



# Daily Compliance Activity Report

Trade Date: 04/05/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGUIRE	090	AAI	B	5,000	10.85	n/a	n/a	0.00	0.0
BARR	096	AAI	B	1,000	10.80	n/a	n/a	0.00	0.0
GEORGE WEISS	034	ABG	C	50,000	27.08	n/a	n/a	2,000.00	4.0
Glenn Redemann		AEM	B	7	0.14	n/a	n/a	0.00	0.0
Glenn Redemann		AEM	B	7	0.42	n/a	n/a	0.00	0.0
Glenn Redemann		AEM	S	7	0.83	n/a	n/a	0.00	0.0
Glenn Redemann		AEM	S	7	1.38	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	044	AEO	B	10,000	29.85	4-Jan	9-Mar	500.00	5.0
SIGMA CAPITAL ASSOCIATES	044	AEO	SS	30,000	29.81	4-Jan	9-Mar	1,500.00	5.0
WEISS PECK	040	AEO	C	5,500	30.05	4-Jan	9-Mar	275.00	5.0
LISTED ERR	099	AEO	B	30,000	29.81	4-Jan	9-Mar	0.00	0.0
LISTED ERR	099	AEO	S	30,000	29.81	4-Jan	9-Mar	0.00	0.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	33,800	8.96	n/a	n/a	1,352.00	4.0
ZOLIDIS	011	ANN	B	200	38.98	5-Jan	19-Mar	0.00	0.0
WEISS PECK	040	ARO	C	5,300	41.93	n/a	5-Apr	265.00	5.0
NEUBERGER BERMAN	036	ATK	S	8,400	89.46	n/a	n/a	420.00	5.0
CRAMER ROSENTHAL/SCOTT	012	AVT	C	16,500	38.53	n/a	n/a	825.00	5.0
BUCK CAPITAL MGMT		AXL	SS	10,000	27.65	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	044	BEBE	B	20,000	18.14	n/a	n/a	1,000.00	5.0
GRISANTI BROWN & PARTNER	048	BSX	C	24,800	14.88	n/a	22-Apr	1,240.00	5.0
PENN CAPITAL MGMT	033	CAKE	S	9,365	26.64	7-Feb	7-Feb	374.60	4.0
BUCK CAPITAL MGMT	001	CBK	S	10,000	20.32	30-Mar	5-Apr	400.00	4.0
⚡ BUCK CAPITAL MGMT		CC	C	78,000	18.46	20-Dec	5-Apr	non-brg	5.0
RAINIER INV MGMT	035	CF	B	72,850	41.19	n/a	n/a	3,642.50	5.0
BUCK CAPITAL MGMT	001	CHS	B	70,000	25.30	27-Mar	27-Mar	2,800.00	4.0
NEUBERGER BERMAN	036	CRL	S	24,300	46.54	n/a	n/a	1,215.00	5.0
ZOLIDIS	011	CROX	C	50	51.11	n/a	n/a	0.00	0.0
MATTHES CAPITAL MGMT	033	CSV	S	10,000	8.43	n/a	n/a	400.00	4.0
CATAPULT	040	CVS	B	25,000	34.55	n/a	n/a	1,250.00	5.0
LISTED ERR	099	CVS	B	5,000	34.65	n/a	n/a	0.00	0.0
LISTED ERR	099	CVS	S	5,000	34.65	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CWTR	B	20,000	21.39	n/a	n/a	non-brg	5.0
FIRST NEW YORK LEDDY	035	DBRN	B	10,000	22.52	n/a	n/a	600.00	6.0
SIGMA CAPITAL ASSOCIATES	044	DBRN	S	110,000	22.43	n/a	n/a	5,500.00	5.0
⚡ BUCK CAPITAL MGMT		DDS	C	119,600	33.18	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	044	DSW	B	5,000	43.48	30-Mar	30-Mar	250.00	5.0
HUNTER GLOBAL INVESTOR	067	EEM	B	125,300	120.25	n/a	n/a	3,759.00	3.0
MATTHES CAPITAL MGMT	033	FBN	B	20,000	15.80	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		FDO	C	175,000	30.45	3-Nov	29-Mar	non-brg	5.0
BUCK CAPITAL MGMT	001	FD	SS	20,000	45.95	26-Jan	9-Mar	800.00	4.0
SIGMA CAPITAL ASSOCIATES	044	FD	SS	10,000	46.03	26-Jan	9-Mar	500.00	5.0
TROUBH PART	067	FD	SS	10,000	45.90	26-Jan	9-Mar	500.00	5.0
ß BUCK CAPITAL MGMT		FLDR	SS	5,000	7.06	n/a	n/a	non-brg	4.0
WAGONHOUND	048	F	SS	41,500	7.97	n/a	5-Apr	1,245.00	3.0
ß BUCK CAPITAL MGMT		GIII	B	5,000	18.10	n/a	n/a	non-brg	1.0
MCCARTAN	028	GIL	B	100	63.29	n/a	2-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		GLBL	S	40,000	19.45	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GPS	B	200,000	17.67	n/a	9-Mar	non-brg	5.0
FIRST NEW YORK LEDDY	035	GPS	S	10,000	17.67	n/a	9-Mar	600.00	6.0
Õ Glenn Redemann		GRP	B	3	0.81	n/a	n/a	0.00	0.0
Õ Glenn Redemann		GRP	B	3	0.89	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HLYS	B	5,000	30.20	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SHAREVEST CAPITAL MGMT.	038	IFS	S	3,700	30.90	n/a	n/a	185.00	5.0
ß BUCK CAPITAL MGMT		IKAN	B	10,000	8.00	n/a	n/a	non-brg	4.0
RIVER RUN MGMT	031	ITCD	B	13,000	2.98	n/a	n/a	390.00	3.0
