



Daily Compliance Activity Report

Trade Date: 09/06/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	ACI	B	150,000	31.69	n/a	n/a	7,500.00	5.0
LISTED ERR	099	ACI	B	3,400	31.88	n/a	n/a	0.00	0.0
LISTED ERR	099	ACI	S	3,400	31.89	n/a	n/a	0.00	0.0
LISTED ERR	099	ACO	B	500	32.70	n/a	n/a	0.00	0.0
LISTED ERR	099	ACO	S	500	32.63	n/a	n/a	0.00	0.0
CATAPULT	040	AEO	SS	14,200	24.84	10-Jul	31-Aug	568.00	4.0
COUGAR TRADING	044	ANF	B	3,500	78.91	23-Aug	31-Aug	175.00	5.0
COUGAR TRADING	044	ANF	SS	18,500	78.76	23-Aug	31-Aug	925.00	5.0
J L F ASSET MGMT	039	ANN	B	113,600	32.10	6-Aug	31-Aug	4,544.00	4.0
SAXON WOODS ADVISORS	038	APD	B	13,000	91.75	n/a	4-Sep	650.00	5.0
J L F ASSET MGMT	039	ARO	B	117,900	20.12	n/a	31-Aug	4,716.00	4.0
CATAPULT	040	AVP	SS	10,500	33.11	2-May	6-Sep	420.00	4.0
DIAMONDBACK CAP MGMT	232	BIG	SS	25,000	28.92	n/a	4-Sep	1,250.00	5.0
CATAPULT	040	BKC	B	13,000	23.79	n/a	24-Apr	520.00	4.0
WHITE PINE CAPITAL	030	BONT	B	550	28.35	3-Aug	31-Aug	27.50	5.0
OPTIMUM INV ADV	030	BVF	B	28,000	17.34	n/a	n/a	1,120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OPTIMUM INV ADV	030	BWA	B	3,000	83.29	7-Sep	27-Jul	120.00	4.0
BUCK CAPITAL MGMT	001	BWS	S	68,547	21.96	n/a	n/a	2,741.88	4.0
ß BUCK CAPITAL MGMT		CACH	S	15,000	17.01	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CACH	S	20,000	17.05	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CACH	S	20,000	17.13	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CACH	S	4,186	17.10	n/a	n/a	non-brg	1.0
Õ Neil Stratton		CFIS	S	99	25.60	n/a	n/a	0.00	0.0
DEMARTINI	065	CROX	B	500	56.92	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CTRN	B	20,000	22.38	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		DLTR	S	150,000	41.98	10-Aug	4-Sep	non-brg	5.0
TROUBH PART	067	DPHIQ	S	100,000	0.87	n/a	n/a	5,000.00	5.0
WALKER SMITH	031	DSW	B	25,000	29.01	5-Sep	5-Sep	1,250.00	5.0
Õ Glenn Redemann		DVN	B	5	0.53	18-Jul	4-Sep	0.00	0.0
Õ Glenn Redemann		DVN	B	5	0.59	18-Jul	4-Sep	0.00	0.0
LEDDY	035	EVST	S	276	32.85	n/a	n/a	0.00	0.0
COOKBIELER	033	FDO	B	416,725	28.25	9-Aug	6-Sep	16,669.00	4.0
LEVIN CAPITAL STRATEGIES	012	FDO	SS	15,000	27.60	9-Aug	6-Sep	600.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	50.66	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIII	B	7,804	17.41	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GPS	S	150,000	18.50	n/a	31-Aug	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GPS	S	220,000	18.49	n/a	31-Aug	non-brg	5.0
BENNETT LAWRENCE	045	HWAY	B	15,250	50.53	n/a	n/a	686.25	4.5
⌘ BUCK CAPITAL MGMT		IJR	C	56,900	68.85	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		IJS	C	3,900	75.22	n/a	n/a	non-brg	2.0
PHILADELPHIA FINANCIAL	033	IVZ	B	29,995	24.52	8-Aug	22-Aug	1,499.75	5.0
TYEE/TYGH	035	IVZ	B	85,000	24.41	8-Aug	22-Aug	3,400.00	4.0
⌘ BUCK CAPITAL MGMT		IWM	C	18,900	78.94	n/a	n/a	non-brg	2.0
KORMAN	003	JADE	S	1,000	8.27	n/a	n/a	0.00	0.0
JENNISON	032	JBLU	B	772,300	9.62	n/a	n/a	30,892.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	65,000	44.94	22-Jun	6-Sep	2,600.00	4.0
COUGAR TRADING	044	JCG	B	5,000	44.15	22-Jun	6-Sep	250.00	5.0
NEEDHAM CAP	067	JCG	B	5,000	44.39	22-Jun	6-Sep	250.00	5.0
KERN	050	JCG	B	250	45.80	22-Jun	6-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		JCP	B	20,000	66.04	21-Jun	31-Aug	non-brg	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	146,232	30.57	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	15,000	30.47	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		JOSB	S	23,768	30.42	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JOSB	S	90,000	30.32	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	95,000	30.32	n/a	n/a	non-brg	5.0
CATAPULT	040	JWN	B	12,700	48.24	12-Jul	31-Aug	508.00	4.0
COUGAR TRADING	044	JWN	B	5,000	48.61	12-Jul	31-Aug	250.00	5.0
COUGAR TRADING	044	JWN	SS	5,000	47.69	12-Jul	31-Aug	250.00	5.0
MAGUIRE	039	KEGS	B	300	15.13	23-Jul	4-Sep	0.00	0.0
CROWLEY	061	KEGS	B	1,500	15.09	23-Jul	4-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	54.65	14-Jun	27-Jul	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	B	20,000	54.77	14-Jun	27-Jul	non-brg	1.0
LEDDY	035	LULU	S	300	35.42	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	068	LVLTL	B	5,200	4.99	6-Sep	6-Sep	208.00	4.0
CASTLEROCK	040	LVLTL	SS	350,000	4.92	6-Sep	6-Sep	14,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	LVLTL	S	50,000	5.01	6-Sep	6-Sep	1,500.00	3.0
RIVER RUN MGMT	031	LVLTL	SS	250,000	5.01	6-Sep	6-Sep	7,500.00	3.0
⌘ BUCK CAPITAL MGMT		MDTL	SS	5,000	10.03	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		MDY	C	38,000	158.03	n/a	n/a	non-brg	2.0
STRONG/MARK GRONET	030	MRVC	B	75,000	2.36	n/a	n/a	2,250.00	3.0
⌘ BUCK CAPITAL MGMT		MSMSBMVR	C	12,500	181.23	n/a	n/a	non-brg	18.1
⌘ BUCK CAPITAL MGMT		MVRX	C	25,000	172.52	n/a	n/a	non-brg	17.3

