



Daily Compliance Activity Report

Trade Date: 02/15/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|-------------|-----------|---------------|--------------|------------|------------|----------------|------------|
| COLONIAL FUND LLC | 036 | AEOS | B | 25,000 | 32.00 | 4-Jan | 9-Feb | 1,250.00 | 5.0 |
| ELAZAR ADV | 034 | AEOS | B | 9,036 | 32.16 | 4-Jan | 9-Feb | 451.80 | 5.0 |
| T. ROWE PRICE | 033 | AMZN | B | 25,000 | 40.11 | n/a | n/a | 1,000.00 | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | ANF | S | 22,100 | 82.18 | 2-Feb | 9-Feb | 828.75 | 3.8 |
| A.I.M. ADVISORS INC | 031 | ARO | S | 143,463 | 38.40 | 23-Oct | 9-Feb | 5,738.52 | 4.0 |
| PEREGRINE | 030 | ARTG | B | 30,000 | 2.05 | n/a | n/a | 0.00 | 0.0 |
| WD PARTNERS ILP | 067 | ASD | S | 5,000 | 55.00 | 12-Feb | 12-Feb | 250.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | ASH | SS | 20,000 | 68.33 | 4-Jan | 5-Feb | 1,000.00 | 5.0 |
| ELAZAR ADV | 034 | ATI | B | 10,100 | 102.19 | n/a | n/a | 505.00 | 5.0 |
| B BUCK CAPITAL MGMT | | AVCI | SS | 30,000 | 8.79 | n/a | n/a | non-brg | 5.0 |
| PRINCIPLE CAPITAL | 040 | AVP | SS | 32,200 | 39.07 | 7-Feb | 7-Feb | 966.00 | 3.0 |
| MERRILL LYNCH STRATEGICI | 034 | BBY | B | 5,000 | 49.95 | 13-Dec | 10-Jan | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | BHI | B | 10,000 | 65.61 | n/a | n/a | non-brg | 5.0 |
| BRIGHTPOINT CAP | 067 | BIG | SS | 20,000 | 26.42 | 16-Nov | 9-Feb | 1,000.00 | 5.0 |
| REICH AND TANG | 037 | BKR | B | 100 | 24.00 | n/a | n/a | 5.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|------------|------------|----------------|------------|
| IRIDIAN ASSET MGMT. | 036 | BLL | S | 17,600 | 46.77 | n/a | n/a | 880.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | BUD | SS | 5,650 | 51.54 | n/a | n/a | 339.00 | 6.0 |
| B BUCK CAPITAL MGMT | | BWLD | SS | 5,000 | 50.00 | n/a | n/a | non-brg | 5.0 |
| GRANAHAN INV | 039 | CENT | B | 69,700 | 13.54 | 8-Feb | 8-Feb | 2,788.00 | 4.0 |
| MAIRS AND POWER INV | 030 | CEN | S | 30,000 | 33.59 | n/a | n/a | 1,800.00 | 6.0 |
| THIRD COAST CAPITAL | 035 | CHRD | B | 100,000 | 3.65 | n/a | n/a | 5,000.00 | 5.0 |
| GEORGE WEISS | 034 | CHS | SS | 29,200 | 22.02 | 5-Jan | 9-Feb | 1,315.00 | 4.3 |
| BANK OF NEW YORK | 040 | CLB | B | 4,250 | 79.50 | 6-Dec | 15-Feb | 191.25 | 4.5 |
| BINDER | 007 | CRI | B | 200 | 22.00 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | DBRN | B | 20,000 | 21.30 | n/a | n/a | non-brg | 5.0 |
| LUCHANSKY | 036 | DCTH | B | 2,500 | 4.15 | n/a | n/a | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 035 | DTC | B | 300,000 | 8.13 | n/a | n/a | 15,000.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | EPAX | B | 9,150 | 30.51 | n/a | n/a | 549.00 | 6.0 |
| B BUCK CAPITAL MGMT | | EVST | B | 1,900 | 19.97 | n/a | n/a | non-brg | 5.0 |
| B BUCK CAPITAL MGMT | | EVST | B | 25,000 | 19.77 | n/a | n/a | non-brg | 5.0 |
| B BUCK CAPITAL MGMT | | EVST | B | 7,500 | 20.18 | n/a | n/a | non-brg | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------|-----------|---------------|---------------|------------|---------------|----------------|------------|
