



Daily Compliance Activity Report

Trade Date: 08/23/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	ACF	S	57,633	18.22	n/a	n/a	1,728.99	3.0
WHITE PINE CAPITAL	030	ACIW	S	800	25.33	n/a	n/a	40.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	50,000	24.18	10-Jul	21-Aug	2,000.00	4.0
LEDDY	035	AER	S	100	25.72	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	AMG	B	20,000	111.93	25-Jul	22-Aug	1,000.00	5.0
BALYASNY ASSET MGMT	044	ANF	S	12,300	77.11	23-Aug	23-Aug	615.00	5.0
COUGAR TRADING	044	ANF	SS	15,000	77.31	23-Aug	23-Aug	750.00	5.0
COUGAR TRADING	044	ANN	B	15,000	29.95	6-Aug	16-Aug	750.00	5.0
DENVER INST. ADV	046	ARO	B	250,000	23.26	n/a	15-Aug	10,000.00	4.0
B BUCK CAPITAL MGMT		AVCI	SS	20,000	9.12	n/a	n/a	non-brg	4.0
BARROW HANLEY MEWHINNEY	031	AVY	B	172,900	59.82	13-Aug	21-Aug	6,916.00	4.0
MORGAN BANK /JPM	012	AXP	B	130	60.51	n/a	n/a	3.90	3.0
MATRIX ASSET ADV.	036	BAC	S	10,000	51.70	20-Apr	16-Aug	400.00	4.0
WHITE PINE CAPITAL	030	BIOS	S	5,000	5.61	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	BJ	SS	30,000	34.28	10-Apr	27-Jul	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		BSC	S	25,800	116.17	10-Aug	16-Aug	non-brg	5.0
NATIONAL BK OF CAN	031	BSC	S	10,000	116.53	10-Aug	16-Aug	300.00	3.0
Õ Glenn Redemann		CAT	B	4	0.57	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CAT	B	4	0.88	n/a	n/a	0.00	0.0
BARR	096	CCJ	S	300	38.60	n/a	n/a	0.00	0.0
ZOLIDIS	011	CHS	SS	1,000	18.01	10-Aug	10-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	40,000	44.35	n/a	1-Aug	1,600.00	4.0
COUGAR TRADING	044	COH	B	5,000	44.57	n/a	1-Aug	250.00	5.0
GOLD SACHS SPECIAL SIT	030	COH	SS	65,000	43.90	n/a	1-Aug	3,250.00	5.0
MANNING & NAPIER	034	CVC	S	293,800	33.29	8-Aug	16-Aug	11,752.00	4.0
⌘ BUCK CAPITAL MGMT		C	B	111,900	48.34	n/a	16-Aug	non-brg	5.0
⌘ BUCK CAPITAL MGMT		DECK	S	10,000	92.51	n/a	n/a	non-brg	5.0
LUCHANSKY2	036	DFZ	S	500	9.93	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	DV	B	52,740	36.06	n/a	n/a	2,373.30	4.5
HUNTER GLOBAL INVESTOR	067	EEM	SS	235,000	127.44	n/a	n/a	7,050.00	3.0
⌘ BUCK CAPITAL MGMT		EGLT	C	12,800	12.65	n/a	n/a	non-brg	5.0
NATIONAL BK OF CAN	031	ETFC	S	150,000	15.33	n/a	n/a	4,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GOLD SACHS SPECIAL SIT	030	ETH	SS	75,000	33.08	n/a	n/a	3,750.00	5.0
MERRILL ASSET	032	FBN	S	51,700	11.96	n/a	n/a	2,326.50	4.5
TRIBECA/DOUG	040	FITB	B	69,999	36.98	n/a	n/a	2,799.96	4.0
ROARING BLUE LION MGMT	012	FRED	B	21,400	10.70	n/a	10-Aug	856.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	B	15,000	7.66	n/a	9-Aug	450.00	3.0
BUCK CAPITAL MGMT	001	GIL	B	30,000	32.82	21-Jun	2-Aug	1,200.00	4.0
PATTEN & PATTEN	067	GSK	S	300	51.29	n/a	n/a	15.00	5.0
⌘ BUCK CAPITAL MGMT		GS	S	17,200	177.67	15-Jun	16-Aug	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GYMB	S	20,000	43.09	10-Aug	23-Aug	non-brg	5.0
WHITE PINE CAPITAL	030	HTCH	S	600	22.11	n/a	n/a	30.00	5.0
HIGHBRIDGE CAPITAL	038	ILF	B	6,000	199.07	n/a	n/a	300.00	5.0