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Neil Stratton		MWA/B	S	100	11.00	n/a	n/a	0.00	0.0
COUGAR TRADING	044	M	S	5,000	30.40	13-Jul	31-Aug	250.00	5.0
CLOVIS CAPITAL	012	NCR	B	70,000	49.08	n/a	n/a	3,500.00	5.0
CROWLEY	061	NG	S	1,500	14.48	n/a	n/a	0.00	0.0
LEDDY	035	ODP	SS	2,000	22.47	n/a	27-Jul	0.00	0.0
CLOVIS CAPITAL	012	OMC	B	50,000	51.83	n/a	n/a	2,500.00	5.0
ß BUCK CAPITAL MGMT		PERY	S	10,000	27.89	n/a	n/a	non-brg	5.0
TRIBECA/DOUG	040	PRTR	S	25,000	12.10	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	PSUN	SS	10,000	15.22	n/a	31-Aug	500.00	5.0
ß BUCK CAPITAL MGMT		PVH	B	20,000	54.61	13-Aug	29-Aug	non-brg	5.0
BELMONT GLOBAL ADV	248	SMBL	B	30,000	10.54	n/a	n/a	1,500.00	5.0
MCCARTAN	028	SMBL	B	100	9.89	n/a	n/a	0.00	0.0
LEDDY	035	SMBL	B	1,000	10.62	n/a	n/a	0.00	0.0
EATON VANCE MGMT	039	SWY	B	50,000	31.12	n/a	n/a	1,500.00	3.0
MATTHES CAPITAL MGMT	033	TLB	SS	25,000	20.01	n/a	23-Aug	1,000.00	4.0
PRINCIPLE CAPITAL	040	TPX	B	36,200	31.13	n/a	n/a	1,086.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		TRLG	B	15,000	16.05	n/a	n/a	non-brg	5.0
Õ Neil Stratton		TWIN	B	50	51.50	n/a	n/a	0.00	0.0
ACT II PARTNERS	067	TWTC	B	30,900	21.83	4-May	6-Sep	1,545.00	5.0
Õ Neil Stratton		TYC	S	25	44.00	6-Aug	7-Aug	0.00	0.0
MADIGAN	031	UNT	B	186	48.50	n/a	4-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	B	10,000	22.22	31-Jul	10-Aug	non-brg	5.0
COUGAR TRADING	044	URBN	SS	5,000	21.89	31-Jul	10-Aug	250.00	5.0
Õ Neil Stratton		VOYT	??	500	0.35	n/a	n/a	0.00	0.0
MADIGAN	031	VZ	S	200	42.05	31-Jul	6-Sep	0.00	0.0
HIGHBRIDGE CAPITAL	038	WIN	B	25,000	14.14	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	WIN	B	30,000	14.09	n/a	n/a	1,500.00	5.0
MATRIX ASSET ADV.	036	XOM	S	10,400	88.11	n/a	n/a	416.00	4.0
TOTAL (Trade Date) :								134,237.38	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/05	DAVIDSON TRUST CO	033	APPB	S	1,000	24.80	n/a	n/a	50.00 5.0
AO,CXL	09/05	DAVIDSON TRUST CO	033	APPB	S	1,000	24.80	n/a	n/a	90.00 9.0
AO,CRT	09/05	MS PRINCIPAL STRATEGIES	040	ASBC	B	23,901	28.10	n/a	n/a	1195.05 5.0
AO,CXL	09/05	MS PRINCIPAL STRATEGIES	040	ASBC	B	23,901	28.10	n/a	n/a	1.40 0.0
AO,CXL	09/05	COUGAR TRADING	044	JWN	SS	15,000	46.46	12-Jul	31-Aug	0.00 0.0
AO,CRT	09/05	COUGAR TRADING	044	JWN	SS	15,000	46.46	12-Jul	31-Aug	750.00 5.0
AO,	09/05	SUTTONBROOK CAPITAL	044	WY	B	100,000	67.04	13-Jul	20-Aug	4000.00 4.0
TOTAL (AO, CXL, CRT) :										5,903.65

TOTAL (Trade Date):	134,237.38
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TOTAL (RUN DATE) / NFS:	140,141.03
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MRI Securities with Trade Activity on 6-Sep.

LVLT

MRI Securities without Trade Activity on 6-Sep.

NONE

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

T-Date = 11%

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