



Daily Compliance Activity Report

Trade Date: 01/10/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J L F ASSET MGMT	039	AAPL	B	17,100	96.26	n/a	n/a	684.00	4.0
LEDDY	035	ANN	B	500	33.31	5-Jan	5-Jan	0.00	0.0
ADAGE CAPITAL MGMT	030	ARO	B	100,000	34.92	23-Oct	5-Jan	4,000.00	4.0
J L F ASSET MGMT	039	ARO	S	33,400	34.38	23-Oct	5-Jan	1,336.00	4.0
B BUCK CAPITAL MGMT		AVZ	B	56,500	22.71	29-Dec	11-Jan	non-brg	5.0
SAC TRADING HOWARD	038	BARE	B	15,000	34.14	n/a	n/a	750.00	5.0
FARBER/WEISS PECK	012	BBY	B	18,000	49.36	13-Dec	10-Jan	900.00	5.0
B BUCK CAPITAL MGMT		BHI	B	7,500	67.58	n/a	n/a	non-brg	5.0
BUCK	015	BMR	S	1,900	28.40	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	BONT	B	7,500	35.60	23-Oct	5-Jan	375.00	5.0
B BUCK CAPITAL MGMT		BRNC	B	10,000	14.10	n/a	n/a	non-brg	5.0
WHITE PINE CAPITAL	030	BSC	B	2,850	165.47	15-Dec	15-Dec	142.50	5.0
SAILFISH	037	BSX	B	10,000	17.70	n/a	22-Apr	500.00	5.0
B BUCK CAPITAL MGMT		CACH	S	10,000	22.85	n/a	n/a	non-brg	5.0
BEAR STEARNS ASSET MGMT.	033	CAKE	B	15,000	27.24	n/a	12-Dec	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	CAKE	S	80,700	26.99	n/a	12-Dec	3,228.00	4.0
BUCK	015	CALPINE CORP	S	60,000	93.00	n/a	n/a	0.00	0.0
GAULT	063	CALPINE CORP	S	45,000	93.00	n/a	n/a	0.00	0.0
KAICHER	064	CBLI	B	2,000	8.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CHS	C	205,000	21.29	5-Jan	5-Jan	non-brg	5.0
DELTEC ASSET MGMT.	040	CKR	S	14,000	19.55	n/a	n/a	700.00	5.0
RAINIER INV MGMT	035	CLB	B	8,000	75.98	6-Dec	6-Dec	400.00	5.0
ROXBURY CAPITAL MGMT	035	CLB	B	137,500	76.42	6-Dec	6-Dec	5,500.00	4.0
NCM CAPITAL MGMT	035	CLMS	B	6,450	26.35	2-Nov	10-Jan	322.50	5.0
KORMAN	003	CLUB	B	4,000	17.69	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CMRG	B	50,000	13.22	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CMRG	B	50,000	13.23	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	COH	S	30,000	44.32	7-Dec	7-Dec	1,200.00	4.0
ß BUCK CAPITAL MGMT		COH	S	7,000	44.30	7-Dec	7-Dec	non-brg	5.0
KORMAN	003	COSI	B	6,000	6.18	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	6	75.85	n/a	n/a	0.00	0.0
LEDDY	035	CRI	B	500	25.33	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CROX	B	50,000	48.09	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		DECK	B	10,000	58.51	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	DKS	SS	20,000	50.03	n/a	n/a	800.00	4.0
LATEFF MGMT	040	DOW	B	1,000	39.34	n/a	14-Dec	290.00	29.0
MORGAN LEWIS/MLH	046	DOW	B	10,000	39.41	n/a	14-Dec	500.00	5.0
WEISS PECK	040	DSW	SS	2,700	38.48	n/a	n/a	108.00	4.0
⌘ BUCK CAPITAL MGMT		EDA	B	450,000	10.93	n/a	n/a	non-brg	4.0
ZOLIDIS	011	EDA	B	1,000	10.34	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	EMR	S	600	43.57	n/a	n/a	30.00	5.0
⌘ BUCK CAPITAL MGMT		ESV	B	7,500	46.27	n/a	n/a	non-brg	5.0
CAMBIAR CAP	046	ETN	S	189,810	73.70	16-Oct	28-Dec	7,592.40	4.0
