



Daily Compliance Activity Report

Trade Date: 08/28/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	B	5,000	130.99	n/a	n/a	non-brg	5.0
BAIRD INVESTMENT	031	ABT	B	100	51.00	n/a	22-Apr	5.00	5.0
J L F ASSET MGMT	039	AEO	S	10,301	25.02	10-Jul	21-Aug	412.04	4.0
LOCUS WOOD CAPITAL MGMT	044	AEO	B	10,000	24.51	10-Jul	21-Aug	400.00	4.0
THE BOSTON COMPANY	214	AEO	S	34,290	24.93	10-Jul	21-Aug	1,371.60	4.0
LEDDY	035	AER	S	600	24.79	n/a	n/a	0.00	0.0
MORGAN LEWIS/MLH	046	AIG	S	45,000	65.77	n/a	n/a	2,250.00	5.0
NEW JERSEY DIV OF INV.	220	AMD	B	105,000	11.85	n/a	n/a	3,150.00	3.0
RAMIUS CAP	040	AMTD	B	33,967	17.42	n/a	n/a	1,698.35	5.0
BUCK CAPITAL MGMT	001	ANF	S	65,000	77.77	23-Aug	23-Aug	2,600.00	4.0
BUCK CAPITAL MGMT	001	ANN	S	60,000	31.39	6-Aug	27-Aug	2,400.00	4.0
HIGHBRIDGE CAPITAL	038	APC	B	8,000	48.14	22-Jun	22-Aug	400.00	5.0
PILOT ADV	038	ARW	S	40,000	40.72	n/a	n/a	1,600.00	4.0
OTC ERROR	099	BECN	S	763	10.99	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	128.85	8-Aug	22-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	BEN	B	10,000	126.15	8-Aug	22-Aug	500.00	5.0
B BUCK CAPITAL MGMT		BJ	SS	10,000	34.53	10-Apr	27-Jul	non-brg	5.0
B BUCK CAPITAL MGMT		CAKE	S	87,100	24.81	24-Apr	24-Apr	non-brg	5.0
LEDDY	035	CALPINE CORPB		100,000	107.00	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	CBH	S	225,100	35.62	n/a	n/a	9,004.00	4.0
BALYASNY ASSET MGMT	044	CBH	B	10,000	35.61	n/a	n/a	500.00	5.0
ACT II PARTNERS	067	CCOI	S	75,000	24.57	n/a	n/a	3,750.00	5.0
BARR	096	CFC	SS	300	19.41	n/a	n/a	0.00	0.0
CASTANEDA	001	CHCG	B	200	5.53	n/a	n/a	0.00	0.0
MATTHES CAPITAL MGMT	033	CHS	SS	10,000	16.85	10-Aug	10-Aug	400.00	4.0
HIGHBRIDGE CAPITAL	038	COG	B	13,000	32.37	n/a	n/a	650.00	5.0
GLG PARTNERS	034	COST	B	25,000	60.22	n/a	27-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	CRI	SS	20,000	19.71	n/a	n/a	800.00	4.0
SUTERA	160	CXTIE	B	2,000	2.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	SS	10,000	24.78	n/a	n/a	400.00	4.0
GALLEON MGMT LP	033	DIA	SS	15,000	132.56	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		DRI	SS	10,000	41.21	24-Apr	24-Apr	non-brg	5.0
BUCK CAPITAL MGMT	001	DSW	S	175,600	29.95	2-Aug	10-Aug	3,512.00	2.0
ß BUCK CAPITAL MGMT		DSW	S	87,800	29.95	2-Aug	10-Aug	non-brg	4.0
LOCUS WOOD CAPITAL MGMT	044	DSW	B	10,000	29.69	2-Aug	10-Aug	400.00	4.0
ß BUCK CAPITAL MGMT		EAT	SS	10,000	29.22	24-Apr	24-Apr	non-brg	5.0
ß BUCK CAPITAL MGMT		EGLT	C	20,000	11.82	n/a	n/a	non-brg	5.0
MUHLENKAMP FUND	046	EXP	S	69,696	37.08	n/a	n/a	3,484.80	5.0
MUHLENKAMP FUND	046	FNF	S	100,000	18.06	n/a	n/a	5,000.00	5.0
