



## Daily Compliance Activity Report

Trade Date: 12/07/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>ZOLIDIS</b>	<b>011</b>	<b>AEO</b>	<b>S</b>	<b>500</b>	<b>22.33</b>	<b>9-Nov</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	ALOG	S	3,000	67.63	n/a	n/a	150.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>20,000</b>	<b>82.69</b>	<b>2-Oct</b>	<b>7-Dec</b>	<b>800.00</b>	<b>4.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>ARO</b>	<b>B</b>	<b>500</b>	<b>25.75</b>	<b>29-Nov</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	ASYS	S	15,000	14.89	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	AVY	B	300	53.04	13-Aug	14-Nov	15.00	5.0
<b>GAULT</b>	<b>063</b>	<b>AXE</b>	<b>S</b>	<b>500</b>	<b>64.62</b>	<b>9-Oct</b>	<b>28-Nov</b>	<b>0.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	AXS	S	19,130	42.47	n/a	n/a	765.20	4.0
PRINCIPLE CAPITAL	040	BBBY	B	50,000	32.33	n/a	n/a	1,500.00	3.0
WHITTIER CAP	048	BBY	S	1,150	52.89	n/a	27-Jul	46.00	4.0
ROYCE TRADING	216	BEAV	S	5,000	50.24	n/a	n/a	250.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>BONT</b>	<b>S</b>	<b>451</b>	<b>13.21</b>	<b>9-Nov</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
PECONIC PARTNERS	036	BUD	C	351,300	52.94	n/a	n/a	17,565.00	5.0
GENERAL ELECTIC CO	033	CAKE	S	43,231	23.80	n/a	24-Apr	1,729.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATTANI	041	CAL	B	500	28.59	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CHIC	SS	20,000	16.39	n/a	n/a	non-brg	4.0
HPAR	031	CMCSK	B	26,100	18.15	n/a	n/a	1,305.00	5.0
KIRR MARBACH	030	COV	B	49,690	41.53	n/a	n/a	2,484.50	5.0
ß BUCK CAPITAL MGMT		CROX	B	100,000	45.77	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CROX	B	150,000	46.01	n/a	n/a	non-brg	4.0
LUCHANSKY2	036	CROX	C	100	46.24	n/a	n/a	0.00	0.0
MERRILL ASSET	032	CRR	B	15,400	40.00	25-Oct	30-Nov	693.00	4.5
ROYCE TRADING	216	CTLM	B	25,000	1.22	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	DDS	SS	40,000	21.27	n/a	n/a	1,600.00	4.0
FRIESS MGMT	042	DELL	B	2,164,600	24.96	n/a	n/a	97,407.00	4.5
PATTEN & PATTEN	067	DOW	S	1,125	42.67	n/a	25-Oct	56.25	5.0
ROYCE TRADING	216	ELMG	S	5,000	31.24	n/a	n/a	250.00	5.0
FIRST INV MGMT CORP	036	FDO	B	15,000	20.49	7-Dec	7-Dec	750.00	5.0
SAC TRADING HOWARD	038	FDO	B	25,000	20.29	7-Dec	7-Dec	1,250.00	5.0
SERENGETI MGMT	030	FII	B	75,000	40.44	n/a	26-Nov	3,000.00	4.0
GRANITE CAPITAL	045	FMD	S	10,000	16.49	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	FSP	S	15,330	16.21	n/a	n/a	766.50	5.0
NORTHPOINT	030	GBTS	B	4,000	14.08	n/a	n/a	160.00	4.0
ROYCE TRADING	216	GCOM	B	10,000	11.35	n/a	n/a	500.00	5.0
ROYCE TRADING	216	GEHL	B	5,000	17.00	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GES	B	20,000	44.35	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	358,500	37.79	5-Nov	7-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	63,000	38.43	5-Nov	7-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIL	B	678,500	37.61	5-Nov	7-Dec	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GIL	C	15,075	37.28	5-Nov	7-Dec	non-brg	1.0
JPMSI/TOM LEDDY	035	GIL	B	20,000	37.67	5-Nov	7-Dec	1,000.00	5.0
ROTHSCHILD ASSET	040	GIS	S	12,890	60.70	n/a	n/a	580.05	4.5
