



# Daily Compliance Activity Report

Trade Date: 01/09/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	AAPL	S	1,043	87.22	n/a	n/a	52.15	5.0
J L F ASSET MGMT	039	AAPL	B	29,400	91.89	n/a	n/a	1,176.00	4.0
WEISS PECK	040	AAPL	SS	25,000	86.17	n/a	n/a	1,000.00	4.0
BAIRD INVESTMENT	031	ABT	S	1,395	50.45	n/a	22-Apr	69.75	5.0
BAIRD INVESTMENT	031	ADBE	S	1,556	40.48	n/a	n/a	77.80	5.0
SAILFISH	037	ADI	B	10,000	33.35	n/a	n/a	500.00	5.0
NCM CAPITAL MGMT	035	AJG	S	18,400	28.48	n/a	n/a	920.00	5.0
SUNOVA CAPITAL	031	AMG	S	10,000	106.29	14-Dec	22-Dec	500.00	5.0
APEX CAPITAL MGMT.	002	ANN	B	7,800	33.66	5-Jan	5-Jan	390.00	5.0
MERRILL LYNCH STRATEGICI	034	ANN	B	10,000	33.78	5-Jan	5-Jan	500.00	5.0
COUGAR TRADING	044	ARO	S	5,000	34.91	23-Oct	5-Jan	250.00	5.0
MERRILL LYNCH STRATEGICI	034	AT	B	15,000	60.70	n/a	n/a	750.00	5.0
BAIRD INVESTMENT	031	A	S	1,407	34.12	n/a	n/a	1.71	0.0
MERRILL LYNCH STRATEGICI	034	BC	SS	25,000	29.88	n/a	n/a	1,250.00	5.0
MERRILL LYNCH STRATEGICI	034	BDN	S	10,000	32.13	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>B</b>	<b>10,000</b>	<b>67.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	BHI	S	10,000	67.30	n/a	n/a	500.00	5.0
SUNOVA CAPITAL	031	BLK	S	10,000	160.56	16-Oct	22-Dec	500.00	5.0
⌘ BUCK CAPITAL MGMT		BONT	B	10,000	34.99	23-Oct	5-Jan	non-brg	5.0
CENTURION PARTNERS	249	BONT	B	2,500	34.85	23-Oct	5-Jan	125.00	5.0
MERRILL LYNCH STRATEGICI	034	BP	B	50,000	62.11	n/a	n/a	2,500.00	5.0
BALYASNY ASSET MGMT	044	BSC	S	5,000	164.46	15-Dec	15-Dec	250.00	5.0
⌘ BUCK CAPITAL MGMT		BXC	S	50,000	10.32	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CACH	S	20,000	22.51	n/a	n/a	non-brg	5.0
RAINIER INV MGMT	035	CBL	S	42,600	42.54	n/a	n/a	2,130.00	5.0
DENVER INST. ADV	046	CEPH	B	115,500	70.60	10-Aug	9-Jan	5,775.00	5.0
RAINIER INV MGMT	035	CLB	B	37,050	75.43	6-Dec	6-Dec	1,852.50	5.0
ROXBURY CAPITAL MGMT	035	CLB	B	25,000	77.02	6-Dec	6-Dec	1,000.00	4.0
NCM CAPITAL MGMT	035	CLMS	B	16,800	26.27	2-Nov	22-Dec	840.00	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	100,000	13.51	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	120,000	13.54	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	40,000	13.33	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	40,000	13.44	n/a	n/a	non-brg	5.0
SUNOVA CAPITAL	031	CNS	S	10,000	42.31	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	S	30,000	44.21	7-Dec	7-Dec	1,200.00	4.0
J L F ASSET MGMT	039	COH	B	36,600	44.36	7-Dec	7-Dec	1,464.00	4.0
FRIESS MGMT	042	CSCO	B	1,294,800	28.52	n/a	22-Mar	58,266.00	4.5
BLACKROCK/BOSTON	037	DIOD	S	12,300	34.77	n/a	n/a	492.00	4.0
BUCK CAPITAL MGMT	001	DKS	SS	20,000	49.85	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT		DKS	S	62,500	49.80	n/a	n/a	non-brg	5.0
SASCO	038	DUK	B	105,900	18.71	n/a	n/a	5,295.00	5.0
BUCK CAPITAL MGMT		DVN	B	5,000	65.46	1-Sep	9-Jan	non-brg	5.0
U.S.TRUST COMPANY	012	DVN	S	40,000	64.42	1-Sep	9-Jan	1,800.00	4.5
BUCK CAPITAL MGMT		EDA	B	150,000	9.68	n/a	n/a	non-brg	5.0
CENTURION PARTNERS	249	EDA	B	15,000	9.74	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	EWC	S	750	24.19	n/a	n/a	37.50	5.0
BELAY CAPITAL	039	FD	B	15,000	38.20	9-Nov	5-Jan	600.00	4.0
BUCK CAPITAL MGMT	001	FD	B	180,000	38.62	9-Nov	5-Jan	7,200.00	4.0
