



Daily Compliance Activity Report

Trade Date: 12/27/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	AAPL	B	5,000	81.18	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		ACMR	S	15,900	21.85	n/a	n/a	non-brg	5.0
CAPITAL GROWTH MGMT.	241	ADS	S	30,000	61.78	n/a	n/a	1,500.00	5.0
ß BUCK CAPITAL MGMT		ADTN	C	25,000	22.28	n/a	22-Mar	non-brg	5.0
ß BUCK CAPITAL MGMT		AEOS	B	20,000	31.18	15-Nov	5-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		AMZN	SS	10,000	39.90	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		ANF	B	50,000	69.58	3-Nov	1-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		ANN	B	70,000	33.30	n/a	1-Dec	non-brg	5.0
BARON ASSET MGMT*	012	BBW	B	25,000	28.19	n/a	n/a	1,250.00	5.0
Õ Glenn Redemann		BCSI	B	2	1.07	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BCSI	B	2	1.43	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BEBE	B	40,000	19.68	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	BID	B	10,000	31.62	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		BKRS	S	27,000	9.74	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		BONT	B	50,000	35.25	23-Oct	1-Dec	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	249	BONT	B	2,151	35.09	23-Oct	1-Dec	107.55	5.0
FRIESS MGMT	042	CCK	S	26,100	20.87	n/a	n/a	1,174.50	4.5
LEDDY	035	CC	B	800	19.45	20-Dec	20-Dec	0.00	0.0
ROYCE TRADING	216	CEN	S	6,200	28.20	n/a	n/a	310.00	5.0
FRIESS MGMT	042	CHK	B	237,100	29.30	n/a	n/a	10,669.50	4.5
B BUCK CAPITAL MGMT		CHRS	SS	10,000	13.82	n/a	16-Nov	non-brg	5.0
FIRST NEW YORK LEDDY	035	CKR	B	10,000	18.34	n/a	n/a	500.00	5.0
ROYCE TRADING	216	CLE	S	7,600	33.17	3-Nov	1-Dec	380.00	5.0
MKT MAKER	099	CLMS	B	300	27.04	2-Nov	22-Dec	0.00	0.0
CAPITAL GROWTH MGMT.	241	CME	S	10,000	510.16	n/a	12-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	43.45	7-Dec	7-Dec	400.00	4.0
B BUCK CAPITAL MGMT		COH	B	10,000	43.40	7-Dec	7-Dec	non-brg	1.5
B BUCK CAPITAL MGMT		COLM	SS	20,000	56.82	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	CRI	B	30,000	25.97	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		CROX	B	20,000	42.64	n/a	n/a	non-brg	5.0
KACELA CAPITAL	034	CROX	B	5,000	43.39	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		DDS	SS	100,000	34.78	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRIESS MGMT	042	DIS	S	374,100	34.52	n/a	n/a	16,834.50	4.5
B BUCK CAPITAL MGMT		DKS	S	100,000	48.87	n/a	n/a	non-brg	5.0
SONAR CAP MGMT	037	DKS	SS	11,200	49.32	n/a	n/a	560.00	5.0
PROSPECTOR PARTNERS LLC	036	DR	SS	4,000	23.46	n/a	n/a	200.00	5.0
MKT MAKER	099	DR	S	200	23.49	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	DSW	S	20,000	39.61	n/a	n/a	1,000.00	5.0
FIRST NEW YORK LEDDY	035	DTV	B	10,000	24.90	22-Dec	22-Dec	500.00	5.0
MKT MAKER	099	ERIE	S	20	57.95	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ESV	B	6	0.22	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ESV	B	6	0.59	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ESV	S	6	0.78	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ESV	S	6	1.48	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EV	S	10,800	32.99	2-Nov	22-Dec	432.00	4.0
LEEDS	002	FD	S	12,000	38.20	9-Nov	21-Dec	0.00	0.0
MKT MAKER	099	FINL	S	23	14.25	n/a	21-Dec	0.00	0.0
