



Daily Compliance Activity Report

Trade Date: 12/26/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
XYLEM GLOBAL	091	ABH	B	5,000	22.59	n/a	21-Sep	250.00	5.0
DSG CAPITAL	225	ABK	B	2,000	27.20	n/a	n/a	100.00	5.0
LATEFF MGMT	040	ADM	S	1,250	45.59	17-Dec	17-Dec	445.00	36.0
ROYCE TRADING	216	AEO	B	40,000	20.68	9-Nov	7-Dec	2,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	60,000	82.14	2-Oct	7-Dec	2,400.00	4.0
COUGAR TRADING	044	ANF	SS	10,000	82.55	2-Oct	7-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	APC	S	31,200	66.46	4-Dec	4-Dec	1,248.00	4.0
BULL PATH CAPITAL	044	ARO	S	30,000	27.39	29-Nov	7-Dec	1,500.00	5.0
MILLER	N23	ATAR	S	2	1.49	n/a	n/a	0.00	0.0
CARLYLE BLUE WAVE PR MG	224	AW	SS	10,000	10.95	n/a	n/a	500.00	5.0
TROOB CAPITAL	067	BBI	S	25,000	4.11	n/a	n/a	750.00	3.0
MILLER	N23	BLC	S	10	17.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BOBE	SS	20,000	26.77	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BOBE	SS	5,000	27.13	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BONT	S	10,000	10.69	9-Nov	7-Dec	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY2	036	BONT	S	500	10.93	9-Nov	7-Dec	0.00	0.0
MKT MAKER	099	BONT	S	100	11.05	9-Nov	7-Dec	0.00	0.0
MAGUIRE	039	BSCAO	S	20	0.01	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CBRL	SS	25,000	32.66	n/a	n/a	non-brg	4.0
MKT MAKER	099	CENT	S	100	5.90	n/a	28-Nov	0.00	0.0
ß BUCK CAPITAL MGMT		CHIC	SS	15,000	15.36	n/a	n/a	non-brg	2.5
MKT MAKER	099	CMCSA	S	100	18.35	26-Oct	5-Dec	0.00	0.0
MKT MAKER	099	CMCSK	S	100	18.26	n/a	n/a	0.00	0.0
MONARCH CAPITAL	041	CNW	B	5,000	43.29	n/a	n/a	250.00	5.0
Õ Doug Rogers		CPNQ	B	3600	1.19	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	8	114.00	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	8	114.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CTRN	S	5,000	16.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CTRN	S	5,000	16.65	n/a	n/a	non-brg	1.0
MKT MAKER	099	CTRN	S	100	16.20	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CTSH	SS	110,000	35.68	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DBRN	S	40,000	13.27	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	DDS	SS	10,000	19.25	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLER	N23	DELL	S	15	24.95	n/a	n/a	0.00	0.0
NOLAN	067	DUG	S	25	35.59	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	EFA	B	12,600	78.58	n/a	n/a	630.00	5.0
BUCK CAPITAL MGMT	001	EL	SS	20,000	44.11	25-Oct	17-Dec	800.00	4.0
MKT MAKER	099	EPAX	B	28	17.76	n/a	n/a	0.00	0.0
ROYCE TRADING	216	FII	S	25,000	42.07	n/a	24-Dec	1,250.00	5.0
TRUST CO/COWEN/CALF.	040	FLEX	S	291,700	12.15	n/a	n/a	11,668.00	4.0
ROYCE TRADING	216	FOSL	S	85,000	43.55	13-Nov	13-Nov	4,250.00	5.0
BUCK CAPITAL MGMT	001	GIL	S	15,000	40.47	5-Nov	11-Dec	600.00	4.0
BUCK CAPITAL MGMT	001	GM	SS	30,000	26.28	n/a	4-Dec	1,200.00	4.0
SINCLAIR	031	GPYDF	S	10	13.00	n/a	n/a	0.00	0.0
KAICHER	064	GVSS	S	400	0.88	n/a	n/a	0.00	0.0
ROYCE TRADING	216	HEIA	S	20,000	42.01	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		HSTX	S	12,119	18.28	n/a	n/a	non-brg	1.0
SAGE ASSET MGMT	012	IBN	B	123,000	62.83	n/a	n/a	6,150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Doug Rogers		ICA	S	115	27.36	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		INFY	SS	110,000	46.11	n/a	n/a	non-brg	4.0
NOLAN	067	IR	B	20	47.03	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		IVZ	S	80,100	31.51	20-Dec	24-Dec	non-brg	4.0
DALTON GREINER	012	IVZ	B	3,100	31.61	20-Dec	24-Dec	155.00	5.0
ROARING BLUE LION MGMT	012	IVZ	S	13,000	31.83	20-Dec	24-Dec	520.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	51.36	28-Nov	30-Nov	400.00	4.0
COUGAR TRADING	044	JCG	B	10,000	51.72	28-Nov	30-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	28,600	36.66	20-Nov	7-Dec	1,144.00	4.0
BUCK CAPITAL MGMT	001	KMX	SS	20,000	19.01	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	45.37	9-Nov	7-Dec	400.00	4.0
COUGAR TRADING	044	KSS	SS	15,000	45.53	9-Nov	7-Dec	750.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	15,000	18.05	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	LTD	SS	15,000	18.62	n/a	7-Dec	600.00	4.0
