



Daily Compliance Activity Report

Trade Date: 01/22/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ANF	B	5,000	79.13	3-Nov	5-Jan	200.00	4.0
⚡ BUCK CAPITAL MGMT		ANST	SS	5,000	27.14	n/a	n/a	non-brg	5.0
NEUBERGER BERMAN	238	ARB	S	5,000	45.54	n/a	n/a	250.00	5.0
FORTRESS CAPITAL	040	BBY	S	100,000	49.17	13-Dec	10-Jan	5,000.00	5.0
⚡ BUCK CAPITAL MGMT		BHI	B	25,000	67.47	n/a	n/a	non-brg	5.0
⚡ BUCK CAPITAL MGMT		BID	B	10,000	34.85	n/a	n/a	non-brg	5.0
SUN AMERICA ASSET MGMT	030	BJS	B	20,400	26.78	n/a	n/a	1,020.00	5.0
MCCARTAN	028	BKHM	S	1,000	2.89	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	BONT	B	875	36.53	23-Oct	5-Jan	43.75	5.0
⚡ BUCK CAPITAL MGMT		BRNC	B	20,000	15.44	n/a	n/a	non-brg	5.0
SENTINAL CAPITAL	067	BSC	B	2,000	169.32	15-Dec	16-Jan	100.00	5.0
BANK OF NEW YORK	040	CAKE	S	51,235	26.09	n/a	17-Jan	2,305.58	4.5
PIVOT CAP	034	CAKE	B	5,000	26.11	n/a	17-Jan	200.00	4.0
KAICHER	064	CAMH	S	3,000	2.29	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	CBI	S	64,400	26.21	n/a	n/a	3,220.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	CBK	B	20,000	19.63	11-Dec	5-Jan	800.00	4.0
BANK OF NEW YORK	040	CENT	S	16,190	43.86	22-Jan	22-Jan	728.55	4.5
NEUBERGER BERMAN	238	CHD	S	15,000	44.57	8-Nov	4-Dec	750.00	5.0
NEUBERGER BERMAN	238	CLC	S	6,200	33.71	n/a	n/a	310.00	5.0
PORTER-ORLIN-FELDMAN	044	CLX	SS	100,000	65.13	5-Dec	5-Dec	5,000.00	5.0
BANK OF NEW YORK	040	CMG	B	6,790	58.29	n/a	12-Dec	305.55	4.5
⌘ BUCK CAPITAL MGMT		COH	S	10,000	44.00	7-Dec	19-Jan	non-brg	5.0
Õ Doug Rogers		CPN	B	60	81.25	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	60	81.25	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	60	81.25	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	CRL	S	7,000	44.67	n/a	n/a	350.00	5.0
VANDER MOOLEN	040	CSCO	B	7,500	26.59	n/a	22-Mar	375.00	5.0
ZOLIDIS	011	CWTR	SS	500	20.18	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	EAT	SS	20,000	30.12	13-Sep	12-Dec	1,000.00	5.0
EFSTATHIOU	044	EBS	S	200	15.71	n/a	n/a	0.00	0.0
LEDDY	035	EDA	B	600	10.86	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KERN	050	EFT	B	1,000	19.11	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EOG	B	10	0.72	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EOG	B	10	1.25	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EOG	S	10	1.66	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EOG	S	10	2.56	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	EOP	B	44,400	52.35	n/a	n/a	2,220.00	5.0
ß BUCK CAPITAL MGMT		ESV	B	25,000	49.41	n/a	n/a	non-brg	5.0
BACKUS	005	EVST	S	1,000	17.71	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FD	B	150,000	40.19	9-Nov	5-Jan	6,000.00	4.0
ß BUCK CAPITAL MGMT		FD	B	50,000	40.63	9-Nov	5-Jan	non-brg	2.0
