



Daily Compliance Activity Report

Trade Date: 12/12/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	031	AB	S	31,800	78.84	11-Dec	12-Dec	1,590.00	5.0
BUCK	015	ACC	B	500	29.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEOS	C	10,000	46.62	15-Nov	5-Dec	non-brg	5.0
LISTED ERR	099	ALU	B	25	13.99	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	AL	B	20,000	49.68	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		ANF	S	20,000	66.54	3-Nov	1-Dec	non-brg	5.0
J L F ASSET MGMT	039	ANF	SS	29,500	66.28	3-Nov	1-Dec	1,180.00	4.0
COUGAR TRADING	044	ARO	B	10,000	30.91	23-Oct	1-Dec	500.00	5.0
COUGAR TRADING	044	ARO	S	10,000	30.74	23-Oct	1-Dec	500.00	5.0
B BUCK CAPITAL MGMT		AVCI	SS	5,000	7.60	n/a	n/a	non-brg	5.0
GALLEON MGMT LP	033	AZN	S	20,000	57.43	n/a	n/a	1,000.00	5.0
BARON ASSET MGMT*	012	BBY	S	20,000	51.30	n/a	8-Dec	1,000.00	5.0
B BUCK CAPITAL MGMT		BBY	B	60,000	51.19	n/a	8-Dec	non-brg	5.0
WHITE PINE CAPITAL	030	BBY	B	1,100	51.06	n/a	8-Dec	55.00	5.0
COUGAR TRADING	044	BIG	B	10,000	23.54	16-Nov	1-Dec	500.00	5.0
B BUCK CAPITAL MGMT		BONT	C	25,000	36.68	23-Oct	1-Dec	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	249	BONT	B	3,000	36.39	23-Oct	1-Dec	150.00	5.0
WHALE ROCK CAP	030	BONT	B	11,065	36.84	23-Oct	1-Dec	442.60	4.0
WHITE PINE CAPITAL	030	BONT	B	300	36.13	23-Oct	1-Dec	15.00	5.0
WHEELER	008	BTN	B	5,100	4.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CBE	C	30,800	89.27	25-Oct	25-Oct	non-brg	5.0
BUCK CAPITAL MGMT	001	CC	B	120,000	23.65	n/a	8-Dec	4,800.00	4.0
RBC CAPITAL MARKETS	034	CC	B	25,000	23.78	n/a	8-Dec	1,250.00	5.0
STADIA CAPITAL	035	CC	SS	72,000	23.54	n/a	8-Dec	2,880.00	4.0
UBS O'CONNOR/TOM LEDDY	035	CC	B	10,000	23.63	n/a	8-Dec	500.00	5.0
LEDDY	035	CC	B	700	23.36	n/a	8-Dec	0.00	0.0
WHITE PINE CAPITAL	030	CFC	B	300	40.21	n/a	n/a	15.00	5.0
OGORMAN	146	CHSX	S	3	3.30	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CHS	B	7,500	21.67	29-Nov	8-Dec	375.00	5.0
SUTERA	160	CHS	C	1,000	21.69	29-Nov	8-Dec	0.00	0.0
BALYASNY ASSET MGMT	044	CIT	S	5,000	53.16	n/a	n/a	250.00	5.0
CENTURION PARTNERS	249	CIT	B	10,000	53.42	n/a	n/a	500.00	5.0
BANK OF NEW YORK	040	CLMS	S	39,005	27.39	2-Nov	12-Dec	1,755.23	4.5
KACELA CAPITAL	034	COGN	S	15,000	41.31	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	COH	B	50,000	42.59	7-Dec	7-Dec	2,000.00	4.0
HUNTER GLOBAL INVESTOR	067	COO	B	52,800	49.59	n/a	n/a	2,640.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CRI	B	10,000	26.86	n/a	n/a	400.00	4.0
MERRILL ASSET	032	DEI	S	23,700	26.01	n/a	n/a	1,185.00	5.0
GRANAHAN INV	039	DLTR	S	50,000	30.06	21-Nov	1-Dec	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		DRI	SS	40,000	39.99	12-Dec	12-Dec	non-brg	5.0
WD PARTNERS ILP	067	EAT	SS	5,000	30.00	13-Sep	12-Dec	250.00	5.0
