



Daily Compliance Activity Report

Trade Date: 12/13/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ACL	B	100	114.87	25-Jul	11-Dec	5.00	5.0
B BUCK CAPITAL MGMT		AEOS	B	30,000	47.12	15-Nov	5-Dec	non-brg	5.0
FRIESS MGMT	042	AGR	S	70,400	19.34	n/a	n/a	3,168.00	4.5
CENTURION PARTNERS	249	AMR	B	20,000	32.81	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		AMZN	C	39,200	39.05	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		APC	B	20,000	45.79	1-Sep	13-Dec	non-brg	5.0
ROBERTSON STEVENS BC	033	ARO	B	54,300	31.00	23-Oct	1-Dec	2,172.00	4.0
B BUCK CAPITAL MGMT		BBY	B	15,000	50.59	13-Dec	13-Dec	non-brg	5.0
SANDLER O'NEILL ASSET	031	BEN	S	5,000	113.15	9-Nov	12-Dec	250.00	5.0
B BUCK CAPITAL MGMT		BONT	C	10,000	35.80	23-Oct	1-Dec	non-brg	5.0
CENTURION PARTNERS	249	BONT	B	5,000	35.87	23-Oct	1-Dec	250.00	5.0
RIDGECRST PARTNERS	035	BONT	B	2,500	35.60	23-Oct	1-Dec	125.00	5.0
LEDDY	035	BSC	B	150	156.14	6-Dec	12-Dec	0.00	0.0
WHEELER	008	BTN	B	4,900	4.70	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	BYD	B	10,000	46.79	12-Dec	12-Dec	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHEELER	008	CASM	S	8,124	8.25	n/a	n/a	0.00	0.0
SAILFISH	037	CAT	B	10,000	62.48	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		CC	B	20,000	23.21	n/a	8-Dec	non-brg	5.0
DSG CAPITAL	225	CC	B	20,000	23.37	n/a	8-Dec	1,000.00	5.0
TRELLUS PARTNERS LP	028	CC	B	100,000	22.98	n/a	8-Dec	5,000.00	5.0
OGORMAN	146	CC	B	400	22.99	n/a	8-Dec	0.00	0.0
B BUCK CAPITAL MGMT		CHRS	SS	20,000	13.82	n/a	16-Nov	non-brg	5.0
EMP ERROR	099	CHS	S	1,000	21.77	29-Nov	8-Dec	0.00	0.0
ASCEND PARTNERS	033	COH	B	22,000	42.30	7-Dec	7-Dec	1,100.00	5.0
BUCK CAPITAL MGMT	001	COH	B	40,000	42.67	7-Dec	7-Dec	1,600.00	4.0
ROTHSCHILD ASSET	040	CPF	B	5,100	37.42	n/a	n/a	229.50	4.5
BUCK CAPITAL MGMT	001	CRI	B	10,000	26.84	n/a	n/a	400.00	4.0
GENERAL ELECTIC CO	033	CSCO	S	84,297	27.14	n/a	22-Mar	3,793.37	4.5
OGORMAN	146	CYH	S	300	35.65	26-Oct	14-Dec	0.00	0.0
SAC DOUG RODGERS	040	C	SS	100,000	52.42	n/a	12-Dec	5,000.00	5.0
SAILFISH	037	DIGE	SS	10,000	47.22	n/a	n/a	500.00	5.0
GRANAHAN INV	039	DLTR	S	38,500	30.04	21-Nov	1-Dec	1,540.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		DRI	SS	40,000	40.61	12-Dec	12-Dec	non-brg	5.0
PATTEN & PATTEN	067	D	S	100	82.31	n/a	n/a	5.00	5.0
LEEDS	002	EDGR	B	5,000	3.23	n/a	n/a	0.00	0.0
SUTERA	160	EFT	B	8,200	18.49	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		EGLT	SS	5,000	14.75	n/a	n/a	non-brg	5.0
Õ Henry Ngan		ENT	S	2200	8.15	n/a	n/a	0.00	0.0
DISIPLINED GROWTH INV.	030	EPIX	S	5,500	7.05	n/a	n/a	275.00	5.0
PATTEN & PATTEN	067	EPP	B	100	125.76	n/a	n/a	5.00	5.0
MAGNETAR FINANCIAL	247	EVC	S	25,000	7.85	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	EWJ	B	1,000	14.04	n/a	n/a	50.00	5.0
MAZAMA CAPITAL MGMT.	035	EW	B	17,450	47.57	n/a	n/a	698.00	4.0
⌘ BUCK CAPITAL MGMT		FINL	SS	10,000	14.15	n/a	7-Dec	non-brg	5.0
⌘ BUCK CAPITAL MGMT		FLDR	SS	5,000	9.51	n/a	n/a	non-brg	4.0
