



# Daily Compliance Activity Report

Trade Date: 01/30/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>ABFS</b>	<b>C</b>	<b>80,100</b>	<b>38.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
CENTURION PARTNERS	249	AMR	S	20,000	36.84	n/a	n/a	1,000.00	5.0
<b>Ö</b> Glenn Redemann		<b>AMZN</b>	<b>B</b>	<b>8</b>	<b>0.4200</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Ö</b> Glenn Redemann		<b>AMZN</b>	<b>S</b>	<b>8</b>	<b>2.1700</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STERLING JOHNSTON	035	ANN	S	6,300	33.84	5-Jan	5-Jan	315.00	5.0
THOMSON HORSTMAN BRYANT	040	ANN	S	8,600	33.98	5-Jan	5-Jan	430.00	5.0
<b>LUCHANSKY</b>	<b>036</b>	<b>APC</b>	<b>B</b>	<b>200</b>	<b>43.42</b>	<b>1-Sep</b>	<b>22-Jan</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	AVZ	B	9,900	23.79	29-Dec	24-Jan	495.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>AXE</b>	<b>B</b>	<b>40,000</b>	<b>53.55</b>	<b>26-Dec</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>5.0</b>
COUGAR TRADING	044	AXE	S	5,000	55.53	26-Dec	30-Jan	250.00	5.0
HARVEST MGMT	039	BBW	S	15,000	29.99	8-Jan	8-Jan	750.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>BJSCY</b>	<b>B</b>	<b>10</b>	<b>1.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>BJS</b>	<b>B</b>	<b>7,500</b>	<b>27.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WD PARTNERS ILP	067	BKE	SS	5,000	34.18	n/a	n/a	250.00	5.0
CENTURION PARTNERS	249	BONT	B	5,000	35.53	23-Oct	5-Jan	250.00	5.0
WASHINGTON ASSET	048	BONT	S	8,000	35.75	23-Oct	5-Jan	400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GENERIC TRADING	063	BP	S	10,000	63.19	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		CBE	C	29,200	90.14	25-Jan	25-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CHIC	C	20,000	29.68	n/a	n/a	non-brg	5.0
CAPITAL GROWTH MGMT.	241	CLB	B	35,000	82.52	6-Dec	22-Jan	1,750.00	5.0
THIRD COAST CAPITAL	035	CLDN	S	5,000	16.46	n/a	n/a	250.00	5.0
SANDLER O'NEILL ASSET	031	CLMS	SS	50,000	27.74	30-Jan	30-Jan	2,500.00	5.0
SUNOVA CAPITAL	031	CLMS	B	51,000	27.76	30-Jan	30-Jan	2,550.00	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	10,000	12.64	n/a	n/a	non-brg	5.0
CAPITAL GROWTH MGMT.	241	COG	B	20,000	63.68	n/a	n/a	1,000.00	5.0
MORGAN LEWIS/MLH	046	COP	B	10,000	65.50	n/a	n/a	500.00	5.0
STERLING JOHNSTON	035	CRI	S	75,000	25.39	n/a	n/a	3,750.00	5.0
PIONEER OAKRIDGE	031	CSCO	B	272,200	26.20	n/a	22-Mar	9,527.00	3.5
⌘ BUCK CAPITAL MGMT		DBD	B	15,000	43.71	n/a	12-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DBD	B	5,000	43.73	n/a	12-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		DECK	B	15,000	58.34	n/a	n/a	non-brg	5.0
TROUBH PART	067	DPHIQ	B	50,000	2.90	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAWSON SANBERG & CO	036	DRI	SS	6,500	38.60	12-Dec	19-Dec	325.00	5.0
WEISS PECK	040	DSW	SS	9,000	39.14	n/a	30-Jan	270.00	3.0
WOOSTER CAPITAL	035	EDA	B	15,000	10.69	n/a	n/a	750.00	5.0
⌘ BUCK CAPITAL MGMT		ESV	B	5,000	49.61	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	FD	B	10,000	40.34	26-Jan	29-Jan	400.00	4.0
CENTURION PARTNERS	249	FD	B	20,000	40.63	26-Jan	29-Jan	1,000.00	5.0