HIGHBRIDGE CAPITAL	038	ESRX	SS	29,000	69.50	n/a	n/a	1,450.00	5.0
MAGNETAR FINANCIAL	031	EVC	S	25,000	7.87	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		FD	S	150,000	38.41	9-Nov	5-Dec	non-brg	5.0
LOOMIS SALES/BOSTON	098	FD	S	166,575	38.28	9-Nov	5-Dec	8,328.75	5.0
⌘ BUCK CAPITAL MGMT		FINL	SS	20,000	13.99	n/a	7-Dec	non-brg	5.0
⌘ BUCK CAPITAL MGMT		FLDR	SS	5,000	9.63	n/a	n/a	non-brg	5.0
CAPITAL GROWTH MGMT.	241	FLR	B	100,000	85.23	n/a	n/a	5,000.00	5.0
BUCK	015	GLW	S	1,500	19.77	n/a	7-Dec	0.00	0.0
KERN	050	GLW	B	500	19.72	n/a	7-Dec	0.00	0.0
SUTERA	160	GLW	B	1,000	19.78	n/a	7-Dec	0.00	0.0
FORD FDN.	032	GS	S	5,000	203.28	13-Dec	13-Dec	250.00	5.0
HUNTER GLOBAL INVESTOR	067	GT	SS	175,000	17.80	n/a	n/a	7,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	HMA	B	1,000	20.49	n/a	1-Dec	0.00	0.0
HIGHBRIDGE CAPITAL	038	HOT	SS	15,000	63.95	n/a	n/a	750.00	5.0
FRIESS MGMT	042	HPQ	S	194,800	39.87	n/a	n/a	8,766.00	4.5
MISSOURI VALLEY PART	046	HRS	B	39,305	44.40	7-Nov	7-Nov	1,965.25	5.0
WHITE PINE CAPITAL	030	IFF	B	700	48.05	10-Nov	22-Nov	35.00	5.0
B BUCK CAPITAL MGMT		ISYS	C	10,000	24.14	n/a	n/a	non-brg	2.0
RIVER RUN MGMT	031	ITCD	B	34,100	2.57	n/a	n/a	1,023.00	3.0
B BUCK CAPITAL MGMT		JBX	SS	100	62.32	12-Dec	12-Dec	non-brg	5.0
COUGAR TRADING	044	JCG	SS	5,000	37.81	n/a	22-Nov	250.00	5.0
SAILFISH	037	JCP	SS	10,000	77.53	10-Nov	1-Dec	500.00	5.0
SPRINGBOC	039	JNY	SS	43,013	33.13	n/a	26-Oct	2,150.65	5.0
CUMBERLAND	038	JWN	B	50,000	49.56	11-Dec	11-Dec	2,000.00	4.0
ROYCE TRADING	216	KCP	S	50,000	24.01	n/a	3-Nov	2,500.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	50,000	69.70	10-Nov	1-Dec	2,000.00	4.0
WHITE PINE CAPITAL	030	LNC	B	300	63.59	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	20,000	30.60	1-Dec	1-Dec	800.00	4.0
BUCK CAPITAL MGMT		MBFGIM	B	25,000	25.97	n/a	n/a	non-brg	5.2
WHITE PINE CAPITAL	030	MCD	B	300	42.96	12-Oct	12-Dec	15.00	5.0
EMINENCE CAPITAL	038	NTGR	S	26,500	26.02	n/a	n/a	1,325.00	5.0
ALLEN & CO	032	NUE	S	75,000	59.78	n/a	n/a	3,000.00	4.0
DEMARTINI	065	NUVO	B	5,000	4.33	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NWY	S	20,000	13.85	1-Dec	1-Dec	800.00	4.0
CAPITAL GROWTH MGMT.	241	PCP	B	5,000	75.37	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	PERY	S	1,500	41.34	n/a	n/a	75.00	5.0
CAXTON PART	040	PMCS	S	100,000	7.20	n/a	n/a	4,000.00	4.0
BUCK	015	PPCO	B	1,000	16.46	n/a	n/a	0.00	0.0
EMINENCE CAPITAL	038	PSS	B	50,000	31.64	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	25,000	49.76	22-Nov	22-Nov	1,000.00	4.0
ZOLIDIS	011	RCKY	S	200	17.11	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	50,000	77.89	7-Dec	7-Dec	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EMINENCE CAPITAL	038	ROST	S	221,915	30.35	n/a	n/a	11,095.75	5.0