SINCLAIR	031	GMME	B	50	0.57	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	B	50,000	21.69	n/a	7-Dec	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		HSTX	S	2,600	16.96	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HSTX	S	31,200	16.95	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HSTX	S	6,276	17.07	n/a	n/a	non-brg	1.0
ROYCE TRADING	216	IKAN	B	10,000	5.60	n/a	n/a	500.00	5.0
WENTWORTH HAUSER VIOLICH	033	INTC	S	36,110	27.74	n/a	n/a	1,805.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>KAZMI</b>	<b>010</b>	<b>ITCD</b>	<b>S</b>	<b>32</b>	<b>6.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	IVZ	S	14,800	27.74	21-Nov	3-Dec	592.00	4.0
WASHINGTON ASSET	048	IVZ	B	8,000	28.00	21-Nov	3-Dec	400.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JAH</b>	<b>B</b>	<b>50,000</b>	<b>27.63</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JAH</b>	<b>B</b>	<b>102,465</b>	<b>27.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JAH</b>	<b>B</b>	<b>113,915</b>	<b>27.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>10,000</b>	<b>50.15</b>	<b>28-Nov</b>	<b>30-Nov</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>S</b>	<b>340,000</b>	<b>46.68</b>	<b>15-Nov</b>	<b>7-Dec</b>	<b>13,600.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	JWN	B	1,500	38.11	20-Nov	7-Dec	75.00	5.0
ADAGE CAPITAL MGMT	030	KMX	B	125,000	22.05	n/a	10-Jan	5,000.00	4.0
WHITE PINE CAPITAL	030	KSS	B	13,800	51.98	9-Nov	7-Dec	690.00	5.0
FORD FDN.	032	LEH	S	10,200	64.60	n/a	5-Dec	510.00	5.0
MORGAN LEWIS/MLH	046	LII	B	15,000	35.39	n/a	n/a	750.00	5.0
MERRILL ASSET	032	LNG	S	54,500	35.33	n/a	n/a	2,452.50	4.5
PATTEN & PATTEN	067	MAV	B	1,000	14.45	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	MHI	B	1,000	14.08	n/a	n/a	50.00	5.0
<b>CASTANEDA</b>	<b>001</b>	<b>MPEL</b>	<b>B</b>	<b>58</b>	<b>13.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>50,000</b>	<b>32.08</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	M	S	5,000	30.25	9-Nov	7-Dec	250.00	5.0
GENERAL ELECTIC CO	033	NIHD	B	39,557	52.66	n/a	n/a	791.14	2.0
CARLYLE BLUE WAVE PR MG	224	NLC	S	5,000	24.10	n/a	n/a	250.00	5.0
ROYCE TRADING	216	NNBR	B	5,000	8.97	n/a	n/a	250.00	5.0
1837 PARTNERS/RMB CAP	030	NYT	B	5,000	17.00	n/a	n/a	200.00	4.0
ROYCE TRADING	216	OCCF	B	5,000	4.05	n/a	n/a	150.00	3.0
ROBX	035	PBCT	B	100,000	17.06	n/a	n/a	4,000.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>PFE</b>	<b>S</b>	<b>250</b>	<b>24.23</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	PLCE	B	36,000	30.35	3-Dec	7-Dec	1,440.00	4.0
WHITTIER CAP	048	PLCE	B	10,165	29.85	3-Dec	7-Dec	406.60	4.0
COUGAR TRADING	044	PSUN	SS	5,000	16.49	n/a	7-Dec	250.00	5.0
BELMONT GLOBAL ADV	248	PWRD	S	20,000	31.09	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>40,000</b>	<b>68.65</b>	<b>8-Nov</b>	<b>8-Nov</b>	<b>1,600.00</b>	<b>4.0</b>
ADAGE CAPITAL MGMT	030	RSH	SS	100,000	19.56	n/a	n/a	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	RSH	B	50,000	19.55	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	SLB	S	179,040	97.11	n/a	n/a	10,742.40	6.0
ROXBURY CAPITAL MGMT	035	SSI	S	125,000	16.23	21-Nov	7-Dec	5,000.00	4.0
SAXON WOODS ADVISORS	038	TIN	B	100,000	46.89	9-Nov	9-Nov	4,000.00	4.0
<b>GAULT</b>	<b>063</b>	<b>TIN</b>	<b>S</b>	<b>500</b>	<b>47.34</b>	<b>9-Nov</b>	<b>9-Nov</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	TJX	S	48,700	30.25	21-Sep	7-Dec	1,948.00	4.0
