



## Daily Compliance Activity Report

Trade Date: 02/16/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Glenn Redemann		AAPL	B	6	0.2900	n/a	n/a	0.00	0.0
Glenn Redemann		AAPL	S	6	0.8100	n/a	n/a	0.00	0.0
Glenn Redemann		AAPL	S	6	0.8700	n/a	n/a	0.00	0.0
PILOT ROCK	028	AEOS	SS	25,000	31.33	4-Jan	9-Feb	1,000.00	4.0
COUGAR TRADING	044	ANF	B	5,000	82.59	2-Feb	16-Feb	250.00	5.0
LUCID PARTNERS	067	AOS	B	3,000	38.28	21-Dec	8-Feb	150.00	5.0
J L F ASSET MGMT	039	ARO	S	73,000	37.70	23-Oct	9-Feb	2,920.00	4.0
KAICHER	064	ARTG	B	5,000	2.18	n/a	n/a	0.00	0.0
Glenn Redemann		BCSI	S	2	6.6000	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	BHP	B	350,000	45.69	n/a	n/a	17,500.00	5.0
BARR	096	BQI	B	900	3.84	n/a	n/a	0.00	0.0
Glenn Redemann		BVF	B	3	0.6400	n/a	n/a	0.00	0.0
Glenn Redemann		BVF	B	3	0.9100	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BWLD	C	25,000	55.11	n/a	n/a	non-brg	5.0
BUCK	015	CAKE	B	400	27.04	7-Feb	7-Feb	0.00	0.0
LEDDY	035	CAKE	S	400	27.11	7-Feb	7-Feb	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BELMONT GLOBAL ADV	248	CBK	B	30,000	19.02	11-Dec	16-Feb	1,500.00	5.0
<b>GAULT</b>	<b>063</b>	<b>CBK</b>	<b>B</b>	<b>1,000</b>	<b>18.83</b>	<b>11-Dec</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
AMBER CAPITAL	046	CBSS	B	140,000	70.38	n/a	n/a	5,600.00	4.0
MILLENIUM PARTNERS	028	CCU	B	25,000	36.50	n/a	n/a	1,250.00	5.0
EMINENCE CAPITAL	038	CC	B	63,000	21.29	20-Dec	10-Jan	3,150.00	5.0
RBC CAPITAL MARKETS	034	CC	B	25,000	21.38	20-Dec	10-Jan	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CDNS</b>	<b>B</b>	<b>10,000</b>	<b>20.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
CRAMER ROSENTHAL/SCOTT	012	CENTA	S	198,900	13.02	n/a	n/a	9,945.00	5.0
GRANAHAN INV	039	CENT	B	67,900	13.46	8-Feb	8-Feb	2,716.00	4.0
THIRD COAST CAPITAL	035	CHRD	B	50,000	3.77	n/a	n/a	1,500.00	3.0
<b>GAULT</b>	<b>063</b>	<b>CMGBL</b>	<b>S</b>	<b>10</b>	<b>4.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>160</b>	<b>CMG</b>	<b>S</b>	<b>500</b>	<b>63.92</b>	<b>16-Feb</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>10,000</b>	<b>49.93</b>	<b>24-Jan</b>	<b>24-Jan</b>	<b>400.00</b>	<b>4.0</b>
HARVEST MGMT	039	COST	S	20,000	57.97	n/a	9-Feb	1,000.00	5.0
<b>Ö Glenn Redemann</b>		<b>CRM</b>	<b>S</b>	<b>2</b>	<b>9.3000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY</b>	<b>036</b>	<b>DCTH</b>	<b>S</b>	<b>3,500</b>	<b>4.36</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.	
CUMBERLAND	038	DRI	S	150,000	42.73	12-Dec	19-Dec	6,000.00	4.0
Õ Glenn Redemann		DVF	S	510	19.8700	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EGLT	C	10,000	15.80	n/a	n/a	non-brg	5.0
CAXTON PART	040	EMC	S	100,000	14.50	n/a	n/a	4,000.00	4.0
ß BUCK CAPITAL MGMT		EVST	B	10,300	20.54	n/a	n/a	non-brg	5.0
LEDDY	035	EVST	S	700	21.25	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	EV	S	39,000	35.97	2-Nov	20-Feb	1,950.00	5.0
IRONBOUND CAPITAL	012	EV	S	54,000	35.90	2-Nov	20-Feb	2,700.00	5.0
WAGONHOUND	048	FD	S	10,100	44.21	26-Jan	16-Feb	404.00	4.0
DC CAPITAL	044	GLW	B	100,000	21.61	n/a	16-Feb	5,000.00	5.0
MORGAN STANLEY PRINC 2	040	GLW	B	25,000	21.62	n/a	16-Feb	1,000.00	4.0
Õ Glenn Redemann		HOLX	S	1	6.1000	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	HPY	B	34,000	25.53	n/a	n/a	1,360.00	4.0
