



Daily Compliance Activity Report

Trade Date: 09/11/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	AB	S	55	81.23	9-Aug	22-Aug	0.00	0.0
Ö Glenn Redemann		ACGY	B	4	0.40	n/a	n/a	0.00	0.0
Ö Glenn Redemann		ACGY	B	4	0.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		AEO	B	20,000	23.55	10-Jul	7-Sep	non-brg	5.0
IVORY CAPITAL	034	AEO	B	100,000	25.06	10-Jul	7-Sep	5,000.00	5.0
WEISS PECK	040	AEO	B	36,100	24.84	10-Jul	7-Sep	1,805.00	5.0
CANTILLON CAPITAL	040	AMLN	B	50,100	48.53	n/a	n/a	2,505.00	5.0
COUGAR TRADING	044	ANF	B	4,200	76.36	23-Aug	7-Sep	210.00	5.0
COUGAR TRADING	044	ANF	SS	4,200	77.25	23-Aug	7-Sep	210.00	5.0
J L F ASSET MGMT	039	ANF	B	48,400	77.09	23-Aug	7-Sep	1,936.00	4.0
BALYASNY ASSET MGMT	044	ANN	B	40,000	30.83	6-Aug	7-Sep	2,000.00	5.0
J L F ASSET MGMT	039	ANN	B	51,992	30.55	6-Aug	7-Sep	2,079.68	4.0
MAZAMA CAPITAL MGMT.	035	ARD	S	18,200	63.15	n/a	n/a	728.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	18.93	n/a	7-Sep	800.00	4.0
FORTRESS CAPITAL	040	AT	B	19,000	69.02	n/a	n/a	380.00	2.0
DURANGO INVESTMENTS	031	BBW	B	25,000	16.25	11-Sep	11-Sep	1,000.00	4.0
EGS ASSOCIATES LP	091	BBW	B	7,500	16.23	11-Sep	11-Sep	450.00	6.0
GRANAHAN INV	039	BBW	S	75,000	16.27	11-Sep	11-Sep	3,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BONT	S	10,000	24.49	3-Aug	7-Sep	non-brg	5.0
KORMAN	003	BRLC	B	10,000	6.38	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BWS	B	10,000	20.03	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BWS	B	170,000	19.77	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CACH	S	10,000	15.93	n/a	n/a	non-brg	5.0
BONANZA PARTNERS	031	CHUX	S	20,900	15.00	n/a	n/a	1,045.00	5.0
MKT MAKER	099	CHUX	S	59	15.00	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	CMI	S	25,000	116.58	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	COG	B	4,000	34.45	n/a	n/a	200.00	5.0
ß BUCK CAPITAL MGMT		COH	B	5,000	44.09	n/a	10-Sep	non-brg	5.0
COUGAR TRADING	044	COH	S	5,000	45.17	n/a	10-Sep	250.00	5.0
CLOVIS CAPITAL	012	COST	SS	150,000	58.20	n/a	27-Jul	7,500.00	5.0
WHEELER	008	CPNLQ	B	20,000	1.88	n/a	29-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	CRI	B	40,000	19.90	n/a	n/a	1,600.00	4.0
ß BUCK CAPITAL MGMT		CTRN	B	30,000	21.83	n/a	n/a	non-brg	5.0
KORMAN	003	CXTIE	S	20,000	1.00	n/a	n/a	0.00	0.0
WHITTIER CAP	048	DGIT	S	10,000	21.09	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		DSW	B	87,200	27.13	5-Sep	5-Sep	non-brg	5.0
BARON ASSET MGMT*	012	EV	B	47,500	37.00	23-May	24-Aug	2,375.00	5.0
MATTHES CAPITAL MGMT	033	FDO	SS	5,000	28.22	9-Aug	7-Sep	200.00	4.0
BUCK CAPITAL MGMT	001	GES	B	15,000	45.00	n/a	n/a	600.00	4.0
SANDLER CAPITAL	038	GE	B	100,000	39.38	n/a	n/a	6,000.00	6.0
B BUCK CAPITAL MGMT		GIL	B	10,000	32.51	21-Jun	29-Aug	non-brg	5.0
MAGNETAR FINANCIAL	247	GMT	B	40,000	41.92	n/a	n/a	800.00	2.0
MAGNETAR FINANCIAL	247	HCR	B	150,000	64.76	n/a	26-Jul	3,000.00	2.0
FORTRESS CAPITAL	040	HLT	B	37,000	46.05	n/a	n/a	740.00	2.0
MAZAMA CAPITAL MGMT.	035	HPY	S	24,400	28.46	n/a	n/a	976.00	4.0
CAPITAL GROWTH MGMT.	241	IHP	B	15,000	63.91	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	IP	SS	20,000	34.38	4-May	20-Aug	1,000.00	5.0
RAINIER INV MGMT	035	IVZ	B	85,100	23.64	8-Aug	11-Sep	4,255.00	5.0