Õ Glenn Redemann		FRO	B	2	0.29	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FRO	B	2	0.84	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FRO	SS	2	0.90	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FRO	SS	2	1.83	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	F	SS	165,000	7.57	n/a	9-Aug	6,600.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	139,400	49.77	n/a	10-Jan	5,576.00	4.0
ß BUCK CAPITAL MGMT		GCO	S	10,600	49.69	n/a	10-Jan	non-brg	2.0
Õ Glenn Redemann		GVA	B	4	0.41	n/a	n/a	0.00	0.0
Õ Glenn Redemann		GVA	B	4	0.59	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	247	HCR	B	100,000	62.82	n/a	26-Jul	2,000.00	2.0
GALLEON MGMT LP	033	IP	C	20,000	34.13	4-May	20-Aug	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRONBOUND CAPITAL	012	IP	S	10,000	34.31	4-May	20-Aug	500.00	5.0
LISTED ERR	099	IP	B	10,000	34.10	4-May	20-Aug	0.00	0.0
LISTED ERR	099	IP	S	10,000	34.12	4-May	20-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	IVZ	B	40,000	23.58	8-Aug	22-Aug	2,000.00	5.0
Õ Glenn Redemann		JCP	B	3	1.06	21-Jun	16-Aug	0.00	0.0
Õ Glenn Redemann		JCP	B	3	1.33	21-Jun	16-Aug	0.00	0.0
Õ Glenn Redemann		JCP	SS	3	2.34	21-Jun	16-Aug	0.00	0.0
Õ Glenn Redemann		JCP	SS	3	2.47	21-Jun	16-Aug	0.00	0.0
ß BUCK CAPITAL MGMT		JOSB	B	10,000	28.96	n/a	n/a	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	KNL	S	48,600	18.64	n/a	n/a	1,944.00	4.0
LISTED ERR	099	KNL	S	500	18.60	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	KSS	B	275	56.52	14-Jun	27-Jul	13.75	5.0
ß BUCK CAPITAL MGMT		KSS	B	25,000	56.71	14-Jun	27-Jul	non-brg	5.0
ß BUCK CAPITAL MGMT		KSWS	SS	20,000	23.91	n/a	13-Mar	non-brg	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	20,000	34.16	n/a	6-Aug	800.00	4.0
J L F ASSET MGMT	039	LIZ	SS	87,800	33.89	n/a	6-Aug	3,512.00	4.0
LEDDY	035	LULU	S	300	32.85	n/a	n/a	0.00	0.0
RAMIUS CAP	040	LYO	B	23,300	45.44	14-May	14-May	1,165.00	5.0
ß BUCK CAPITAL MGMT		MDTL	SS	10,000	10.00	n/a	n/a	non-brg	5.0
HUNTER GLOBAL INVESTOR	067	MF	S	17,100	26.82	n/a	n/a	855.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	MI	B	1,350	43.55	n/a	n/a	67.50	5.0
PLATTE RIVER CAPITAL	240	MMM	S	6,000	88.61	16-Jul	21-Aug	240.00	4.0
HIGHBRIDGE CAPITAL	038	MO	SS	3,376	69.39	n/a	n/a	168.80	5.0
HIGHBRIDGE CAPITAL	038	MO	S	29,224	70.06	n/a	n/a	1,461.20	5.0
ß BUCK CAPITAL MGMT		MSMSBMVR	C	20,000	180.72	n/a	n/a	non-brg	18.1
ß BUCK CAPITAL MGMT		MVRX	C	60,000	174.75	n/a	n/a	non-brg	17.5
ß BUCK CAPITAL MGMT		M	S	100,000	30.68	13-Jul	16-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		M	S	170,000	30.02	13-Jul	16-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		M	S	200,000	30.41	13-Jul	16-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		M	S	7,800	30.10	13-Jul	16-Aug	non-brg	1.0
SAGE ASSET MGMT	012	NCS	SS	25,000	45.53	n/a	n/a	1,250.00	5.0
KAICHER	064	ONNN	S	200	11.34	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PERY	S	10,000	27.39	n/a	n/a	non-brg	5.0