| BUCK | 015 | EWJ | S | 2,000 | 14.91 | n/a | n/a | 0.00 | 0.0 |
| THIRD COAST CAPITAL | 035 | EXBD | SS | 10,000 | 78.77 | n/a | n/a | 500.00 | 5.0 |
| BRUNNER | 012 | EXPD | S | 1,000 | 44.60 | n/a | n/a | 0.00 | 0.0 |
| SIRIS | 013 | EXPE | S | 1,570 | 22.77 | n/a | n/a | 0.00 | 0.0 |
| J L F ASSET MGMT | 039 | FCN | B | 62,900 | 33.13 | n/a | n/a | 2,516.00 | 4.0 |
| SAILFISH | 037 | FDO | SS | 9,400 | 31.21 | 3-Nov | 9-Feb | 470.00 | 5.0 |
| THIRD COAST CAPITAL | 035 | FD | B | 15,000 | 44.69 | 26-Jan | 9-Feb | 750.00 | 5.0 |
| ELAZAR ADV | 034 | FFEX | B | 33,035 | 8.29 | n/a | n/a | 1,651.75 | 5.0 |
| BALYASNY ASSET MGMT | 044 | FII | B | 20,000 | 36.10 | n/a | 16-Feb | 1,000.00 | 5.0 |
| ELAZAR ADV | 034 | FOSL | B | 24,382 | 23.47 | 15-Nov | 15-Feb | 1,219.10 | 5.0 |
| GAULT | 063 | FUACE | B | 70 | 0.35 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | GRMN | SS | 40,000 | 57.55 | n/a | n/a | non-brg | 5.0 |
| SIRIS | 013 | HAR | S | 1,000 | 103.86 | n/a | n/a | 0.00 | 0.0 |
| MCCARTAN | 028 | HC | S | 350 | 22.39 | n/a | 15-Feb | 0.00 | 0.0 |
| GEORGE WEISS | 034 | HLF | B | 8,500 | 37.89 | n/a | n/a | 340.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|--------------|------------|------------|----------------|------------|
| WEISS PECK | 040 | HMA | S | 15,250 | 20.35 | 18-Jan | 6-Feb | 762.50 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | HYSL | S | 9,200 | 41.85 | n/a | n/a | 552.00 | 6.0 |
| SIRIS | 013 | IACI | S | 1,500 | 39.64 | n/a | n/a | 0.00 | 0.0 |
| CHARTER OAK | 037 | IDIX | B | 21,300 | 10.34 | n/a | n/a | 1,065.00 | 5.0 |
| MKT MAKER | 099 | IDIX | B | 42 | 10.34 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | IJJ | SS | 6,000 | 84.68 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | IJR | SS | 7,400 | 68.73 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | IJS | SS | 6,500 | 78.25 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | INNO | S | 182,800 | 1.02 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | INTC | B | 10,000 | 21.24 | n/a | n/a | non-brg | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | IP | S | 50,000 | 37.19 | n/a | 2-Feb | 2,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | IWM | SS | 6,300 | 80.92 | n/a | n/a | non-brg | 2.0 |
| DEEPHAVEN | 031 | IWM | B | 21,692 | 80.82 | n/a | n/a | 1,084.60 | 5.0 |
| ELAZAR ADV | 034 | JCG | B | 43,461 | 36.90 | 25-Jan | 25-Jan | 2,173.05 | 5.0 |
| FASS | 030 | JNPR | B | 367,261 | 19.87 | n/a | 22-Mar | 18,363.05 | 5.0 |
| KEEFE BRUYETTE WOODS A | 031 | JNS | SS | 50,200 | 22.26 | 1-Feb | 16-Feb | 2,510.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | JNY | B | 10,000 | 33.98 | n/a | 15-Feb | 400.00 | 4.0 |
| NICHOLAS ADVISORS | 034 | KRE | B | 250 | 50.34 | n/a | n/a | 12.50 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 044 | KR | S | 25,000 | 26.20 | n/a | n/a | 1,250.00 | 5.0 |
| JP MORGAN VENTURES | 046 | KSS | SS | 6,900 | 73.28 | 27-Dec | 9-Feb | 345.00 | 5.0 |
| SAILFISH | 037 | KSS | B | 3,800 | 72.70 | 27-Dec | 9-Feb | 190.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | LAVA | B | 1,000 | 10.00 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | LAVA | B | 15,000 | 10.15 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | LAVA | B | 29,000 | 10.04 | n/a | n/a | non-brg | 4.0 |
