



Daily Compliance Activity Report

Trade Date: 10/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ABG	B	20,000	20.61	18-Jun	3-Oct	non-brg	4.0
GRONET	030	ABG	B	100	21.47	18-Jun	3-Oct	0.00	0.0
BUCK	015	AB	S	900	92.15	9-Aug	28-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	100	25.34	10-Jul	5-Oct	4.00	4.0
B BUCK CAPITAL MGMT		AEO	B	50,000	24.96	10-Jul	5-Oct	non-brg	4.0
COUGAR TRADING	044	AEO	SS	5,000	25.32	10-Jul	5-Oct	250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	AEO	S	43,300	24.92	10-Jul	5-Oct	1,732.00	4.0
J L F ASSET MGMT	039	AEO	B	139,200	25.46	10-Jul	5-Oct	5,568.00	4.0
THOMSON HORSTMAN BRYANT	040	AEO	B	7,000	25.39	10-Jul	5-Oct	350.00	5.0
LISTED ERR	099	AEO	B	100	25.25	10-Jul	5-Oct	0.00	0.0
LISTED ERR	099	AEO	S	100	25.38	10-Jul	5-Oct	0.00	0.0
NORTHPOINT	030	AIZ	S	2,200	56.08	n/a	n/a	88.00	4.0
BELMONT GLOBAL ADV	248	AMAT	B	110,000	21.23	n/a	n/a	5,500.00	5.0
ROXBURY CAPITAL MGMT	035	AMG	S	33,400	130.83	25-Jul	28-Sep	1,336.00	4.0
SUNOVA CAPITAL	031	AMG	B	20,000	131.32	25-Jul	28-Sep	1,000.00	5.0
COUGAR TRADING	044	ANN	SS	5,000	33.90	6-Aug	5-Oct	250.00	5.0
SARAS CAPITAL	038	AN	SS	20,000	18.12	n/a	27-Jul	1,000.00	5.0
COUGAR TRADING	044	ARO	B	15,000	21.22	n/a	5-Oct	750.00	5.0
J L F ASSET MGMT	039	ARO	B	12,700	20.85	n/a	5-Oct	508.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		ASD	B	10,000	35.85	17-Aug	14-Sep	non-brg	4.0
CATAPULT	040	BAC	SS	2,500	52.83	20-Apr	5-Oct	125.00	5.0
LEDDY	035	BBW	S	500	19.42	11-Sep	13-Sep	0.00	0.0
J L F ASSET MGMT	039	BBY	B	61,100	49.68	n/a	27-Jul	2,444.00	4.0
SUNOVA CAPITAL	031	BEN	B	75,000	129.61	25-Sep	28-Sep	3,750.00	5.0
BUCK	015	BG	B	500	103.56	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	CC	S	252,845	9.12	n/a	27-Jul	10,113.80	4.0
RAMIUS CAP	040	CHB	S	150,000	12.56	n/a	n/a	7,500.00	5.0
LEDDY	035	CHCG	B	3,500	5.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	B	10,000	15.03	30-Aug	5-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	CHS	S	100,000	15.27	30-Aug	5-Oct	4,000.00	4.0
MILLENIUM PARTNERS	028	CIT	SS	60,000	41.49	n/a	n/a	3,000.00	5.0
NORTHPOINT	030	CNB	S	7,600	21.86	n/a	n/a	304.00	4.0
BUCK CAPITAL MGMT	001	COH	B	5,000	46.48	n/a	10-Sep	200.00	4.0
COUGAR TRADING	044	COH	B	5,000	46.64	n/a	10-Sep	250.00	5.0
B BUCK CAPITAL MGMT		CTRN	S	90,000	19.88	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	CTXS	B	87,100	40.39	n/a	n/a	3,484.00	4.0
J L F ASSET MGMT	039	CVS	B	36,300	39.26	n/a	n/a	1,452.00	4.0
BUCK CAPITAL MGMT	001	C	B	70,000	48.21	n/a	5-Oct	2,800.00	4.0