BUCK	015	HSY	S	300	52.17	n/a	n/a	0.00	0.0
BUCK	015	IBN	B	300	44.20	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		INNO	S	106,000	0.92	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		INTC	B	10,000	21.31	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUTERA	160	ISE	S	1,000	46.67	26-Oct	16-Feb	0.00	0.0
BARR	096	ITCD	S	3,000	2.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		JADE	B	30,000	9.33	n/a	n/a	non-brg	4.0
KORMAN	003	JADE	B	25,000	9.30	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	JCP	B	5,000	85.27	10-Nov	16-Feb	250.00	5.0
DAVIDSON TRUST CO	033	JNJ	S	1,500	65.27	n/a	22-Apr	135.00	9.0
MAGUIRE	039	JPUBU	S	40	0.30	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		KBLH	B	250,000	5.45	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KBLH	B	250,000	5.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LAVA	B	20,000	10.20	n/a	n/a	non-brg	5.0
CAXTON PART	040	MAT	S	55,000	26.38	n/a	n/a	2,200.00	4.0
GUARDIAN LIFE	035	MSFT	S	288,545	28.81	n/a	3-Apr	11,541.80	4.0
MAGUIRE	039	MSI	B	800	2.42	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	MWV	S	15,000	31.97	8-Jan	1-Feb	750.00	5.0
Õ Glenn Redemann		NLS	B	15	0.3000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NLS	B	32	0.5500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NLS	S	3200	0.0100	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>SUTERA</b>	<b>160</b>	<b>NLS</b>	<b>B</b>	<b>1,000</b>	<b>18.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>20,000</b>	<b>15.84</b>	<b>1-Dec</b>	<b>16-Feb</b>	<b>non-brg</b>	<b>5.0</b>
STERLING JOHNSTON	035	NWY	B	175,000	16.01	1-Dec	16-Feb	8,750.00	5.0
THE JAY GOLDMAN	034	NWY	S	20,000	15.96	1-Dec	16-Feb	800.00	4.0
IVORY CAPITAL	034	ORCL	B	51,300	16.84	n/a	n/a	2,565.00	5.0
PIONEER OAKRIDGE	031	ORCL	S	722,445	16.76	n/a	n/a	25,285.59	3.5
MAGNETAR FINANCIAL	247	PD	B	200,000	124.00	n/a	n/a	6,000.00	3.0
<b>Ö Glenn Redemann</b>		<b>PETD</b>	<b>S</b>	<b>1</b>	<b>6.2000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BANK OF NEW YORK	040	PFCB	B	5,910	43.97	n/a	14-Feb	265.95	4.5
<b>BUCK</b>	<b>015</b>	<b>PFE</b>	<b>B</b>	<b>400</b>	<b>26.19</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
GLG PARTNERS	034	PPC	S	25,000	32.35	n/a	n/a	1,250.00	5.0
CR INTRINIC INVESTMENT	044	PRX	S	25,000	24.60	30-Jan	15-Feb	1,250.00	5.0
KNOTT PARTNERS	044	PRX	B	35,000	24.62	30-Jan	15-Feb	1,400.00	4.0
J L F ASSET MGMT	039	RSH	S	142,500	22.93	n/a	n/a	5,700.00	4.0
GLG PARTNERS	034	SBUX	SS	25,000	32.92	n/a	1-Feb	1,250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>SDS</b>	<b>B</b>	<b>1,000</b>	<b>56.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Ö Glenn Redemann</b>		<b>SEPR</b>	<b>B</b>	<b>19</b>	<b>0.7600</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Ö Glenn Redemann</b>		<b>SEPR</b>	<b>B</b>	<b>19</b>	<b>1.1900</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.	
Ö Glenn Redemann		SEPR	S	19	1.3100	n/a	n/a	0.00	0.0
Ö Glenn Redemann		SEPR	S	19	1.8400	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHRP	SS	5,000	10.14	n/a	n/a	non-brg	5.0
SIGMA CAPITAL ASSOCIATES	044	SNE	SS	25,000	52.53	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	SSI	B	5,000	21.56	9-Jan	9-Feb	200.00	4.0