KERN	050	IYM	B	100	65.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	B	10,000	83.67	23-Feb	5-Mar	400.00	4.0
ß BUCK CAPITAL MGMT		JOSB	B	10,000	55.33	n/a	n/a	non-brg	1.5
BUCK CAPITAL MGMT	001	KCP	B	10,000	26.71	n/a	28-Feb	400.00	4.0
HUNTER GLOBAL INVESTOR	067	KR	S	100,000	29.09	n/a	n/a	5,000.00	5.0
BALYASNY ASSET MGMT	044	LAZ	B	20,000	51.49	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		MIPS	S	20,000	8.55	n/a	n/a	non-brg	4.0
Õ Glenn Redemann		NCV	S	623	16.30	n/a	n/a	0.00	0.0
KERN	050	PBW	B	100	19.37	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	044	PERY	B	10,000	32.95	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		PLCE	B	10,000	55.33	n/a	21-Mar	non-brg	1.5
KNOTT PARTNERS	044	PRX	B	25,000	25.95	30-Jan	5-Apr	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	044	PSS	B	48,000	34.19	n/a	n/a	2,400.00	5.0
SIGMA CAPITAL ASSOCIATES	044	PSS	S	48,000	34.03	n/a	n/a	2,400.00	5.0
<b>BARR</b>	<b>096</b>	<b>QID</b>	<b>S</b>	<b>500</b>	<b>52.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HUNTER GLOBAL INVESTOR	067	RAS	S	146,809	27.13	n/a	n/a	7,340.45	5.0
SIGMA CAPITAL ASSOCIATES	044	RSTO	B	40,000	6.15	n/a	n/a	2,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RVI</b>	<b>S</b>	<b>20,000</b>	<b>22.19</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>SDXC</b>	<b>B</b>	<b>5,000</b>	<b>16.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
SIGMA CAPITAL ASSOCIATES	044	SMRT	S	15,000	17.03	n/a	n/a	750.00	5.0
WAGONHOUND	048	TJX	B	6,500	27.74	21-Mar	21-Mar	260.00	4.0
BALYASNY ASSET MGMT	044	TROW	B	10,000	48.42	n/a	28-Mar	500.00	5.0
HOOVER INV. MGMT	033	TTI	B	16,400	25.05	n/a	n/a	820.00	5.0
HARVEST MGMT	039	TWB	B	25,000	37.49	22-Feb	22-Feb	1,250.00	5.0
THE JAY GOLDMAN	034	TWB	S	20,000	37.42	22-Feb	22-Feb	800.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>UAUA</b>	<b>B</b>	<b>5,000</b>	<b>40.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>VRAZ</b>	<b>S</b>	<b>40,000</b>	<b>8.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BULL PATH CAPITAL	044	WDR	B	25,000	24.20	5-Mar	28-Mar	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KERN	050	WMH	B	100	61.05	n/a	n/a	0.00	0.0
BARR	096	XIDE	S	900	8.85	n/a	n/a	0.00	0.0
KERN	050	XLU	B	100	40.60	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	ZZ	SS	2,000	16.99	n/a	n/a	100.00	5.0
<b>TOTAL (Trade Date):</b>							<b>63,558.55</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	04/04	NOMU	040	ARII	B	17,600	29.52	n/a	n/a	880.00	5.0
AO,CRT	04/03	BANK OF NEW YORK	032	CENT	S	12,280	14.58	8-Feb	8-Feb	552.60	4.5
AO,CXL	04/03	ESTABROOK	032	CENT	S	12,280	14.58	8-Feb	8-Feb	552.60	4.5
AO,CRT	03/29	MILLENIUUM PARTNERS	028	EAGL	B	33,500	39.84	n/a	n/a	1005.00	3.0
AO,CXL	03/29	MILLENIUUM PARTNERS	028	EAGL	B	33,500	39.84	n/a	n/a	1340.00	4.0
AO,CRT	04/04	SPRINGBOC	039	QQQQ	SS	31,336	44.27	n/a	n/a	1566.80	5.0
AO,CXL	04/04	SPRINGBOC	039	QQQQ	SS	31,336	44.27	n/a	n/a	1566.80	5.0
AO,CRT	03/28	BARROW HANLEY MEWHINNEY	031	XL	S	9,000	69.75	n/a	n/a	360.00	4.0
AO,CXL	03/28	BARROW HANLEY MEWHINNEY	031	XL	S	9,000	69.75	n/a	n/a	450.00	5.0
AO,CRT	03/30	OTC ERROR	999	XOHO	B	25,000	5.14	n/a	n/a	0.00	0.0
AO,	03/30	OTC ERROR	099	XOHO	S	25,000	5.15	n/a	n/a	0.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>455.00</b>	
TOTAL (Trade Date):										63,558.55	
TOTAL (AO, CXL, CRT):										455.00	
<b>TOTAL (RUN DATE) / NFS:</b>										<b>64,013.55</b>	

MRI Securities with Trade Activity on 5-Apr.  
NONE

MRI Securities without Trade Activity on 5-Apr.  
CMCSA, JNS

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 13%  
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