



Daily Compliance Activity Report

Trade Date: 04/04/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAZAMA CAPITAL MGMT.	035	AIQ	S	318,000	8.72	n/a	n/a	12,720.00	4.0
BUCK CAPITAL MGMT	001	ANF	SS	30,000	77.02	2-Feb	21-Mar	1,200.00	4.0
TRIVIUM CAP MGMT	028	ARO	SS	25,000	41.66	n/a	16-Mar	1,000.00	4.0
NEUBERGER BERMAN	036	ATK	S	10,000	89.20	n/a	n/a	500.00	5.0
LISTED ERR	099	AVZ	S	1,500	22.73	5-Mar	28-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	BBY	B	20,000	48.08	13-Dec	23-Mar	800.00	4.0
SANDLER O'NEILL ASSET	031	BEN	S	6,500	124.54	22-Mar	28-Mar	325.00	5.0
BUCK CAPITAL MGMT	001	BIG	SS	5,000	33.46	9-Mar	27-Mar	200.00	4.0
B BUCK CAPITAL MGMT		BONT	S	10,000	55.32	9-Mar	16-Mar	non-brg	5.0
BARR	096	BQI	B	3,000	3.27	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CBK	B	10,000	19.61	30-Mar	30-Mar	500.00	5.0
MCCARTAN	028	CBK	B	200	19.65	30-Mar	30-Mar	0.00	0.0
MCCARTAN	028	CBK	S	100	19.63	30-Mar	30-Mar	0.00	0.0
ROARING BLUE LION MGMT	012	CC	B	4,500	17.98	20-Dec	30-Mar	225.00	5.0
LEDDY	035	CC	B	1,000	18.14	20-Dec	30-Mar	0.00	0.0
DELTEC ASSET MGMT.	040	CHS	S	27,000	25.19	27-Mar	27-Mar	1,350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Glenn Redemann		CLM	S	1176	8.72	n/a	n/a	0.00	0.0
EOS PARTNERS	040	CME	S	500	560.03	n/a	3-Apr	20.00	4.0
BANK OF NEW YORK	040	CMG	S	2,190	64.33	16-Feb	16-Feb	98.55	4.5
CAPITAL GROWTH MGMT.	241	CNH	S	62,000	37.22	n/a	n/a	3,100.00	5.0
BUCK CAPITAL MGMT	001	CRI	SS	10,000	25.48	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	CRL	S	26,100	46.35	n/a	n/a	1,305.00	5.0
ß BUCK CAPITAL MGMT		CWTR	B	5,000	21.43	n/a	n/a	non-brg	5.0
AMATURO	018	DAWUW	B	80	4.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DDS	C	100,000	32.95	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		DKS	B	10,000	58.71	n/a	n/a	non-brg	5.0
BANK OF NEW YORK	040	DRIV	S	3,400	55.72	n/a	n/a	153.00	4.5
ß BUCK CAPITAL MGMT		EGLT	C	6,000	16.20	n/a	n/a	non-brg	5.0
HOOVER INV. MGMT	033	ELY	B	64,200	16.35	n/a	n/a	3,210.00	5.0
CASTLE ARK	031	EOG	C	70	73.63	n/a	n/a	4.20	6.0
MATTHES CAPITAL MGMT	033	FBN	B	20,000	15.86	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FD	SS	130,000	45.63	26-Jan	9-Mar	5,200.00	4.0
BANK OF NEW YORK	040	FORM	S	3,700	45.96	n/a	n/a	166.50	4.5
BUCK CAPITAL MGMT	001	GCO	B	5,000	41.22	n/a	10-Jan	200.00	4.0
BANK OF NEW YORK	040	GET	S	3,840	54.35	n/a	n/a	172.80	4.5
ß BUCK CAPITAL MGMT		GIII	B	13,000	18.25	n/a	n/a	non-brg	1.0
LUCHANSKY	036	GIL	B	100	62.94	n/a	2-Apr	0.00	0.0
LEDDY	035	GLW	S	500	23.05	n/a	2-Mar	0.00	0.0
ß BUCK CAPITAL MGMT		GPI	B	20,000	42.45	n/a	n/a	non-brg	5.0
GRACIE CAPITAL	028	HHH	B	10,000	56.92	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		HLYS	B	10,000	27.50	n/a	n/a	non-brg	5.0
SHAREVEST CAPITAL MGMT.	038	IFS	S	6,300	30.87	n/a	n/a	315.00	5.0
NEUBERGER BERMAN	036	IHP	B	20,000	59.70	n/a	n/a	1,000.00	5.0
EMP ERROR	099	IP	B	400	37.23	20-Mar	20-Mar	0.00	0.0
SPRINGBOC	039	IWM	SS	17,261	80.44	n/a	n/a	863.05	5.0
TRIVIUM CAP MGMT	028	JNY	SS	25,000	32.07	n/a	15-Feb	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		JOSB	B	30,000	35.61	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	KCP	B	19,400	27.47	n/a	28-Feb	776.00	4.0
BUCK CAPITAL MGMT		KCP	B	600	27.59	n/a	28-Feb	non-brg	2.0
PENN CAPITAL MGMT	033	KEGS	S	7,570	16.60	n/a	26-Mar	302.80	4.0
ZOLIDIS	011	KMX	B	100	25.03	n/a	10-Jan	0.00	0.0
BALYASNY ASSET MGMT	044	LAZ	B	20,000	50.90	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT		MIPS	S	100,000	8.57	n/a	n/a	non-brg	4.0