STRONG/WELL HOWARD	038	PMI	B	15,900	30.61	n/a	n/a	636.00	4.0
Õ Glenn Redemann		PXP	B	3	0.60	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PXP	B	3	0.92	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PXP	SS	3	2.01	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PXP	SS	3	2.18	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	PX	B	150	74.72	n/a	21-Aug	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		PZZA	SS	10,000	26.94	n/a	24-Apr	non-brg 5.0
BUCK CAPITAL MGMT	001	RL	B	15,000	73.52	9-Aug	9-Aug	600.00 4.0
COUGAR TRADING	044	RL	S	5,000	73.77	9-Aug	9-Aug	250.00 5.0
BUCK CAPITAL MGMT		RTH	C	700	98.44	n/a	n/a	non-brg 1.0
APEX CAPITAL MGMT.	091	SBUX	SS	259,600	27.09	n/a	24-Apr	12,980.00 5.0
HIGHBRIDGE CAPITAL	038	SFY	B	9,000	38.20	n/a	n/a	450.00 5.0
OLP5	028	SIGI	B	3,508	20.81	n/a	n/a	140.32 4.0
OLP5	028	SII	S	3,400	62.07	n/a	n/a	136.00 4.0
BARR	096	SKF	B	400	85.52	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		SKX	B	140,000	19.32	n/a	13-Mar	non-brg 2.0
BUCK CAPITAL MGMT		SKX	B	54,200	19.58	n/a	13-Mar	non-brg 5.0
BUCK CAPITAL MGMT		SKX	B	65,800	19.50	n/a	13-Mar	non-brg 5.0
MAGNETAR FINANCIAL	247	SKX	S	20,000	19.53	n/a	13-Mar	800.00 4.0
BUCK CAPITAL MGMT		SONC	SS	10,000	22.12	n/a	n/a	non-brg 5.0
OLP5	028	SONC	S	4,900	22.35	n/a	n/a	196.00 4.0
LOCUS WOOD CAPITAL MGMT	044	SPLS	B	10,000	22.88	n/a	27-Jul	400.00 4.0
AVESTA CAP	229	SPY	SS	100,000	145.23	n/a	n/a	3,000.00 3.0
OLP5	028	SRCL	S	5,000	48.52	n/a	n/a	200.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OLP5	028	SRZ	B	2,605	35.78	n/a	n/a	104.20	4.0
OLP5	028	SSP	S	3,200	40.18	n/a	n/a	128.00	4.0
SAGE ASSET MGMT	012	STT	SS	35,000	61.70	n/a	n/a	1,750.00	5.0
OLP5	028	SWIR	B	4,774	21.75	n/a	n/a	190.96	4.0
WESTLANE CAPITAL	044	SWN	B	5,000	36.49	n/a	3-Aug	250.00	5.0
MORGAN LEWIS/MLH	046	SWY	SS	30,000	31.02	n/a	n/a	1,500.00	5.0
BAIRD INVESTMENT	031	SYI	B	225	33.36	n/a	24-Apr	11.25	5.0
SYSTEMATIC FINANCIAL MGT	035	TBL	B	26,700	19.00	n/a	13-Mar	1,001.25	3.8
BAIRD INVESTMENT	031	TGT	B	1,150	61.91	n/a	27-Jul	57.50	5.0
B BUCK CAPITAL MGMT		THI	SS	10,000	32.29	n/a	24-Apr	non-brg	5.0
WOOSTER CAPITAL	035	TIN	B	25,000	54.44	25-Jul	20-Aug	1,250.00	5.0
B BUCK CAPITAL MGMT		TJX	S	100,000	30.00	13-Jul	15-Aug	non-brg	5.0
B BUCK CAPITAL MGMT		TLB	SS	15,000	23.52	n/a	23-Aug	non-brg	5.0
B BUCK CAPITAL MGMT		TRLG	B	10,000	17.93	n/a	n/a	non-brg	5.0
SANDLER O'NEILL ASSET	031	TROW	B	10,000	48.97	n/a	22-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		TSCO	S	37,500	47.40	n/a	n/a	non-brg	5.0
OLP5	028	TSCO	S	2,300	47.27	n/a	n/a	92.00	4.0
B BUCK CAPITAL MGMT		TWB	S	50,000	28.56	23-Aug	23-Aug	non-brg	5.0
MAGNETAR FINANCIAL	247	TXU	B	200,000	66.19	n/a	n/a	4,000.00	2.0
OLP5	028	ULBI	B	4,615	11.78	n/a	n/a	184.60	4.0
OLP5	028	UNFI	B	2,062	27.28	n/a	n/a	82.48	4.0