LATEFF MGMT	040	FDX	B	250	107.14	n/a	n/a	137.50	55.0
NCM CAPITAL MGMT	035	FII	S	8,625	33.81	n/a	22-Dec	431.25	5.0
TROUBH PART	067	FNSR	S	50,000	3.25	n/a	n/a	2,500.00	5.0
NEEDHAM CAP	067	FOSL	SS	4,500	23.25	15-Nov	15-Nov	180.00	4.0
MKT MAKER	099	FOSL	SS	17	23.25	15-Nov	15-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		FRX	S	11,700	51.10	29-Nov	8-Jan	non-brg	5.0
BONANZA PARTNERS	031	GIII	SS	25,500	20.06	n/a	n/a	1,275.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIL	B	15,000	49.08	n/a	n/a	non-brg	5.0
WESTLANE CAPITAL	044	GLW	B	1,200	18.40	n/a	20-Dec	60.00	5.0
EIDELMAN,FINGER & CO	046	GNSS	S	16,450	9.46	n/a	n/a	822.50	5.0
KERN	050	GPS	S	200	19.76	n/a	5-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		GSF	B	7,500	54.00	n/a	n/a	non-brg	5.0
BUCK	015	HIW	B	600	38.45	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	HON	S	300	44.90	19-Oct	15-Dec	15.00	5.0
⌘ BUCK CAPITAL MGMT		HOS	B	5,000	33.84	n/a	n/a	non-brg	5.0
MORGAN BANK /JPM	012	HST	B	69,100	24.19	n/a	n/a	2,073.00	3.0
⌘ BUCK CAPITAL MGMT		IKAN	B	10,000	8.33	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		IKAN	B	40,000	8.49	n/a	n/a	non-brg	5.0
RIVER RUN MGMT	031	ITCD	B	13,000	2.56	n/a	n/a	390.00	3.0
⌘ BUCK CAPITAL MGMT		JCG	B	10,000	35.69	n/a	20-Dec	non-brg	5.0
SIGMA CAP BOBBY	044	KTO	SS	50,000	12.57	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		LAMR	B	5,000	67.13	n/a	n/a	non-brg	5.0
KEEFE BRUYETTE WOODS A	031	LM	S	9,100	101.03	31-Jul	11-Jan	455.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	40,000	26.88	5-Jan	5-Jan	1,600.00	4.0
LATEFF MGMT	040	LYO	B	800	24.69	n/a	26-Oct	208.00	26.0
J L F ASSET MGMT	039	MAT	B	38,700	23.43	n/a	n/a	1,548.00	4.0
MORGAN LEWIS/MLH	046	MMM	B	5,000	77.85	20-Oct	20-Oct	250.00	5.0
FIRST NEW YORK LEDDY	035	MWV	B	15,000	28.78	8-Jan	8-Jan	900.00	6.0
WOOSTER CAPITAL	035	MWV	B	25,000	28.84	8-Jan	8-Jan	1,250.00	5.0
BUCK	015	MWV	B	1,500	28.60	8-Jan	8-Jan	0.00	0.0
JACOB	068	MWV	B	350	28.72	8-Jan	8-Jan	0.00	0.0
FRONTPOINT	044	NDAQ	SS	51,600	34.07	n/a	n/a	2,580.00	5.0
SOMERSET ADV	044	NDN	B	2,600	13.30	n/a	9-Jan	104.00	4.0
BUCK CAPITAL MGMT		NEXC	B	50,000	8.37	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		NEXC	B	75,000	8.40	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	NLS	B	40,000	15.30	n/a	n/a	1,600.00	4.0
DELTEC ASSET MGMT.	040	NWY	B	7,900	14.24	1-Dec	10-Jan	395.00	5.0
BUCK CAPITAL MGMT	001	OXM	B	30,000	43.34	n/a	n/a	1,200.00	4.0
S.A.C. CAPITAL MGMT.	044	PBG	B	25,000	30.20	n/a	n/a	1,250.00	5.0
KORMAN	003	PEET	B	3,000	25.83	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		PLCE	S	133,000	57.93	n/a	5-Jan	non-brg 5.0
SAC TRADING HOWARD	038	PSUN	S	30,000	20.25	n/a	5-Jan	1,500.00 5.0
WHITE PINE CAPITAL	030	RDSA	S	300	66.12	n/a	n/a	15.00 5.0
ß BUCK CAPITAL MGMT		RIG	B	7,500	74.20	n/a	n/a	non-brg 5.0