MAGUIRE	090	FLT	S	5,000	1.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	B	30,000	21.86	n/a	7-Dec	1,200.00	4.0
FRIESS MGMT	042	FTI	B	59,700	62.17	n/a	n/a	2,686.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	B	20,000	61.72	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		GIII	S	1,599	21.20	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GIII	S	13,100	20.75	n/a	n/a	non-brg	5.0
MAIRS AND POWER INV	030	GLW	B	20,000	19.00	n/a	20-Dec	1,200.00	6.0
SENTINAL CAPITAL	067	GLW	S	15,000	19.03	n/a	20-Dec	750.00	5.0
BACKUS	005	GLW	S	4,000	19.03	n/a	20-Dec	0.00	0.0
FRIESS MGMT	042	GRP	B	44,900	40.40	n/a	n/a	2,020.50	4.5
ß BUCK CAPITAL MGMT		GS	S	2,000	201.53	13-Dec	13-Dec	non-brg	1.5
MKT MAKER	099	GYMB	B	43	38.13	1-Dec	1-Dec	0.00	0.0
Õ Michael Gasner		HBP	B	1500	5.25	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	HLYS	B	900	31.59	n/a	n/a	36.00	4.0
LEDDY	035	HLYS	S	900	30.87	n/a	n/a	0.00	0.0
ROYCE TRADING	216	HL	S	50,000	7.75	n/a	n/a	2,500.00	5.0
MAGUIRE	090	HOFF	S	5,000	16.45	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	214	HOTT	S	120,010	13.08	n/a	1-Dec	3,600.30	3.0
Õ Glenn Redemann		ICE	B	6	0.86	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ICE	B	6	1.10	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ICE	S	6	1.53	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ö	Glenn Redemann		ICE	S	6	2.23	n/a	n/a	0.00	0.0
	MAGUIRE	090	IRIX	S	700	9.38	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		JCP	S	150,000	77.90	10-Nov	1-Dec	non-brg	5.0
	BUCK CAPITAL MGMT	001	JNY	SS	15,000	33.50	n/a	26-Oct	600.00	4.0
ß	BUCK CAPITAL MGMT		JOSB	SS	50,000	29.09	n/a	n/a	non-brg	5.0
ß	BUCK CAPITAL MGMT		KSS+BN	SS	1,000	1.93	n/a	n/a	non-brg	300.0
ß	BUCK CAPITAL MGMT		KSS	S	190,000	68.47	27-Dec	27-Dec	non-brg	5.0
	GARTMORE/NORTHPOINT/VILL	033	KSS	SS	32,400	68.05	27-Dec	27-Dec	1,296.00	4.0
	LEVIN CAPITAL STRATEGIES	012	KSS	SS	2,500	67.90	27-Dec	27-Dec	100.00	4.0
	TRIVIUM CAP MGMT	028	KSS	SS	40,000	68.39	27-Dec	27-Dec	1,600.00	4.0
	SCHEINER	037	KSS	S	1,000	69.08	27-Dec	27-Dec	0.00	0.0
ß	BUCK CAPITAL MGMT		LAMR	B	25,000	65.51	n/a	n/a	non-brg	5.0
	BUCK CAPITAL MGMT	001	LIZ	SS	15,000	43.61	n/a	27-Oct	600.00	4.0
	AAD CAPITAL	048	LTD	B	25,100	29.25	1-Dec	1-Dec	753.00	3.0
ß	BUCK CAPITAL MGMT		LTD	S	425,000	29.14	1-Dec	1-Dec	non-brg	4.0
ß	BUCK CAPITAL MGMT		LTM	B	15,000	49.64	n/a	n/a	non-brg	5.0
	BEAR STEARNS ASSET MGMT.	033	MMM	S	20,000	78.57	20-Oct	20-Oct	800.00	4.0
ß	BUCK CAPITAL MGMT		MRU+MX	S	44	4.20	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		MSMSBRTL	SS	200,000	24.86	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		MVRX	SS	70,000	187.38	n/a	n/a	non-brg	18.8
MKT MAKER	099	MWRK	S	2	39.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		MW	SS	55,000	37.76	n/a	n/a	non-brg	5.0
TRIBECA	038	NCC	SS	10,000	37.25	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	NLS	B	20,000	14.19	n/a	n/a	800.00	4.0
BACKUS	005	NLS	B	4,000	13.88	n/a	n/a	0.00	0.0
SENDROW	073	NWOG	S	3,000	0.07	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		NWY	B	30,000	13.22	1-Dec	1-Dec	non-brg	5.0
TRIBECA	038	NYX	B	3,500	95.52	n/a	n/a	140.00	4.0
MAGUIRE	090	OCWAZ	S	2,980	5.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ODP	SS	10,000	39.12	n/a	1-Dec	non-brg	5.0
CIRCLE T PART	035	ODP	SS	20,000	38.92	n/a	1-Dec	1,000.00	5.0
