



# Daily Compliance Activity Report

Trade Date: 11/14/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	AAI	B	4,800	9.64	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ABG	S	10,000	17.74	31-Oct	2-Nov	400.00	4.0
COUGAR TRADING	044	AEO	B	15,000	23.73	9-Nov	12-Nov	750.00	5.0
APEX CAPITAL MGMT.	091	ANF	S	10,000	79.31	2-Oct	12-Nov	500.00	5.0
COUGAR TRADING	044	ANF	B	10,000	79.84	2-Oct	12-Nov	500.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	78.34	2-Oct	12-Nov	500.00	5.0
COLE	N24	AOB	S	600	12.03	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	25.66	9-Nov	12-Nov	2,000.00	4.0
GAULT	063	AXE	S	500	67.74	9-Oct	23-Oct	0.00	0.0
NATIONAL BK OF CAN	031	BAC	B	10,000	47.18	13-Nov	13-Nov	400.00	4.0
Glenn Redemann		BAX	B	12	0.16	n/a	22-Apr	0.00	0.0
Glenn Redemann		BAX	B	12	0.42	n/a	22-Apr	0.00	0.0
Glenn Redemann		BAX	SS	8	0.46	n/a	22-Apr	0.00	0.0
Glenn Redemann		BAX	SS	8	0.79	n/a	22-Apr	0.00	0.0
Glenn Redemann		BBBY	B	12	0.13	n/a	n/a	0.00	0.0
Glenn Redemann		BBBY	B	12	0.30	n/a	n/a	0.00	0.0
Glenn Redemann		BBBY	SS	8	0.39	n/a	n/a	0.00	0.0
Glenn Redemann		BBBY	SS	8	0.74	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BIG	SS	50,000	21.15	26-Oct	9-Nov	2,000.00	4.0
NATIONAL BK OF CAN	031	BSC	B	2,500	106.91	15-Nov	8-Nov	100.00	4.0
BALYASNY ASSET MGMT	044	BWA	B	15,600	100.06	26-Oct	5-Nov	780.00	5.0
STRAUSS ASSET MGMT	040	CADA	B	1,400	39.84	n/a	n/a	70.00	5.0
BUCK CAPITAL MGMT	001	CCE	SS	10,000	25.57	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	CLX	SS	10,000	66.00	2-Aug	1-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	COH	S	250,000	35.14	24-Oct	24-Oct	10,000.00	4.0
COUGAR TRADING	044	COH	B	5,000	36.46	24-Oct	24-Oct	250.00	5.0
COUGAR TRADING	044	COH	S	5,000	36.12	24-Oct	24-Oct	250.00	5.0
SCOPUS FUND	041	COH	S	50,000	36.62	24-Oct	24-Oct	2,500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	CPLP	S	10,484	23.14	n/a	n/a	419.36	4.0
MERRILL ASSET	032	CRR	B	50,700	42.46	25-Oct	25-Oct	2,362.00	4.7
NCM CAPITAL MGMT	035	DE	B	24,150	148.45	n/a	n/a	1,207.50	5.0
BUCK CAPITAL MGMT		DIA	C	3,700	133.67	n/a	n/a	non-brg	1.0
PRINCIPLE CAPITAL	040	DKS	B	57,400	30.02	26-Oct	26-Oct	1,722.00	3.0
MAGUIRE	039	DUG	S	100	42.66	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	ECA	S	3,500	69.81	n/a	n/a	175.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		EGLT	C	10,000	11.83	n/a	n/a	non-brg	4.0
COLE	N24	ETFC	B	1,000	5.99	n/a	n/a	0.00	0.0
KEEFE BRUYETTE WOODS A	031	EV	B	23,800	47.94	15-Oct	24-Oct	1,190.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	23.25	5-Nov	9-Nov	800.00	4.0
STRATTON	N21	FNF	B	200	14.95	n/a	n/a	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	FRO	SS	20,000	40.04	n/a	n/a	800.00	4.0
Õ Glenn Redemann		FTO	B	6	0.22	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTO	B	6	0.36	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTO	SS	4	0.94	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTO	SS	4	1.09	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	FWLT	S	725	147.49	n/a	n/a	36.25	5.0
CASTLE ARK	031	GIL	S	99,560	41.72	5-Nov	5-Nov	5,973.60	6.0
TRIVIUM CAP MGMT	251	GLBC	B	100,000	17.73	n/a	n/a	4,000.00	4.0
TRIVIUM CAP MGMT	251	GLW	B	145,000	23.85	n/a	24-Oct	5,800.00	4.0
LEVIN CAPITAL STRATEGIES	012	GM	C	8,435	31.16	n/a	8-Nov	337.40	4.0
WAGONHOUND	048	GM	B	10,400	31.62	n/a	8-Nov	416.00	4.0
BUCK CAPITAL MGMT	001	GPS	SS	100,000	20.03	n/a	12-Nov	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö Glenn Redemann		HES	B	6	1.28	n/a	n/a	0.00	0.0
Ö Glenn Redemann		HES	B	6	1.68	n/a	n/a	0.00	0.0
Ö Glenn Redemann		HES	SS	4	2.56	n/a	n/a	0.00	0.0
Ö Glenn Redemann		HES	SS	4	3.05	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	HNI	B	23,800	40.73	n/a	n/a	952.00	4.0