BUCK CAPITAL MGMT		FD	B	20,000	38.15	9-Nov	5-Jan	non-brg	5.0
BALYASNY ASSET MGMT	044	FII	S	5,000	33.98	n/a	22-Dec	250.00	5.0
NCM CAPITAL MGMT	035	FII	S	40,350	33.90	n/a	22-Dec	24,663.75	104.0
BUCK CAPITAL MGMT		FLDR	SS	10,000	8.82	n/a	n/a	non-brg	5.0
MERRILL LYNCH STRATEGICI	034	FTO	B	10,000	26.80	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	GES	B	35,000	69.27	n/a	n/a	1,750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	GES	S	20,900	68.72	n/a	n/a	783.75	3.8
BONANZA PARTNERS	031	GIII	SS	24,500	19.59	n/a	n/a	1,225.00	5.0
SOMERSET ADV	044	GLW	B	40,500	18.89	n/a	20-Dec	1,620.00	4.0
⌘ BUCK CAPITAL MGMT		GPS	C	115,000	20.12	n/a	5-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GSF	B	10,000	54.31	n/a	n/a	non-brg	5.0
BALYASNY ASSET MGMT	044	GS	S	5,000	202.77	13-Dec	13-Dec	250.00	5.0
⌘ BUCK CAPITAL MGMT		GYMB	C	20,000	43.63	4-Jan	5-Jan	non-brg	5.0
MERRILL LYNCH STRATEGICI	034	HZO	SS	25,000	21.52	n/a	n/a	1,250.00	5.0
MERRILL LYNCH STRATEGICI	034	HZO	S	20,000	21.57	n/a	n/a	1,000.00	5.0
RIVER RUN MGMT	031	ITCD	B	1,000	2.56	n/a	n/a	30.00	3.0
⌘ BUCK CAPITAL MGMT		JCP	B	50,000	77.17	10-Nov	5-Jan	non-brg	5.0
WHITE PINE CAPITAL	030	KSWS	C	500	30.18	n/a	7-Dec	25.00	5.0
⌘ BUCK CAPITAL MGMT		LAMR	B	5,000	66.42	n/a	n/a	non-brg	5.0
BALYASNY ASSET MGMT	044	LAZ	B	10,000	51.06	n/a	n/a	500.00	5.0
CAPITAL GROWTH MGMT.	241	LEH	B	40,000	78.22	6-Dec	15-Dec	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	MDT	B	500	53.85	n/a	22-Apr	25.00	5.0
DURANGO INVESTMENTS	031	MLI	B	50,000	30.63	24-Oct	21-Dec	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MWV</b>	<b>B</b>	<b>90,000</b>	<b>28.86</b>	<b>8-Jan</b>	<b>8-Jan</b>	<b>non-brg</b>	<b>5.0</b>
DIAMONDBACK CAP MGMT	232	MWV	B	60,000	28.66	8-Jan	8-Jan	3,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	MWV	B	10,000	29.07	8-Jan	8-Jan	400.00	4.0
SAILFISH	037	MWV	B	25,000	29.00	8-Jan	8-Jan	1,250.00	5.0
UBS O'CONNOR/TOM LEDDY	035	MWV	B	100,000	28.87	8-Jan	8-Jan	5,000.00	5.0
WOOSTER CAPITAL	035	MWV	B	25,000	29.00	8-Jan	8-Jan	1,250.00	5.0
MERRILL LYNCH STRATEGICI	034	NBR	SS	20,000	28.47	n/a	n/a	1,000.00	5.0
FRONTPOINT	044	NDAQ	SS	59,600	33.86	n/a	n/a	2,980.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>NDAQ</b>	<b>SS</b>	<b>32</b>	<b>33.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SOMERSET ADV	044	NDN	B	2,500	12.99	n/a	9-Jan	100.00	4.0
<b>KERN</b>	<b>050</b>	<b>NDN</b>	<b>S</b>	<b>100</b>	<b>13.74</b>	<b>n/a</b>	<b>9-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>146</b>	<b>NDN</b>	<b>S</b>	<b>1,500</b>	<b>13.72</b>	<b>n/a</b>	<b>9-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>160</b>	<b>NDN</b>	<b>S</b>	<b>1,000</b>	<b>13.78</b>	<b>n/a</b>	<b>9-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NLS</b>	<b>B</b>	<b>150,000</b>	<b>15.47</b>	<b>n/a</b>	<b>n/a</b>	<b>6,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NLS</b>	<b>B</b>	<b>100,000</b>	<b>15.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
SENTINAL CAPITAL	067	NOK	S	10,000	19.42	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	ODP	B	53,500	38.05	n/a	1-Dec	2,140.00	4.0
<b>LEDY</b>	<b>035</b>	<b>OXM</b>	<b>S</b>	<b>225</b>	<b>49.15</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.	
