



Daily Compliance Activity Report

Trade Date: 04/09/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	AAI	B	4,150	10.73	n/a	n/a	0.00	0.0
BARR	096	AAI	B	1,200	10.82	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	49,800	9.25	n/a	n/a	1,992.00	4.0
Ö Glenn Redemann		AMAG	B	4	1.80	n/a	n/a	0.00	0.0
Ö Glenn Redemann		AMAG	B	8	0.65	n/a	n/a	0.00	0.0
Ö Glenn Redemann		AMAG	S	8	1.83	n/a	n/a	0.00	0.0
Ö Glenn Redemann		AMAG	S	8	2.64	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	AMG	S	45,800	111.94	5-Mar	28-Mar	1,832.00	4.0
MORGAN LEWIS/MLH	046	AMR	B	15,000	32.82	n/a	n/a	750.00	5.0
MAGUIRE	090	AMR	B	7,000	32.68	n/a	n/a	0.00	0.0
LUCID PARTNERS	067	AOS	B	100	38.00	21-Dec	8-Feb	5.00	5.0
WOOSTER CAPITAL	035	APC	B	50,000	44.93	27-Feb	12-Mar	2,500.00	5.0
PATTEN & PATTEN	067	APD	S	1,000	75.19	n/a	2-Mar	50.00	5.0
VISIUM/BALY HOWARD	038	ASCA	S	20,000	30.11	n/a	4-Apr	1,000.00	5.0
HOOVER INV. MGMT	033	AVZ	B	50,600	22.93	5-Mar	28-Mar	2,530.00	5.0
PATTEN & PATTEN	067	AXP	S	1,300	55.97	n/a	n/a	65.00	5.0
B BUCK CAPITAL MGMT		BONT	S	10,000	54.30	9-Mar	16-Mar	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRONET	030	BORL	S	1,000	5.35	n/a	3-Apr	0.00	0.0
PATTEN & PATTEN	067	CAG	S	1,500	24.83	n/a	n/a	75.00	5.0
PATTEN & PATTEN	067	CB	S	1,500	51.84	n/a	n/a	75.00	5.0
MAGUIRE	090	CCOI	S	2,500	24.34	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	CF	B	66,950	41.71	n/a	n/a	3,347.50	5.0
Õ Claire Mencke		CHC	S	300	19.05	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	CHS	S	120,800	25.20	27-Mar	27-Mar	4,832.00	4.0
SUNOVA CAPITAL	031	CLMS	B	140,000	23.59	12-Mar	28-Mar	7,000.00	5.0
WAGONHOUND	048	CLMS	SS	35,000	23.66	12-Mar	28-Mar	1,400.00	4.0
Õ Glenn Redemann		COGN	B	4	0.34	n/a	n/a	0.00	0.0
Õ Glenn Redemann		COGN	B	4	0.58	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	CPLP	B	5,276	26.15	n/a	n/a	263.80	5.0
NEUBERGER BERMAN	036	CRL	S	5,700	46.39	n/a	n/a	285.00	5.0
J L F ASSET MGMT	039	CWTR	S	75,000	21.62	n/a	n/a	3,000.00	4.0
BUCK CAPITAL MGMT	001	DDS	B	50,000	33.42	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	DPZ	B	29,700	33.68	23-Feb	23-Feb	1,485.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHEELER	008	DUK	B	5,000	20.76	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	DW	B	25,000	28.24	n/a	n/a	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	EEM	B	124,000	121.13	n/a	n/a	3,720.00	3.0
B BUCK CAPITAL MGMT		FDO	C	20,000	30.56	3-Nov	9-Apr	non-brg	5.0
JP MORGAN VENTURES	046	FDO	C	43,900	30.35	3-Nov	9-Apr	2,195.00	5.0
BUCK CAPITAL MGMT	001	FD	SS	50,000	46.26	26-Jan	9-Mar	2,000.00	4.0
BUCK CAPITAL MGMT	001	FD	S	302,000	45.96	26-Jan	9-Mar	12,080.00	4.0
STADIA CAPITAL	035	FD	SS	75,000	45.99	26-Jan	9-Mar	3,000.00	4.0
WAGONHOUND	048	FD	SS	2,500	46.32	26-Jan	9-Mar	100.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	SS	25,000	8.08	n/a	5-Apr	750.00	3.0
PATTEN & PATTEN	067	GD	S	1,000	78.68	n/a	n/a	50.00	5.0
MAZAMA CAPITAL MGMT.	035	GHL	B	108,975	60.84	n/a	n/a	4,359.00	4.0
CASTLE ARK	031	GIL	B	36,100	63.07	n/a	2-Apr	2,166.00	6.0
PAKLER	N22	GIL	B	39	63.27	n/a	2-Apr	0.00	0.0
B BUCK CAPITAL MGMT		GLBL	S	30,000	19.39	n/a	n/a	non-brg	5.0
GRONET	030	GLW	B	1,000	23.54	n/a	2-Mar	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	GM	SS	10,000	31.99	n/a	5-Apr	400.00	4.0
MORTAR ROCK	033	GM	SS	25,000	32.02	n/a	5-Apr	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		GPS	B	50,000	17.95	n/a	9-Mar	non-brg	5.0
J L F ASSET MGMT	039	GPS	B	333,000	18.32	n/a	9-Mar	13,320.00	4.0
WHEELER	008	GXP	B	5,000	32.98	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	GYMB	B	50,000	41.46	4-Jan	14-Mar	2,500.00	5.0
SIRIS	013	HAR	S	800	99.37	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	HMC	S	1,500	35.26	n/a	n/a	75.00	5.0
Õ Claire Mencke		HW	S	100	22.27	n/a	n/a	0.00	0.0
MERRILL ASSET	032	IFC	S	10,700	17.95	n/a	n/a	481.50	4.5
B BUCK CAPITAL MGMT		IJR	C	11,100	69.03	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		IKAN	B	10,000	8.05	n/a	n/a	non-brg	4.0