TYEE/TYGH	035	IVZ	B	49,900	23.68	8-Aug	11-Sep	1,996.00	4.0
KORMAN	003	JADE	S	24,000	6.29	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	JCG	B	15,000	42.20	22-Jun	6-Sep	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	B	35,000	42.55	22-Jun	6-Sep	1,400.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	10,000	63.66	21-Jun	7-Sep	400.00	4.0
MAGNETAR FINANCIAL	247	JNC	B	100,000	63.02	20-Jun	22-Aug	2,000.00	2.0
BALYASNY ASSET MGMT	044	JNS	B	30,000	26.81	27-Jul	30-Aug	1,500.00	5.0
PILOT ROCK	028	KFT	B	191,000	33.69	n/a	n/a	7,640.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	53.45	14-Jun	27-Jul	400.00	4.0
ß BUCK CAPITAL MGMT		LAMR	B	20,000	49.92	n/a	n/a	non-brg	5.0
EATON VANCE MGMT	039	LEN	S	100,000	25.70	n/a	n/a	4,000.00	4.0
ZOLIDIS	011	LVS	S	70	108.70	n/a	n/a	0.00	0.0
BELMONT GLOBAL ADV	248	MCO	B	13,000	45.15	n/a	n/a	650.00	5.0
CHILTON CAPITAL MGMT.	036	MET	S	73,332	63.60	n/a	n/a	2,933.28	4.0
JENNISON	032	MRO	B	90,000	53.12	n/a	n/a	3,600.00	4.0
MAGUIRE	090	MZZ	B	5,000	56.31	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		M	B	10,000	29.59	13-Jul	7-Sep	non-brg	5.0
ß BUCK CAPITAL MGMT		M	B	20,000	29.74	13-Jul	7-Sep	non-brg	5.0
LEDDY	035	NEXC	B	2,000	6.40	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORTRESS CAPITAL	040	NM	B	10,000	12.69	n/a	n/a	200.00	2.0
ARTISAN PARTNERS LP	031	NT	S	267,700	17.01	n/a	22-Mar	13,385.00	5.0
CAPITAL GROWTH MGMT.	241	NUE	B	40,000	53.95	n/a	n/a	2,000.00	5.0
LEDDY	035	ODP	C	2,000	18.62	n/a	27-Jul	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	PCH	B	50,000	41.17	27-Jul	20-Aug	2,500.00	5.0
ß BUCK CAPITAL MGMT		PERY	S	10,000	27.51	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PERY	S	10,000	27.51	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	PSS	B	75,000	21.21	n/a	n/a	3,000.00	4.0
ß BUCK CAPITAL MGMT		PSS	B	10,000	21.26	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PSS	B	15,000	21.29	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		PSS	B	70,000	21.06	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		RTH	C	900	97.38	n/a	n/a	non-brg	1.0
EPOCH INV MGMT	030	SAPE	B	82,100	6.03	n/a	n/a	3,284.00	4.0
MKT MAKER	099	SAPE	B	59	6.03	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SCSS	B	10,000	17.42	n/a	n/a	non-brg	5.0
ZOLIDIS	011	SDS	B	400	55.18	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	SEE	SS	20,000	25.04	n/a	n/a	1,000.00	5.0
PRINCIPLE CAPITAL	040	SHFL	B	80,000	13.98	n/a	n/a	2,400.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGUIRE	090	SKF	B	3,000	86.10	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	SKS	B	25,000	15.83	n/a	n/a	1,250.00	5.0
FRIESS MGMT	042	SKS	S	386,400	15.46	n/a	n/a	17,388.00	4.5
BUCK CAPITAL MGMT	001	SKX	B	20,000	18.88	n/a	13-Mar	800.00	4.0
EMP ERROR	099	SMBL	S	100	11.08	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	SMSI	B	15,000	15.95	n/a	n/a	750.00	5.0
TRELLUS PARTNERS LP	028	STST	B	22,000	17.55	n/a	n/a	1,100.00	5.0
HOLLIS CAPITAL	033	SWN	B	3,000	38.89	n/a	4-Sep	150.00	5.0
B BUCK CAPITAL MGMT		TRLG	S	30,000	15.81	n/a	n/a	non-brg	4.0
CAMBIAR CAP	046	TWB	S	45,840	27.63	23-Aug	23-Aug	1,833.60	4.0
CAMBIAR CAP	046	TWB	S	80	27.63	23-Aug	23-Aug	3.20	4.0
MAGNETAR FINANCIAL	247	TXU	B	500,000	67.87	n/a	n/a	10,000.00	2.0