MAGUIRE	039	ICO	S	1,000	4.80	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	251	IGT	S	30,046	43.15	n/a	2-Nov	1,201.84	4.0
BUCK CAPITAL MGMT	001	IHP	SS	10,000	57.25	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		IJJ	C	500	81.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IJS	C	500	72.87	n/a	n/a	non-brg	1.0
NEUBERGER BERMAN	036	IRF	B	24,600	34.70	n/a	n/a	1,230.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	B	60,080	27.88	8-Oct	12-Nov	3,004.00	5.0
ß BUCK CAPITAL MGMT		IWM	C	6,300	79.00	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWO	C	400	85.09	n/a	n/a	non-brg	1.0
LEDDY	035	JADE	S	3,000	2.48	n/a	n/a	0.00	0.0
MAGUIRE	090	JBLU	B	5,000	8.01	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	38.79	24-Oct	24-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	B	5,000	38.99	24-Oct	24-Oct	250.00	5.0
JPSI/TOM LEDDY	035	JCG	B	10,000	38.96	24-Oct	24-Oct	500.00	5.0
MERRILL LYNCH STRATEGICI	034	JCI	S	28,000	39.43	6-Nov	6-Nov	1,120.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>20,000</b>	<b>49.00</b>	<b>9-Nov</b>	<b>12-Nov</b>	<b>800.00</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	JCP	B	15,000	48.13	9-Nov	12-Nov	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>50,000</b>	<b>35.56</b>	<b>12-Oct</b>	<b>12-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	JWN	B	10,000	35.59	12-Oct	12-Nov	500.00	5.0
COUGAR TRADING	044	JWN	S	15,000	34.82	12-Oct	12-Nov	750.00	5.0
DELTEC ASSET MGMT.	040	JWN	B	30,000	34.55	12-Oct	12-Nov	1,500.00	5.0
THE JAY GOLDMAN	034	JWN	SS	60,000	35.05	12-Oct	12-Nov	2,400.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>KEG</b>	<b>S</b>	<b>700</b>	<b>14.24</b>	<b>29-Oct</b>	<b>9-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMB</b>	<b>SS</b>	<b>10,000</b>	<b>68.46</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>52.00</b>	<b>9-Nov</b>	<b>12-Nov</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>20,000</b>	<b>49.22</b>	<b>9-Nov</b>	<b>12-Nov</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	10,000	50.59	9-Nov	12-Nov	500.00	5.0
COUGAR TRADING	044	KSS	SS	10,000	50.27	9-Nov	12-Nov	500.00	5.0
DELTEC ASSET MGMT.	040	KSS	S	10,000	50.43	9-Nov	12-Nov	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KSWS</b>	<b>SS</b>	<b>10,000</b>	<b>19.30</b>	<b>n/a</b>	<b>13-Mar</b>	<b>non-brg</b>	<b>2.5</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KWD</b>	<b>B</b>	<b>30,000</b>	<b>17.94</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
SAGE ASSET MGMT	012	LEH	B	138,500	66.35	12-Jun	8-Nov	6,925.00	5.0
SLS CAPITAL LLC	224	LEH	B	239,500	66.47	12-Jun	8-Nov	9,580.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>SINCLAIR</b>	<b>031</b>	<b>LESAM</b>	<b>S</b>	<b>45</b>	<b>6.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>STRATTON</b>	<b>N21</b>	<b>LFG</b>	<b>B</b>	<b>100</b>	<b>28.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DURANGO INVESTMENTS	031	LRW	B	64,300	16.11	n/a	n/a	2,572.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	B	83,700	19.50	n/a	13-Nov	4,185.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>LUV</b>	<b>B</b>	<b>5,000</b>	<b>14.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DISCIPLINED GROWTH INV.	030	LVLTT	B	285,100	3.03	24-Oct	1-Nov	8,553.00	3.0
<b>BARR</b>	<b>096</b>	<b>MAG</b>	<b>B</b>	<b>2,400</b>	<b>4.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	MBT	B	13,900	90.05	n/a	n/a	695.00	5.0
NOMURA CAPITAL	045	MDTH	B	8,000	22.02	n/a	n/a	400.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDTL</b>	<b>SS</b>	<b>10,000</b>	<b>12.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>LEDDY</b>	<b>035</b>	<b>MIR</b>	<b>S</b>	<b>400</b>	<b>37.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	MON	S	31,100	95.03	n/a	9-Nov	1,866.00	6.0
