



Daily Compliance Activity Report

Trade Date: 11/19/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL LYNCH STRATEGICI	034	ACGY	B	40,000	22.70	n/a	n/a	1,600.00	4.0
GENERAL ELECTIC CO	033	ACV	B	48,932	25.30	n/a	n/a	1,957.28	4.0
MERRILL LYNCH STRATEGICI	034	ADM	SS	30,000	36.57	n/a	19-Nov	1,200.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	10,000	21.61	9-Nov	12-Nov	400.00	4.0
COUGAR TRADING	044	AEO	S	10,000	21.75	9-Nov	12-Nov	500.00	5.0
RH CAPITAL ASSOCIATES	060	AEO	S	13,100	22.00	9-Nov	12-Nov	655.00	5.0
THE BOSTON COMPANY	214	AET	S	4,030	54.99	n/a	n/a	201.50	5.0
MERRILL LYNCH STRATEGICI	034	AIV	S	16,000	37.41	n/a	n/a	640.00	4.0
SUNOVA CAPITAL	031	AMG	S	40,000	120.08	8-Nov	8-Nov	2,000.00	5.0
ROBX	035	AMR	B	100,000	21.60	n/a	n/a	4,000.00	4.0
BALYASNY ASSET MGMT	044	ANF	SS	10,000	73.61	2-Oct	19-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	15,000	72.95	2-Oct	19-Nov	600.00	4.0
COUGAR TRADING	044	ANF	B	5,000	73.00	2-Oct	19-Nov	250.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	74.19	2-Oct	19-Nov	500.00	5.0
MERRILL LYNCH STRATEGICI	034	APA	SS	5,700	99.86	18-Oct	15-Nov	342.00	6.0
SINCLAIR	031	APCEL	B	10	4.80	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	214	APD	S	45,970	92.49	n/a	24-Oct	2,298.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		APPB	SS	70,000	24.23	n/a	n/a	non-brg	4.0
EFSTATHIOU	044	BBI	B	400	3.88	n/a	n/a	0.00	0.0
OPTIMUM INV ADV	030	BG	B	3,000	106.81	n/a	n/a	120.00	4.0
MERRILL LYNCH STRATEGICI	034	BJS	B	15,000	25.19	n/a	n/a	600.00	4.0
⚡ BUCK CAPITAL MGMT		BONT	B	10,000	13.07	9-Nov	12-Nov	non-brg	4.0
COUGAR TRADING	044	BONT	S	10,000	13.21	9-Nov	12-Nov	500.00	5.0
LEDDY	035	CALPINE CORP	B	100,000	105.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	SS	50,000	15.48	n/a	19-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	CCE	SS	30,000	25.07	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	CEC	SS	20,000	29.27	n/a	n/a	800.00	4.0
SINCLAIR	031	CFU	B	15	2.20	n/a	n/a	0.00	0.0
OPTIMUM INV ADV	030	CGV	B	5,000	52.77	n/a	n/a	200.00	4.0
STRATTON	N21	CHCG	B	500	3.33	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CHIC	SS	10,000	14.78	n/a	n/a	non-brg	4.0
GRUSS CAPITAL	045	CHKE	B	5,000	31.37	n/a	n/a	200.00	4.0
ZOLIDIS	011	CHS	SS	500	10.63	9-Nov	12-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	CLF	B	5,900	74.92	n/a	n/a	295.00	5.0
BUCK CAPITAL MGMT	001	COH	S	20,000	34.16	24-Oct	24-Oct	800.00	4.0
⚡ BUCK CAPITAL MGMT		CROX	S	20,000	39.81	n/a	n/a	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	CVA	S	10,000	25.75	n/a	n/a	400.00	4.0
J.W. SELIGMAN	041	CVS	S	110,700	41.99	n/a	n/a	4,428.00	4.0
SINCLAIR	031	CWOMH	B	3	24.50	n/a	n/a	0.00	0.0
MADIGAN	031	C	B	175	32.34	5-Nov	8-Nov	0.00	0.0
OGORMAN	046	C	B	500	32.02	5-Nov	8-Nov	0.00	0.0
SINCLAIR	031	DAWMY	S	20	4.25	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	DD	SS	30,000	44.89	n/a	23-Oct	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		DECK	SS	10,000	122.37	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DIA	SS	100,000	131.04	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	DKS	S	20,000	29.35	26-Oct	26-Oct	800.00	4.0