TURETSKY	038	TELK	B	4,000	5.71	n/a	n/a	0.00	0.0
IRONBOUND CAPITAL	012	TIN	B	10,000	51.08	6-Feb	6-Feb	500.00	5.0
SPRINGBOC	039	TK	B	50,000	50.36	n/a	n/a	2,500.00	5.0
GALLEON MGMT LP	033	TLT	S	70,000	88.61	n/a	n/a	3,500.00	5.0
ß BUCK CAPITAL MGMT		TRLG	S	5,000	18.64	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		TSCO	B	5,000	48.39	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		TWB	S	50,000	35.21	16-Feb	16-Feb	non-brg	5.0
COUGAR TRADING	044	TWB	B	10,000	35.16	16-Feb	16-Feb	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	TWB	B	10,000	35.10	16-Feb	16-Feb	400.00	4.0
VISIUM/BALY HOWARD	038	TWB	SS	40,000	35.19	16-Feb	16-Feb	2,000.00	5.0
WOOSTER CAPITAL	035	TWB	B	25,000	35.23	16-Feb	16-Feb	1,250.00	5.0
GAULT	063	TWB	B	500	35.93	16-Feb	16-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		TXN	SS	15,000	30.86	n/a	n/a	non-brg	5.0
ROTHSCHILD ASSET	040	UNS	S	9,120	37.90	n/a	n/a	410.40	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>GAULT</b>	<b>063</b>	<b>UPLCK</b>	<b>B</b>	<b>20</b>	<b>0.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	URBN	S	35,000	26.24	7-Dec	9-Feb	1,400.00	4.0
COUGAR TRADING	044	USTR	S	10,000	56.52	16-Feb	16-Feb	500.00	5.0
ACT II PARTNERS	067	VG	SS	75,000	5.41	15-Feb	15-Feb	3,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>VIRL</b>	<b>S</b>	<b>10,000</b>	<b>8.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROBERTSON STEVENS BC	033	WMB	S	20,000	27.39	n/a	n/a	800.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>WY</b>	<b>S</b>	<b>300</b>	<b>83.11</b>	<b>15-Dec</b>	<b>9-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>YHOO</b>	<b>S</b>	<b>600</b>	<b>31.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>							<b>160,148.74</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/15	LEEDS	002	ARTG	B	30,000	2.05	n/a	n/a	0.00	0.0
AO,CXL	02/15	PEREGRINE	030	ARTG	B	30,000	2.05	n/a	n/a	0.00	0.0
AO,CRT	02/15	DSM CAPITAL PARTNERS	032	BUD	SS	5,650	51.54	n/a	n/a	339.00	6.0
AO,CXL	02/15	DSM CAPITAL PARTNERS	032	BUD	SS	5,650	51.54	n/a	n/a	339.00	6.0
AO,CXL	02/15	THIRD COAST CAPITAL	035	CHRD	B	100,000	3.65	n/a	n/a	5000.00	5.0
AO,CRT	02/15	THIRD COAST CAPITAL	035	CHRD	B	100,000	3.65	n/a	n/a	3000.00	3.0
AO,	02/15	GEORGE WEISS	034	CHS	SS	14,700	22.02	5-Jan	16-Feb	588.00	4.0
AO,CXL	02/15	GEORGE WEISS	034	CHS	SS	29,200	22.02	5-Jan	16-Feb	1315.00	4.3
AO,CXL	02/15	VANK	033	TWX	B	500	21.37	n/a	n/a	20.00	4.0
AO,CRT	02/15	VAN KAMPEN ADV	031	TWX	B	500	21.37	n/a	n/a	20.00	4.0
AO,CRT	02/15	ACT II PARTNERS	067	VG	SS	113,100	5.53	15-Feb	15-Feb	4524.00	4.0
AO,CXL	02/15	ACT II PARTNERS	067	VG	SS	113,100	5.53	15-Feb	15-Feb	5655.00	5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-3,858.00</b>	

TOTAL (Trade Date) :	160,148.74
TOTAL (AO, CXL, CRT) :	-3,858.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>156,290.74</b>
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MRI Securities with Trade Activity on 16-Feb.

CMG, TWB, USTR

MRI Securities without Trade Activity on 16-Feb.

ASD, CYH, JCI

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

T-Date = 2%

YTD = 18%

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