<b>KAICHER</b>	<b>064</b>	<b>MOVE</b>	<b>B</b>	<b>200</b>	<b>2.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>COLE</b>	<b>N24</b>	<b>MSHL</b>	<b>B</b>	<b>440</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
UBS OCONNOR	031	MS	B	60,000	57.38	2-Jul	8-Nov	1,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		MVRX	C	104,100	162.34	n/a	n/a	non-brg	16.2
⚡ BUCK CAPITAL MGMT		MWV	S	30,000	31.74	31-Jul	26-Oct	non-brg	1.0
MAGUIRE	090	MZZ	B	15,000	54.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	110,000	31.40	9-Nov	12-Nov	4,400.00	4.0
BUCK CAPITAL MGMT	001	M	S	100,000	29.34	9-Nov	12-Nov	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		M	B	50,000	31.48	9-Nov	12-Nov	non-brg	1.0
COUGAR TRADING	044	M	B	20,000	29.55	9-Nov	12-Nov	1,000.00	5.0
COUGAR TRADING	044	M	SS	20,000	30.24	9-Nov	12-Nov	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	M	B	5,000	31.50	9-Nov	12-Nov	200.00	4.0
THE JAY GOLDMAN	034	M	B	20,000	29.44	9-Nov	12-Nov	800.00	4.0
BECK MACK & OLIVER LLC	045	NE	S	1,600	52.03	n/a	n/a	80.00	5.0
NEUBERGER BERMAN	036	NTY	B	12,400	31.59	n/a	n/a	620.00	5.0
OPPENHEIMER MGMT.	036	OMX	B	144,600	26.48	n/a	15-Apr	5,784.00	4.0
ROXBURY CAPITAL MGMT	035	OSTK	S	30,000	30.73	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	PEP	SS	10,000	74.25	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		PLCE	B	10,000	27.06	26-Sep	12-Nov	non-brg	4.0
WEISS PECK	040	PLCE	B	8,400	26.05	26-Sep	12-Nov	420.00	5.0
GALLEON MGMT LP	033	PMI	SS	70,000	15.83	n/a	n/a	3,500.00	5.0
MKT MAKER	099	PSUN	B	74	15.34	n/a	12-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	PXG	S	2,500	2.14	n/a	n/a	0.00	0.0
NOLAN	067	PXG	S	100	2.01	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		RTH	C	450,000	96.66	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RTH	SS	275,000	95.20	n/a	n/a	non-brg	2.0
IVORY CAPITAL	034	RVBD	B	125,000	29.28	n/a	n/a	6,250.00	5.0
NOMURA CAPITAL	045	SCT	S	19,300	2.15	n/a	n/a	0.00	0.0
ZOLIDIS	011	SHOE	SS	3,500	1.29	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	20,000	21.02	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	21.91	n/a	13-Mar	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		SPY	C	6,700	149.02	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	59.49	n/a	27-Jul	400.00	4.0
DISCIPLINED GROWTH INV.	030	TJX	B	100,100	29.81	21-Sep	14-Nov	5,005.00	5.0
⌘ BUCK CAPITAL MGMT		TRLG	S	30,000	19.03	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	TTWO	B	4,100	15.58	n/a	n/a	164.00	4.0
WEISS PECK	040	TWB	S	7,900	30.80	2-Oct	2-Oct	395.00	5.0
MAGUIRE	090	UAUA	S	4,473	48.49	n/a	n/a	0.00	0.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	UA	SS	10,000	50.98	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		URBN	S	10,000	26.19	9-Nov	12-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	40,000	25.77	9-Nov	12-Nov	non-brg	4.0
NOMURA CAPITAL	045	USG	S	3,200	38.54	24-Oct	24-Oct	160.00	5.0
MCCARTAN	028	VC	B	800	4.98	n/a	1-Nov	0.00	0.0
NCM CAPITAL MGMT	035	WAG	B	133,880	39.90	n/a	n/a	6,694.00	5.0
TPG-AXON	040	WAG	SS	125,000	39.90	n/a	n/a	5,000.00	4.0
CROWLEY	061	WEDX	S	4,000	0.28	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WFMI	SS	10,000	46.70	n/a	n/a	non-brg	4.0
BECK MACK & OLIVER LLC	045	WMB	S	7,100	35.17	n/a	n/a	355.00	5.0
ADAGE CAPITAL MGMT	030	WMT	B	150,000	46.36	n/a	27-Jul	6,000.00	4.0
BUCK CAPITAL MGMT	001	WMT	SS	50,000	46.68	n/a	27-Jul	2,000.00	4.0
SANDELL ADV	040	XEL	B	100,000	22.31	n/a	n/a	5,000.00	5.0
NATIONAL BK OF CAN	031	XLF	B	25,000	32.25	n/a	n/a	1,000.00	4.0
LEDDY	035	XOHO	S	2,800	2.75	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	XOM	S	1,775	87.81	n/a	n/a	88.75	5.0

