

## **Daily Compliance Activity Report** Trade Date: 04/04/2007

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
MAZAMA CAPITAL MGMT.	035	AIQ	S	318,000	8.72	n/a	n/a	12,720.00	4.0
BUCK CAPITAL MGMT	001	ANF	SS	30,000	77.02	2-Feb	21-Mar	1,200.00	4.0
TRIVIUM CAP MGMT	028	ARO	SS	25,000	41.66	n/a	16-Mar	1,000.00	4.0
NEUBERGER BERMAN	036	ATK	S	10,000	89.20	n/a	n/a	500.00	5.0
LISTED ERR	099	AVZ	S	1,500	22.73	5-Mar	28-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	BBY	В	20,000	48.08	13-Dec	23-Mar	800.00	4.0
SANDLER O'NEILL ASSET	031	BEN	S	6,500	124.54	22-Mar	28-Mar	325.00	5.0
BUCK CAPITAL MGMT	001	BIG	SS	5,000	33.46	9-Mar	27-Mar	200.00	4.0
BUCK CAPITAL MGMT		BONT	S	10,000	55.32	9-Mar	16-Mar	non-brg	5.0
BARR	096	BQI	В	3,000	3.27	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CBK	В	10,000	19.61	30-Mar	30-Mar	500.00	5.0
MCCARTAN	028	CBK	В	200	19.65	30-Mar	30-Mar	0.00	0.0
MCCARTAN	028	CBK	S	100	19.63	30-Mar	30-Mar	0.00	0.0
ROARING BLUE LION MGMT	012	CC	В	4,500	17.98	20-Dec	30-Mar	225.00	5.0
LEDDY	035	cc	В	1,000	18.14	20-Dec	30-Mar	0.00	0.0
DELTEC ASSET MGMT.	040	CHS	S	27,000	25.19	27-Mar	27-Mar	1,350.00	5.0
	ACCOUNT  MAZAMA CAPITAL MGMT.  BUCK CAPITAL MGMT  TRIVIUM CAP MGMT  NEUBERGER BERMAN  LISTED ERR  BUCK CAPITAL MGMT  SANDLER O'NEILL ASSET  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  BARR  COUGAR TRADING  MCCARTAN  MCCARTAN  ROARING BLUE LION MGMT  LEDDY	ACCOUNT RR #  MAZAMA CAPITAL MGMT. 035  BUCK CAPITAL MGMT 001  TRIVIUM CAP MGMT 028  NEUBERGER BERMAN 036  LISTED ERR 099  BUCK CAPITAL MGMT 001  SANDLER O'NEILL ASSET 031  BUCK CAPITAL MGMT 001  BUCK CAPITAL MGMT 001  BUCK CAPITAL MGMT 001  COUGAR TRADING 044  MCCARTAN 028  MCCARTAN 028  ROARING BLUE LION MGMT 012  LEDDY 035	Account RR # Symbol  MAZAMA CAPITAL MGMT. 035 AIQ  BUCK CAPITAL MGMT 001 ANF  TRIVIUM CAP MGMT 028 ARO  NEUBERGER BERMAN 036 ATK  LISTED ERR 099 AVZ  BUCK CAPITAL MGMT 001 BBY  SANDLER O'NEILL ASSET 031 BEN  BUCK CAPITAL MGMT 001 BIG  BUCK CAPITAL MGMT 001 BIG  COUGAR TRADING 044 CBK  MCCARTAN 028 CBK  MCCARTAN 028 CBK  MCCARTAN 028 CBK  ROARING BLUE LION MGMT 012 CC  LEDDY 035 CC	ACCOUNT RR # Symbol B/S  MAZAMA CAPITAL MGMT. 035 AIQ S  BUCK CAPITAL MGMT 001 ANF SS  TRIVIUM CAP MGMT 028 ARO SS  NEUBERGER BERMAN 036 ATK S  LISTED ERR 099 AVZ S  BUCK CAPITAL MGMT 001 BBY B  SANDLER O'NEILL ASSET 031 BEN S  BUCK CAPITAL MGMT 001 BIG SS  BUCK CAPITAL MGMT 001 BIG SS  BUCK CAPITAL MGMT 001 BIG SS  COUGAR TRADING 044 CBK B  MCCARTAN 028 CBK B  MCCARTAN 028 CBK B  MCCARTAN 028 CBK S  ROARING BLUE LION MGMT 012 CC B  LEDDY 035 CC B	Account         RR #         Symbol         B/S         Shares           MAZAMA CAPITAL MGMT.         035         AIQ         S         318,000           BUCK CAPITAL MGMT         001         ANF         SS         30,000           TRIVIUM CAP MGMT         028         ARO         SS         25,000           NEUBERGER BERMAN         036         ATK         S         10,000           LISTED ERR         099         AVZ         S         1,500           BUCK CAPITAL MGMT         001         BBY         B         20,000           SANDLER O'NEILL ASSET         031         BEN         S         6,500           BUCK CAPITAL MGMT         001         BIG         SS         5,000           COUGAR TRADING         044         CBK         B         10,000           MCCARTAN         028         CBK         B         200           MCCARTAN         028         CBK         S         100	Account         RR #         Symbol         B/S         Shares         Price           MAZAMA CAPITAL MGMT.         035         AIQ         S         318,000         8.72           BUCK CAPITAL MGMT         001         ANF         SS         30,000         77.02           TRIVIUM CAP MGMT         028         ARO         SS         25,000         41.66           NEUBERGER BERMAN         036         ATK         S         10,000         89.20           LISTED ERR         099         AVZ         S         1,500         22.73           BUCK CAPITAL MGMT         001         BBY         B         20,000         48.08           SANDLER O'NEILL ASSET         031         BEN         S         6,500         124.54           BUCK CAPITAL MGMT         001         BIG         SS         5,000         33.46           BUCK CAPITAL MGMT         BONT         S         10,000         55.32           BARR         096         BQI         B         3,000         3.27           COUGAR TRADING         044         CBK         B         10,000         19.61           MCCARTAN         028         CBK         B         200         19.65	Account         RR #         Symbol         B/S         Shares         Price         MRI           MAZAMA CAPITAL MGMT.         035         AIQ         S         318,000         8.72         n/a           BUCK CAPITAL MGMT         001         ANF         SS         30,000         77.02         2-Feb           TRIVIUM CAP MGMT         028         ARO         SS         25,000         41.66         n/a           NEUBERGER BERMAN         036         ATK         S         10,000         89.20         n/a           LISTED ERR         099         AVZ         S         1,500         22.73         5-Mar           BUCK CAPITAL MGMT         