PRINCIPLE CAPITAL	040	FD	B	46,900	40.10	9-Nov	5-Jan	1,876.00	4.0
Õ Glenn Redemann		FTI	B	10	0.80	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTI	B	10	0.92	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTI	S	10	1.84	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FTI	S	10	1.94	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	GE	S	70,600	36.87	n/a	n/a	2,118.00	3.0
MAZAMA CAPITAL MGMT.	035	GHL	S	27,800	73.45	n/a	n/a	1,112.00	4.0
ß BUCK CAPITAL MGMT		GIII	B	15,000	22.00	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GIL	B	30,000	51.55	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	GLW	B	20,000	18.93	n/a	22-Jan	1,200.00	6.0
MORGAN LEWIS/MLH	046	GLW	B	10,000	18.90	n/a	22-Jan	500.00	5.0
INTEGRITY CAPITAL MGMT	039	GPS	S	20,000	19.80	n/a	5-Jan	600.00	3.0
BACKUS	005	GRT	B	5,000	27.51	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HP	B	50,000	25.28	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		ICON	B	20,000	19.67	n/a	n/a	non-brg	1.0
THIRD COAST CAPITAL	035	IFF	SS	15,000	49.59	4-Jan	22-Jan	750.00	5.0
OTC ERROR	099	ILSE	S	15,000	24.54	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		INTC	B	10,000	20.77	n/a	n/a	non-brg	5.0
TRUST CO/COWEN/CALF.	040	INTC	B	301,100	20.82	n/a	n/a	12,044.00	4.0
MAZAMA CAPITAL MGMT.	035	INT	S	26,600	44.41	n/a	n/a	1,064.00	4.0
MERRILL ASSET	032	IO	B	320,399	12.98	n/a	n/a	16,019.95	5.0
XYLEM GLOBAL	024	IP	SS	20,000	34.28	n/a	23-Jan	1,000.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	37.01	n/a	20-Dec	400.00	4.0
CENTURION PARTNERS	249	JCP	B	15,000	82.29	10-Nov	5-Jan	750.00	5.0
LOOMIS SALES/BOSTON	036	JCP	S	76,980	82.52	10-Nov	5-Jan	3,079.20	4.0
HIGHFIELDS CAP MGMT	039	JEF	B	260,000	29.80	n/a	n/a	10,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOOMIS SALES/BOSTON	036	JWN	S	64,200	54.29	18-Jan	18-Jan	2,568.00	4.0
CAPITAL GROWTH MGMT.	241	LEH	S	200,000	82.40	6-Dec	16-Jan	10,000.00	5.0
TRIBECA/DOUG	040	LFG	B	900	60.65	n/a	n/a	36.00	4.0
CLOVIS CAPITAL	012	LIZ	SS	65,000	44.72	n/a	27-Oct	3,250.00	5.0
B BUCK CAPITAL MGMT		LTD	B	60,000	28.57	5-Jan	5-Jan	non-brg	5.0
COUGAR TRADING	044	LTD	S	5,000	28.62	5-Jan	5-Jan	250.00	5.0
GRANITE CAPITAL	067	LTD	B	10,000	28.49	5-Jan	5-Jan	500.00	5.0
DAVID J GREEN & CO	040	MRCY	B	4,500	12.99	n/a	n/a	246.00	5.5
MKT MAKER	040	MRCY	B	11	12.99	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	MWV	B	10,000	29.31	8-Jan	23-Jan	500.00	5.0
B BUCK CAPITAL MGMT		NEXC	B	20,000	8.90	n/a	n/a	non-brg	4.0
BACKUS	005	NLS	B	5,000	15.44	n/a	n/a	0.00	0.0
PRIME CAPITAL	048	NVS	B	140,400	57.95	n/a	n/a	7,020.00	5.0
J L F ASSET MGMT	039	ODP	SS	72,600	38.81	n/a	10-Jan	2,904.00	4.0
B BUCK CAPITAL MGMT		OIH	SS	38,600	131.84	n/a	n/a	non-brg	1.0
