



# Daily Compliance Activity Report

Trade Date: 12/15/2006

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	AA	S	400	30.98	n/a	n/a	20.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ADTN</b>	<b>SS</b>	<b>5,000</b>	<b>22.11</b>	<b>n/a</b>	<b>22-Mar</b>	<b>non-brg</b>	<b>1.5</b>
WANGER ASS	031	AH	B	100,000	55.05	n/a	n/a	5,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AIT</b>	<b>SS</b>	<b>20,000</b>	<b>27.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
ROBERTSON STEVENS BC	033	ALEX	S	25,000	44.79	n/a	n/a	750.00	3.0
<b>BARR</b>	<b>096</b>	<b>ALSC</b>	<b>B</b>	<b>2,200</b>	<b>4.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>50,000</b>	<b>69.88</b>	<b>3-Nov</b>	<b>1-Dec</b>	<b>2,499.00</b>	<b>4.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ANST</b>	<b>SS</b>	<b>22,000</b>	<b>27.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROBERTSON STEVENS BC	033	APOL	B	30,000	38.84	n/a	n/a	1,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>10,000</b>	<b>31.59</b>	<b>23-Oct</b>	<b>1-Dec</b>	<b>400.00</b>	<b>4.0</b>
ROBERTSON STEVENS BC	033	ARO	B	16,300	31.64	23-Oct	1-Dec	652.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARRS</b>	<b>B</b>	<b>25,000</b>	<b>12.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AVCI</b>	<b>SS</b>	<b>5,000</b>	<b>7.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
RIVER RUN MGMT	031	BBI	SS	30,100	5.44	n/a	n/a	1,204.00	4.0
<b>Õ Glenn Redemann</b>		<b>BHI</b>	<b>S</b>	<b>4</b>	<b>3.30</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.	
PATTEN & PATTEN	067	BHI	B	200	77.61	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	BJS	B	500	32.54	n/a	n/a	25.00	5.0
LEDDY	035	BONT	B	500	35.10	23-Oct	1-Dec	0.00	0.0
⌘ BUCK CAPITAL MGMT		BRCM	SS	10,000	33.67	n/a	n/a	non-brg	5.0
FARBER/WEISS PECK	012	CAKE	C	9,000	26.19	n/a	12-Dec	450.00	5.0
⌘ BUCK CAPITAL MGMT		CAT	SS	30,000	61.88	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	CBK	B	20,000	18.83	11-Dec	11-Dec	800.00	4.0
LEDDY	035	CBK	S	600	18.75	11-Dec	11-Dec	0.00	0.0
PATTEN & PATTEN	067	CBT	S	400	42.00	2-Nov	2-Nov	20.00	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	30,000	13.97	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		COH	C	30,000	43.60	7-Dec	7-Dec	non-brg	5.0
⌘ BUCK CAPITAL MGMT		COLM	SS	20,000	60.11	n/a	n/a	non-brg	5.0
FORTRESS CAPITAL	040	COST	SS	50,000	54.17	n/a	15-Dec	2,500.00	5.0
TRIVIUM CAP MGMT	028	COST	SS	25,000	54.42	n/a	15-Dec	1,000.00	4.0
HERMES	048	CQB	B	25,000	15.88	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		CRI	B	20,000	27.37	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		DBTK	B	1,000	11.00	n/a	n/a	non-brg	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		DBTK	B	10,000	11.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		DBTK	B	2,000	11.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		DIA	C	596,100	124.32	n/a	n/a	non-brg	2.0
FARBER/WEISS PECK	012	DLTR	C	7,500	30.62	21-Nov	1-Dec	375.00	5.0
BACKUS	005	DSW	S	1,000	39.91	n/a	n/a	0.00	0.0
EFSTATHIOU	044	EBS	B	300	10.12	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		EGLT	SS	5,000	15.08	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		EMR	SS	25,000	42.30	n/a	n/a	non-brg	5.0