MERRILL LYNCH STRATEGICI	034	PBR	B	20,000	93.29	n/a	n/a	1,000.00	5.0
MERRILL LYNCH STRATEGICI	034	PII	B	14,000	45.57	n/a	n/a	700.00	5.0
SSI INVESTORS	048	PXD	B	60,578	38.69	7-Aug	9-Jan	2,423.12	4.0
WHITE PINE CAPITAL	030	Q	B	500	8.37	n/a	n/a	25.00	5.0
MERRILL LYNCH STRATEGICI	034	RHD	S	25,000	65.75	n/a	n/a	1,250.00	5.0
8 BUCK CAPITAL MGMT		RIG	B	10,000	73.99	n/a	n/a	non-brg	5.0
KAICHER	064	RIG	B	600	73.74	n/a	n/a	0.00	0.0
BRUNNER	012	RJET	B	3,000	18.38	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	ROH	B	500	50.92	13-Oct	19-Dec	25.00	5.0
MERRILL LYNCH STRATEGICI	034	RRC	B	30,000	26.07	n/a	n/a	1,500.00	5.0
WHEELER	008	SFE	B	50,000	2.46	n/a	n/a	0.00	0.0
FRIESS MGMT	042	SKX	B	127,300	35.49	n/a	8-Jan	5,728.50	4.5
SYSTEMATIC FINANCIAL MGT	035	SKX	S	45,100	35.61	n/a	8-Jan	1,691.25	3.8
MERRILL LYNCH STRATEGICI	034	SSCC	SS	30,000	9.98	26-Oct	14-Dec	1,500.00	5.0
BUCK CAPITAL MGMT	001	SSI	B	7,000	32.29	n/a	n/a	280.00	4.0
8 BUCK CAPITAL MGMT		SSI	B	43,000	32.40	n/a	n/a	non-brg	5.0
BAIRD INVESTMENT	031	SWN	S	1,330	34.16	7-Aug	9-Jan	66.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SWN	B	10,000	34.32	7-Aug	9-Jan	non-brg	5.0
WHITE PINE CAPITAL	030	S	B	1,000	17.60	n/a	n/a	50.00	5.0
COUGAR TRADING	044	TLB	S	5,000	22.38	18-Oct	16-Nov	250.00	5.0
INTEGRITY CAPITAL MGMT	039	TLB	B	20,000	22.54	18-Oct	16-Nov	600.00	3.0
MERRILL LYNCH STRATEGICI	034	TOT	B	10,000	67.34	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	TRLG	B	27,939	16.22	n/a	n/a	1,117.56	4.0
BUCK CAPITAL MGMT	001	TWB	B	131,000	35.55	9-Jan	9-Jan	5,240.00	4.0
ROXBURY CAPITAL MGMT	035	UCO	B	75,000	58.01	11-Oct	29-Nov	3,000.00	4.0
BLACKROCK/BOSTON	037	ULTI	S	21,600	22.15	n/a	n/a	432.00	2.0
⚡ BUCK CAPITAL MGMT		URBN	B	100,000	23.86	7-Dec	5-Jan	non-brg	5.0
⚡ BUCK CAPITAL MGMT		URBN	B	50,000	24.11	7-Dec	5-Jan	non-brg	5.0
MENCKE	055	WBD	B	30	62.03	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	WMT	B	31,800	47.50	5-Oct	5-Jan	1,590.00	5.0
FORD FDN.	032	WYE	S	50,000	51.98	n/a	31-Mar	2,500.00	5.0
MERRILL LYNCH STRATEGICI	034	XOM	SS	40,000	72.43	n/a	n/a	2,000.00	5.0
TOTAL (Trade Date):								197,275.84	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/08	BROMPTON CROSS	036	APH	B	25,000	62.85	n/a	n/a	1000.00 4.0
AO,CXL	01/08	BROMPTON CROSS	036	APH	B	25,000	62.85	n/a	n/a	1250.00 5.0
AO,	01/08	MERRILL LYNCH STRATEGICI	034	BBBY	SS	5,000	39.47	n/a	n/a	250.00 5.0
AO,	01/08	CENTURION PARTNERS	249	BONT	B	9,500	34.75	23-Oct	5-Jan	475.00 5.0
AO,CXL	01/08	MATRIX ASSET ADV.	036	CSCO	S	4,000	28.67	n/a	22-Mar	160.00 4.0
AO,CRT	01/08	MATRIX ASSET ADV.	036	CSCO	S	4,000	28.67	n/a	22-Mar	160.00 4.0
AO,CXL	01/08	MATRIX ASSET ADV.	036	INTC	S	4,200	21.15	n/a	n/a	168.00 4.0
AO,CRT	01/08	MATRIX ASSET ADV.	036	INTC	S	4,200	21.15	n/a	n/a	168.00 4.0

**TOTAL (AO, CXL, CRT) :****475.00**

TOTAL (Trade Date):

197,275.84

TOTAL (AO, CXL, CRT):

475.00

**TOTAL (RUN DATE) / NFS:****197,750.84**

MRI Securities with Trade Activity on 9-Jan.

TWB



MRI Securities without Trade Activity on 9-Jan.

STGS

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

T-Date = 26%

YTD = 30%

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