FRIESS MGMT	042	GRP	B	98,400	43.69	n/a	n/a	4,428.00	4.5
HUNTER GLOBAL INVESTOR	067	GT	SS	125,000	18.02	n/a	n/a	5,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GUID	S	5,000	13.56	n/a	n/a	non-brg	5.0
COUGAR TRADING	044	GYMB	SS	5,000	40.28	1-Dec	1-Dec	250.00	5.0
FIRST NEW YORK LEDDY	035	GYMB	SS	10,000	39.60	1-Dec	1-Dec	600.00	6.0
LEVIN CAPITAL STRATEGIES	012	GYMB	SS	5,000	39.98	1-Dec	1-Dec	150.00	3.0
LEDDY	035	HLYS	B	500	33.30	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	HST	S	500	24.52	n/a	n/a	25.00	5.0
J L F ASSET MGMT	039	IBM	S	25,900	94.77	n/a	n/a	1,036.00	4.0
SCHEINER	037	ILA	B	3,000	4.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IPGP	S	4,000	25.03	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		ISIL	SS	20,000	24.13	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		ISYS	C	15,000	24.64	n/a	n/a	non-brg	5.0
RIVER RUN MGMT	031	ITCD	B	51,400	2.61	n/a	n/a	1,542.00	3.0
WHITE PINE CAPITAL	030	JBX	SS	500	60.01	12-Dec	12-Dec	25.00	5.0
SUNOVA CAPITAL	031	JNS	B	50,000	21.13	1-Dec	14-Dec	2,500.00	5.0
SPRINGBOC	039	JNY	SS	2,100	33.25	n/a	26-Oct	105.00	5.0
MAGUIRE	090	KOG	B	6,100	4.34	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KSS	B	65,000	69.55	10-Nov	1-Dec	non-brg	5.0
WHITE PINE CAPITAL	030	KSWS	C	500	32.11	n/a	7-Dec	25.00	5.0
B BUCK CAPITAL MGMT		LAMR	B	10,000	62.85	n/a	n/a	non-brg	5.0
SSI INVESTORS	048	LNCR	B	42,316	38.61	2-Nov	8-Dec	1,692.64	4.0
LEVIN CAPITAL STRATEGIES	012	LPX	SS	16,000	21.65	14-Sep	14-Dec	640.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	30.88	1-Dec	1-Dec	800.00	4.0
WHITE PINE CAPITAL	030	LXK	C	300	72.34	n/a	n/a	15.00	5.0
B BUCK CAPITAL MGMT		MBFGIM	B	10,000	26.02	n/a	n/a	non-brg	5.2
HIGHBRIDGE CAPITAL	038	MBI	SS	30,215	72.01	n/a	n/a	1,510.75	5.0
PATTEN & PATTEN	067	MDT	S	300	54.09	n/a	22-Apr	15.00	5.0
SHAREVEST CAPITAL MGMT.	038	MDT	S	12,100	54.09	n/a	22-Apr	605.00	5.0
CAPITAL GROWTH MGMT.	241	MW	S	40,000	38.10	n/a	n/a	2,000.00	5.0
CROWLEY	062	MZT	B	3,000	0.77	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	NEM	B	500	47.10	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	NOK	S	400	20.38	n/a	n/a	20.00	5.0
EMINENCE CAPITAL	038	NTGR	B	38,000	26.42	n/a	n/a	1,900.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KEEL CAPITAL	036	NWSA	B	30,000	21.27	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		OIH	SS	15,000	146.70	n/a	n/a	non-brg	1.5
PATTEN & PATTEN	067	PBE	B	1,000	18.31	n/a	n/a	50.00	5.0
GALLEON MGMT LP	033	PDS	SS	1,300	25.02	n/a	n/a	65.00	5.0
WHEELER	008	PFE	B	3,000	25.34	n/a	31-Mar	0.00	0.0
PATTEN & PATTEN	067	PHO	B	500	18.58	n/a	n/a	25.00	5.0
B BUCK CAPITAL MGMT		PTEN	S	40,000	25.72	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	PVH	B	15,000	50.66	22-Nov	22-Nov	600.00	4.0
WHEELER	008	PXPL	S	3,650	2.07	n/a	n/a	0.00	0.0
BANK OF NEW YORK	040	PX	S	4,150	62.19	n/a	25-Oct	186.75	4.5
BUCK CAPITAL MGMT	001	RL	B	35,000	78.60	7-Dec	7-Dec	1,400.00	4.0
EMINENCE CAPITAL	038	ROST	S	45,000	30.62	n/a	n/a	2,250.00	5.0