ß BUCK CAPITAL MGMT		LTD	SS	10,000	18.45	n/a	7-Dec	non-brg	4.0
BUCK CAPITAL MGMT	001	LTM	S	15,000	50.04	n/a	n/a	600.00	4.0
ß BUCK CAPITAL MGMT		MDTL	SS	5,000	15.03	n/a	n/a	non-brg	1.0
Õ Doug Rogers		MIR	S	7	39.07	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NICHOLAS ADVISORS	034	MS	S	17,500	54.50	20-Dec	20-Dec	875.00	5.0
BUCK CAPITAL MGMT	001	M	B	10,000	26.00	9-Nov	7-Dec	400.00	4.0
STELLIAM INV ADV	040	M	B	10,000	25.98	9-Nov	7-Dec	500.00	5.0
STRATTON	N21	NETM	B	1,000	6.10	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	OPWV	S	7,000	2.82	n/a	n/a	140.00	2.0
BUCK CAPITAL MGMT	001	OXM	SS	22,300	26.37	n/a	n/a	892.00	4.0
BUCK CAPITAL MGMT	001	PAG	S	25,000	18.00	n/a	12-Dec	1,000.00	4.0
ß BUCK CAPITAL MGMT		PAG	S	58,868	18.07	n/a	12-Dec	non-brg	1.0
HIGHBRIDGE CAPITAL	038	PCL	B	8,000	47.77	n/a	23-Oct	400.00	5.0
STRAUSS ASSET MGMT	040	PETM	S	30,000	24.72	n/a	n/a	1,500.00	5.0
ß BUCK CAPITAL MGMT		PFCB	SS	30,000	23.17	n/a	24-Apr	non-brg	2.5
ß BUCK CAPITAL MGMT		PLCE	S	15,000	27.01	3-Dec	7-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		PNRA	SS	20,000	36.91	n/a	n/a	non-brg	4.0
KNOTT PARTNERS	044	PRX	S	15,000	23.91	28-Sep	21-Dec	600.00	4.0
BUCK CAPITAL MGMT	001	PTT	S	5,000	13.95	n/a	n/a	200.00	4.0
ROYCE TRADING	216	RLI	S	20,000	57.46	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	15,000	62.02	8-Nov	8-Nov	600.00	4.0
CRAMER ROSENTHAL/SCOTT	012	ROC	B	6,400	32.97	n/a	n/a	256.00	4.0
Ⓐ BUCK CAPITAL MGMT		RSTO	S	17,799	6.53	n/a	n/a	non-brg	4.0
MKT MAKER	099	SBUX	S	100	20.96	n/a	24-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	S	20,000	21.38	n/a	n/a	800.00	4.0
Ⓐ BUCK CAPITAL MGMT		SONC	SS	10,000	22.69	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		SPY	C	30,000	149.46	n/a	n/a	non-brg	1.0
OGORMAN	046	SSI	S	300	14.90	21-Nov	7-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	SWN	S	38,500	55.84	15-Nov	20-Dec	1,540.00	4.0
BARR	096	SYNP	B	1,700	5.38	n/a	n/a	0.00	0.0
ROYCE TRADING	216	TDW	B	2,400	55.83	n/a	n/a	120.00	5.0
STRATTON	N21	TGTDL	S	6	2.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TIF	SS	20,000	46.23	18-Oct	3-Dec	800.00	4.0
NUMERIC	060	TOL	C	105,800	21.02	n/a	n/a	3,174.00	3.0
Ⓐ BUCK CAPITAL MGMT		TRID	C	25,000	6.43	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TRLG	S	5,000	21.30	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		TRLG	S	5,000	21.35	n/a	n/a	non-brg	4.0
U.S.TRUST COMPANY	012	TYC	B	60,000	40.66	9-Nov	15-Nov	2,700.01	4.5
BUCK CAPITAL MGMT		URBN	S	20,000	27.50	9-Nov	7-Dec	non-brg	4.0
MERRILL ASSET	032	VQ	S	12,700	19.70	n/a	n/a	571.50	4.5
BUCK CAPITAL MGMT		WFMI	SS	10,000	41.67	n/a	n/a	non-brg	2.5
ROYCE TRADING	216	WON	S	47,500	2.08	n/a	n/a	1,425.00	3.0
BUCK CAPITAL MGMT		WRNC	S	10,000	36.59	6-Nov	12-Nov	non-brg	4.0
BUCK CAPITAL MGMT		ZUMZ	S	15,000	26.08	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								63,853.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/21	US BANCORP	030	ACN	B	294,421	37.93	n/a	n/a	14721.05 5.0
AO,	12/21	US BANCORP	030	ACN	B	294,421	37.93	n/a	n/a	14721.05 5.0
AO,	12/24	ROYCE TRADING	216	BRC	S	7,500	36.25	n/a	n/a	375.00 5.0
AO,	12/21	GARDNER LEWIS ASSET MGMT	028	CBS	SS	29,300	26.29	n/a	n/a	1465.00 5.0
AO,	12/21	GARDNER LEWIS ASSET MGMT	028	EDS	SS	36,400	21.11	n/a	n/a	1820.00 5.0
AO,	12/24	PILOT ADV	038	M	B	45,000	27.23	9-Nov	7-Dec	1800.00 4.0
AO,	12/21	GARDNER LEWIS ASSET MGMT	028	MAS	SS	35,100	21.92	n/a	n/a	1755.00 5.0

TOTAL (AO, CXL, CRT) :	7,215.00
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TOTAL (Trade Date):	63,853.51
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TOTAL (AO, CXL, CRT):	7,215.00
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TOTAL (RUN DATE) / NFS:	71,068.51
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MRI Securities with Trade Activity on 26-Dec. NONE

MRI Securities without Trade Activity on 26-Dec.

ETN

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

T-Date = 42%

YTD = 21%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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