FARALLON CAP MGMT	040	RSH	SS	259,100	16.97	n/a	n/a	7,773.00	3.0
WHITE PINE CAPITAL	030	RVI	S	700	19.15	n/a	n/a	35.00	5.0
KACELA CAPITAL	034	SBUX	S	12,000	36.25	6-Oct	12-Dec	480.00	4.0
LEDDY	035	SCSS	S	600	17.98	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	SHLD	B	5,000	175.32	n/a	n/a	250.00	5.0
SAXON WOODS ADVISORS	038	SMG	B	160,000	53.94	27-Oct	13-Dec	8,000.00	5.0
B BUCK CAPITAL MGMT		SMH	C	30,000	33.79	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	SSI	B	10,000	30.91	n/a	n/a	400.00	4.0
WHITE PINE CAPITAL	030	STA	B	400	52.50	n/a	n/a	20.00	5.0
WHITE PINE CAPITAL	030	TDSS	S	200	49.61	n/a	n/a	10.00	5.0
SAILFISH	037	TGT	SS	10,000	58.15	n/a	1-Dec	500.00	5.0
RAMIUS CAP	040	TIN	B	15,000	43.78	n/a	27-Oct	750.00	5.0
B BUCK CAPITAL MGMT		TSCO	S	10,000	48.36	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		TSCO	S	2,390	47.11	n/a	n/a	non-brg	5.0
HIGHFIELDS CAP MGMT	039	TWX	S	250,000	21.40	n/a	n/a	12,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		TXN	C	30,000	29.59	n/a	n/a	non-brg	5.0
RBC CAPITAL MARKETS	034	TXN	B	25,000	29.56	n/a	n/a	1,250.00	5.0
SARAS CAPITAL	038	TYC	S	50,000	29.50	2-Oct	15-Nov	2,500.00	5.0
GRANAHAN INV	039	WDR	B	44,100	25.30	2-Nov	12-Dec	1,764.00	4.0
BUCK CAPITAL MGMT	001	YUM	SS	40,000	58.67	12-Dec	12-Dec	1,600.00	4.0
VARDON PARTNERS	035	YUM	SS	50,000	58.35	12-Dec	12-Dec	2,500.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	10,000	14.60	8-Sep	7-Dec	400.00	4.0
TOTAL (Trade Date):								141,909.23	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/11	COOKBIELER	033	BIG	S	900	23.43	16-Nov	1-Dec	36.00 4.0
AO,CRT	12/11	COOKBIELER	033	BIG	S	900	23.43	16-Nov	1-Dec	36.00 4.0
AO,CRT	12/08	PILOT ROCK	028	F	B	750,000	7.17	n/a	n/a	20625.00 2.8
AO,CXL	12/08	PILOT ROCK	028	F	B	750,000	0.03	n/a	n/a	20625.00 2.8
AO,CRT	12/11	FRONTPOINT	044	NBL	SS	167,000	52.15	n/a	n/a	8350.00 5.0
AO,CXL	12/11	FRONTPOINT	044	NBL	SS	167,000	52.15	n/a	n/a	8350.00 5.0
AO,	12/11	BUCK CAPITAL MGMT	001	NWY	S	40,000	13.88	1-Dec	1-Dec	1600.00 4.0
AO,CXL	12/11	EMP ERROR	099	RL	B	5,500	79.60	7-Dec	7-Dec	0.00 0.0
AO,	12/11	BUCK CAPITAL MGMT	001	SKX	S	20,000	31.15	n/a	7-Dec	800.00 4.0
AO,CXL	12/07	ANTEUS ASSOC.BAEL	065	TWB	S	16	43.25	5-Sep	8-Dec	0.80 5.0
AO,	12/07	ANTEUS ASSOC.BAEL	065	TWB	S	16	43.25	5-Sep	8-Dec	0.80 5.0
TOTAL (AO, CXL, CRT) :										2,400.00

TOTAL (Trade Date) :	141,909.23
TOTAL (AO, CXL, CRT) :	2,400.00

TOTAL (RUN DATE) / NFS:	144,309.23
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MRI Securities with Trade Activity on 12-Dec.

DRI, JBX, YUM

MRI Securities without Trade Activity on 12-Dec.

BYD, THI, WEN

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

T-Date = 42%

YTD = 23%

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