⚡ BUCK CAPITAL MGMT		DKS	S	30,000	28.99	26-Oct	26-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DRI	SS	20,000	39.27	n/a	24-Apr	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	DUK	SS	20,000	19.56	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		EAR	S	50,108	1.43	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		EGLT	C	4,200	11.44	n/a	n/a	non-brg 4.0
SERENGETI MGMT	030	EMC	S	100,000	19.56	n/a	n/a	4,000.00 4.0
THE BOSTON COMPANY	214	ESRX	S	3,350	66.03	n/a	n/a	167.50 5.0
BUCK CAPITAL MGMT		FGXI	S	6,000	14.20	n/a	n/a	non-brg 4.0
NEUBERGER BERMAN	036	FNF	S	20,000	14.78	n/a	n/a	1,000.00 5.0
BUCK CAPITAL MGMT		FOSL	SS	50,000	41.31	13-Nov	13-Nov	non-brg 4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	41.01	n/a	n/a	400.00 4.0
BUCK CAPITAL MGMT		GIII	B	10,000	13.39	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	40.31	5-Nov	5-Nov	400.00 4.0
MERRILL LYNCH STRATEGICI	034	GIS	S	5,000	56.27	n/a	n/a	250.00 5.0
GOLD SACHS SPECIAL SIT	030	GNTX	SS	250,000	18.96	24-Jul	23-Oct	12,500.00 5.0
BUCK CAPITAL MGMT	001	GPS	B	50,000	19.74	n/a	12-Nov	2,000.00 4.0
THE BOSTON COMPANY	214	GPS	B	34,000	19.76	n/a	12-Nov	1,360.00 4.0
BUCK CAPITAL MGMT	001	HBI	SS	20,000	28.85	n/a	n/a	800.00 4.0
BUCK CAPITAL MGMT		HIBB	SS	10,000	21.79	n/a	n/a	non-brg 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE BOSTON COMPANY	214	HNT	S	4,700	46.99	n/a	n/a	235.00	5.0
MERRILL LYNCH STRATEGICI	034	HOT	S	10,000	51.96	n/a	n/a	500.00	5.0
KARSCH CAPITAL	034	ICE	B	72,000	180.42	n/a	n/a	2,160.00	3.0
⌘ BUCK CAPITAL MGMT		ICON	S	10,000	22.48	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IWM	SS	180,000	75.62	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	JCG	B	80,000	35.90	24-Oct	24-Oct	3,200.00	4.0
BUCK CAPITAL MGMT	001	JCP	S	40,000	42.07	15-Nov	16-Nov	1,600.00	4.0
MERRILL LYNCH STRATEGICI	034	JNJ	S	16,972	67.69	n/a	22-Apr	1,018.32	6.0
⌘ BUCK CAPITAL MGMT		JOSB	B	10,000	25.65	n/a	n/a	non-brg	4.0
HIGHBRIDGE/MS OLDS	041	JOYG	B	60,300	50.44	n/a	n/a	2,412.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	30,000	31.53	12-Oct	15-Nov	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	JWN	B	7,000	30.69	12-Oct	15-Nov	350.00	5.0
JPMSI/TOM LEDDY	035	JWN	B	10,000	30.74	12-Oct	15-Nov	500.00	5.0
ROSENBERG	034	KCP	S	300	17.93	28-Sep	28-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	47.60	9-Nov	16-Nov	800.00	4.0
HIGHBRIDGE CAPITAL	038	KSS	B	6,000	47.80	9-Nov	16-Nov	300.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	10,000	16.53	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		LAMR	S	10,000	50.37	n/a	n/a	non-brg	4.0
SUNOVA CAPITAL	031	LM	S	30,000	69.27	13-Nov	16-Nov	1,500.00	5.0
STRAUSS ASSET MGMT	040	LOJN	B	8,100	16.74	n/a	n/a	405.00	5.0
SECURITY MGMT	046	LPX	B	160,800	15.44	30-Oct	30-Oct	4,824.00	3.0
BUCK CAPITAL MGMT	001	LTM	S	40,000	51.78	n/a	n/a	1,600.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	25,000	34.62	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		MDTL	SS	10,000	12.67	n/a	n/a	non-brg	4.0
Õ Manny Korman		MIR	S	622099435	36.83	n/a	n/a	0.00	0.0
BUCK	015	MO	S	1,500	73.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MSSR	SS	20,000	14.97	n/a	n/a	non-brg	2.5
J.W. SELIGMAN	041	MS	B	10,000	51.61	2-Jul	8-Nov	400.00	4.0