MKT MAKER	099	F	S	500	8.40	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GIL	B	10,000	49.49	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GSF	B	5,000	56.28	n/a	n/a	non-brg	5.0
BALYASNY ASSET MGMT	044	GS	B	3,000	208.79	13-Dec	16-Jan	150.00	5.0
⌘ BUCK CAPITAL MGMT		HP	B	85,000	26.48	n/a	n/a	non-brg	5.0
NEUBERGER BERMAN	238	HTLD	S	7,900	16.75	n/a	n/a	316.00	4.0
⌘ BUCK CAPITAL MGMT		INTC	B	10,000	20.92	n/a	n/a	non-brg	1.0
MKT MAKER	099	INTC	S	100	20.87	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		IWO	C	29,200	79.75	n/a	n/a	non-brg	3.0
PIVOT CAP	034	JBLU	S	20,000	13.89	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAILFISH	037	JPM	SS	10,000	49.51	n/a	18-Jan	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KNXA</b>	<b>C</b>	<b>10,000</b>	<b>35.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
VANDER MOOLEN	040	KR	B	5,000	25.42	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>69.25</b>	<b>27-Dec</b>	<b>5-Jan</b>	<b>400.00</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	KSS	SS	7,500	69.02	27-Dec	5-Jan	300.00	4.0
NEUBERGER BERMAN	238	KVA	S	14,700	25.48	n/a	n/a	735.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KWD</b>	<b>B</b>	<b>30,000</b>	<b>32.11</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	K	SS	15,000	50.69	n/a	n/a	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LAVA</b>	<b>S</b>	<b>10,000</b>	<b>8.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
FARALLON CAP MGMT	040	LCC	S	100,000	52.35	n/a	n/a	4,000.00	4.0
NEUBERGER BERMAN	238	LSTR	S	6,300	39.61	n/a	n/a	252.00	4.0
HIGHBRIDGE CAPITAL	038	MET	B	2,000	61.67	n/a	n/a	100.00	5.0
<b>GAULT</b>	<b>063</b>	<b>MLI</b>	<b>B</b>	<b>500</b>	<b>32.35</b>	<b>24-Oct</b>	<b>12-Jan</b>	<b>0.00</b>	<b>0.0</b>
COLUMBUS CIRCLE	036	MOS	S	393,428	20.24	n/a	n/a	15,737.12	4.0
CL00	036	MOS	S	2,886	20.24	n/a	n/a	115.44	4.0
TROUBH PART	067	MOT	S	25,000	19.45	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MKT MAKER</b>	<b>099</b>	<b>MRCY</b>	<b>S</b>	<b>92</b>	<b>13.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WD PARTNERS ILP	067	MWV	B	5,000	29.59	8-Jan	23-Jan	250.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>NDAQ</b>	<b>B</b>	<b>32</b>	<b>33.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>20,000</b>	<b>14.70</b>	<b>1-Dec</b>	<b>10-Jan</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>OEF</b>	<b>C</b>	<b>35,100</b>	<b>66.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
FRIESS MGMT	042	ORCL	B	508,000	17.30	n/a	n/a	22,860.00	4.5
<b>MAGUIRE</b>	<b>039</b>	<b>PDCBV</b>	<b>B</b>	<b>15</b>	<b>0.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>PDC</b>	<b>B</b>	<b>15,000</b>	<b>12.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	PFG	B	5,000	61.02	n/a	n/a	250.00	5.0
<b>ROSENBERG</b>	<b>034</b>	<b>PLCE</b>	<b>B</b>	<b>100</b>	<b>53.93</b>	<b>n/a</b>	<b>25-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY</b>	<b>036</b>	<b>PLCE</b>	<b>B</b>	<b>200</b>	<b>53.82</b>	<b>n/a</b>	<b>25-Jan</b>	<b>0.00</b>	<b>0.0</b>
NCM CAPITAL MGMT	035	PTI	S	16,375	23.76	n/a	n/a	818.75	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	10,000	54.20	18-Jan	18-Jan	375.00	3.8
GABELLI FUNDS	037	RDA	B	19,000	16.94	n/a	n/a	950.00	5.0
