



## Daily Compliance Activity Report

Trade Date: 10/29/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	ABG	B	15,000	19.25	n/a	26-Oct	900.00	6.0
XYLEM GLOBAL	091	ABH	B	13,500	37.14	n/a	n/a	675.00	5.0
PATTEN & PATTEN	067	AB	S	400	83.81	25-Oct	25-Oct	20.00	5.0
<b>BUCK</b>	<b>015</b>	<b>AB</b>	<b>B</b>	<b>400</b>	<b>83.47</b>	<b>25-Oct</b>	<b>25-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	AEO	B	5,000	23.70	12-Oct	12-Oct	250.00	5.0
CHARTER OAK	033	AFFY	S	2,222	28.46	n/a	n/a	111.10	5.0
<b>BUCK</b>	<b>015</b>	<b>ANF</b>	<b>SS</b>	<b>400</b>	<b>79.08</b>	<b>2-Oct</b>	<b>25-Oct</b>	<b>0.00</b>	<b>0.0</b>
NEW JERSEY DIV OF INV.	220	AOI	B	65,500	6.44	n/a	n/a	1,965.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>50,000</b>	<b>22.38</b>	<b>n/a</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	067	AVY	S	100	57.88	13-Aug	23-Oct	5.00	5.0
CAPITAL GROWTH MGMT.	241	AXE	S	20,000	75.41	9-Oct	23-Oct	1,000.00	5.0
MERRILL LYNCH STRATEGICI	034	AXS	S	10,000	39.12	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	BAC	S	200	47.93	19-Oct	19-Oct	10.00	5.0
SAXON WOODS ADVISORS	038	BA	B	75,000	97.09	n/a	n/a	3,000.00	4.0
J L F ASSET MGMT	039	BBY	S	23,342	49.05	n/a	27-Jul	933.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROVIDENT INV COUNSEL	048	BEN	S	37,206	129.85	25-Sep	25-Oct	1,860.30	5.0
EGS ASSOCIATES LP	091	BIG	SS	3,000	24.64	26-Oct	26-Oct	180.00	6.0
BARROW HANLEY MEWHINNEY	031	BNI	S	7,500	86.36	n/a	n/a	300.00	4.0
NATIONAL BK OF CAN	031	BSC	S	10,000	114.46	4-Sep	22-Oct	400.00	4.0
<b>BUCK</b>	<b>015</b>	<b>CAH</b>	<b>S</b>	<b>800</b>	<b>66.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	CFC	B	300	16.95	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	CFC	S	400	16.95	n/a	n/a	20.00	5.0
BEAR STEARNS ASSET MGMT.	033	COH	SS	30,000	37.34	24-Oct	24-Oct	1,200.00	4.0
J.W. SELIGMAN	041	COH	B	362,900	37.13	24-Oct	24-Oct	14,516.00	4.0
LIGHTHOUSE FIN/QUAD	046	COMS	B	5,000	4.88	n/a	n/a	250.00	5.0
BENCHMARK	028	COV	B	5,000	41.68	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>C</b>	<b>B</b>	<b>79,800</b>	<b>42.64</b>	<b>n/a</b>	<b>16-Oct</b>	<b>non-brg</b>	<b>4.0</b>
OPTIMUM INV ADV	030	DBD	S	10,000	41.11	16-Aug	9-Oct	400.00	4.0
AAD CAPITAL	048	DSW	S	114,600	21.90	26-Oct	26-Oct	3,438.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>B</b>	<b>10,000</b>	<b>21.88</b>	<b>26-Oct</b>	<b>26-Oct</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	EMC	B	10,000	24.99	n/a	n/a	600.00	6.0
NORTHPOINT	030	ENG	S	36,351	14.57	n/a	n/a	1,454.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EWC	S	300	35.04	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	EWJ	S	3,300	14.30	n/a	n/a	165.00	5.0
PATTEN & PATTEN	067	FHN	S	800	25.63	n/a	n/a	40.00	5.0