LOCUS WOOD CAPITAL MGMT	044	MS	S	40,000	51.55	2-Jul	8-Nov	1,600.00	4.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	40.16	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	M	B	10,000	27.49	9-Nov	15-Nov	400.00	4.0
PRINCIPLE CAPITAL	040	M	S	152,100	27.51	9-Nov	15-Nov	4,563.00	3.0
MERRILL LYNCH STRATEGICI	034	NBL	SS	10,000	72.00	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL LYNCH STRATEGICI	034	NBR	B	35,000	27.23	n/a	n/a	1,400.00	4.0
MERRILL LYNCH STRATEGICI	034	NE	S	30,000	50.50	n/a	n/a	1,500.00	5.0
MERRILL LYNCH STRATEGICI	034	NOV	S	10,000	64.94	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	NXY	B	30,000	29.71	n/a	n/a	1,200.00	4.0
MERRILL LYNCH STRATEGICI	034	OXY	B	10,000	68.16	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	OXY	SS	10,000	67.84	n/a	n/a	600.00	6.0
BUCK CAPITAL MGMT	001	PBG	SS	50,000	40.99	n/a	n/a	2,000.00	4.0
DAVIDSON KEMPNER ADVISOR	217	PDE	S	57,800	32.33	n/a	n/a	2,890.00	5.0
MERRILL LYNCH STRATEGICI	034	PDE	B	20,000	32.26	n/a	n/a	800.00	4.0
LISTED ERR	099	PDE	S	21	32.33	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PEP	SS	40,000	74.21	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT		PFCB	SS	20,000	26.00	n/a	24-Apr	non-brg	2.5
MERRILL LYNCH STRATEGICI	034	PHG	S	10,000	39.92	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		PLCE	B	10,000	24.87	26-Sep	12-Nov	non-brg	4.0
BUCK CAPITAL MGMT		PNRA	SS	43,500	36.07	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		PSUN	C	17,467	14.25	n/a	12-Nov	non-brg	4.0
COUGAR TRADING	044	PSUN	B	5,000	14.00	n/a	12-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PTT	S	10,000	10.20	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	39.88	13-Aug	29-Aug	400.00	4.0
MERRILL LYNCH STRATEGICI	034	PWR	B	40,000	26.42	n/a	n/a	1,600.00	4.0
MERRILL LYNCH STRATEGICI	034	PWR	S	20,100	26.48	n/a	n/a	804.00	4.0
MERRILL LYNCH STRATEGICI	034	RCL	SS	10,000	39.05	23-Oct	23-Oct	400.00	4.0
MERRILL LYNCH STRATEGICI	034	REG	S	14,000	67.30	n/a	n/a	840.00	6.0
MERRILL LYNCH STRATEGICI	034	RIG	B	10,000	116.74	n/a	n/a	600.00	6.0
Õ Manny Korman		RLF	S	1000	17.38	n/a	n/a	0.00	0.0
Õ Manny Korman		RLF	S	1900	17.38	n/a	n/a	0.00	0.0
Õ Manny Korman		RLF	S	500	17.38	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	10,000	64.29	8-Nov	8-Nov	400.00	4.0
Õ Manny Korman		RPF	S	3498	17.83	n/a	n/a	0.00	0.0
Õ Manny Korman		RPF	S	3778	17.83	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RRGB	SS	10,000	39.53	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAPITAL	038	RTH	B	19,000	92.96	n/a	n/a	950.00	5.0
ß BUCK CAPITAL MGMT		SBUX	SS	40,000	22.81	n/a	24-Apr	non-brg	4.0
ROSENBERG	034	SEE	S	1,000	23.17	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	SFD	SS	36,000	28.46	n/a	n/a	1,440.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	20.40	n/a	13-Mar	800.00	4.0
LEDDY	035	SLB	S	250	92.75	n/a	n/a	0.00	0.0
WELLS/STRONG LEDDY	035	SORC	S	16,700	2.00	n/a	n/a	334.00	2.0
MERRILL LYNCH STRATEGICI	034	SPG	S	10,000	92.24	n/a	n/a	600.00	6.0
MATRIX ASSET ADV.	036	SPLS	B	11,500	20.55	27-Jul	27-Jul	460.00	4.0
B BUCK CAPITAL MGMT		SPY	SS	100,000	145.13	n/a	n/a	non-brg	2.0
Õ Manny Korman		SRO	S	1500	13.92	n/a	n/a	0.00	0.0
Õ Manny Korman		SRO	S	2800	13.92	n/a	n/a	0.00	0.0
Õ Manny Korman		SRO	S	3000	13.93	n/a	n/a	0.00	0.0
