



Daily Compliance Activity Report

Trade Date: 09/28/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NICHOLAS ADVISORS	034	AAPL	S	2,500	153.76	n/a	n/a	125.00	5.0
BALYASNY ASSET MGMT	044	ABG	S	6,200	19.72	18-Jun	27-Jul	310.00	5.0
⌘ BUCK CAPITAL MGMT		AEO	S	10,000	27.02	10-Jul	7-Sep	non-brg	2.5
⌘ BUCK CAPITAL MGMT		AEO	S	4,000	26.94	10-Jul	7-Sep	non-brg	1.0
BULL PATH CAPITAL	044	AGP	S	25,000	34.55	n/a	n/a	1,250.00	5.0
LISTED ERR	099	AKS	S	63	44.86	n/a	n/a	0.00	0.0
JPMSI/TOM LEDDY	035	ASCA	B	10,000	27.96	n/a	2-Aug	500.00	5.0
⌘ BUCK CAPITAL MGMT		AVCI	C	10,000	10.73	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	067	AVY	S	250	57.35	13-Aug	11-Sep	12.50	5.0
BALYASNY ASSET MGMT	044	AXL	SS	10,000	25.12	n/a	n/a	500.00	5.0
BUCK	015	BAC	S	1,800	50.28	20-Apr	20-Sep	0.00	0.0
MAGNETAR FINANCIAL	247	BGFV	SS	20,000	19.04	n/a	n/a	800.00	4.0
BUCK	015	BG	S	400	107.24	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	BMJ	B	35,000	28.84	n/a	n/a	1,750.00	5.0
⌘ BUCK CAPITAL MGMT		BONT	S	5,000	21.92	3-Aug	7-Sep	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BWS	B	5,000	19.97	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	CBS	S	600	31.35	n/a	n/a	30.00	5.0
WHEELER	008	CCC	S	3,000	14.44	n/a	n/a	0.00	0.0
LEDDY	035	CHCG	B	1,500	3.80	n/a	n/a	0.00	0.0
RAMIUS CAP	040	CHKP	B	30,500	25.06	n/a	3-Apr	1,525.00	5.0
B BUCK CAPITAL MGMT		CTRN	B	20,000	21.62	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	DOW	B	45,000	42.97	n/a	4-Sep	2,250.00	5.0
KAICHER	064	DVN	B	500	83.71	19-Sep	26-Sep	0.00	0.0
PRINCIPLE CAPITAL	040	EL	SS	100,000	42.39	16-Aug	16-Aug	4,000.00	4.0
BUCK	015	EMS	S	300	29.77	n/a	n/a	0.00	0.0
KAICHER	064	ENER	S	2,000	22.62	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	ETN	S	10,000	99.69	16-Jul	19-Sep	500.00	5.0
BARON ASSET MGMT*	012	EXP	S	65,000	35.95	n/a	n/a	3,250.00	5.0
NICHOLAS ADVISORS	034	FLR	S	2,700	144.50	n/a	n/a	135.00	5.0
HIGHBRIDGE CAPITAL	038	FLY	S	132,880	22.66	n/a	n/a	6,644.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	GM	B	25,000	36.52	4-May	13-Sep	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	GM	S	25,000	37.58	4-May	13-Sep	1,250.00	5.0
MORGAN LEWIS/MLH	046	GM	SS	30,000	36.58	4-May	13-Sep	1,500.00	5.0
LEDDY	035	GM	SS	700	37.27	4-May	13-Sep	0.00	0.0
B BUCK CAPITAL MGMT		GYMB	B	5,000	35.85	10-Aug	7-Sep	non-brg	4.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	41.53	22-Jun	6-Sep	800.00	4.0
NEEDHAM CAP	067	JCG	B	10,000	42.22	22-Jun	6-Sep	400.00	4.0
KERN	050	JCG	S	250	42.53	22-Jun	6-Sep	0.00	0.0
BALYASNY ASSET MGMT	044	JCI	SS	3,000	118.20	19-Jul	19-Jul	150.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	14,800	33.76	n/a	n/a	non-brg	4.0
BUCK	015	KBH	SS	1,000	24.65	n/a	n/a	0.00	0.0
THIRD POINT MGMT	044	KSS	SS	175,000	57.31	27-Sep	27-Sep	7,000.00	4.0
BUCK	015	LEH	B	650	62.16	12-Jun	20-Sep	0.00	0.0
WASHINGTON ASSET	048	LM	B	2,600	83.60	19-Sep	28-Sep	130.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	S	25,000	43.75	n/a	n/a	1,250.00	5.0
STERLING JOHNSTON	035	MCCC	S	50,000	7.13	21-Sep	21-Sep	2,000.00	4.0