B BUCK CAPITAL MGMT		URBN	B	10,000	21.59	31-Jul	10-Aug	non-brg	2.0
B BUCK CAPITAL MGMT		URBN	B	155,000	21.88	31-Jul	10-Aug	non-brg	5.0
JP MORGAN VENTURES	046	URBN	C	20,000	21.48	31-Jul	10-Aug	1,000.00	5.0
OLP5	028	URBN	B	1,642	21.51	31-Jul	10-Aug	65.68	4.0
OLP5	028	VAR	S	4,000	41.28	n/a	n/a	160.00	4.0
OLP5	028	VPRT	S	3,600	33.31	n/a	n/a	144.00	4.0
OLP5	028	VRNT	B	2,971	23.77	n/a	n/a	118.84	4.0
OLP5	028	VTIV	B	1,737	39.62	n/a	n/a	69.48	4.0
OLP5	028	WCN	B	3,826	29.60	n/a	n/a	153.04	4.0
B BUCK CAPITAL MGMT		WEN	C	100,000	33.13	24-Apr	24-Apr	non-brg	5.0
OLP5	028	WLSC	B	4,941	27.35	n/a	n/a	197.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OLP5	028	WOOF	S	4,900	38.60	n/a	n/a	196.00	4.0
⌘ BUCK CAPITAL MGMT		WRNC	B	40,000	33.24	18-Jul	8-Aug	non-brg	5.0
⌘ BUCK CAPITAL MGMT		WSM	SS	20,000	30.08	n/a	n/a	non-brg	5.0
STRONG/WELL HOWARD	038	YHOO	B	26,500	22.90	n/a	n/a	1,060.00	4.0
OLP5	028	ZION	S	1,400	72.88	n/a	n/a	56.00	4.0
BAIRD INVESTMENT	031	ZMH	B	1,825	76.84	n/a	n/a	91.25	5.0
⌘ BUCK CAPITAL MGMT		ZQK	B	100,000	12.66	n/a	27-Jun	non-brg	5.0
OLP5	028	ZUMZ	S	4,100	45.06	n/a	n/a	164.00	4.0
TOTAL (Trade Date) :							110,715.03		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	08/27	ROARING BLUE LION MGMT	012	AB	S	3,200	83.92	9-Aug	22-Aug	128.00	4.0
AO,CXL	08/27	ROARING BLUE LION MGMT	012	AB	S	3,200	83.92	9-Aug	22-Aug	160.00	5.0
AO,CRT	08/27	OTC ERROR	099	BECN	B	763	10.97	n/a	n/a	0.00	0.0
AO,CRT	08/24	ROTHSCHILD ASSET	040	CLF	S	70	71.71	n/a	n/a	3.15	4.5
AO,CXL	08/24	ROTHSCHILD ASSET	040	CLF	S	70	71.71	n/a	n/a	3.15	4.5
AO,CXL	08/24	MANNING & NAPIER	034	CVC	S	1,970	32.84	8-Aug	16-Aug	78.80	4.0
AO,	08/24	MANNING & NAPIER	034	CVC	S	1,970	32.84	8-Aug	16-Aug	78.80	4.0
AO,	08/27	BARON ASSET MGMT*	012	EV	B	17,500	38.95	23-May	24-Aug	875.00	5.0
AO,CXL	08/27	MAGNETAR FINANCIAL	247	GMT	B	6,420	43.58	n/a	n/a	192.60	3.0
AO,CRT	08/27	MAGNETAR FINANCIAL	247	GMT	B	6,420	43.58	n/a	n/a	128.40	2.0
AO,CRT	08/27	HIGHBRIDGE CAPITAL	038	ILF	B	4,500	207.41	n/a	n/a	135.00	3.0
AO,CXL	08/27	HIGHBRIDGE CAPITAL	038	ILF	B	4,500	207.41	n/a	n/a	225.00	5.0
AO,CRT	08/27	LISTED ERR	099	KNL	B	500	18.80	n/a	n/a	0.00	0.0
AO,CXL	08/27	MAZAMA CAPITAL MGMT.	035	KNL	S	1,200	18.91	n/a	n/a	48.00	4.0
AO,CRT	08/27	MAZAMA CAPITAL MGMT.	035	KNL	S	1,200	18.91	n/a	n/a	48.00	4.0
TOTAL (AO, CXL, CRT) :										688.80	

TOTAL (Trade Date):	110,715.03
TOTAL (AO, CXL, CRT):	688.80

TOTAL (RUN DATE) / NFS:	111,403.83
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MRI Securities with Trade Activity on 28-Aug. NONE

MRI Securities without Trade Activity on 28-Aug. TIF

BRG comm. as a % of BCM Total Comm. paid. T-Date = 12% YTD = 16%
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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