001         BBY         B         20,000         48.08         13-Dec           SANDLER O'NEILL ASSET         031         BEN         S         6,500         124.54         22-Mar           BUCK CAPITAL MGMT         001         BIG         SS         5,000         33.46         9-Mar           BUCK CAPITAL MGMT         001         BIG         SS         5,000         33.46         9-Mar           BUCK CAPITAL MGMT         001         BIG         S         10,000         55.32         9-Mar <td< td=""><td>Account         RR #         Symbol         B/S         Shares         Price         MRI         Research           MAZAMA CAPITAL MGMT.         035         AIQ         S         318,000         8.72         n/a         n/a           BUCK CAPITAL MGMT         001         ANF         SS         30,000         77.02         2-Feb         21-Max           TRIVIUM CAP MGMT         028         ARO         SS         25,000         41.66         n/a         16-Max           NEUBERGER BERMAN         036         ATK         S         10,000         89.20         n/a         n/a           LISTED ERR         099         AVZ         S         1,500         22.73         5-Max         28-Max           BUCK CAPITAL MGMT         001         BBY         B         20,000         48.08         13-Dec         23-Max           BUCK CAPITAL MGMT         001         BIG         SS         5,000         33.46         9-Max         27-Max           BUCK CAPITAL MGMT         001         BIG         SS         5,000         33.46         9-Max         27-Max           BUCK CAPITAL MGMT         001         BIG         S         10,000         55.32         9-Max</td><td>Account         RR #         Symbol         B/S         Shares         Price         MRI         Research         Comm.           MAZAMA CAPITAL MGMT.         035         AIQ         S         318,000         8.72         n/a         n/a         12,720.00           BUCK CAPITAL MGMT         001         ANF         SS         30,000         77.02         2-Feb         21-Mar         1,200.00           TRIVIUM CAP MGMT         028         ARO         SS         25,000         41.66         n/a         16-Mar         1,000.00           NEUBERGER BERMAN         036         ATK         S         10,000         89.20         n/a         n/a         500.00           LISTED ERR         099         AVZ         S         1,500         22.73         5-Mar         28-Mar         0.00           BUCK CAPITAL MGMT         001         BBY         B         20,000         48.08         13-Dec         23-Mar         800.00           BUCK CAPITAL MGMT         011         BIG         SS         5,000         33.46         9-Mar         28-Mar         200.00           BUCK CAPITAL MGMT         001         BIG         SS         10,000         55.32         9-Mar         16-Mar<!--</td--></td></td<>	Account         RR #         Symbol         B/S         Shares         Price         MRI         Research           MAZAMA CAPITAL MGMT.         035         AIQ         S         318,000         8.72         n/a         n/a           BUCK CAPITAL MGMT         001         ANF         SS         30,000         77.02         2-Feb         21-Max           TRIVIUM CAP MGMT         028         ARO         SS         25,000         41.66         n/a         16-Max           NEUBERGER BERMAN         036         ATK         S         10,000         89.20         n/a         n/a           LISTED ERR         099         AVZ         S         1,500         22.73         5-Max         28-Max           BUCK CAPITAL MGMT         001         BBY         B         20,000         48.08         13-Dec         23-Max           BUCK CAPITAL MGMT         001         BIG         SS         5,000         33.46         9-Max         27-Max           BUCK CAPITAL MGMT         001         BIG         SS         5,000         33.46         9-Max         27-Max           BUCK CAPITAL MGMT         001         BIG         S         10,000         55.32         9-Max	Account         RR #         Symbol         B/S         Shares         Price         MRI         Research         Comm.           MAZAMA CAPITAL MGMT.         035         AIQ         S         318,000         8.72         n/a         n/a         12,720.00           BUCK CAPITAL MGMT         001         ANF         SS         30,000         77.02         2-Feb         21-Mar         1,200.00           TRIVIUM CAP MGMT         028         ARO         SS         25,000         41.66         n/a         16-Mar         1,000.00           NEUBERGER BERMAN         036         ATK         S         10,000         89.20         n/a         n/a         500.00           LISTED ERR         099         AVZ         S         1,500         22.73         5-Mar         28-Mar         0.00           BUCK CAPITAL MGMT         001         BBY         B         20,000         48.08         13-Dec         23-Mar         800.00           BUCK CAPITAL MGMT         011         BIG         SS         5,000         33.46         9-Mar         28-Mar         200.00           BUCK CAPITAL MGMT         001         BIG         SS         10,000         55.32         9-Mar         16-Mar </td