Õ Claire Mencke		IMH	S	300	4.66	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	25,000	3.25	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	ITG	SS	20,000	38.83	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		IWM	C	9,500	80.67	n/a	n/a	non-brg	1.0
LATEFF MGMT	040	JNJ	B	1,200	61.53	n/a	22-Apr	396.00	33.0
PATTEN & PATTEN	067	JNJ	S	500	61.43	n/a	22-Apr	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THIRD COAST CAPITAL	035	JNY	S	30,000	31.98	n/a	15-Feb	1,500.00	5.0
PATTEN & PATTEN	067	JPM	S	1,000	48.90	n/a	13-Mar	50.00	5.0
CUMBERLAND	038	JWN	B	10,000	54.57	27-Feb	9-Mar	400.00	4.0
BUCK CAPITAL MGMT	001	KCP	B	10,000	26.88	n/a	28-Feb	400.00	4.0
CUMBERLAND	038	KSS	B	12,300	78.01	27-Dec	8-Mar	615.00	5.0
CUMBERLAND	038	KSS	S	4,800	77.92	27-Dec	8-Mar	240.00	5.0
J L F ASSET MGMT	039	KSS	SS	39,600	78.26	27-Dec	8-Mar	1,584.00	4.0
RBC CAPITAL MARKETS	034	KSS	B	20,000	78.27	27-Dec	8-Mar	1,000.00	5.0
CAXTON PART	040	LRCX	SS	20,000	49.47	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	MDT	S	500	48.79	n/a	22-Apr	25.00	5.0
B BUCK CAPITAL MGMT		MIR	S	25,000	44.26	n/a	n/a	non-brg	5.0
WEINTRAUB CAPITAL MGT.	040	MIR	S	50,000	43.16	n/a	n/a	2,500.00	5.0
Õ Claire Mencke		MMA	S	200	28.24	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MSMSBFIN	C	26,600	28.84	n/a	n/a	non-brg	2.9
B BUCK CAPITAL MGMT		MVRX	C	2,500	202.47	n/a	n/a	non-brg	20.2
STRONG/WELL HOWARD	038	MWV	S	170,600	32.09	20-Mar	20-Mar	6,824.00	4.0
CAPITAL GROWTH MGMT.	241	NCS	B	10,000	47.09	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	NVS	S	1,200	55.18	n/a	n/a	60.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	5,000	15.36	23-Mar	23-Mar	200.00	4.0
GARX	030	NWY	S	72,100	15.23	23-Mar	23-Mar	2,884.00	4.0
STRAUSS ASSET MGMT	040	OCNW	B	20,000	8.85	n/a	n/a	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	PCU	B	20,000	76.65	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	PEP	S	1,000	63.03	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	PG	S	1,200	63.00	15-Dec	30-Mar	60.00	5.0
WHEELER	008	PNW	B	5,000	49.58	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	PRU	S	1,000	91.48	n/a	n/a	50.00	5.0
MERRILL ASSET	032	PVA	B	20,700	76.67	n/a	n/a	931.50	4.5
Õ Claire Mencke		RAS	S	100	27.01	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	RHHBY	S	1,000	90.60	n/a	n/a	50.00	5.0
PIVOT CAP	034	SKS	S	11,500	20.93	n/a	n/a	575.00	5.0
WHEELER	008	SO	B	5,000	37.34	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	SVU	S	10,000	38.94	n/a	n/a	600.00	6.0
BARR	096	TGIC	SS	500	39.95	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	TIF	SS	10,000	47.87	27-Mar	27-Mar	500.00	5.0
XYLEM GLOBAL	091	TIN	S	50,000	60.90	26-Feb	20-Mar	2,500.00	5.0
ß BUCK CAPITAL MGMT		TJX	B	20,000	27.87	21-Mar	21-Mar	non-brg	5.0
MATRIX ASSET ADV.	036	TWX	S	18,500	21.16	n/a	n/a	740.00	4.0
MAGUIRE	090	UAUA	B	4,473	41.75	n/a	n/a	0.00	0.0
BARR	096	UAUA	B	500	41.26	n/a	n/a	0.00	0.0
MAGUIRE	090	VLO	S	3,500	67.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WMT	B	100,000	48.46	n/a	21-Mar	non-brg	5.0
BARR	096	WM	SS	400	39.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WWY	S	250	51.05	n/a	n/a	12.50	5.0
BRIGHTPOINT CAP	067	YUM	SS	5,000	59.07	12-Dec	13-Feb	250.00	5.0
TOTAL (Trade Date):								114,255.80	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/05	MKT MAKER	099	ITCD	S	500	2.90	n/a	n/a	0.00 0.0
AO,	04/05	GRUSS CAPITAL	040	WMG	S	15,000	16.82	n/a	n/a	600.00 4.0
TOTAL (AO, CXL, CRT) :										600.00

TOTAL (Trade Date):	114,255.80
TOTAL (AO, CXL, CRT):	600.00

TOTAL (RUN DATE) / NFS:	114,855.80
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MRI Securities with Trade Activity on 9-Apr.
NONE

MRI Securities without Trade Activity on 9-Apr.
CHTT

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 53%
YTD = 18%

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