BACKUS	005	EVST	S	2,000	18.16	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EWJ	B	1,000	14.22	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	EWZ	B	200	46.80	n/a	n/a	10.00	5.0
⌘ BUCK CAPITAL MGMT		FLDR	SS	5,000	9.43	n/a	n/a	non-brg	5.0
MILLENIUM PARTNERS	028	FL	B	20,000	23.04	n/a	7-Dec	800.00	4.0
NEEDHAM CAP	067	FOSL	SS	18,875	22.30	15-Nov	15-Nov	755.00	4.0
PATTEN & PATTEN	067	FPL	S	400	54.67	n/a	n/a	20.00	5.0
FARBER/WEISS PECK	012	FRED	C	20,000	12.32	30-Nov	1-Dec	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	GBIXQ	S	4,000	0.00	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	GE	S	1,000	37.15	n/a	n/a	50.00	5.0
ß BUCK CAPITAL MGMT		GIII	S	2,000	21.55	n/a	n/a	non-brg	2.0
BINDER	007	GLW	B	390	19.85	n/a	13-Dec	0.00	0.0
MCCARTAN	028	GLW	B	100	19.46	n/a	13-Dec	0.00	0.0
LEDDY	035	GLW	S	700	19.50	n/a	13-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		GPS	C	100,000	20.52	n/a	1-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		GPS	C	50,000	20.38	n/a	1-Dec	non-brg	5.0
FRIESS MGMT	042	GRP	B	97,500	43.98	n/a	n/a	4,387.50	4.5
DEMARTINI	065	GTEM	S	10,000	0.47	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GWW	SS	10,000	71.00	16-Nov	13-Dec	non-brg	5.0
IRONWOOD CAPITAL	067	HAWK	S	3,300	12.73	n/a	n/a	132.00	4.0
MISSOURI VALLEY PART	046	HD	S	55,475	40.10	n/a	15-Dec	2,773.75	5.0
Õ Glenn Redemann		ICE	B	8	0.95	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	IIF	B	200	52.40	n/a	n/a	10.00	5.0
ß BUCK CAPITAL MGMT		IKAN	B	20,000	8.50	n/a	n/a	non-brg	5.0
IRONWOOD CAPITAL	067	ILA	S	14,400	4.73	n/a	n/a	576.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		INTC	B	50,000	21.19	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		INTC	B	75,200	21.01	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	INTC	S	100	21.18	n/a	n/a	5.00	5.0
WHITE PINE CAPITAL	030	INTC	S	600	21.06	n/a	n/a	30.00	5.0
BARR	096	IRIX	S	1,200	9.51	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		ISLN	S	12,000	24.10	n/a	n/a	non-brg	5.0
RIVER RUN MGMT	031	ITCD	B	5,000	2.59	n/a	n/a	150.00	3.0
⌘ BUCK CAPITAL MGMT		IWM	C	609,600	79.24	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		IWO	SS	600,000	79.90	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	JNY	SS	20,000	33.84	n/a	26-Oct	800.00	4.0
CENTURION PARTNERS	249	JWN	B	20,000	51.09	11-Dec	11-Dec	1,000.00	5.0
FORTRESS CAPITAL	040	JWN	SS	100,000	50.94	11-Dec	11-Dec	5,000.00	5.0
⌘ BUCK CAPITAL MGMT		KMT	SS	10,000	60.65	n/a	n/a	non-brg	5.0
FIRST NEW YORK LEDDY	035	KSS	SS	20,000	70.75	10-Nov	1-Dec	1,000.00	5.0
THE JAY GOLDMAN	034	KSS	SS	25,000	71.29	10-Nov	1-Dec	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		LCAPA	S	124	96.98	n/a	n/a	non-brg	1.5
BUCK CAPITAL MGMT	001	LIZ	SS	30,000	44.27	n/a	27-Oct	1,200.00	4.0
SAILFISH	037	LSI	B	15,000	9.37	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	30,000	30.86	1-Dec	1-Dec	1,200.00	4.0
THE JAY GOLDMAN	034	LTD	B	50,000	30.73	1-Dec	1-Dec	2,000.00	4.0
WHEELER	008	MAG	S	10,000	5.62	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MBFGIM	B	10,000	26.31	n/a	n/a	non-brg	5.3
BINDER	007	MOT	B	200	20.96	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	214	MO	S	34,600	85.07	n/a	n/a	1,730.00	5.0
LOOMIS SALES/BOSTON	036	MS	B	201,843	79.84	6-Dec	12-Dec	10,092.15	5.0