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
õ	Glenn Redemann		CLM	S	1176	8.72	n/a	n/a	0.00	0.0
	EOS PARTNERS	040	CME	S	500	560.03	n/a	3-Apr	20.00	4.0
	BANK OF NEW YORK	040	CMG	S	2,190	64.33	16-Feb	16-Feb	98.55	4.5
	CAPITAL GROWTH MGMT.	241	CNH	S	62,000	37.22	n/a	n/a	3,100.00	5.0
	BUCK CAPITAL MGMT	001	CRI	SS	10,000	25.48	n/a	n/a	400.00	4.0
	NEUBERGER BERMAN	036	CRL	S	26,100	46.35	n/a	n/a	1,305.00	5.0
ß	BUCK CAPITAL MGMT		CWTR	В	5,000	21.43	n/a	n/a	non-brg	5.0
	AMATURO	018	DAWUW	В	80	4.50	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		DDS	С	100,000	32.95	n/a	n/a	non-brg	5.0
ß	BUCK CAPITAL MGMT		DKS	В	10,000	58.71	n/a	n/a	non-brg	5.0
	BANK OF NEW YORK	040	DRIV	S	3,400	55.72	n/a	n/a	153.00	4.5
ß	BUCK CAPITAL MGMT		EGLT	C	6,000	16.20	n/a	n/a	non-brg	5.0
	HOOVER INV. MGMT	033	ELY	В	64,200	16.35	n/a	n/a	3,210.00	5.0
	CASTLE ARK	031	EOG	С	70	73.63	n/a	n/a	4.20	6.0
	MATTHES CAPITAL MGMT	033	FBN	В	20,000	15.86	n/a	n/a	800.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	BUCK CAPITAL MGMT	001	FD	SS	130,000	45.63	26-Jan	9-Mar	5,200.00	4.0
	BANK OF NEW YORK	040	FORM	S	3 <b>,</b> 700	45.96	n/a	n/a	166.50	4.5
	BUCK CAPITAL MGMT	001	GCO	В	5,000	41.22	n/a	10-Jan	200.00	4.0
	BANK OF NEW YORK	040	GET	S	3,840	54.35	n/a	n/a	172.80	4.5
ß	BUCK CAPITAL MGMT		GIII	В	13,000	18.25	n/a	n/a	non-brg	1.0
	LUCHANSKY	036	GIL	В	100	62.94	n/a	2-Apr	0.00	0.0
	LEDDY	035	GLW	S	500	23.05	n/a	2-Mar	0.00	0.0
ß	BUCK CAPITAL MGMT		GPI	В	20,000	42.45	n/a	n/a	non-brg	5.0
	GRACIE CAPITAL	028	ннн	В	10,000	56.92	n/a	n/a	500.00	5.0
ß	BUCK CAPITAL MGMT		HLYS	В	10,000	27.50	n/a	n/a	non-brg	5.0
	SHAREVEST CAPITAL MGMT.	038	IFS	S	6,300	30.87	n/a	n/a	315.00	5.0
	NEUBERGER BERMAN	036	IHP	В	20,000	59.70	n/a	n/a	1,000.00	5.0
	EMP ERROR	099	IP	В	400	37.23	20-Mar	20-Mar	0.00	0.0
	SPRINGBOC	039	IWM	SS	17,261	80.44	n/a	n/a	863.05	5.0
	TRIVIUM CAP MGMT	028	JNY	SS	25,000	32.07	n/a	15-Feb	1,000.00	4.0