| BALYASNY ASSET MGMT | 044 | LAZ | B | 10,000 | 53.31 | n/a | n/a | 500.00 | 5.0 |
| XYLEM GLOBAL | 091 | LPX | B | 50,000 | 21.00 | n/a | 7-Feb | 2,500.00 | 5.0 |
| SENTINAL CAPITAL | 067 | MCD | B | 2,000 | 45.19 | 12-Oct | 6-Feb | 100.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | MDTL | S | 27,700 | 15.60 | n/a | n/a | non-brg | 5.0 |
| SCHEINER | 037 | NLS | B | 2,000 | 18.02 | n/a | n/a | 0.00 | 0.0 |
| JACOB | 068 | NLS | B | 500 | 18.01 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | NWY | S | 30,000 | 15.48 | 1-Dec | 9-Feb | non-brg | 5.0 |
| GAULT | 063 | ODP | S | 1,000 | 36.04 | n/a | 15-Feb | 0.00 | 0.0 |
| FRIESS MGMT | 042 | ORCL | B | 99,500 | 16.88 | n/a | n/a | 4,477.50 | 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|--------|--------|-------|----------|-------------|-----|
| ß BUCK CAPITAL MGMT | | PERY | C | 8,786 | 31.18 | n/a | n/a | non-brg | 5.0 |
| BANK OF NEW YORK | 040 | PFCB | B | 5,670 | 44.00 | n/a | 14-Feb | 255.15 | 4.5 |
| ELAZAR ADV | 034 | PNRA | B | 7,736 | 59.42 | n/a | n/a | 386.80 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PSS | B | 10,000 | 31.60 | n/a | n/a | 400.00 | 4.0 |
| NICHOLAS ADVISORS | 034 | RKH | B | 2,700 | 166.04 | n/a | n/a | 135.00 | 5.0 |
| TRIBECA/DOUG | 040 | RLI | SS | 5,000 | 58.06 | n/a | n/a | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | RL | SS | 10,000 | 85.28 | 2-Feb | 8-Feb | 400.00 | 4.0 |
| LEEDS | 002 | RMKR | B | 10,000 | 9.35 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | SHRP | SS | 15,000 | 10.11 | n/a | n/a | non-brg | 5.0 |
| ß BUCK CAPITAL MGMT | | SLRY | B | 10,000 | 10.50 | n/a | n/a | non-brg | 0.0 |
| ß BUCK CAPITAL MGMT | | SLRY | B | 2,000 | 10.50 | n/a | n/a | non-brg | 0.0 |
| ß BUCK CAPITAL MGMT | | SLRY | B | 500 | 10.50 | n/a | n/a | non-brg | 0.0 |
| ß BUCK CAPITAL MGMT | | SLRY | S | 12,500 | 13.14 | n/a | n/a | non-brg | 5.0 |
| ß BUCK CAPITAL MGMT | | SSI | B | 25,000 | 21.84 | 9-Jan | 9-Feb | non-brg | 5.0 |
| THIRD COAST CAPITAL | 035 | SSYS | SS | 5,000 | 37.31 | n/a | n/a | 250.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | STLD | B | 30,000 | 39.44 | n/a | n/a | 1,500.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | TIE | B | 30,000 | 35.35 | n/a | n/a | 1,500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|--------|-----|---------|-------|--------|------------|--------------|-----|
| ⚡ BUCK CAPITAL MGMT | | TSCO | B | 20,000 | 48.30 | n/a | n/a | non-brg | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | TWB | S | 30,000 | 34.52 | 16-Feb | 16-Feb | non-brg | 5.0 |
| DSM CAPITAL PARTNERS | 032 | TWW | B | 21,800 | 8.71 | n/a | n/a | 1,090.00 | 5.0 |
| VAN KAMPEN ADV | 031 | TWX | B | 199,500 | 21.37 | n/a | n/a | 7,980.00 | 4.0 |
| MILA | 033 | TWX | B | 500 | 21.37 | n/a | n/a | 20.00 | 4.0 |
| DSM CAPITAL PARTNERS | 032 | UPS | SS | 3,850 | 74.85 | n/a | n/a | 231.00 | 6.0 |
| BUCK | 015 | USB | B | 1,000 | 36.33 | n/a | n/a | 0.00 | 0.0 |