HIGHBRIDGE CAPITAL	038	FL	SS	166,500	14.57	22-Aug	4-Sep	8,325.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FUQI</b>	<b>B</b>	<b>20,000</b>	<b>7.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BARROW HANLEY MEWHINNEY	031	GE	S	42,200	40.52	n/a	n/a	1,688.00	4.0
<b>WHEELER</b>	<b>008</b>	<b>GHM</b>	<b>S</b>	<b>4,000</b>	<b>63.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	GIL	S	15,000	45.05	19-Sep	19-Sep	600.00	4.0
MAGNETAR FINANCIAL	247	GM	SS	30,000	38.20	n/a	26-Oct	1,200.00	4.0
<b>BUCK</b>	<b>015</b>	<b>GSK</b>	<b>B</b>	<b>1,000</b>	<b>50.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GS</b>	<b>S</b>	<b>8,300</b>	<b>239.76</b>	<b>21-Sep</b>	<b>16-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>120,000</b>	<b>34.31</b>	<b>10-Aug</b>	<b>18-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>KORMAN</b>	<b>003</b>	<b>HAR</b>	<b>B</b>	<b>2,000</b>	<b>84.30</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	HOT	B	6,600	54.78	n/a	n/a	330.00	5.0
PATTEN & PATTEN	067	ILF	B	75	267.91	n/a	n/a	3.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARIENCE CAPITAL	036	JCG	B	91,900	37.47	24-Oct	24-Oct	4,595.00	5.0
⌘ BUCK CAPITAL MGMT		JCG	S	100,000	37.35	24-Oct	24-Oct	non-brg	4.0
COUGAR TRADING	044	JCG	B	20,900	37.44	24-Oct	24-Oct	1,045.00	5.0
TRELLUS PARTNERS LP	028	JCI	SS	25,000	43.69	2-Oct	23-Oct	1,250.00	5.0
MATRIX ASSET ADV.	036	JNJ	S	9,000	64.52	n/a	22-Apr	360.00	4.0
PATTEN & PATTEN	067	JNJ	S	200	64.80	n/a	22-Apr	10.00	5.0
MORGAN LEWIS/MLH	046	JPM	B	20,000	47.08	19-Oct	19-Oct	1,000.00	5.0
PATTEN & PATTEN	067	JWN	B	600	39.58	12-Oct	12-Oct	30.00	5.0
BUCK	015	JWN	SS	500	39.52	12-Oct	12-Oct	0.00	0.0
APEX CAPITAL MGMT.	091	KSS	B	5,000	56.00	27-Sep	12-Oct	250.00	5.0
COUGAR TRADING	044	KSS	B	5,000	57.43	27-Sep	12-Oct	250.00	5.0
MERRILL LYNCH STRATEGICI	034	K	SS	2,500	52.80	n/a	n/a	125.00	5.0
OGORMAN	146	LAD	C	700	15.90	n/a	26-Oct	0.00	0.0
KORMAN	003	LEH	B	1,500	61.00	12-Jun	16-Oct	0.00	0.0
LEDY	035	LEH	B	300	62.86	12-Jun	16-Oct	0.00	0.0
COUGAR TRADING	044	LIZ	SS	10,000	27.90	n/a	23-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		LM	B	15,100	81.75	12-Oct	24-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LM	B	30,000	81.42	12-Oct	24-Oct	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	MAR	SS	12,000	39.54	n/a	n/a	480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARROW HANLEY MEWHINNEY	031	MCD	S	11,800	58.84	n/a	24-Apr	472.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MER</b>	<b>B</b>	<b>57,400</b>	<b>65.98</b>	<b>25-Oct</b>	<b>29-Oct</b>	<b>non-brg</b>	<b>4.0</b>
NATIONAL BK OF CAN	031	MER	B	15,000	67.46	25-Oct	29-Oct	600.00	4.0
PATTEN & PATTEN	067	MHP	B	200	49.01	n/a	n/a	10.00	5.0
FARALLON CAP MGMT	040	MOS	S	75,000	69.07	n/a	n/a	3,000.00	4.0
FIRST NY SEC/CHRIS	041	MSFT	B	10,000	34.75	n/a	3-Apr	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>40,000</b>	<b>168.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>16.9</b>
