BUCK CAPITAL MGMT	001	ZQK	S	10,000	13.03	9-Mar	27-Jun	400.00	4.0
AO,	08/24	BUCK CAPITAL MGMT	001	ZQK	S	100	13.03	9-Mar	27-Jun	4.00	4.0
TOTAL (AO, CXL, CRT) :										11,166.00	

TOTAL (Trade Date):	93,490.26
TOTAL (AO, CXL, CRT):	11,166.00

TOTAL (RUN DATE) / NFS:	104,656.26
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MRI Securities with Trade Activity on 27-Aug. NONE

MRI Securities without Trade Activity on 27-Aug. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 24% YTD = 16%
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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