



Daily Compliance Activity Report

Trade Date: 04/23/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AB	B	125	93.87	11-Apr	23-Apr	6.25	5.0
CATAPULT	040	AGE	S	5,000	73.55	n/a	n/a	250.00	5.0
KERN	050	AMCC	S	1,000	2.91	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	AMG	B	25,000	117.82	23-Apr	23-Apr	1,250.00	5.0
COUGAR TRADING	044	ARO	S	5,000	43.03	n/a	13-Apr	250.00	5.0
CAPITAL GROWTH MGMT.	241	ATI	S	10,000	118.79	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	AVZ	S	25,000	23.64	5-Mar	23-Apr	1,250.00	5.0
WAGONHOUND	048	AXE	B	9,700	69.11	23-Mar	9-Apr	388.00	4.0
BALYASNY ASSET MGMT	044	AXP	S	20,000	61.25	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	BAC	S	200	50.51	20-Apr	23-Apr	10.00	5.0
ROBX	033	BEAS	B	50,000	12.26	n/a	3-Apr	2,000.00	4.0
BALYASNY ASSET MGMT	044	BEN	S	25,000	130.00	10-Apr	23-Apr	1,250.00	5.0
B BUCK CAPITAL MGMT		BID	S	5,000	51.49	n/a	n/a	non-brg	5.0
SUNOVA CAPITAL	031	BLK	SS	16,800	153.23	n/a	23-Apr	840.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT	044	BNI	S	101,400	93.72	n/a	n/a	5,070.00	5.0
⌘ BUCK CAPITAL MGMT		BONT	S	25,000	53.79	9-Mar	13-Apr	non-brg	5.0
BARR	096	BTU	B	300	48.87	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		BWS	C	22,250	29.43	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CBK	S	20,000	18.06	30-Mar	13-Apr	non-brg	5.0
PATTEN & PATTEN	067	CBS	B	300	31.70	n/a	n/a	15.00	5.0
NEUBERGER BERMAN	036	CHD	S	7,600	51.55	7-Feb	7-Feb	380.00	5.0
MS PRINCIPAL STRATEGIES	040	CMA	B	4,300	63.22	n/a	n/a	215.00	5.0
MORGENS WATERFALL	040	CMI	B	50,000	80.67	n/a	n/a	2,500.00	5.0
FINANCIAL STOCK LP	028	CNS	B	15,000	43.74	n/a	n/a	600.00	4.0
CAPITAL GROWTH MGMT.	241	CNX	B	20,000	42.61	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	COH	S	17,800	53.28	23-Feb	20-Apr	712.00	4.0
COUGAR TRADING	044	COH	B	10,000	53.21	23-Feb	20-Apr	500.00	5.0
JENNISON	032	CSCO	B	59,700	26.70	n/a	22-Mar	2,388.00	4.0
PATTEN & PATTEN	067	CX	S	280	34.53	n/a	n/a	14.00	5.0
LUCHANSKY4	036	DCTH	B	500	4.92	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	038	DE	S	25,000	112.38	n/a	n/a	1,500.00	6.0
PATTEN & PATTEN	067	D	S	815	91.46	n/a	n/a	40.75	5.0
B BUCK CAPITAL MGMT		EGLT	C	3,100	17.29	n/a	n/a	non-brg	5.0
CAPITAL GROWTH MGMT.	241	FCX	S	40,000	70.71	n/a	n/a	2,000.00	5.0
MS PRINCIPAL STRATEGIES	040	FTBK	B	9,800	25.00	n/a	n/a	490.00	5.0
B BUCK CAPITAL MGMT		F	SS	100,000	7.91	n/a	5-Apr	non-brg	5.0
SYSTEMATIC FINANCIAL MGT	035	GCO	S	52,700	50.52	n/a	10-Jan	1,976.25	3.8
BUCK CAPITAL MGMT	001	GES	B	50,000	40.84	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		GM	SS	10,000	31.58	n/a	5-Apr	non-brg	5.0