THE JAY GOLDMAN	034	RI	S	30,000	27.72	n/a	n/a	1,200.00 4.0
BRUNNER	012	RJET	B	1,000	18.13	n/a	n/a	0.00 0.0
Õ Manny Korman		RLF	S	500	27.39	n/a	n/a	0.00 0.0
ß BUCK CAPITAL MGMT		RL	S	5,000	81.74	7-Dec	8-Jan	non-brg 5.0
KORMAN	003	RRGB	B	3,000	33.89	n/a	n/a	0.00 0.0
WEISS PECK	040	RVI	B	9,100	18.96	n/a	n/a	364.00 4.0
ß BUCK CAPITAL MGMT		SCSS	B	20,000	17.22	n/a	n/a	non-brg 5.0
LEDDY	035	SKNN	B	4,000	2.47	n/a	n/a	0.00 0.0
MAZAMA CAPITAL MGMT.	035	SLR	S	500,000	3.40	n/a	n/a	15,000.00 3.0
KAICHER	064	SNCR	S	1,000	15.37	n/a	n/a	0.00 0.0
SENECA CAPITAL LP NY	028	SPY	B	42,000	141.02	n/a	n/a	2,100.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	040	TCB	B	500	27.20	n/a	n/a	140.00	28.0
MAGUIRE	039	THC	B	700	7.25	n/a	22-Dec	0.00	0.0
RAMIUS CAP	040	TIN	S	20,000	45.36	n/a	15-Dec	1,000.00	5.0
BUCK	015	TLB	S	800	23.41	10-Jan	10-Jan	0.00	0.0
KERN	050	TRLG	S	500	17.86	n/a	n/a	0.00	0.0
GAULT	063	TRLG	S	3,000	17.77	n/a	n/a	0.00	0.0
DEMARTINI	065	TRLG	S	2,000	17.73	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	TSM	B	247,200	10.59	n/a	n/a	9,888.00	4.0
KORMAN	003	TXRH	B	6,500	13.27	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	UCO	B	37,000	57.97	11-Oct	29-Nov	1,480.00	4.0
B BUCK CAPITAL MGMT		URBN	B	160,000	25.32	7-Dec	5-Jan	non-brg	5.0
WHITE PINE CAPITAL	030	WFC	S	200	35.52	n/a	n/a	10.00	5.0
RAMIUS CAP	040	WY	S	20,000	70.83	15-Dec	15-Dec	1,000.00	5.0
TOTAL (Trade Date):								87,379.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/09	BAIRD INVESTMENT	031	A	S	1,407	34.12	n/a	n/a	70.35 5.0
AO,CXL	01/09	BAIRD INVESTMENT	031	A	S	1,407	34.12	n/a	n/a	1.71 0.0
AO,CXL	01/09	CENTURION PARTNERS	249	EDA	B	5,000	9.58	n/a	n/a	250.00 5.0
AO,CRT	01/09	CENTURION PARTNERS	249	EDA	B	5,000	9.58	n/a	n/a	250.00 5.0
AO,CRT	01/09	NCM CAPITAL MGMT	035	FII	S	4,575	33.90	n/a	22-Dec	228.75 5.0
AO,CXL	01/09	NCM CAPITAL MGMT	035	FII	S	4,575	33.90	n/a	22-Dec	22875.00 500.0
AO,CRT	01/09	CAPITAL GROWTH MGMT.	241	GES	B	30,000	68.74	n/a	n/a	1500.00 5.0
AO,CXL	01/09	CAPITAL GROWTH MGMT.	241	GES	B	30,000	68.74	n/a	n/a	1500.00 5.0
AO,CRT	01/09	MKT MAKER	099	GIII	B	10	19.59	n/a	n/a	0.00 0.0
AO,CXL	12/20	GRASSANO	053	ISLE	S	50	26.08	n/a	26-Jan	0.00 0.0
AO,CRT	12/20	GRASSANO	053	ISLE	S	50	26.08	n/a	26-Jan	0.00 0.0
AO,CRT	01/09	DURANGO INVESTMENTS	031	MLI	B	50,000	30.63	24-Oct	21-Dec	1500.00 3.0
AO,CXL	01/09	DURANGO INVESTMENTS	031	MLI	B	50,000	30.63	24-Oct	21-Dec	2500.00 5.0

TOTAL (AO, CXL, CRT) :**-23,577.61**

TOTAL (Trade Date) :

87,379.65

TOTAL (AO, CXL, CRT) :

-23,577.61

TOTAL (RUN DATE) / NFS:

63,802.04

MRI Securities with Trade Activity on 10-Jan.

TLB

MRI Securities without Trade Activity on 10-Jan.

AB

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

T-Date = 9%

YTD = 26%

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