PRINCIPLE CAPITAL	040	MW	S	50,000	41.39	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	M	S	15,000	33.38	24-Sep	12-Oct	750.00	5.0
MERRILL LYNCH STRATEGICI	034	NBR	SS	5,000	27.39	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	NEM	S	500	47.47	n/a	n/a	25.00	5.0
BARROW HANLEY MEWHINNEY	031	NOK	S	26,200	39.69	n/a	n/a	1,048.00	4.0
MERRILL ASSET	032	NPO	B	11,300	41.07	n/a	n/a	565.00	5.0
FARALLON CAP MGMT	040	NRG	S	110,000	45.19	n/a	n/a	4,400.00	4.0
CAPITAL GROWTH MGMT.	241	NVR	B	2,000	480.29	n/a	n/a	100.00	5.0
<b>BUCK</b>	<b>015</b>	<b>NVS</b>	<b>S</b>	<b>1,000</b>	<b>52.11</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.	
MAZAMA CAPITAL MGMT.	035	NZ	B	29,000	12.85	n/a	n/a	1,160.00	4.0
<b>BUCK</b>	<b>015</b>	<b>ONXX</b>	<b>B</b>	<b>800</b>	<b>44.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	PRU	SS	41,287	96.05	n/a	n/a	1,651.48	4.0
<b>STRATTON</b>	<b>N21</b>	<b>PRXI</b>	<b>B</b>	<b>350</b>	<b>12.10</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>PTT</b>	<b>S</b>	<b>5,000</b>	<b>10.47</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
UBS OCONNOR	031	PZN	SS	14,100	20.00	n/a	n/a	423.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>RIG</b>	<b>S</b>	<b>7,500</b>	<b>119.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>100,000</b>	<b>69.99</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	B	15,000	69.84	9-Aug	29-Aug	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RSH</b>	<b>SS</b>	<b>20,000</b>	<b>20.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
INDEPENDENCE INV	039	RSH	S	34,400	20.94	n/a	n/a	1,376.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>C</b>	<b>70,000</b>	<b>99.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>88,800</b>	<b>25.02</b>	<b>n/a</b>	<b>13-Mar</b>	<b>3,552.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>100,000</b>	<b>25.10</b>	<b>n/a</b>	<b>13-Mar</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>200,000</b>	<b>25.00</b>	<b>n/a</b>	<b>13-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>25,700</b>	<b>25.01</b>	<b>n/a</b>	<b>13-Mar</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>72,400</b>	<b>25.04</b>	<b>n/a</b>	<b>13-Mar</b>	<b>non-brg</b>	<b>4.0</b>
CHILTON CAPITAL MGMT.	036	SO	C	150,542	36.40	n/a	n/a	6,021.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STONERIDGE INV PART	033	SSI	B	26,900	17.56	3-Aug	12-Oct	1,345.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>B</b>	<b>15,000</b>	<b>15.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	TUP	B	50,000	33.57	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TWB</b>	<b>B</b>	<b>30,000</b>	<b>29.35</b>	<b>2-Oct</b>	<b>2-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>LUCHANSKY2</b>	<b>036</b>	<b>TWB</b>	<b>S</b>	<b>200</b>	<b>29.48</b>	<b>2-Oct</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	T	S	300	41.67	21-Sep	29-Oct	15.00	5.0