BUCK	015	MER	S	300	71.58	18-Jul	20-Sep	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	MWV	B	30,000	29.45	31-Jul	21-Sep	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAW PARTNERS	041	MWV	B	12,500	29.92	31-Jul	21-Sep	625.00	5.0
RHO CAPITAL MGMT	041	MWV	B	500	29.96	31-Jul	21-Sep	25.00	5.0
SCOPUS FUND	041	MWV	B	50,000	29.91	31-Jul	21-Sep	2,500.00	5.0
LEDDY	035	MZZ	B	500	52.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		M	B	20,000	32.45	24-Sep	24-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		OEF	C	24,300	71.60	n/a	n/a	non-brg	1.0
JACOB	068	OII	S	125	75.80	n/a	n/a	0.00	0.0
IRON HORSE CAPITAL MGMT	038	OXPS	S	40,000	26.00	n/a	n/a	2,000.00	5.0
EGS ASSOCIATES LP	091	PLCE	B	7,500	24.29	26-Sep	26-Sep	450.00	6.0
DIAMONDBACK CAP MGMT	232	PTV	B	25,000	28.67	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	RL	SS	50,000	77.73	9-Aug	29-Aug	2,000.00	4.0
B BUCK CAPITAL MGMT		RTH	C	5,000	100.34	n/a	n/a	non-brg	1.0
STRAUSS ASSET MGMT	040	SFLY	S	10,000	32.35	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	SHW	B	20,000	65.89	n/a	4-Sep	1,000.00	5.0
BUCK	015	SNDK	B	1,250	55.15	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	SPF	S	25,000	5.48	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		SPY	C	2,200	152.37	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALLEON MGMT LP	033	SSCC	SS	75,000	11.48	4-May	21-Sep	3,750.00	5.0
NORTHPOINT	030	TAXI	S	27,700	11.00	n/a	n/a	1,108.00	4.0
IRONBOUND CAPITAL	012	TIN	B	45,000	52.53	21-Sep	21-Sep	2,250.00	5.0
BARON ASSET MGMT*	012	TOL	S	35,000	20.04	n/a	n/a	1,750.00	5.0
RIVER RUN MGMT	031	TRMP	B	39,800	6.44	n/a	n/a	1,592.00	4.0
PATTEN & PATTEN	067	TWTC	B	200	22.12	4-May	21-Sep	10.00	5.0
DC CAPITAL	044	UAUA	S	49,230	46.51	n/a	n/a	2,461.50	5.0
B BUCK CAPITAL MGMT		URBN	B	100,000	21.75	31-Jul	10-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	S	5,000	22.06	31-Jul	10-Aug	non-brg	1.0
REINHART & MAHONEY	031	VAR	B	10,820	41.51	n/a	n/a	541.00	5.0
PATTEN & PATTEN	067	VZ	B	200	44.36	21-Sep	26-Sep	10.00	5.0
STADIA CAPITAL	035	WHR	SS	7,000	89.11	n/a	n/a	280.00	4.0
PRINCIPLE CAPITAL	040	WSM	B	44,700	32.79	n/a	n/a	1,341.00	3.0
BUCK	015	WY	B	500	72.81	21-Sep	21-Sep	0.00	0.0
TOTAL (Trade Date):								67,455.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	09/27	WILLOW CREEK	033	ALU	B	25,000	9.73	n/a	n/a	1000.00	4.0
AO,CXL	09/27	WILLOW CREEK	033	ALU	B	25,000	9.73	n/a	n/a	1250.00	5.0
AO,	09/27	ALLEN & CO	032	APC	B	37,500	53.20	22-Jun	26-Sep	1500.00	4.0
AO,CRT	09/27	MKT MAKER	099	CENT	B	100	9.00	n/a	18-Sep	0.00	0.0
AO,CRT	09/27	PROSPECTOR PARTNERS LLC	036	NWEC	B	600	27.32	n/a	n/a	24.00	4.0
AO,CXL	09/27	PROSPECTOR PARTNERS LLC	036	NWEC	B	600	27.32	n/a	n/a	2400.00	400.0
AO,CRT	09/27	WILLOW CREEK	033	SKX	B	15,250	21.22	n/a	13-Mar	610.00	4.0
AO,CXL	09/27	WILLOW CREEK	033	SKX	B	15,250	21.22	n/a	13-Mar	762.50	5.0

TOTAL (AO, CXL, CRT) :**-1,278.50**

TOTAL (Trade Date):

67,455.00

TOTAL (AO, CXL, CRT):

-1,278.50

TOTAL (RUN DATE) / NFS:**66,176.50**

MRI Securities with Trade Activity on 28-Sep.
NONE

MRI Securities without Trade Activity on 28-Sep.

CHTT, KCP, PRX, TROW

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

T-Date = 12%

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