WHEELER	008	MMDO	B	40	2.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		MSMSBFIN	SS	291,900	28.75	n/a	n/a	non-brg	2.9
BUCK CAPITAL MGMT		MVRX	SS	42,000	200.26	n/a	n/a	non-brg	20.0
COUGAR TRADING	044	NEXC	S	5,000	10.67	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT		NWY	S	5,000	15.64	23-Mar	23-Mar	non-brg	5.0
STERLING JOHNSTON	035	NWY	B	87,000	15.73	23-Mar	23-Mar	4,350.00	5.0
CASTLE ARK	031	ODP	SS	160	34.99	n/a	2-Mar	9.60	6.0
BUCK CAPITAL MGMT		OIH	SS	75,000	147.50	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		PLCE	B	5,000	55.34	n/a	21-Mar	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KNOTT PARTNERS	044	PRX	B	25,000	25.85	30-Jan	2-Apr	1,000.00	4.0
TRIVIUM CAP MGMT	028	PSS	SS	25,000	33.84	n/a	n/a	1,000.00	4.0
SPRINGBOC	039	QQQQ	SS	31,336	44.27	n/a	n/a	1,566.80	5.0
WHEELER	008	QXWHW	B	100	4.70	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	RAS	S	105,600	27.14	n/a	n/a	5,280.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	5,000	91.67	2-Feb	16-Feb	200.00	4.0
Õ Glenn Redemann		RMBS	B	2	0.97	n/a	n/a	0.00	0.0
Õ Glenn Redemann		RMBS	B	2	1.23	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RTH	SS	106,300	102.95	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	SS	30,000	102.91	n/a	n/a	non-brg	2.0
ZOLIDIS	011	SHOE	SS	100	6.40	n/a	n/a	0.00	0.0
GRACIE CAPITAL	028	SMH	B	10,000	33.75	n/a	n/a	500.00	5.0
Õ Glenn Redemann		SNDA	B	7	0.18	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SNDA	B	7	0.19	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SNDA	S	7	0.76	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SNDA	S	7	0.81	n/a	n/a	0.00	0.0
SPRINGBOC	039	SPY	SS	9,654	143.77	n/a	n/a	482.70	5.0
GRACIE CAPITAL	028	SWH	B	10,000	39.37	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		TGT	B	5,000	60.58	n/a	8-Mar	non-brg	5.0
WASHINGTON ASSET	048	THI	B	8,000	30.60	12-Dec	7-Feb	400.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	10,000	27.62	21-Mar	21-Mar	400.00	4.0
BALYASNY ASSET MGMT	044	TROW	B	28,300	48.27	n/a	28-Mar	1,415.00	5.0
⚡ BUCK CAPITAL MGMT		UAG	B	10,000	20.98	n/a	n/a	non-brg	5.0
HOOVER INV. MGMT	033	VSH	B	90,000	14.70	n/a	n/a	4,500.00	5.0
BALYASNY ASSET MGMT	044	WDR	B	20,000	23.74	5-Mar	28-Mar	1,000.00	5.0
BANK OF NEW YORK	040	WDR	S	27,470	23.62	5-Mar	28-Mar	1,236.15	4.5
⚡ BUCK CAPITAL MGMT		XLF	SS	71,200	35.72	n/a	n/a	non-brg	2.0
BRIGHTPOINT CAP	067	YUM	SS	5,000	58.74	12-Dec	13-Feb	250.00	5.0
TOTAL (Trade Date):								63,747.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/03	PRINCIPLE CAPITAL	040	ANN	S	154,875	39.04	5-Jan	19-Mar	4646.25 3.0
AO,	04/03	LISTED ERR	099	AVZ	B	1,500	22.44	5-Mar	28-Mar	0.00 0.0
AO,CXL	04/03	BANK OF NEW YORK	040	CENT	S	12,280	14.58	8-Feb	8-Feb	491.20 4.0
AO,CRT	04/03	ESTABROOK	032	CENT	S	12,280	14.58	8-Feb	8-Feb	552.60 4.5
AO,	04/03	PRINCIPLE CAPITAL	040	GPS	B	250,000	17.63	n/a	9-Mar	7500.00 3.0
AO,CRT	04/03	FORSTMAN LEFF	032	NVS	S	14,800	55.17	n/a	n/a	740.00 5.0
AO,CXL	04/03	FORSTMAN LEFF	098	NVS	S	14,800	55.17	n/a	n/a	740.00 5.0
AO,CRT	04/03	PILOT ROCK	028	SNDK	S	37,500	43.94	n/a	n/a	1500.00 4.0
AO,CXL	04/03	PILOT ROCK	028	SNDK	S	37,500	43.94	n/a	n/a	1875.00 5.0
TOTAL (AO, CXL, CRT) :										11,832.65

TOTAL (Trade Date):	63,747.15
TOTAL (AO, CXL, CRT):	11,832.65

TOTAL (RUN DATE) / NFS:	75,579.80
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MRI Securities with Trade Activity on 4-Apr.
NONE

MRI Securities without Trade Activity on 4-Apr.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 20%
YTD = 17%

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