<b>Õ Manny Korman</b>		<b>RFI</b>	<b>S</b>	<b>3000</b>	<b>20.8600</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Manny Korman</b>		<b>RLF</b>	<b>S</b>	<b>1000</b>	<b>27.7300</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Manny Korman		RLF	S	564	27.7300	n/a	n/a	0.00	0.0
Õ Manny Korman		RQI	S	600	26.3000	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	RSC	S	10,000	16.86	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		RTH	C	50,000	101.79	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RTH	C	79,400	101.73	n/a	n/a	non-brg	1.0
WEISS PECK	040	RVI	B	25,000	19.44	n/a	n/a	750.00	3.0
EMINENCE CAPITAL	038	SAI	B	42,500	18.75	n/a	n/a	2,125.00	5.0
ß BUCK CAPITAL MGMT		SBH	S	20,000	8.60	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		SHOO	B	15,000	29.93	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		SPY	C	58,700	142.32	n/a	n/a	non-brg	3.0
SAILFISH	037	STI	SS	5,000	82.13	n/a	n/a	250.00	5.0
GULF STREAM EQUITY MGMT	039	SUNW	B	5,000	6.46	n/a	n/a	300.00	6.0
GULF STREAM EQUITY MGMT	039	SUNW	S	2,500	6.41	n/a	n/a	150.00	6.0
ß BUCK CAPITAL MGMT		TKR	C	1,800	27.54	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		TKR	C	43,200	28.52	n/a	n/a	non-brg	5.0
HIGHBRIDGE CAPITAL	038	TMK	B	24,000	64.75	n/a	n/a	1,200.00	5.0
MKT MAKER	099	TRMP	B	100	17.25	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THIRD COAST CAPITAL	035	TSU	S	5,000	32.40	n/a	n/a	250.00	5.0
THIRD COAST CAPITAL	035	TTI	S	5,000	23.17	n/a	n/a	250.00	5.0
DISIPLINED GROWTH INV.	030	TWTC	B	25,700	22.91	n/a	23-Jan	1,285.00	5.0
NEUBERGER BERMAN	238	UNT	S	13,400	47.60	n/a	22-Jan	670.00	5.0
COUGAR TRADING	044	USTR	B	10,000	48.33	30-Jan	30-Jan	500.00	5.0
EMINENCE CAPITAL	038	UTX	B	40,900	66.81	n/a	n/a	2,045.00	5.0
⌘ BUCK CAPITAL MGMT		VIRL	B	10,000	7.73	n/a	n/a	non-brg	5.0
JACOB	068	VZ	S	150	38.61	22-Dec	30-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		WHR	C	19,100	88.79	n/a	n/a	non-brg	5.0
NOLAN	067	XOHO	B	125	4.29	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		YRCW	C	10,000	44.85	n/a	n/a	non-brg	5.0
TOTAL (Trade Date):								95,046.31	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/29	FORCE CAPITAL MGMT	034	FCX	B	35,000	56.19	n/a	n/a	1050.00 3.0
AO,CXL	01/29	RBC CAPITAL MARKETS	034	FCX	B	35,000	56.19	n/a	n/a	1750.00 5.0
AO,CXL	01/25	ROARING BLUE LION MGMT	036	PLCE	B	2,200	53.95	n/a	25-Jan	110.00 5.0
AO,CRT	01/25	ROARING BLUE LION MGMT	012	PLCE	B	2,200	53.95	n/a	25-Jan	110.00 5.0
AO,CXL	01/29	NEUBERGER BERMAN	238	UNT	S	4,100	47.05	n/a	22-Jan	205.00 5.0
AO,CRT	01/29	NEUBERGER BERMAN	238	UNT	S	4,100	47.05	n/a	22-Jan	205.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-700.00</b>
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TOTAL (Trade Date) :	95,046.31
TOTAL (AO, CXL, CRT) :	-700.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>94,346.31</b>
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MRI Securities with Trade Activity on 30-Jan. <b>CLMS, USTR</b>
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MRI Securities without Trade Activity on 30-Jan. <b>BKC, IFF, PRX</b>
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 9%

YTD = 20%

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