	Account	RR #	Symbol	в/:	S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		JOSB	В		30,000	35.61	n/a	n/a	non-brg	5.0
	BUCK CAPITAL MGMT	001	KCP	В		19,400	27.47	n/a	28-Feb	776.00	4.0
ß	BUCK CAPITAL MGMT		KCP	В		600	27.59	n/a	28-Feb	non-brg	2.0
	PENN CAPITAL MGMT	033	KEGS		S	7 <b>,</b> 570	16.60	n/a	26-Mar	302.80	4.0
	ZOLIDIS	011	кмх	В		100	25.03	n/a	10-Jan	0.00	0.0
	BALYASNY ASSET MGMT	044	LAZ	В		20,000	50.90	n/a	n/a	1,000.00	5.0
ß	BUCK CAPITAL MGMT		MIPS		S	100,000	8.57	n/a	n/a	non-brg	4.0
	WHEELER	800	MMMDO	В		40	2.75	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		MSMSBFIN		SS	291,900	28.75	n/a	n/a	non-brg	2.9
ß	BUCK CAPITAL MGMT		MVRX		SS	42,000	200.26	n/a	n/a	non-brg	20.0
	COUGAR TRADING	044	NEXC		S	5,000	10.67	n/a	n/a	250.00	5.0
ß	BUCK CAPITAL MGMT		NWY		S	5,000	15.64	23-Mar	23-Mar	non-brg	5.0
	STERLING JOHNSTON	035	NWY	В		87,000	15.73	23-Mar	23-Mar	4,350.00	5.0
	CASTLE ARK	031	ODP		SS	160	34.99	n/a	2-Mar	9.60	6.0
ß	BUCK CAPITAL MGMT		ОІН		SS	75,000	147.50	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		PLCE	В		5,000	55.34	n/a	21-Mar	non-brg	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	KNOTT PARTNERS	044	PRX	В	25 <b>,</b> 000	25.85	30-Jan	2-Apr	1,000.00	4.0
	TRIVIUM CAP MGMT	028	PSS	SS	25 <b>,</b> 000	33.84	n/a	n/a	1,000.00	4.0
	SPRINGBOC	039	QQQQ	SS	31,336	44.27	n/a	n/a	1,566.80	5.0
	WHEELER	008	QXWHW	В	100	4.70	n/a	n/a	0.00	0.0
	HUNTER GLOBAL INVESTOR	067	RAS	S	105,600	27.14	n/a	n/a	5,280.00	5.0
	BUCK CAPITAL MGMT	001	RL	SS	5,000	91.67	2-Feb	16-Feb	200.00	4.0
õ	Glenn Redemann		RMBS	В	2	0.97	n/a	n/a	0.00	0.0
õ	Glenn Redemann		RMBS	В	2	1.23	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		RTH	SS	106,300	102.95	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		RTH	SS	30,000	102.91	n/a	n/a	non-brg	2.0
	ZOLIDIS	011	SHOE	SS	100	6.40	n/a	n/a	0.00	0.0
	GRACIE CAPITAL	028	SMH	В	10,000	33.75	n/a	n/a	500.00	5.0
õ	Glenn Redemann		SNDA	В	7	0.18	n/a	n/a	0.00	0.0
õ	Glenn Redemann		SNDA	В	7	0.19	n/a	n/a	0.00	0.0
õ	Glenn Redemann		SNDA	S	7	0.76	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		SNDA	S	7	0.81	n/a	n/a	0.00	0.0
	SPRINGBOC	039	SPY	SS	9,654	143.77	n/a	n/a	482.70	5.0
	GRACIE CAPITAL	028	SWH	В	10,000	39.37	n/a	n/a	500.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
ß	BUCK CAPITAL MGMT		TGT	В	5,000	60.58	n/a	8-Mar	non-brg	5.0
	WASHINGTON ASSET	048	THI	В	8,000	30.60	12-Dec	7-Feb	400.00	5.0
	BUCK CAPITAL MGMT	001	тJX	В	10,000	27.62	21-Mar	21-Mar	400.00	4.0
	BALYASNY ASSET MGMT	044	TROW	В	28,300	48.27	n/a	28-Mar	1,415.00	5.0
ß	BUCK CAPITAL MGMT		UAG	В	10,000	20.98	n/a	n/a	non-brg	5.0
	HOOVER INV. MGMT	033	VSH	В	90,000	14.70	n/a	n/a	4,500.00	5.0
	BALYASNY ASSET MGMT	044	WDR	В	20,000	23.74	5-Mar	28-Mar	1,000.00	5.0
	BANK OF NEW YORK	040	WDR	S	27,470	23.62	5-Mar	28-Mar	1,236.15	4.5
ß	BUCK CAPITAL MGMT		XLF	SS	71,200	35.72	n/a	n/a	non-brg	2.0
	BRIGHTPOINT CAP	067	YUM	SS	5,000	58.74	12-Dec	13-Feb	250.00	5.0