IRIDIAN ASSET MGMT.	036	GSF	B	14,380	62.20	n/a	n/a	719.00	5.0
AMBER CAPITAL	046	GVA	B	85,600	60.69	n/a	n/a	3,424.00	4.0
BLUE HARBOR	036	HIBB	B	43,000	29.73	n/a	n/a	2,150.00	5.0
BARR	096	ICO	B	1,200	6.00	n/a	n/a	0.00	0.0
DOWNTOWN ASSOC	033	IWM	SS	100,000	82.35	n/a	n/a	3,500.00	3.5
PZENA INV ADV	044	JCI	S	57,225	102.88	20-Apr	20-Apr	2,289.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	JCP	S	20,000	82.98	20-Apr	20-Apr	1,000.00	5.0
CATAPULT	040	JNS	B	10,000	24.92	18-Apr	23-Apr	500.00	5.0
GRISANTI BROWN & PARTNER	048	JNS	C	10,550	24.91	18-Apr	23-Apr	527.50	5.0
B BUCK CAPITAL MGMT		JOSB	S	50,000	39.32	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		KCP	S	19,410	26.67	n/a	28-Feb	non-brg	5.0
MAGUIRE	090	KDE	S	2,500	16.97	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LAMR	B	35,000	62.98	n/a	n/a	non-brg	5.0
DISIPLINED GROWTH INV.	030	LTD	S	2,000	26.46	2-Mar	13-Apr	100.00	5.0
JENNISON	032	MAR	B	48,000	48.15	n/a	n/a	1,920.00	4.0
PERSHING SQUARE	028	MBI	SS	26,600	68.62	n/a	n/a	1,064.00	4.0
BARR	096	MEE	B	600	25.61	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	MER	B	25,000	92.51	20-Apr	20-Apr	1,250.00	5.0
PATTEN & PATTEN	067	MIC	B	300	40.66	n/a	n/a	15.00	5.0
B BUCK CAPITAL MGMT		MIR	S	21,900	45.69	n/a	n/a	non-brg	5.0
SECOND CURVE	031	MRH	S	50,000	18.10	n/a	n/a	2,500.00	5.0
FORD FDN.	032	MYL	B	60,000	21.80	n/a	23-Apr	3,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRACIE CAPITAL	028	NEXC	B	50,000	12.95	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	NOV	S	74,600	80.76	n/a	n/a	3,730.00	5.0
PATTEN & PATTEN	067	NUAN	B	500	16.39	n/a	n/a	25.00	5.0
B BUCK CAPITAL MGMT		OEF	C	1,217,500	68.06	n/a	n/a	non-brg	1.0
MERRILL ASSET	032	OHI	B	20,400	17.86	n/a	n/a	918.00	4.5
MCCARTAN	028	PCL	B	100	40.59	n/a	18-Apr	0.00	0.0
LEDDY	035	PCL	B	1,000	40.63	n/a	18-Apr	0.00	0.0
NOLAN	067	PCL	B	10	40.59	n/a	18-Apr	0.00	0.0
JACOB	068	PCL	B	400	40.60	n/a	18-Apr	0.00	0.0
CAPITAL GROWTH MGMT.	241	PCP	B	40,000	103.99	n/a	n/a	2,000.00	5.0
JP MORGAN VENTURES	046	PFCB	SS	12,000	41.40	n/a	20-Feb	600.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	51.37	12-Apr	13-Apr	non-brg	5.0
JENNISON	032	QCOM	B	33,600	43.23	n/a	n/a	1,344.00	4.0
NEUBERGER BERMAN	036	ROL	B	7,400	23.17	n/a	n/a	370.00	5.0
KORMAN	003	SEED	B	4,000	8.80	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SE	B	350	26.57	n/a	n/a	17.50	5.0
NEUBERGER BERMAN	036	SFY	S	30,264	41.53	n/a	n/a	1,513.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SHOO	B	5,000	31.02	n/a	n/a	non-brg	5.0
COUGAR TRADING	044	SKX	B	10,000	36.23	n/a	13-Mar	500.00	5.0