⌘ BUCK CAPITAL MGMT		DDS	C	75,000	23.62	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DIA	C	105,000	140.49	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DLTR	C	25,000	41.25	10-Aug	21-Sep	non-brg	4.0
MERRILL ASSET	032	DRQ	B	12,600	51.77	n/a	n/a	630.00	5.0
METROPOLITAN CAPITAL	044	DSW	B	48,200	26.41	5-Sep	2-Oct	2,410.00	5.0
BULL PATH CAPITAL	044	DTV	S	40,000	25.91	21-Sep	4-Oct	2,000.00	5.0
KACELA CAPITAL	034	EAT	B	15,000	28.10	n/a	24-Apr	600.00	4.0
⌘ BUCK CAPITAL MGMT		FLDR	SS	50,000	4.85	n/a	n/a	non-brg	3.0
J L F ASSET MGMT	039	FL	B	25,500	15.47	22-Aug	4-Sep	1,020.00	4.0
LEDDY	035	GCO	S	400	48.01	n/a	10-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	15,000	52.05	n/a	n/a	600.00	4.0
LOOMIS SALES/BOSTON	036	GES	S	25,088	52.14	n/a	n/a	1,003.52	4.0
⌘ BUCK CAPITAL MGMT		GIII	S	20,000	19.83	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	GIL	S	400	40.40	19-Sep	19-Sep	0.00	0.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	37.77	n/a	3-Oct	1,250.00	5.0
LEDDY	035	GM	SS	1,200	38.09	n/a	3-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	SS	30,000	18.95	n/a	5-Oct	1,200.00	4.0
AMATURO	018	GSI	B	1,000	16.90	n/a	n/a	0.00	0.0
LEDDY	035	GSI	B	1,500	15.50	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GYMB	B	20,000	37.49	10-Aug	7-Sep	non-brg	4.0
MAGUIRE	090	HGG	B	4,500	12.20	n/a	n/a	0.00	0.0
MAGUIRE	039	HSTX	B	400	18.12	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		ICON	S	10,000	23.78	n/a	n/a	non-brg	4.0
PERRY PARTNERS	041	IGT	S	350,000	44.01	n/a	20-Jul	17,500.00	5.0
⌘ BUCK CAPITAL MGMT		IKAN	S	150,000	5.95	n/a	n/a	non-brg	2.5
J L F ASSET MGMT	039	INTC	B	100,000	25.69	n/a	n/a	4,000.00	4.0
LISTED ERR	099	ITG	B	1,400	43.69	n/a	n/a	0.00	0.0
LISTED ERR	099	ITG	S	1,400	43.72	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	IVZ	B	25,000	28.45	8-Aug	3-Oct	1,250.00	5.0
COUGAR TRADING	044	JCP	B	10,000	68.07	21-Jun	5-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCP	SS	10,000	68.75	21-Jun	5-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	105,045	34.74	n/a	n/a	non-brg	4.0
MAGUIRE	090	JPM	C	1,500	47.40	n/a	5-Oct	0.00	0.0
BARR	096	JPM	C	300	47.39	n/a	5-Oct	0.00	0.0
BUCK	015	KFT	B	1,000	34.07	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	SS	5,000	60.14	27-Sep	5-Oct	250.00	5.0
CHILTON CAPITAL MGMT.	036	KSU	B	31,000	32.93	n/a	n/a	1,240.00	4.0
TOCQUEVILLE ASSET MGMT	048	LEE	B	15,000	17.22	n/a	n/a	900.00	6.0
⌘ BUCK CAPITAL MGMT		LM	B	15,000	86.35	19-Sep	28-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LM	B	69,100	86.02	19-Sep	28-Sep	non-brg	4.0
EPOCH INV MGMT	030	LM	B	44,800	86.08	19-Sep	28-Sep	1,792.00	4.0