EMINENCE CAPITAL	038	RTSX	SS	50,000	32.31	n/a	n/a	2,500.00	5.0
SCHWARZWAL	N18	RYJUX	S	1,000	19.32	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	SKS	B	65,200	17.59	n/a	n/a	2,608.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MFP INVESTORS	032	SKS	S	10,000	17.70	n/a	n/a	500.00	5.0
RAMIUS CAP	040	TIN	B	30,000	44.07	n/a	14-Dec	1,500.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	10,000	25.01	18-Oct	16-Nov	400.00	4.0
LOOMIS SALES/BOSTON	036	TPX	SS	210,000	20.84	n/a	n/a	10,500.00	5.0
B BUCK CAPITAL MGMT		TRID	SS	50,000	18.97	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		TRLG	B	10,000	15.68	n/a	n/a	non-brg	5.0
WHEELER	008	TRPS	S	3,310	0.71	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	B	40,000	42.83	5-Sep	8-Dec	1,600.00	4.0
SAC TRADING HOWARD	038	TWB	S	25,000	43.18	5-Sep	8-Dec	1,250.00	5.0
PORTER-ORLIN-FELDMAN	044	URI	SS	25,000	26.05	n/a	n/a	1,250.00	5.0
LINCOLN FUNDS	031	VZ	S	4,000	35.83	7-Dec	11-Dec	160.00	4.0
CENTURION PARTNERS	249	WCI	B	30,000	17.88	n/a	n/a	1,500.00	5.0
DOUBLE V/PBX	044	WEBM	B	12,500	7.12	n/a	3-Apr	625.00	5.0
MKT MAKER	099	WEBM	B	92	7.12	n/a	3-Apr	0.00	0.0
CAPITAL GROWTH MGMT.	241	WLL	B	15,000	49.09	n/a	n/a	750.00	5.0
OSS CAPITAL/KEVIN DANN	067	WU	B	50,000	22.69	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	WWY	S	500	52.92	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ John Marrin		WXCP	S	500	9.80	n/a	n/a	0.00	0.0
TROUBH PART	067	XOHO	B	25,000	4.38	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	20,000	14.26	8-Sep	7-Dec	800.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	96,800	13.95	8-Sep	7-Dec	3,872.00	4.0
ROXBURY CAPITAL MGMT	035	ZQK	S	500,000	14.20	8-Sep	7-Dec	20,000.00	4.0
TOTAL (Trade Date):								114,842.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/12	SUTERA	160	CHS	C	1,000	21.69	29-Nov	8-Dec	0.00	0.0
AO,CRT	12/12	EMP ERROR	097	CHS	C	1,000	21.69	29-Nov	8-Dec	0.00	0.0
AO,CXL	12/12	LOOMIS SALES/BOSTON	098	FD	S	350	38.28	9-Nov	5-Dec	17.50	5.0
AO,	12/12	WEISS PECK	040	FDC	S	10,000	25.16	n/a	n/a	400.00	4.0
AO,	12/12	LOOMIS SALES/BOSTON	036	GIL	B	60,450	49.78	n/a	n/a	3022.50	5.0
AO,	12/11	FRONTPOINT	044	NBL	SS	167,000	52.15	n/a	n/a	0.00	0.0
AO,CXL	12/11	FRONTPOINT	044	NBL	SS	167,000	52.15	n/a	n/a	8350.00	5.0
AO,CRT	12/08	SCUDDER HEDGE	034	NEM	B	30,000	46.83	n/a	n/a	1200.00	4.0
AO,CXL	12/08	SCUDDER HEDGE	034	NEM	B	30,000	46.83	n/a	n/a	1500.00	5.0
AO,	12/12	EMINENCE CAPITAL	038	NTGR	B	26,500	26.02	n/a	n/a	1325.00	5.0
AO,CXL	12/12	EMINENCE CAPITAL	038	NTGR	S	26,500	26.02	n/a	n/a	1325.00	5.0
TOTAL (AO, CXL, CRT) :										-5,245.00	

TOTAL (Trade Date) :	114,842.01
TOTAL (AO, CXL, CRT) :	-5,245.00

TOTAL (RUN DATE) / NFS:	109,597.01
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MRI Securities with Trade Activity on 13-Dec.

BBY

MRI Securities without Trade Activity on 13-Dec.

CYTC, GS

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

T-Date = 34%

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