ß BUCK CAPITAL MGMT		MWRK	C	10,000	41.92	n/a	n/a	non-brg	5.0
SYSTEMATIC FINANCIAL MGT	035	MWRK	B	16,100	41.95	n/a	n/a	644.00	4.0
MKT MAKER	099	MWRK	B	2	41.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	38.09	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		NDSN	SS	10,000	47.83	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	NEM	B	400	47.40	n/a	n/a	20.00	5.0
Õ Glenn Redemann		NE	S	2	0.75	n/a	n/a	0.00	0.0
FRANKLIN FUND OF CALIFOR	033	NFP	S	12,900	42.51	n/a	n/a	645.00	5.0
FRANKLIN FUNDS N J	035	NFP	S	35,100	42.51	n/a	n/a	1,755.00	5.0
WHITE PINE CAPITAL	030	NT	S	500	22.96	n/a	22-Mar	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BACKUS	005	NWY	S	1,000	14.13	1-Dec	1-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		OEF	SS	2,150,000	66.64	n/a	n/a	non-brg	1.0
MILLENIUM PARTNERS	028	OS	B	15,000	62.15	n/a	n/a	600.00	4.0
GALLEON MGMT LP	033	PDS	SS	15,000	24.75	n/a	n/a	750.00	5.0
SOMERSET ADV	044	PEIX	SS	2,500	17.66	n/a	n/a	125.00	5.0
PATTEN & PATTEN	067	PHO	B	900	18.47	n/a	n/a	45.00	5.0
ß BUCK CAPITAL MGMT		PTEN	S	60,000	25.50	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	51.49	22-Nov	22-Nov	400.00	4.0
COLUMBIA PARTNERS	098	PVH	B	30,899	51.56	22-Nov	22-Nov	1,235.96	4.0
PORTER-ORLIN-FELDMAN	044	QQQQ	S	160,000	44.63	n/a	n/a	8,000.00	5.0
ß BUCK CAPITAL MGMT		RAIL	SS	10,000	54.08	n/a	n/a	non-brg	5.0
Õ Glenn Redemann		RIG	S	3	3.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RL	C	30,000	78.71	7-Dec	7-Dec	non-brg	5.0
Õ Glenn Redemann		RTI	B	8	3.40	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	RTN	S	800	53.02	n/a	n/a	40.00	5.0
BACKUS	005	RVI	S	5,000	19.60	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		S4RETL	C	38,200	429.39	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		S4RETL	SS	20,000	427.97	n/a	n/a	non-brg	55.7
⌘ BUCK CAPITAL MGMT		S4RETL	SS	25,000	425.18	n/a	n/a	non-brg	55.3
⌘ BUCK CAPITAL MGMT		S4RETL	SS	38,200	425.39	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		S6RETL	C	113,700	281.32	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		S6RETL	SS	113,700	281.32	n/a	n/a	non-brg	5.0
SENECA CAPITAL LP NY	028	SAI	S	42,000	18.67	n/a	n/a	2,100.00	5.0
WHEELER	008	SCI	B	5,000	10.40	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SKNN	B	150,000	2.45	n/a	n/a	non-brg	2.0
PATTEN & PATTEN	067	SLB	B	400	68.59	n/a	n/a	20.00	5.0
⌘ BUCK CAPITAL MGMT		SPY	C	511,500	142.60	n/a	n/a	non-brg	2.0
PATTEN & PATTEN	067	SRZ	B	400	30.72	n/a	n/a	20.00	5.0
IRONBOUND CAPITAL	012	SSCC	SS	110,000	11.20	26-Oct	14-Dec	5,500.00	5.0
MKT MAKER	099	SSCC	SS	91	11.20	26-Oct	14-Dec	0.00	0.0
PATTEN & PATTEN	067	STI	S	100	84.61	n/a	n/a	5.00	5.0
CROSS CAPITAL	028	STRL	B	14,600	21.23	n/a	n/a	730.00	5.0
WHITE PINE CAPITAL	030	SUNW	S	2,000	5.61	n/a	n/a	100.00	5.0
⌘ BUCK CAPITAL MGMT		TAST	S	25,000	14.05	n/a	n/a	non-brg	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BACKUS</b>	<b>005</b>	<b>TBL</b>	<b>S</b>	<b>500</b>	<b>32.42</b>	<b>15-Nov</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
TRUST CO OF THE WEST/NY	040	TER	S	36,000	15.03	n/a	n/a	1,440.00	4.0