SUNOVA CAPITAL	031	LM	B	25,000	85.53	19-Sep	28-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	LTD	SS	40,000	22.73	16-May	5-Oct	1,600.00	4.0
ROTHSCHILD ASSET	040	MCK	S	19,073	59.34	n/a	n/a	858.29	4.5
BUCK CAPITAL MGMT	001	MER	B	41,500	76.06	5-Oct	5-Oct	1,660.00	4.0
BUCK	015	MO	S	500	69.67	n/a	n/a	0.00	0.0
RHO CAPITAL MGMT	041	MSO	S	500	13.60	n/a	n/a	20.00	4.0
PAW PARTNERS	041	MWV	S	12,500	30.38	31-Jul	21-Sep	625.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RHO CAPITAL MGMT	041	MWV	S	500	30.13	31-Jul	21-Sep	20.00	4.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	50.41	n/a	n/a	400.00	4.0
LEDDY	035	MZZ	B	800	49.72	n/a	n/a	0.00	0.0
8 BUCK CAPITAL MGMT		M	B	130,000	35.02	24-Sep	5-Oct	non-brg	4.0
COUGAR TRADING	044	M	B	10,000	34.92	24-Sep	5-Oct	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	M	S	20,000	35.48	24-Sep	5-Oct	800.00	4.0
PILOT ADV	038	M	S	50,000	35.11	24-Sep	5-Oct	2,000.00	4.0
ZANDER CAPITAL MGMT	035	M	B	4,000	35.21	24-Sep	5-Oct	160.00	4.0
NORTHPOINT	030	NAVG	S	31,700	59.22	n/a	n/a	1,268.00	4.0
MAZAMA CAPITAL MGMT.	035	NGS	S	5,800	17.42	n/a	n/a	232.00	4.0
LUCHANSKY1	036	NTRZ	B	1,000	1.85	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	NVTL	B	38,232	26.18	n/a	n/a	1,529.28	4.0
BUCK CAPITAL MGMT	001	NWY	B	30,000	6.81	25-May	24-Aug	1,200.00	4.0
8 BUCK CAPITAL MGMT		PAG	B	60,000	21.01	n/a	1-Aug	non-brg	4.0
EGS ASSOCIATES LP	091	PAG	B	2,200	21.00	n/a	1-Aug	132.00	6.0
KAICHER	064	PILL	B	2,000	18.19	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	53.79	13-Aug	29-Aug	400.00	4.0
BUCK	015	QQQQ	B	700	52.66	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	60,000	75.70	9-Aug	29-Aug	2,400.00	4.0
COUGAR TRADING	044	RL	S	5,000	75.50	9-Aug	29-Aug	250.00	5.0
KACELA CAPITAL	034	RL	B	5,000	76.74	9-Aug	29-Aug	200.00	4.0
⚡ BUCK CAPITAL MGMT		RTH	C	150,000	101.52	n/a	n/a	non-brg	1.0
RHO CAPITAL MGMT	041	RVI	S	2,000	11.24	n/a	n/a	80.00	4.0
NORTHPOINT	030	SFI	S	10,100	35.25	n/a	n/a	404.00	4.0
GRONET	030	SMBL	B	1,000	13.05	n/a	n/a	0.00	0.0
BUCK	015	SNDK	S	1,250	52.26	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	SPLS	B	40,000	22.09	n/a	27-Jul	1,600.00	4.0
⚡ BUCK CAPITAL MGMT		SPY	C	100,000	154.97	n/a	n/a	non-brg	1.0
GALLEON MGMT LP	033	SSCC	C	20,000	11.59	4-May	21-Sep	1,000.00	5.0
BUCK CAPITAL MGMT	001	SSI	S	30,000	18.96	3-Aug	5-Oct	1,200.00	4.0
EGS ASSOCIATES LP	091	SSI	SS	4,500	18.99	3-Aug	5-Oct	270.00	6.0
GLG PARTNERS	034	SSI	S	50,000	19.05	3-Aug	5-Oct	2,500.00	5.0
NORTHPOINT	030	STSA	S	5,800	28.37	n/a	n/a	232.00	4.0