COUGAR TRADING	044	SMRT	SS	10,000	17.04	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		SPY	SS	550,000	148.36	n/a	n/a	non-brg	1.0
AMBER CAPITAL	046	STI	B	125,000	84.24	n/a	n/a	5,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	TEX	S	62,450	79.44	n/a	n/a	2,341.88	3.8
NEW JERSEY DIV OF INV.	220	TGT	S	10,000	61.84	n/a	12-Apr	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	THO	B	103,100	41.74	n/a	n/a	5,155.00	5.0
DISCIPLINED GROWTH INV.	030	TJX	S	6,500	28.66	21-Mar	13-Apr	325.00	5.0
FRONTPOINT	044	TTI	S	50,000	26.51	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	TWTC	B	400	20.36	8-Feb	23-Apr	20.00	5.0
PATTEN & PATTEN	067	UNM	B	324	25.03	n/a	n/a	16.20	5.0
JENNISON	032	UTX	B	57,800	67.80	n/a	n/a	2,312.00	4.0
PATTEN & PATTEN	067	UTX	S	150	67.90	n/a	n/a	7.50	5.0
NCM CAPITAL MGMT	035	WAG	B	53,500	45.93	n/a	n/a	2,675.00	5.0
BALYASNY ASSET MGMT	044	WB	SS	15,000	55.43	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		WHR	C	55,000	90.33	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		WMT	S	80,000	49.59	n/a	12-Apr	non-brg	5.0
XYLEM GLOBAL	091	WY	B	15,000	77.33	15-Dec	18-Apr	750.00	5.0
BRENCOURT	028	XLE	SS	30,000	63.20	n/a	n/a	1,500.00	5.0
TOTAL (Trade Date) :							92,124.03		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	04/20	MKT MAKER	099	HOT	S	3,300	68.71	n/a	n/a	0.00	0.0
AO,	04/20	KORMAN	003	IFOX	S	2,000	15.00	n/a	n/a	0.00	0.0
AO, CRT	04/20	GRUBER MACBAINE	033	LOW	B	12,000	32.00	n/a	26-Feb	480.00	4.0
AO, CXL	04/20	GRUBER MACBAINE	033	LOW	B	12,000	32.00	n/a	26-Feb	0.00	0.0
AO, CRT	04/19	DAVIDSON TRUST CO	033	MSFT	S	1,784	28.64	n/a	3-Apr	107.04	6.0
AO, CXL	04/19	DAVIDSON TRUST CO	033	MSFT	S	1,784	28.64	n/a	3-Apr	160.56	9.0
AO, CXL	04/18	LISTED ERR	099	TSN	B	25	20.50	n/a	n/a	0.00	0.0
AO, CRT	04/18	LISTED ERR	099	TSN	B	25	20.50	n/a	n/a	0.00	0.0
AO, CXL	04/18	LISTED ERR	099	TSN	S	25	20.52	n/a	n/a	0.00	0.0
AO, CRT	04/18	LISTED ERR	099	TSN	S	25	20.52	n/a	n/a	0.00	0.0
AO, CRT	04/20	SEAROCK CAPITAL MANAGE	012	WMT	B	230,000	49.13	n/a	12-Apr	9200.00	4.0
AO, CXL	04/20	SEAROCK CAPITAL MANAGE	012	WMT	B	230,000	49.13	n/a	12-Apr	0.00	0.0
TOTAL (AO, CXL, CRT) :										9,626.48	

TOTAL (Trade Date) :	92,124.03
TOTAL (AO, CXL, CRT) :	9,626.48

TOTAL (RUN DATE) / NFS :	101,750.51
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MRI Securities with Trade Activity on 23-Apr.

AMG

MRI Securities without Trade Activity on 23-Apr.

ACL, DISH, KV.A

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

T-Date = 6%

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