THIRD COAST CAPITAL	035	URBN	S	25,000	24.21	23-Oct	23-Oct	1,250.00	5.0
ELM RIDGE ADVISORS	044	VC	S	300	5.90	n/a	25-Oct	9.00	3.0
MERRILL ASSET	032	VQ	S	38,700	23.00	n/a	n/a	1,741.50	4.5
PATTEN & PATTEN	067	WB	B	1,500	46.68	n/a	n/a	75.00	5.0
BALYASNY ASSET MGMT	044	WDR	S	30,000	32.18	23-Oct	23-Oct	1,500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>WFC</b>	<b>S</b>	<b>1,200</b>	<b>34.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WY</b>	<b>S</b>	<b>25,000</b>	<b>73.95</b>	<b>21-Sep</b>	<b>18-Oct</b>	<b>non-brg</b>	<b>4.0</b>
XYLEM GLOBAL	091	WY	S	175,000	73.46	21-Sep	18-Oct	8,750.00	5.0
GALLEON MGMT LP	033	XLB	C	15,000	43.59	n/a	n/a	750.00	5.0
FARALLON CAP MGMT	040	XLF	SS	300,000	33.51	n/a	n/a	9,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	XLF	B	50,000	33.45	n/a	n/a	0.00	0.0
LISTED ERR	099	XLF	S	50,000	33.45	n/a	n/a	0.00	0.0
GENERAL ELECTIC CO	033	ZMH	S	46,000	69.19	n/a	n/a	920.00	2.0
COUGAR TRADING	044	ZQK	S	5,000	13.09	n/a	7-Sep	250.00	5.0
MERRILL LYNCH STRATEGICI	034	ZUMZ	SS	15,000	45.91	n/a	n/a	750.00	5.0
<b>TOTAL (Trade Date):</b>							<b>117,074.53</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/18	BUCK CAPITAL MGMT	001	ARO	B	10,000	20.43	n/a	12-Oct	0.00 0.0
AO,CXL	10/18	BUCK CAPITAL MGMT	001	ARO	B	10,000	20.43	n/a	12-Oct	400.00 4.0
AO,CXL	10/23	MEISENBACH CAP MGMT	041	BRCM	B	10,000	42.00	n/a	n/a	500.00 5.0
AO,CRT	10/23	MEISENBACH CAP MGMT	041	BRCM	B	10,000	42.00	n/a	n/a	300.00 3.0
AO,	10/26	ROTHSCHILD ASSET	040	FIF	S	10,850	26.73	n/a	n/a	488.25 4.5
AO,	10/26	GALLEON MGMT LP	033	GNA	SS	75,000	13.47	n/a	n/a	3750.00 5.0
AO,CRT	10/26	COUGAR TRADING	044	JCG	S	900	27.60	24-Oct	24-Oct	45.00 5.0
AO,CXL	10/25	APEX CAPITAL MGMT.	091	KSS	B	50,000	56.00	27-Sep	12-Oct	2500.00 5.0
AO,CRT	10/25	APEX CAPITAL MGMT.	091	KSS	B	45,000	56.00	27-Sep	12-Oct	2250.00 5.0
AO,	10/26	SOUTH POINT CAP	067	NTRI	B	167,000	29.93	n/a	n/a	8350.00 5.0
AO,CRT	10/26	BUCK CAPITAL MGMT	001	NWY	B	108,800	6.62	25-May	18-Oct	4352.00 4.0
AO,CXL	10/26	BUCK CAPITAL MGMT	001	NWY	B	108,900	6.62	25-May	18-Oct	4356.00 4.0

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**TOTAL (AO, CXL, CRT) :****11,779.25**

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**TOTAL (Trade Date) :****117,074.53****TOTAL (AO, CXL, CRT) :****11,779.25**

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TOTAL (RUN DATE) / NFS:

128,853.78

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MRI Securities with Trade Activity on 29-Oct.  
NONE

MRI Securities without Trade Activity on 29-Oct.  
KEG

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 15%  
YTD = 18%

**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**