



Daily Compliance Activity Report

Trade Date: 07/09/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	100,000	26.05	10-Jul	6-Jul	non-brg	5.0
BUCK CAPITAL MGMT		AEO	B	25,000	25.82	10-Jul	6-Jul	non-brg	0.4
BUCK CAPITAL MGMT		AEO	B	25,000	26.20	10-Jul	6-Jul	non-brg	0.4
BUCK CAPITAL MGMT		AEO	B	250,000	26.01	10-Jul	6-Jul	non-brg	5.0
COUGAR TRADING	044	AEO	B	5,000	25.99	10-Jul	6-Jul	250.00	5.0
STADIA CAPITAL	035	ANF	SS	11,000	73.39	n/a	6-Jul	440.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	50,000	36.30	25-May	6-Jul	2,000.00	4.0
STADIA CAPITAL	035	ARO	SS	11,000	42.57	n/a	6-Jul	440.00	4.0
THE JAY GOLDMAN	034	ARO	B	25,000	42.80	n/a	6-Jul	1,000.00	4.0
MAGUIRE	039	ASDHM	B	10	0.55	n/a	n/a	0.00	0.0
MAGUIRE	039	ASDJN	B	10	0.60	n/a	n/a	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	ASD	S	20,000	60.30	31-May	25-Jun	600.00	3.0
MERRILL ASSET	032	ASF	B	7,500	35.17	n/a	n/a	337.50	4.5
REINHART & MAHONEY	031	ATRI	B	100	102.00	n/a	n/a	5.00	5.0
REINHART & MAHONEY	031	AXYS	B	6,600	21.59	n/a	n/a	330.00	5.0
SANDLER CAPITAL	038	BA	B	60,000	100.77	n/a	n/a	3,600.00	6.0
THE BOSTON COMPANY	214	BBBY	S	86,500	36.65	n/a	n/a	4,325.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	BOW	C	5,100	25.46	n/a	14-Jun	204.00	4.0
⌘ BUCK CAPITAL MGMT		CACH	B	20,000	15.08	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CACH	B	200,000	15.09	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		CACH	B	80,000	15.02	n/a	n/a	non-brg	5.0
LEDDY	035	CALPINE CORPB		130,000	126.00	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CAT	SS	5,000	79.85	n/a	n/a	250.00	5.0
TRUST CO/COWEN/CALF.	040	CC	B	377,240	15.07	1-May	21-Jun	15,089.60	4.0
FIRST NEW YORK LEDDY	035	CHIC	B	10,000	25.77	n/a	n/a	600.00	6.0
EGS ASSOCIATES LP	091	COH	S	3,000	49.65	23-Feb	25-Apr	180.00	6.0
BANK OF NEW YORK	040	CPB	S	175,000	38.26	n/a	n/a	7,000.00	4.0
CAXTON PART	040	CSCO	B	100,000	28.49	n/a	22-Mar	4,000.00	4.0
LEDDY	035	CSCT	B	500	18.27	n/a	n/a	0.00	0.0
LEDDY	035	EVST	S	1,950	34.04	n/a	n/a	0.00	0.0
OTC ERROR	099	FINL	B	31,400	8.37	n/a	2-Jul	0.00	0.0
OTC ERROR	099	FINL	S	31,400	8.37	n/a	2-Jul	0.00	0.0
COUGAR TRADING	044	FL	S	5,000	21.84	24-May	21-Jun	250.00	5.0
REINHART & MAHONEY	031	FSP	B	9,640	16.98	n/a	n/a	482.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIRCLE T PART	035	GM	SS	40,000	37.01	4-May	5-Jul	1,600.00	4.0
B BUCK CAPITAL MGMT		GYMB	B	40,000	41.06	n/a	4-Jun	non-brg	5.0
LEDDY	035	HCGI	B	9,000	0.90	n/a	n/a	0.00	0.0
CAXTON PART	040	HD	B	100,000	40.42	n/a	20-Jun	4,000.00	4.0
MANNING & NAPIER	034	HES	S	244,375	61.77	n/a	n/a	9,775.00	4.0