TOTAL (Trade Date): 63,747.15

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CRT	04/03	PRINCIPLE CAPITAL	040	ANN	S	154,875	39.04	5-Jan	19-Mar	4646.25	3.0
AO,	04/03	LISTED ERR	099	AVZ	В	1,500	22.44	5-Mar	28-Mar	0.00	0.0
AO,CXL	04/03	BANK OF NEW YORK	040	CENT	S	12,280	14.58	8-Feb	8-Feb	491.20	4.0
AO, CRT	04/03	ESTABROOK	032	CENT	S	12,280	14.58	8-Feb	8-Feb	552.60	4.5
AO,	04/03	PRINCIPLE CAPITAL	040	GPS	В	250 <b>,</b> 000	17.63	n/a	9-Mar	7500.00	3.0
AO, CRT	04/03	FORSTMAN LEFF	032	NVS	S	14,800	55.17	n/a	n/a	740.00	5.0
AO, CXL	04/03	FORSTMAN LEFF	098	NVS	S	14,800	55.17	n/a	n/a	740.00	5.0
AO, CRT	04/03	PILOT ROCK	028	SNDK	S	37 <b>,</b> 500	43.94	n/a	n/a	1500.00	4.0
AO,CXL	04/03	PILOT ROCK	028	SNDK	S	37,500	43.94	n/a	n/a	1875.00	5.0
TOTAL	(AO, 0	CXL, CRT):							11,	832.65	

OTAL (RUN DATE) / NFS:	75,579.80
OTAL (AO, CXL, CRT):	11,832.65
COTAL (Trade Date):	63,747.15

MRI Securities with Trade Activity on 4-Apr. NONE

MRI Securities without Trade Activity on 4-Apr. NONE

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

T-Date = 20%

YTD = 17%

## Legend:

O: 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