BARR	096	STT	C	200	67.31	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		STV	S	7,000	30.00	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	SWN	B	5,000	44.62	n/a	1-Oct	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	SYX	SS	40,000	34.56	n/a	24-Apr	2,000.00	5.0
LUCHANSKY1	036	S	B	1,000	19.22	n/a	n/a	0.00	0.0
EMP ERROR	099	S	S	1,000	19.30	n/a	n/a	0.00	0.0
NORTHPOINT	030	TAXI	S	15,191	11.00	n/a	n/a	607.64	4.0
BUCK	015	TGTJU	S	6	0.95	n/a	n/a	0.00	0.0
S.A.C. CAPITAL MGMT.	044	TIN	S	24,700	56.64	21-Sep	21-Sep	1,235.00	5.0
SARAS CAPITAL	038	TIN	B	57,400	56.44	21-Sep	21-Sep	2,870.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	10,000	29.00	21-Sep	5-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	60,000	19.05	n/a	23-Aug	2,400.00	4.0
NORTHPOINT	030	TUP	S	64,600	34.18	n/a	n/a	2,584.00	4.0
STERLING JOHNSTON	035	TWB	B	7,000	34.99	2-Oct	2-Oct	350.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	23.86	31-Jul	10-Aug	250.00	5.0
SANDLER CAPITAL	038	VIAB	B	80,000	40.09	n/a	n/a	4,800.00	6.0
B BUCK CAPITAL MGMT		VIRL	B	10,000	8.41	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		WDR	S	189,300	27.92	5-Oct	5-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		WDR	S	38,600	28.04	5-Oct	5-Oct	non-brg	1.0
SANDLER O'NEILL ASSET	031	WDR	S	50,000	28.14	5-Oct	5-Oct	2,500.00	5.0
SUNOVA CAPITAL	031	WDR	SS	50,000	27.82	5-Oct	5-Oct	2,500.00	5.0
BUCK	015	WYVN	B	10	0.50	n/a	n/a	0.00	0.0
BUCK	015	WY	B	200	74.65	21-Sep	21-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	20,000	15.06	n/a	7-Sep	800.00	4.0
TOTAL (Trade Date):								145,141.53	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/04	WHEELER	008	CCC	S	5,400	7.50	n/a	n/a	0.00 0.0
AO,CRT	10/03	SCOPUS FUND	041	MSO	S	17,500	12.87	n/a	n/a	875.00 5.0
AO,CXL	10/03	SCOPUS FUND	041	MSO	S	17,500	12.87	n/a	n/a	875.00 5.0
AO,	10/04	MAZAMA CAPITAL MGMT.	035	PJC	S	20,300	56.86	n/a	n/a	812.00 4.0
AO,CRT	10/04	BUCK CAPITAL MGMT	001	RL	S	50,000	75.72	9-Aug	29-Aug	2000.00 4.0
AO,CXL	10/04	BUCK CAPITAL MGMT	001	RL	S	50,000	75.72	9-Aug	29-Aug	2000.00 4.0
AO,CXL	10/04	LUCHANSKY1	036	S	C	1,000	19.08	n/a	n/a	0.00 0.0
AO,CRT	10/04	EMP ERROR	099	S	C	1,000	19.08	n/a	n/a	0.00 0.0
AO,	10/04	SENTINAL CAPITAL	067	VZ	B	8,000	45.35	21-Sep	1-Oct	400.00 5.0
TOTAL (AO, CXL, CRT) :										1,212.00

TOTAL (Trade Date):	145,141.53
TOTAL (AO, CXL, CRT):	1,212.00

TOTAL (RUN DATE) / NFS:	146,353.53
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MRI Securities with Trade Activity on 5-Oct.

MER, WDR

MRI Securities without Trade Activity on 5-Oct.

ARG, CLB, IFF

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

T-Date = 41%

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