CAPITAL GROWTH MGMT.	241	TKC	B	50,000	28.97	n/a	n/a	2,500.00	5.0
ROYCE TRADING	216	TKLC	B	5,000	12.46	n/a	22-Mar	250.00	5.0
ROYCE TRADING	216	TQNT	S	10,000	6.14	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	T	B	1,000	38.79	21-Sep	5-Dec	50.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>70,000</b>	<b>28.77</b>	<b>9-Nov</b>	<b>7-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>VC</b>	<b>B</b>	<b>1,500</b>	<b>4.36</b>	<b>n/a</b>	<b>19-Nov</b>	<b>0.00</b>	<b>0.0</b>
LEHMAN PROPRIETARY TRAD	041	VMC	SS	20,000	88.93	n/a	n/a	800.00	4.0
CARLSON CAPITAL	031	WFC	B	91,000	32.28	n/a	n/a	4,550.00	5.0
MATRIX ASSET ADV.	036	WMT	S	5,000	49.15	20-Nov	7-Dec	200.00	4.0
TPG-AXON	040	WYE	S	200,000	47.64	n/a	31-Mar	10,000.00	5.0
<b>KAZMI</b>	<b>010</b>	<b>XOHO</b>	<b>B</b>	<b>4,000</b>	<b>2.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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**TOTAL (Trade Date):**

**228,175.88**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/06	TRELLUS PARTNERS LP	028	CCMP	C	34,217	38.84	14-Sep	25-Oct	1710.85 5.0
AO,CRT	12/06	ROXBURY CAPITAL MGMT	035	CLB	B	1,215	120.13	6-Nov	30-Nov	48.60 4.0
AO,CXL	12/06	ROXBURY CAPITAL MGMT	035	CLB	B	1,215	120.13	6-Nov	30-Nov	48.60 4.0
AO,	12/06	JANA CAPITAL	044	GE	B	500,000	37.04	n/a	n/a	20000.00 4.0
AO,CRT	12/06	BARROW HANLEY MEWHINNEY	096	GLD	B	300	78.84	n/a	n/a	0.00 0.0
AO,CXL	12/06	BARROW HANLEY MEWHINNEY	096	GLD	B	300	78.84	n/a	n/a	0.00 0.0
AO,	12/06	PILOT ADV	038	JCP	B	2,500	43.18	15-Nov	7-Dec	100.00 4.0
AO,CXL	12/06	ADAGE CAPITAL MGMT	030	M	SS	150,000	29.92	9-Nov	7-Dec	6000.00 4.0
AO,CRT	12/06	ADAGE CAPITAL MGMT	030	M	SS	150,000	29.92	9-Nov	7-Dec	6000.00 4.0
AO,CXL	12/06	WOOSTER CAPITAL	035	M	B	50,000	29.83	9-Nov	7-Dec	2500.00 5.0
AO,CRT	12/06	WOOSTER CAPITAL	035	M	B	50,000	29.83	9-Nov	7-Dec	2500.00 5.0
AO,CRT	12/06	PALMYRA CAPITAL	048	SPY	C	170,000	150.64	n/a	n/a	5100.00 3.0
AO,CXL	12/06	PALMYRA CAPITAL	048	SPY	C	170,000	150.64	n/a	n/a	5100.00 3.0
AO,	12/06	LIGHTHOUSE FIN/QUAD	046	SYMC	S	10,000	17.91	n/a	3-Apr	500.00 5.0
AO,CRT	12/06	CLOVIS CAPITAL	012	XLE	B	200,000	75.81	n/a	n/a	6000.00 3.0
AO,CXL	12/06	CLOVIS CAPITAL	012	XLE	B	200,000	75.81	n/a	n/a	10000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>18,310.85</b>



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TOTAL (Trade Date):	228,175.88
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TOTAL (AO, CXL, CRT):	18,310.85
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>246,486.73</b>
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MRI Securities with Trade Activity on 7-Dec.
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FDO
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MRI Securities without Trade Activity on 7-Dec.
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NONE
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BRG comm. as a % of BCM Total Comm. paid.
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T-Date = 35%
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YTD = 20%
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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