MAMM	034	HES	S	5,625	61.77	n/a	n/a	225.00	4.0
RIVER RUN MGMT	031	HOFF	S	4,300	20.25	n/a	n/a	215.00	5.0
BALYASNY ASSET MGMT	044	HSC	B	5,000	53.81	31-May	31-May	250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	11,900	26.24	14-Jun	25-Jun	476.00	4.0
LOCUS WOOD CAPITAL MGMT	044	JNJ	B	25,000	63.14	n/a	22-Apr	1,000.00	4.0
PZENA INV ADV	044	JNJ	B	4,000	62.36	n/a	22-Apr	160.00	4.0
LISTED ERR	099	JNJ	B	4,900	63.14	n/a	22-Apr	0.00	0.0
LISTED ERR	099	JNJ	S	4,900	63.15	n/a	22-Apr	0.00	0.0
SANDLER O'NEILL ASSET	031	JNS	SS	15,000	30.60	7-Jun	25-Jun	750.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	120,000	42.94	n/a	n/a	non-brg	5.0
MILLENIUM PARTNERS	028	JWN	S	10,000	49.23	27-Feb	6-Jul	500.00	5.0
GRACIE CAPITAL	028	KFT	B	175,000	34.61	n/a	n/a	8,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ROCK	028	KLAC	S	172,000	57.39	n/a	n/a	6,880.00	4.0
BUCK CAPITAL MGMT	001	KSS	SS	175,000	69.00	14-Jun	14-Jun	7,000.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	SS	25,000	69.67	14-Jun	14-Jun	non-brg	2.0
⌘ BUCK CAPITAL MGMT		KSS	S	100,000	69.01	14-Jun	14-Jun	non-brg	5.0
COUGAR TRADING	044	KSS	B	5,000	69.00	14-Jun	14-Jun	250.00	5.0
⌘ BUCK CAPITAL MGMT		LAVA	S	10,000	14.16	n/a	n/a	non-brg	5.0
U.S.TRUST COMPANY	012	MET	B	50,000	64.59	n/a	n/a	2,250.00	4.5
BALYASNY ASSET MGMT	044	MMM	B	25,000	88.28	2-May	1-Jun	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		M	C	40,000	41.37	6-Jul	6-Jul	non-brg	5.0
REINHART & MAHONEY	031	NADX	B	8,400	19.75	n/a	n/a	420.00	5.0
REINHART & MAHONEY	031	NAVG	B	3,000	53.91	n/a	n/a	150.00	5.0
SAGE ASSET MGMT	012	NCC	SS	107,600	33.26	n/a	n/a	5,380.00	5.0
⌘ BUCK CAPITAL MGMT		NLS	S	150,000	12.11	n/a	n/a	non-brg	5.0
TPG-AXON	040	NWS	B	250,000	23.48	n/a	n/a	12,500.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	20,000	45.08	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		OXM	S	8,000	45.26	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	OXPS	B	25,000	26.22	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		PAG	B	14,200	21.66	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		PAG	B	25,800	21.65	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		PERY	B	10,000	33.04	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		PERY	B	10,000	33.21	n/a	n/a	non-brg	1.0
WHITE PINE CAPITAL	030	PERY	B	2,800	32.89	n/a	n/a	140.00	5.0
REINHART & MAHONEY	031	PMD	B	6,200	20.37	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	30,000	32.01	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT		PSUN	S	70,000	22.32	n/a	6-Jul	non-brg	5.0
