



Daily Compliance Activity Report

Trade Date: 03/09/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MKT MAKER	099	AEO	B	654	30.27	4-Jan	9-Mar	0.00	0.0
BULL PATH CAPITAL	044	AMG	B	12,500	108.36	5-Mar	5-Mar	625.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	10,000	37.07	5-Jan	9-Mar	400.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	37.32	23-Oct	9-Mar	400.00	4.0
BUCK CAPITAL MGMT	001	AZO	B	16,600	127.49	n/a	n/a	664.00	4.0
BRIGHTPOINT CAP	067	BIG	B	21,500	28.84	16-Nov	9-Mar	1,075.00	5.0
B BUCK CAPITAL MGMT		BONT	S	40,000	53.69	9-Mar	9-Mar	non-brg	5.0
CENTURION PARTNERS	249	BONT	B	5,000	53.51	9-Mar	9-Mar	250.00	5.0
Õ Glenn Redemann		BRCM	B	16	0.40	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BRCM	B	16	0.48	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BRCM	S	16	0.84	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BRCM	S	16	0.99	n/a	n/a	0.00	0.0
KORMAN	003	BUGDC	S	20	1.35	n/a	n/a	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	CAB	S	7,500	24.13	n/a	n/a	300.00	4.0
Õ Philip Franz		CAKE	S	50	26.76	7-Feb	7-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	CC	SS	8,000	18.08	20-Dec	23-Feb	320.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	CFR	B	15,300	53.60	n/a	n/a	765.00	5.0
⌘ BUCK CAPITAL MGMT		CHCG	B	225,000	6.55	n/a	n/a	non-brg	3.0
KORMAN	003	CHCG	B	10,000	6.55	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	CHTR	SS	200,000	2.84	n/a	n/a	8,000.00	4.0
LEEDSFAMLI	002	CMN	B	4,000	16.50	n/a	n/a	0.00	0.0
LEEDS	160	CMN	B	8,000	16.40	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CMRG	B	10,000	11.95	n/a	n/a	non-brg	1.0
REINHART & MAHONEY	031	CNB	S	23,900	25.34	n/a	n/a	1,195.00	5.0
TRIBECA	038	CROX	B	10,000	46.04	n/a	n/a	400.00	4.0
GOLDMAN SACHS ASSET MGMT	044	CSCO	S	173,325	26.08	n/a	22-Mar	5,199.75	3.0
SOMERSET ADV	044	DBA	SS	14,000	26.33	n/a	n/a	700.00	5.0
⌘ BUCK CAPITAL MGMT		DLTR	S	30,000	35.41	8-Feb	8-Mar	non-brg	5.0
LOCUS WOOD CAPITAL MGMT	044	FAF	S	10,000	51.59	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		FIRE	S	2,000	15.06	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GCO	B	10,000	36.58	n/a	10-Jan	non-brg	5.0
LEEDSFAMLI	002	GCO	B	3,000	36.60	n/a	10-Jan	0.00	0.0
LEEDS	002	GCO	B	4,000	36.69	n/a	10-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GIII	B	1,000	20.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		GIII	B	125,000	20.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		GIII	B	7,500	20.00	n/a	n/a	non-brg	0.0
STADIA CAPITAL	035	HOG	C	39,000	63.49	n/a	n/a	1,560.00	4.0
SIRIS	013	IACI	S	1,370	37.45	n/a	n/a	0.00	0.0
KORMAN	003	IFOX	S	1,826	16.04	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		IKAN	B	10,000	8.01	n/a	n/a	non-brg	4.0
WYCKOFF	013	JADE	B	200	10.47	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		JOSB	B	30,000	31.61	n/a	n/a	non-brg	5.0
LEEDSFAMLI	002	JOSB	B	2,000	31.46	n/a	n/a	0.00	0.0
LEEDS	002	JOSB	B	3,000	31.48	n/a	n/a	0.00	0.0
Õ Glenn Redemann		JSN	S	531	18.70	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JWN	B	5,000	51.46	27-Feb	9-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	KCP	S	5,000	25.38	n/a	28-Feb	200.00	4.0
ROTHSCHILD ASSET	040	KFY	B	24,420	22.83	n/a	n/a	1,098.90	4.5
BUCK CAPITAL MGMT	001	KWD	B	20,000	31.05	n/a	n/a	800.00	4.0