BALYASNY ASSET MGMT	044	URBN	B	15,000	21.80	31-Jul	10-Aug	750.00	5.0
BARON ASSET MGMT*	012	URBN	B	37,800	22.37	31-Jul	10-Aug	1,890.00	5.0
B BUCK CAPITAL MGMT		URBN	B	10,000	21.47	31-Jul	10-Aug	non-brg	5.0
VISIUM/BALY HOWARD	038	URBN	S	10,000	22.48	31-Jul	10-Aug	500.00	5.0
BALYASNY ASSET MGMT	044	WDR	B	20,000	24.50	13-Jul	22-Aug	1,000.00	5.0
B BUCK CAPITAL MGMT		WRNC	B	10,000	33.04	18-Jul	29-Aug	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	WYNN	S	50	131.10	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	YUM	B	45,800	31.81	n/a	24-Apr	1,832.00	4.0
TOTAL (Trade Date):							149,429.76		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/10	POST ROAD CAP	068	AEO	B	2,800	23.28	10-Jul	7-Sep	112.00 4.0
AO,CRT	09/10	POST ROAD CAP	068	AEO	B	2,800	23.28	10-Jul	7-Sep	84.00 3.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL	038	BHP	SS	50,000	63.12	n/a	n/a	2000.00 4.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL	038	BHP	SS	50,000	63.12	n/a	n/a	2500.00 5.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL	038	FIS	SS	25,000	44.78	n/a	n/a	1000.00 4.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL	038	FIS	SS	25,000	44.78	n/a	n/a	1250.00 5.0
AO,CRT	09/10	POST ROAD CAP	068	FMX	B	1,800	34.67	n/a	n/a	54.00 3.0
AO,CXL	09/10	POST ROAD CAP	068	FMX	B	1,800	34.67	n/a	n/a	72.00 4.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL	038	GRP	SS	75,000	51.88	n/a	n/a	3000.00 4.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL	038	GRP	SS	75,000	51.88	n/a	n/a	3750.00 5.0
AO,CXL	09/10	SUN AMERICA ASSET MGMT	030	NLY	B	36,000	15.24	n/a	n/a	1800.00 5.0
AO,CRT	09/10	SUN AMERICA ASSET MGMT	030	NLY	B	36,000	15.24	n/a	n/a	1800.00 5.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL	038	RTI	SS	45,751	65.70	n/a	n/a	2287.55 5.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL	038	RTI	SS	45,751	65.70	n/a	n/a	1830.04 4.0
AO,CRT	09/10	HIGHBRIDGE CAPITAL	038	RTP	SS	23,900	289.79	n/a	n/a	956.00 4.0
AO,CXL	09/10	HIGHBRIDGE CAPITAL	038	RTP	SS	23,900	289.79	n/a	n/a	1195.00 5.0
AO,	09/06	OTC ERROR	099	SMBL	B	30,000	10.54	n/a	n/a	0.00 0.0
AO,	09/06	LEDDY	035	SMBL	B	1,000	10.85	n/a	n/a	0.00 0.0
AO,CRT	09/06	EMP ERROR	099	SMBL	B	1,100	10.26	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/06	MCCARTAN	028	SMBL	B	100	9.89	n/a	n/a	0.00	0.0
AO,CXL	09/06	LEDDY	035	SMBL	B	1,000	10.62	n/a	n/a	0.00	0.0
AO,	09/06	EMP ERROR	099	SMBL	S	1,000	10.85	n/a	n/a	0.00	0.0
AO,	09/06	OTC ERROR	099	SMBL	S	30,000	10.53	n/a	n/a	0.00	0.0
AO,CRT	09/06	BELMONT GLOBAL ADV	248	SMBL	B	30,000	10.53	n/a	n/a	1500.00	5.0
AO,CXL	09/06	BELMONT GLOBAL ADV	248	SMBL	B	30,000	10.54	n/a	n/a	1500.00	5.0
AO,CXL	09/10	POST ROAD CAP	068	YUM	B	1,200	31.47	n/a	24-Apr	48.00	4.0
AO,CRT	09/10	POST ROAD CAP	068	YUM	B	1,200	31.47	n/a	24-Apr	36.00	3.0

TOTAL (AO, CXL, CRT) :	-2,254.51
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TOTAL (Trade Date) :	149,429.76
TOTAL (AO, CXL, CRT) :	-2,254.51

TOTAL (RUN DATE) / NFS:	147,175.25
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MRI Securities with Trade Activity on 11-Sep.

BBW

MRI Securities without Trade Activity on 11-Sep.

NONE

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

T-Date = 25%

YTD = 16%

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