IRONWOOD CAPITAL	067	THG	S	1,900	50.40	n/a	n/a	76.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TIN</b>	<b>S</b>	<b>20,000</b>	<b>45.73</b>	<b>n/a</b>	<b>15-Dec</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TIN</b>	<b>S</b>	<b>51,800</b>	<b>45.49</b>	<b>n/a</b>	<b>15-Dec</b>	<b>non-brg</b>	<b>5.0</b>
COUGAR TRADING	044	TLB	S	5,000	26.01	18-Oct	16-Nov	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRID</b>	<b>SS</b>	<b>20,000</b>	<b>19.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
PATTEN & PATTEN	067	UNM	S	100	20.07	n/a	n/a	5.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>50,000</b>	<b>23.99</b>	<b>7-Dec</b>	<b>11-Dec</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>VIRL</b>	<b>S</b>	<b>3,000</b>	<b>9.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DSG CAPITAL	225	WDR	B	100	26.00	15-Dec	15-Dec	0.00	0.0
DSG CAPITAL	225	WDR	S	100	26.45	15-Dec	15-Dec	0.00	0.0
SANDLER O'NEILL ASSET	031	WDR	S	45,000	26.49	15-Dec	15-Dec	2,250.00	5.0
SUNOVA CAPITAL	031	WDR	B	70,000	26.37	15-Dec	15-Dec	3,500.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>WEBM</b>	<b>B</b>	<b>30</b>	<b>7.10</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
SAILFISH	037	WEN	SS	5,000	33.52	12-Dec	12-Dec	250.00	5.0
WHITE PINE CAPITAL	030	WFC	S	1,500	35.57	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WILLIAM BLAIR	031	WTW	B	52,320	46.83	n/a	n/a	2,092.80	4.0
PATTEN & PATTEN	067	WYE	B	800	51.22	n/a	31-Mar	40.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WY</b>	<b>S</b>	<b>47,200</b>	<b>74.32</b>	<b>15-Dec</b>	<b>15-Dec</b>	<b>non-brg</b>	<b>5.0</b>
DAVIDSON KEMPNER ADVISOR	217	WY	S	10,600	73.00	15-Dec	15-Dec	530.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ZQK</b>	<b>B</b>	<b>10,000</b>	<b>15.00</b>	<b>8-Sep</b>	<b>15-Dec</b>	<b>400.00</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	ZQK	S	59,200	15.90	8-Sep	15-Dec	2,960.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ZUMZ</b>	<b>B</b>	<b>10,000</b>	<b>29.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>TOTAL (Trade Date):</b>								<b>92,255.16</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/14	CENTURION PARTNERS	249	CVS	B	30,000	30.90	n/a	n/a	1500.00 0.0
AO,CXL	12/14	CENTURION PARTNERS	249	CVS	B	30,000	30.90	n/a	n/a	1.55 0.0
AO,	12/14	MERRILL ASSET	032	DEI	S	75,100	26.43	n/a	n/a	3755.00 5.0
AO,	12/14	BUCK CAPITAL MGMT	001	DKS	B	10,000	53.52	n/a	n/a	400.00 4.0
AO,CRT	12/14	NEEDHAM CAP	067	FOSL	S	60,000	22.12	15-Nov	15-Nov	2400.00 4.0
AO,CXL	12/14	NEEDHAM CAP	067	FOSL	S	73,050	22.12	15-Nov	15-Nov	3652.50 5.0
AO,	12/14	FRIESS MGMT	042	GRP	B	187,800	44.31	n/a	n/a	8451.00 4.5
AO,	12/14	RIVER RUN MGMT	031	ITCD	B	7,700	2.60	n/a	n/a	231.00 3.0
AO,	12/14	FRONTPOINT	044	OIS	SS	161,700	33.99	n/a	n/a	8085.00 5.0
AO,	12/14	GOLDMAN SACHS ASSET MGMT	044	STI	B	100,290	84.73	n/a	n/a	2005.80 2.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>23,173.75</b>

TOTAL (Trade Date) :	92,255.16
TOTAL (AO, CXL, CRT) :	23,173.75

<b>TOTAL (RUN DATE) / NFS :</b>	<b>115,428.91</b>
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MRI Securities with Trade Activity on 15-Dec.

WDR, WY

MRI Securities without Trade Activity on 15-Dec.

BSC, PG

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

T-Date = 5%

YTD = 23%

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