Õ Philip Franz		LEH	B	75	75.51	6-Dec	8-Mar	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ	Philip Franz		LEH	B	75	75.51	6-Dec	8-Mar	0.00	0.0
	BUCK CAPITAL MGMT	001	LIZ	B	30,000	42.85	n/a	28-Feb	1,200.00	4.0
ß	BUCK CAPITAL MGMT		MDTL	SS	5,000	17.90	n/a	n/a	non-brg	5.0
	MAGUIRE	090	MEM	S	2,000	4.67	n/a	n/a	0.00	0.0
	BARR	096	MEM	S	2,000	4.67	n/a	n/a	0.00	0.0
	REINHART & MAHONEY	031	MI	B	24,800	47.42	n/a	n/a	1,240.00	5.0
	WYCKOFF	013	MSI	B	200	3.15	n/a	n/a	0.00	0.0
	MAZAMA CAPITAL MGMT.	035	MTZ	S	100,000	11.03	n/a	n/a	4,000.00	4.0
Õ	Glenn Redemann		MT	B	2	0.75	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		MT	B	2	1.15	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		NDN	S	3,700	14.50	16-Jan	8-Mar	non-brg	5.0
ß	BUCK CAPITAL MGMT		NDN	S	76,300	14.38	16-Jan	8-Mar	non-brg	5.0
	BARR	096	NEM	S	400	42.56	n/a	n/a	0.00	0.0
	KORMAN	003	NEXC	S	7,500	9.96	n/a	n/a	0.00	0.0
	BINDER	007	NWL	SS	80	30.54	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		NWY	S	25,000	15.12	1-Dec	9-Mar	non-brg	5.0
	BUCK CAPITAL MGMT	001	ODP	B	14,200	35.60	n/a	2-Mar	568.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BINDER	007	OMX	C	200	50.77	n/a	15-Apr	0.00	0.0
GASNER	025	OPY	B	125	32.60	n/a	n/a	0.00	0.0
Õ Philip Franz		ORCL	S	200	16.61	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PFCB	SS	10,000	43.20	n/a	20-Feb	non-brg	5.0
ß BUCK CAPITAL MGMT		PLCE	B	20,000	56.82	n/a	9-Mar	non-brg	5.0
ROARING BLUE LION MGMT	012	PLCE	S	4,100	56.54	n/a	9-Mar	205.00	5.0
CIBC ADV.	060	PVTB	SS	24,000	35.14	n/a	n/a	960.00	4.0
BINDER	007	QID	B	75	55.65	n/a	n/a	0.00	0.0
BINDER	007	RDEN	S	100	21.60	5-Feb	5-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	15,000	85.01	2-Feb	16-Feb	600.00	4.0
LEDDY	035	SDS	B	600	60.39	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SDXC	B	19,320	18.25	n/a	n/a	non-brg	5.0
DSG CAPITAL	225	SSI	B	20,000	22.09	26-Feb	9-Mar	1,000.00	5.0
WHITTIER CAP	048	SSI	B	10,400	21.84	26-Feb	9-Mar	416.00	4.0
GOLDMAN SACHS ASSET MGMT	044	STX	B	200,000	23.95	n/a	n/a	4,000.00	2.0
BINDER	007	SWK	SS	100	56.86	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	TGIC	SS	300	43.34	n/a	n/a	0.00	0.0
BELMONT GLOBAL ADV	248	TIE	B	5,000	35.53	n/a	n/a	250.00	5.0
GOLDMAN SACHS ASSET MGMT	044	TMO	B	112,920	45.95	n/a	n/a	3,387.60	3.0
GALLEON MGMT LP	033	TSN	B	5,000	17.99	n/a	n/a	250.00	5.0
ROYCE TRADING	216	UNT	B	11,000	48.45	31-Jan	23-Feb	550.00	5.0
ELM RIDGE ADVISORS	044	URBN	SS	95,300	25.59	7-Dec	9-Mar	3,812.00	4.0
ROXBURY CAPITAL MGMT	035	USTR	B	35,000	57.06	16-Feb	16-Feb	1,400.00	4.0
MKT MAKER	035	USTR	B	238	57.06	16-Feb	16-Feb	9.52	4.0
ACT II PARTNERS	067	VG	B	100,000	4.13	15-Feb	9-Mar	4,000.00	4.0
Õ Glenn Redemann		VPRT	B	16	0.33	n/a	n/a	0.00	0.0
Õ Glenn Redemann		VPRT	B	8	0.30	n/a	n/a	0.00	0.0
Õ Glenn Redemann		VPRT	S	8	1.23	n/a	n/a	0.00	0.0
Õ Glenn Redemann		VPRT	S	8	1.30	n/a	n/a	0.00	0.0
MERRILL ASSET	032	WDR	B	17,800	23.20	5-Mar	5-Mar	890.00	5.0
SAILFISH	037	WFC	B	20,000	34.70	n/a	n/a	1,000.00	5.0
Õ Philip Franz		WHT	B	1000	2.21	n/a	n/a	0.00	0.0
WYCKOFF	013	WHT	B	200	2.25	n/a	n/a	0.00	0.0
ROYCE TRADING	216	WLK	B	3,000	28.00	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		WTSLA	B	50,000	6.03	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	XEC	B	9,600	34.91	n/a	n/a	480.00	5.0