KORMAN	003	IMBUD	S	100	1.50	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	IMB	S	36,387	24.42	n/a	n/a	1,091.61	3.0
CATAPULT	040	IVZ	S	3,500	24.60	8-Aug	22-Aug	175.00	5.0
DSG CAPITAL	225	IVZ	B	15,000	24.44	8-Aug	22-Aug	750.00	5.0
⌘ BUCK CAPITAL MGMT		IWM	SS	750,000	78.75	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JCP	B	30,000	65.05	21-Jun	16-Aug	1,200.00	4.0
TRELLUS PARTNERS LP	028	JCP	B	20,000	64.60	21-Jun	16-Aug	1,000.00	5.0
BUCK	015	JCP	C	400	65.21	21-Jun	16-Aug	0.00	0.0
SAXON WOODS ADVISORS	038	JNJ	B	215,000	62.23	n/a	22-Apr	8,600.00	4.0
BUCK CAPITAL MGMT	001	JPM	SS	313,800	45.59	n/a	16-Aug	12,552.00	4.0
BUCK CAPITAL MGMT		JPM	SS	239,400	45.61	n/a	16-Aug	non-brg	5.0
SANDLER O'NEILL ASSET	031	JPM	B	25,000	45.70	n/a	16-Aug	1,250.00	5.0
XYLEM GLOBAL	091	KMB	B	11,107	69.58	n/a	n/a	555.35	5.0
BUCK CAPITAL MGMT	001	KSS	B	25,000	59.94	14-Jun	27-Jul	1,000.00	4.0
BUCK CAPITAL MGMT		KSS	B	30,000	58.61	14-Jun	27-Jul	non-brg	5.0
THE BOSTON COMPANY	214	KSS	B	65,270	58.33	14-Jun	27-Jul	3,263.50	5.0
BUCK CAPITAL MGMT		LEH	S	47,400	58.11	12-Jun	16-Aug	non-brg	5.0
KORMAN	003	LESUK	S	100	2.00	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	LIZ	SS	10,000	34.62	n/a	6-Aug	400.00	4.0
LUCHANSKY2	036	LNCR	S	100	36.37	n/a	13-Aug	0.00	0.0
XYLEM GLOBAL	091	LPX	B	25,833	18.78	26-Jul	20-Aug	1,291.65	5.0
GLG PARTNERS	034	LTD	SS	50,000	23.45	16-May	17-Aug	2,500.00	5.0
BUCK CAPITAL MGMT		MDTL	SS	25,000	10.61	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	MDY	B	200	156.44	n/a	n/a	0.00	0.0
BARR	096	MENT	B	3,800	12.71	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MER	S	33,200	75.92	18-Jul	16-Aug	non-brg	5.0
MATRIX ASSET ADV.	036	MMM	S	2,900	88.80	16-Jul	21-Aug	116.00	4.0
PATTEN & PATTEN	067	MMM	S	50	88.33	16-Jul	21-Aug	2.50	5.0
Õ Glenn Redemann		MM	B	3	0.34	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MM	B	3	0.64	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MM	SS	3	1.46	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MM	SS	3	1.62	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MSMSBMVR	C	214,300	182.53	n/a	n/a	non-brg	18.3
BUCK CAPITAL MGMT	001	M	B	40,000	31.47	13-Jul	16-Aug	1,600.00	4.0
COUGAR TRADING	044	M	B	5,000	31.76	13-Jul	16-Aug	250.00	5.0
TRIBECA/DOUG	040	NCC	B	20,000	27.96	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	NVS	S	100	52.44	n/a	n/a	5.00	5.0
COUGAR TRADING	044	NWY	B	15,000	6.62	25-May	10-Aug	750.00	5.0
WHITE PINE CAPITAL	030	OPTM	S	2,000	8.00	n/a	n/a	100.00	5.0
TRELLUS PARTNERS LP	028	OVTI	S	20,000	19.15	n/a	n/a	1,000.00	5.0
Õ Glenn Redemann		PCP	B	2	0.95	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Glenn Redemann		PCP	B	2	1.26	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		PCP	SS	2	1.80	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		PCP	SS	2	2.01	n/a	n/a	0.00	0.0
	BARR	096	PDFS	B	800	9.37	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		PERY	S	20,000	28.24	n/a	n/a	non-brg	5.0
ß	BUCK CAPITAL MGMT		PERY	S	5,000	28.89	n/a	n/a	non-brg	1.0
	LEDDY	035	PFE	S	700	24.55	n/a	31-Mar	0.00	0.0