| ACT II PARTNERS | 067 | VG | SS | 113,100 | 5.53 | 15-Feb | 15-Feb | 5,655.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | VIRL | S | 10,000 | 8.66 | n/a | n/a | non-brg | 5.0 |
| BALYASNY ASSET MGMT | 044 | WDR | B | 25,000 | 26.17 | 12-Jan | 16-Feb | 1,250.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | WEBX | SS | 6,200 | 46.07 | n/a | n/a | 372.00 | 6.0 |
| ⚡ BUCK CAPITAL MGMT | | WMT | SS | 10,000 | 48.45 | n/a | 9-Feb | non-brg | 5.0 |
| VANDER MOOLEN | 040 | WMT | B | 5,000 | 48.36 | n/a | 9-Feb | 250.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | 110,214.32 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|
| AO, | 02/14 | COMMISSUM CAPITAL | 067 | AMG | B | 5,000 | 116.78 | 25-Jan | 16-Feb | 250.00 5.0 |
| AO,CRT | 02/14 | GRISANTI BROWN & PARTNER | 048 | ASD | B | 12,200 | 53.42 | 12-Feb | 12-Feb | 610.00 5.0 |
| AO,CXL | 02/14 | GRISANTI BROWN & PARTNER | 048 | ASD | B | 5,500 | 53.42 | 12-Feb | 12-Feb | 0.00 0.0 |
| AO,CXL | 02/14 | REICH AND TANG | 037 | BKR | B | 1,300 | 24.00 | n/a | n/a | 65.00 5.0 |
| AO,CRT | 02/14 | REICH AND TANG | 037 | BKR | B | 1,300 | 24.00 | n/a | n/a | 65.00 5.0 |
| AO,CXL | 02/13 | IMPALA ASSET MMT | 012 | CENT | B | 158,900 | 48.03 | 8-Feb | 8-Feb | 4767.00 3.0 |
| AO,CRT | 02/13 | IMPALA ASSET MMT | 012 | CENX | B | 158,900 | 48.03 | n/a | n/a | 4767.00 3.0 |
| AO, | 02/14 | HARTFORD INVEST MGMT | 048 | CVA | B | 95,000 | 23.94 | n/a | n/a | 3800.00 4.0 |
| AO,CRT | 02/09 | SOMERSET ADV | 044 | GLW | B | 350 | 21.65 | n/a | 12-Feb | 14.00 4.0 |
| AO,CXL | 02/09 | SOMERSET ADV | 044 | GLW | B | 350 | 21.65 | n/a | 12-Feb | 17.50 5.0 |
| AO, | 02/14 | CHARTER OAK | 037 | IDIX | B | 35,000 | 10.51 | n/a | n/a | 1750.00 5.0 |
| AO,CRT | 02/14 | NICHOLAS ADVISORS | 034 | KRE | B | 10,000 | 50.58 | n/a | n/a | 500.00 5.0 |
| AO,CXL | 02/14 | NICHOLAS ADVISORS | 034 | KRE | B | 10,000 | 50.58 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 02/14 | IRON HORSE CAPITAL MGMT | 038 | LVL | B | 25,000 | 6.24 | n/a | 12-Feb | 750.00 3.0 |
| AO,CXL | 02/14 | IRON HORSE CAPITAL MGMT | 038 | LVL | B | 25,000 | 6.24 | n/a | 12-Feb | 1250.00 5.0 |
| AO,CXL | 02/14 | MANNING & NAPIER | 034 | SMG | S | 80 | 54.71 | 24-Jan | 24-Jan | 3.20 4.0 |
| AO,CRT | 02/14 | MANNING & NAPIER | 034 | SMG | S | 80 | 54.71 | 24-Jan | 24-Jan | 3.20 4.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------------------------|-------|-----------|------|--------|-----|--------|-------|--------------|-------------|
| AO, | 02/14 | MKT MAKER | 099 | SPLS | S | 13,389 | 27.21 | n/a 10-Jan | 0.00 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 6,406.50 |

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|-----------------------|------------|
| TOTAL (Trade Date): | 110,214.32 |
| TOTAL (AO, CXL, CRT): | 6,406.50 |

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|-------------------------|------------|
| TOTAL (RUN DATE) / NFS: | 116,620.82 |
|-------------------------|------------|

MRI Securities with Trade Activity on 15-Feb.

VG

MRI Securities without Trade Activity on 15-Feb.

NONE

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

T-Date = 5%

YTD = 18%

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