BUCK CAPITAL MGMT		ZQK	S	10,000	11.65	9-Mar	9-Mar	non-brg	5.0
BUCK CAPITAL MGMT		ZQK	S	120,000	11.38	9-Mar	9-Mar	non-brg	5.0
BUCK CAPITAL MGMT		ZQK	S	160,000	11.62	9-Mar	9-Mar	non-brg	5.0
BUCK CAPITAL MGMT		ZQK	S	190,000	11.69	9-Mar	9-Mar	non-brg	5.0
BUCK CAPITAL MGMT		ZQK	S	25,900	10.97	9-Mar	9-Mar	non-brg	1.0
BUCK CAPITAL MGMT		ZQK	S	44,100	11.30	9-Mar	9-Mar	non-brg	5.0
FIRST NEW YORK LEDDY	035	ZQK	B	10,000	11.30	9-Mar	9-Mar	600.00	6.0
GRANAHAN INV	039	ZQK	S	75,000	11.42	9-Mar	9-Mar	3,000.00	4.0
PIVOT CAP	034	ZQK	B	20,000	11.72	9-Mar	9-Mar	800.00	4.0
WOOSTER CAPITAL	035	ZQK	B	150,000	11.39	9-Mar	9-Mar	7,500.00	5.0
TOTAL (Trade Date):								66,870.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/08	WEISS PECK	040	AEO	SS	7,400	30.02	4-Jan	9-Mar	370.00 5.0
AO,CXL	03/08	WEISS PECK	040	AEO	SS	7,400	30.02	4-Jan	9-Mar	0.00 0.0
AO,CRT	03/06	SOROS	036	BBY	SS	21,900	45.54	13-Dec	21-Feb	876.00 4.0
AO,CXL	03/06	SOROS	036	BBY	SS	21,900	45.54	13-Dec	21-Feb	1095.00 5.0
AO,	03/08	WOOSTER CAPITAL	035	BONT	S	90,000	55.03	9-Mar	9-Mar	4500.00 5.0
AO,	03/08	DAVIDSON KEMPNER ADVISOR	217	CCU	S	100,000	35.44	n/a	n/a	5000.00 5.0
AO,CRT	03/06	SOROS	036	CVS	B	160,500	31.21	n/a	n/a	6420.00 4.0
AO,CXL	03/06	SOROS	036	CVS	B	160,500	31.21	n/a	n/a	8025.00 5.0
AO,CRT	03/08	PASSPORT CAPITAL	033	EPP	B	2,500	126.87	n/a	n/a	75.00 3.0
AO,CXL	03/08	PASSPORT CAPITAL	033	EPP	B	2,500	126.87	n/a	n/a	100.00 4.0
AO,CRT	03/08	PASSPORT CAPITAL	033	EWM	B	50,000	10.09	n/a	n/a	1500.00 3.0
AO,CXL	03/08	PASSPORT CAPITAL	033	EWM	B	50,000	10.09	n/a	n/a	2000.00 4.0
AO,	03/08	MS PRINCIPAL STRATEGIES	040	FDO	SS	25,000	29.14	3-Nov	8-Mar	1250.00 5.0
AO,CRT	03/08	PASSPORT CAPITAL	033	FXI	B	6,500	98.77	n/a	n/a	195.00 3.0
AO,CXL	03/08	PASSPORT CAPITAL	033	FXI	B	6,500	98.77	n/a	n/a	260.00 4.0
AO,	03/08	WHEELER	008	LEA	S	100	25.00	n/a	n/a	0.00 0.0
AO,	03/08	TROUBH PART	067	MWV	B	100,000	30.10	8-Jan	1-Feb	5000.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CXL	03/02	BINDER	007	SDS	B	100	60.55	n/a	n/a	0.00	0.0
AO, CRT	03/02	BINDER	007	SDS	B	100	60.55	n/a	n/a	0.00	0.0
AO,	03/08	COLONIAL FUND LLC	036	SSI	B	25,000	21.96	26-Feb	9-Mar	1250.00	5.0
AO, CRT	03/08	ACT II PARTNERS	067	VG	SS	32,300	4.86	15-Feb	9-Mar	1292.00	4.0
AO, CXL	03/08	ACT II PARTNERS	067	VG	SS	32,300	4.86	15-Feb	9-Mar	1615.00	5.0
AO, CRT	03/06	SOROS	036	WEN	SS	32,600	30.67	12-Dec	5-Feb	1304.00	4.0
AO, CXL	03/06	SOROS	036	WEN	SS	32,600	30.67	12-Dec	5-Feb	1630.00	5.0
AO, CXL	03/06	SOROS	036	WMT	B	103,800	48.08	n/a	8-Mar	5190.00	5.0
AO, CRT	03/06	SOROS	036	WMT	B	103,800	48.08	n/a	8-Mar	4152.00	4.0
AO, CXL	03/06	MERRILL LYNCH STRATEGICI	034	ZQK	S	15,000	13.41	9-Mar	9-Mar	750.00	5.0
AO, CRT	03/06	MERRILL LYNCH STRATEGICI	034	ZQK	S	15,000	13.41	9-Mar	9-Mar	450.00	3.0

TOTAL (AO, CXL, CRT) :	12,969.00
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TOTAL (Trade Date):	66,870.77
TOTAL (AO, CXL, CRT):	12,969.00

TOTAL (RUN DATE) / NFS: 79,839.77

MRI Securities with Trade Activity on 9-Mar.

BONT, ZQK

MRI Securities without Trade Activity on 9-Mar.

NONE

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

T-Date = 9%

YTD = 16%

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