Õ Manny Korman		SRO	S	300	13.93	n/a	n/a	0.00	0.0
Õ Manny Korman		SRO	S	4400	13.92	n/a	n/a	0.00	0.0
Õ Manny Korman		SRQ	S	4000	13.93	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	SSI	S	275,000	16.06	3-Aug	12-Nov	11,000.00	4.0
MERRILL LYNCH STRATEGICI	034	STP	B	10,000	71.45	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	SUN	B	10,000	69.88	n/a	n/a	600.00	6.0
ROSENBERG	034	TBL	S	300	15.81	n/a	13-Mar	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	TDW	B	20,000	50.33	n/a	n/a	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		TFR	S	69,800	5.29	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		THI	SS	10,000	38.64	n/a	24-Apr	non-brg	4.0
GAULT	063	TIN	B	500	43.89	9-Nov	9-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		TRLG	S	15,000	17.38	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TSCO	SS	30,000	39.17	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TWB	S	50,000	26.51	19-Nov	19-Nov	2,000.00	4.0
STEADFAST FIN LLC	041	UAUA	B	64,500	40.62	n/a	n/a	3,225.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	10,000	50.58	n/a	n/a	400.00	4.0
J.W. SELIGMAN	041	UNM	B	30,000	24.25	n/a	n/a	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		URBN	S	50,000	24.44	9-Nov	12-Nov	non-brg	4.0
MORGAN LEWIS/MLH	046	URBN	SS	15,000	23.85	9-Nov	12-Nov	750.00	5.0
CHARTER OAK	033	VAR	S	30,145	48.92	n/a	n/a	1,507.25	5.0
SINCLAIR	031	VCFA	B	20	0.60	n/a	n/a	0.00	0.0
MORTAR ROCK	033	VC	B	62,500	3.99	n/a	19-Nov	1,875.00	3.0
EFSTATHIOU	044	VC	B	1,000	3.99	n/a	19-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRATTON	N21	VFWAV	S	4	2.55	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	VZ	SS	315,000	42.71	21-Sep	19-Nov	12,600.00	4.0
JPMSI/TOM LEDDY	035	WAG	SS	10,000	39.25	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		WFMI	SS	40,000	43.82	n/a	n/a	non-brg	4.0
BUCK	015	WFMI	C	1,000	43.10	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	WFR	SS	20,000	68.87	n/a	n/a	1,200.00	6.0
BUCK CAPITAL MGMT	001	WWY	SS	10,000	61.62	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	WY	SS	35,600	69.63	1-Nov	1-Nov	1,780.00	5.0
PECONIC PARTNERS	036	YHOO	S	200,000	27.17	n/a	n/a	10,000.00	5.0
STRATTON	N21	ZHNP	B	200	12.45	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								162,687.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/16	BAYA	031	IVZ	B	14,000	26.64	8-Oct	16-Nov	560.00 4.0
AO,CXL	11/16	BAYPOINT/PRIMEMOVERS	041	IVZ	B	14,000	26.64	8-Oct	16-Nov	700.00 5.0
AO,	11/16	GOLDMAN SACHS ASSET MGMT	044	RIMM	B	177,890	102.90	n/a	n/a	2668.35 1.5
AO,CRT	11/14	NOMURA CAPITAL	045	SCT	S	19,300	2.15	n/a	n/a	579.00 3.0
AO,CXL	11/14	NOMURA CAPITAL	045	SCT	S	19,300	2.15	n/a	n/a	965.00 5.0
AO,	11/16	BUCK CAPITAL MGMT	015	TIN	B	400	50.00	9-Nov	9-Nov	0.00 0.0
TOTAL (AO, CXL, CRT) :										2,142.35

TOTAL (Trade Date) :	162,687.35
TOTAL (AO, CXL, CRT) :	2,142.35

TOTAL (RUN DATE) / NFS :	164,829.70
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MRI Securities with Trade Activity on 19-Nov.

TWB

MRI Securities without Trade Activity on 19-Nov.

STR

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

T-Date = 47%

YTD = 19%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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