	CHARTER OAK	033	PRXI	B	2,415	15.25	n/a	n/a	120.75	5.0
ß	BUCK CAPITAL MGMT		PSUN	S	30,000	14.01	n/a	15-Aug	non-brg	5.0
	ASCEND PARTNERS	033	PVH	S	20,000	56.26	13-Aug	23-Aug	1,000.00	5.0
	HIGHBRIDGE CAPITAL	038	RBC	SS	17,600	51.03	n/a	n/a	880.00	5.0
	BUCK CAPITAL MGMT	001	RL	B	45,500	79.78	9-Aug	9-Aug	1,820.00	4.0
	CHILTON CAPITAL MGMT.	036	RL	B	10,000	79.67	9-Aug	9-Aug	400.00	4.0
	MORGAN LEWIS/MLH	046	RSH	B	25,000	24.63	n/a	n/a	1,250.00	5.0
ß	BUCK CAPITAL MGMT		RTH	C	6,300	99.05	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		S6RETL	C	25,000	253.42	n/a	n/a	non-brg	25.3
	WOOSTER CAPITAL	035	SHLD	B	10,000	141.45	n/a	n/a	500.00	5.0
	BARR	096	SNPS	S	1,500	26.48	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	SPLS	SS	15,000	23.15	n/a	27-Jul	900.00	6.0
BUCK CAPITAL MGMT	001	SSI	S	60,000	16.70	3-Aug	15-Aug	2,400.00	4.0
EGS ASSOCIATES LP	091	SSI	B	8,000	16.61	3-Aug	15-Aug	480.00	6.0
WHITE PINE CAPITAL	030	STKL	S	1,500	12.55	n/a	n/a	75.00	5.0
LEDDY	035	SUNW	S	1,500	4.90	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	TCB	B	13,074	25.87	n/a	n/a	392.22	3.0
BUCK	015	TGT	S	500	63.91	n/a	27-Jul	0.00	0.0
ZOLIDIS	011	UA	C	200	67.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	100,000	22.39	31-Jul	10-Aug	non-brg	5.0
CUMBERLAND	038	VFC	B	10,000	82.42	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	VMC	B	23,000	89.46	n/a	n/a	1,150.00	5.0
BUCK	015	WFC	B	1,000	36.91	n/a	n/a	0.00	0.0
MAGUIRE	039	WRNC	B	200	34.00	18-Jul	8-Aug	0.00	0.0
HUNTER GLOBAL INVESTOR	067	XLB	SS	77,500	38.56	n/a	n/a	3,875.00	5.0
B BUCK CAPITAL MGMT		XLF	SS	400,000	34.40	n/a	n/a	non-brg	2.0
Ö Glenn Redemann		YHOO	B	7	0.29	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ö Glenn Redemann		YHOO	B	7	0.53	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	ZQK	S	90,970	13.15	9-Mar	27-Jun	2,729.10	3.0
TOTAL (Trade Date) :								127,081.33	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	08/22	MORGAN LEWIS/MLH	046	CMA	SS	10,000	58.18	n/a	n/a	500.00	5.0
AO,CXL	08/22	MORGENS WATERFALL	040	CMA	SS	10,000	58.18	n/a	n/a	500.00	5.0
AO,CXL	08/21	BUCK CAPITAL MGMT	001	COH	B	30,000	43.06	n/a	1-Aug	1200.00	4.0
AO,	08/22	MANNING & NAPIER	034	CVC	S	448,300	33.30	8-Aug	16-Aug	17932.00	4.0
AO,	08/22	ROTHSCHILD ASSET	040	DV	B	28,340	36.27	n/a	n/a	1275.30	4.5
AO,	08/22	PILOT ADV	038	RCL	B	25,000	39.11	27-Jul	27-Jul	1000.00	4.0
AO,	08/22	ROBX	035	SONC	S	75,000	22.74	n/a	n/a	3000.00	4.0

TOTAL (AO, CXL, CRT) :	22,007.30
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TOTAL (Trade Date):	127,081.33
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TOTAL (AO, CXL, CRT):	22,007.30
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TOTAL (RUN DATE) / NFS:	149,088.63
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MRI Securities with Trade Activity on 23-Aug.

ANF

MRI Securities without Trade Activity on 23-Aug.

TWB

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

T-Date = 21%

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