FRIESS MGMT	042	ORCL	B	205,100	17.13	n/a	n/a	9,229.50	4.5
TRIBECA	038	OXPS	B	20,000	23.20	n/a	n/a	800.00	4.0
ROYCE TRADING	216	PER	B	5,700	16.85	n/a	n/a	285.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	PLCE	C	2,700	63.98	n/a	30-Nov	135.00	5.0
BULL PATH CAPITAL	044	PL	B	20,000	47.66	n/a	n/a	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	PNX	SS	11,600	15.95	n/a	n/a	580.00	5.0
SIRIS	013	PQE	S	2,082	10.48	n/a	n/a	0.00	0.0
SAXON WOODS ADVISORS	038	PXD	S	10,000	40.00	7-Aug	8-Dec	500.00	5.0
KACELA CAPITAL	034	RI	B	10,000	27.82	n/a	n/a	400.00	4.0
FRIESS MGMT	042	ROST	B	97,000	29.76	n/a	n/a	4,365.00	4.5
⌘ BUCK CAPITAL MGMT		RTH	SS	120,000	99.34	n/a	n/a	non-brg	1.5
WHITE PINE CAPITAL	030	RVI	S	5,000	19.34	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		S4RETL	SS	50,000	420.25	n/a	n/a	non-brg	54.7
⌘ BUCK CAPITAL MGMT		S6RETL	SS	30,000	275.40	n/a	n/a	non-brg	44.1
FRIESS MGMT	042	SKX	B	20,000	32.69	n/a	7-Dec	900.00	4.5
FORTRESS CAPITAL	040	SPLS	SS	200,000	26.94	n/a	15-Nov	10,000.00	5.0
MKT MAKER	099	SSCC	B	91	10.88	26-Oct	14-Dec	0.00	0.0
LATEFF MGMT	040	TEVA	B	1,500	31.51	8-Nov	27-Dec	345.00	23.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		TJX	SS	50,000	28.53	6-Oct	1-Dec	non-brg	5.0
BUCK CAPITAL MGMT	001	TLB	S	80,000	23.96	18-Oct	16-Nov	3,200.00	4.0
⌘ BUCK CAPITAL MGMT		TLB	S	100,000	23.95	18-Oct	16-Nov	non-brg	1.5
MKT MAKER	099	TRLG	S	6	15.80	n/a	n/a	0.00	0.0
MKT MAKER	099	UNFI	B	95	36.94	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	B	70,000	23.35	7-Dec	11-Dec	non-brg	5.0
SEAROCK CAPITAL MANAGE	012	VFC	SS	40,100	82.25	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		VIRL	S	15,000	9.25	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		VNF+AL	S	23	20.34	n/a	n/a	non-brg	300.0
BEAR STEARNS ASSET MGMT.	033	WAG	C	40,000	45.91	n/a	n/a	1,600.00	4.0
MKT MAKER	099	WEBM	S	122	7.43	n/a	3-Apr	0.00	0.0
⌘ BUCK CAPITAL MGMT		ZUMZ	B	20,000	29.25	n/a	n/a	non-brg	5.0
TOTAL (Trade Date) :								94,889.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	12/20	MS PRINCIPAL STRATEGIES	040	ALC	SS	50,000	9.43	n/a	n/a	2000.00	4.0
AO,CXL	12/20	MS PRINCIPAL STRATEGIES	040	ALC	SS	50,000	9.43	n/a	n/a	2500.00	5.0
AO,CRT	12/26	W.D.WITTER	040	ANF	S	17,700	69.02	3-Nov	1-Dec	885.00	5.0
AO,CXL	12/21	TROOB CAPITAL	067	CVS	S	25,000	30.27	n/a	n/a	750.00	3.0
AO,CRT	12/21	TROOB CAPITAL	067	CVS	S	25,000	30.27	n/a	n/a	750.00	3.0
AO,CRT	12/26	NEEDHAM CAP	067	FOSL	SS	10,175	22.50	15-Nov	15-Nov	407.00	4.0
AO,CXL	12/26	NEEDHAM CAP	067	FOSL	SS	10,175	22.50	15-Nov	15-Nov	407.00	4.0
AO,	12/26	W.D.WITTER	040	GI	S	29,800	75.55	n/a	n/a	1490.00	5.0
AO,CRT	12/26	MKT MAKER	099	HOTT	B	16	12.99	n/a	1-Dec	0.00	0.0
AO,	12/26	AAD CAPITAL	048	LTD	B	50,000	29.00	1-Dec	1-Dec	1000.00	2.0
AO,CRT	12/26	J L F ASSET MGMT	039	TWB	S	52,650	39.86	5-Sep	8-Dec	2106.00	4.0
AO,CXL	12/26	J L F ASSET MGMT	039	TWB	S	52,650	39.86	5-Sep	8-Dec	1053.00	2.0

TOTAL (AO, CXL, CRT) :**3,928.00**

TOTAL (Trade Date) :

94,889.85

TOTAL (AO, CXL, CRT) :

3,928.00

TOTAL (RUN DATE) / NFS:

98,817.85

MRI Securities with Trade Activity on 27-Dec.

KSS

MRI Securities without Trade Activity on 27-Dec.

NONE

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

T-Date = 6%

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