---

**TOTAL (Trade Date):**

**174,788.70**

---

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/13	NOMURA CAPITAL	045	HOS	S	5,250	42.10	n/a	n/a	262.50 5.0
AO,CRT	11/13	APEX CAPITAL MGMT.	091	JWN	B	1,700	34.52	12-Oct	12-Nov	85.00 5.0
AO,CXL	11/13	APEX CAPITAL MGMT.	091	JWN	S	1,700	34.52	12-Oct	12-Nov	85.00 5.0
AO,	11/13	NOMURA CAPITAL	045	LCC	S	13,850	23.31	n/a	n/a	692.50 5.0
AO,	11/13	DURANGO INVESTMENTS	031	LRW	B	10,700	15.89	n/a	n/a	428.00 4.0
AO,	11/13	NOMURA CAPITAL	045	NWA	S	12,600	18.67	n/a	n/a	630.00 5.0
AO,	11/13	NOMURA CAPITAL	045	RHD	S	5,750	46.14	n/a	n/a	287.50 5.0
AO,CRT	11/07	PROSPECTOR PARTNERS LLC	036	TR	B	600	23.75	n/a	n/a	24.00 4.0
AO,CXL	11/07	PROSPECTOR PARTNERS LLC	036	TR	B	600	23.75	n/a	n/a	24.00 4.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>2,300.50</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	174,788.70
TOTAL (AO, CXL, CRT) :	2,300.50

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>177,089.20</b>
--------------------------------	-------------------

---

MRI Securities with Trade Activity on 14-Nov.  
NONE

MRI Securities without Trade Activity on 14-Nov.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 56%  
YTD = 19%

**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**