SSI INVESTORS	048	Q	S	50,535	9.78	n/a	n/a	2,021.40	4.0
BULL PATH CAPITAL	044	ROST	B	30,000	30.62	n/a	n/a	1,500.00	5.0
STADIA CAPITAL	035	RSH	SS	10,000	34.67	n/a	n/a	400.00	4.0
WHITE PINE CAPITAL	030	RVI	B	2,875	16.44	n/a	n/a	143.75	5.0
FIRST INV MGMT CORP	036	SGP	S	35,620	30.31	n/a	n/a	890.50	2.5
SENECA CAPITAL LP NY	028	SPY	S	104,000	152.79	n/a	n/a	5,200.00	5.0
US BANCORP	030	STT	S	170,598	69.16	n/a	n/a	8,529.90	5.0
BALYASNY ASSET MGMT	044	TCB	S	20,000	27.78	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	TGT	SS	40,000	67.38	n/a	9-Jul	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	TJX	B	98,840	28.89	21-Mar	6-Jul	5,930.40	6.0
COUGAR TRADING	044	TJX	B	5,000	28.90	21-Mar	6-Jul	250.00	5.0
BUCK CAPITAL MGMT	001	TLB	SS	50,000	25.37	n/a	29-Jun	2,000.00	4.0
ROTHSCHILD ASSET	040	TUP	B	41,200	29.64	n/a	n/a	1,854.00	4.5
COUGAR TRADING	044	TWB	S	5,000	46.15	2-Jul	2-Jul	250.00	5.0
LEDDY	035	TWB	B	300	45.82	2-Jul	2-Jul	0.00	0.0
MILLENIUM PARTNERS	028	T	S	10,000	40.43	25-Apr	6-Jul	500.00	5.0
FIRST INV MGMT CORP	036	UBS	S	17,600	61.31	n/a	n/a	440.00	2.5
B BUCK CAPITAL MGMT		URBN	B	50,000	23.15	2-Apr	11-May	non-brg	5.0
MILLENIUM PARTNERS	028	URBN	S	15,000	23.01	2-Apr	11-May	750.00	5.0
MSD CAPITAL	036	USTR	S	100	69.00	23-May	23-May	5.00	5.0
SENTINAL CAPITAL	067	VZ	B	10,000	41.61	4-May	22-Jun	500.00	5.0
WHITE PINE CAPITAL	030	WDR	B	1,425	26.76	5-Mar	25-Jun	71.25	5.0
B BUCK CAPITAL MGMT		WRNC	S	20,000	39.21	20-Jun	20-Jun	non-brg	5.0
BANK OF NEW YORK	040	WYE	B	75,500	56.94	n/a	31-Mar	3,020.00	4.0
TOTAL (Trade Date):								145,410.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/06	LUCHANSKY1	036	FACE	B	1,000	15.56	n/a	n/a	0.00	0.0
AO,CRT	07/06	LUCHANSKY1	036	FACE	B	1,000	15.56	n/a	n/a	0.00	0.0
AO,CXL	07/06	BARROW HANLEY MEWHINNEY	096	NGI	S	4,600	4.98	n/a	n/a	0.00	0.0
AO,CRT	07/06	BARROW HANLEY MEWHINNEY	096	NGI	S	4,600	4.98	n/a	n/a	0.00	0.0
AO,CXL	07/05	ROTHSCHILD ASSET	040	TUP	B	40	29.28	n/a	n/a	1.80	4.5
AO,CRT	07/05	ROTHSCHILD ASSET	040	TUP	B	40	29.28	n/a	n/a	1.80	4.5
AO,CRT	07/06	OSS CAPITAL/KEVIN DANN	067	VMED	S	100,000	29.25	n/a	n/a	3000.00	3.0
AO,CXL	07/06	OSS CAPITAL/KEVIN DANN	067	VMED	S	100,000	29.25	n/a	n/a	1.46	0.0

TOTAL (AO, CXL, CRT) :**2,998.54**

TOTAL (Trade Date) :

145,410.30

TOTAL (AO, CXL, CRT) :

2,998.54

TOTAL (RUN DATE) / NFS:**148,408.84**

MRI Securities with Trade Activity on 9-Jul.
NONE

MRI Securities without Trade Activity on 9-Jul.

ASH, CBT, SMG

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

T-Date = 20%

YTD = 17%

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