INTEGRITY CAPITAL MGMT	039	OO	S	5,000	22.42	n/a	n/a	150.00	3.0
FRIESS MGMT	042	ORCL	B	579,600	16.99	n/a	n/a	26,082.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		PLCE	S	127,000	55.19	n/a	5-Jan	non-brg	5.0
BUCK CAPITAL MGMT		PTEN	B	50,000	23.88	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		PTT	B	21,000	7.49	n/a	n/a	non-brg	4.0
WHEELER	008	RAE	B	24,800	3.15	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	RCKY	S	200	16.54	n/a	n/a	10.00	5.0
JP MORGAN VENTURES	046	RI	SS	10,000	27.38	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	RVI	S	150	20.40	n/a	n/a	7.50	5.0
CLOVIS CAPITAL	012	RX	B	78,500	27.81	n/a	n/a	3,925.00	5.0
OWL CREEK INV	032	SAI	B	250,000	17.97	n/a	n/a	10,000.00	4.0
BUCK CAPITAL MGMT		SCSS	S	20,000	18.05	n/a	n/a	non-brg	5.0
MCCARTAN	028	SDS	B	100	58.01	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SDS	B	1,000	57.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SHOO	B	20,000	30.72	n/a	n/a	non-brg	5.0
MISSOURI VALLEY PART	046	SMG	S	14,955	54.02	27-Oct	22-Jan	747.75	5.0
BALYASNY ASSET MGMT	044	SSCC	B	25,000	10.17	26-Oct	23-Jan	1,250.00	5.0
BUCK CAPITAL MGMT		SSI	B	10,000	32.33	9-Jan	9-Jan	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		SWN	B	10,000	36.62	7-Aug	22-Jan	non-brg	5.0
NCM CAPITAL MGMT	035	THI	B	10,600	31.13	12-Dec	17-Jan	530.00	5.0
⚡ BUCK CAPITAL MGMT		TRLG	S	10,000	17.08	n/a	n/a	non-brg	5.0
THIRD POINT MGMT	044	TROW	SS	30,000	47.25	16-Oct	12-Jan	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		TWB	S	20,000	33.85	9-Jan	19-Jan	non-brg	5.0
⚡ BUCK CAPITAL MGMT		TWB	S	60,000	34.05	9-Jan	19-Jan	non-brg	5.0
COUGAR TRADING	044	TWB	B	5,000	33.99	9-Jan	19-Jan	250.00	5.0
DELTEC ASSET MGMT.	040	TWB	B	10,000	33.23	9-Jan	19-Jan	500.00	5.0
CAXTON PART	040	TWX	S	75,000	22.58	n/a	n/a	3,000.00	4.0
⚡ BUCK CAPITAL MGMT		TXN	SS	10,000	28.67	n/a	n/a	non-brg	5.0
CRAMER ROSENTHAL/SCOTT	012	WLP	S	22,800	77.04	n/a	n/a	1,140.00	5.0
COUGAR TRADING	044	WRNC	B	10,000	26.32	18-Jan	18-Jan	500.00	5.0
EGS ASSOCIATES LP	059	WRNC	B	3,000	26.27	18-Jan	18-Jan	180.00	6.0
JP MORGAN VENTURES	046	WRNC	B	10,000	26.47	18-Jan	18-Jan	500.00	5.0
AMBER CAPITAL	046	ZLC	B	50,000	27.34	n/a	n/a	2,000.00	4.0
TOTAL (Trade Date) :							162,837.83		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	01/19	COUGAR TRADING	044	ARO	S	5,000	35.63	23-Oct	5-Jan	250.00	5.0
AO,CRT	01/19	COUGAR TRADING	044	ARO	S	10,000	35.63	23-Oct	5-Jan	500.00	5.0
AO,CXL	01/19	BUCK CAPITAL MGMT	001	CBK	B	230,000	20.07	11-Dec	5-Jan	9200.00	4.0
AO,CRT	01/19	SAC TRADING HOWARD	038	CBK	SS	30,000	20.01	11-Dec	5-Jan	1500.00	5.0
AO,CXL	01/19	SAC TRADING HOWARD	038	CBK	SS	30,000	20.01	11-Dec	5-Jan	1500.00	5.0
AO,CRT	01/11	PLATTE RIVER CAPITAL	035	EMC	B	600	14.37	n/a	n/a	24.00	4.0
AO,CXL	01/11	PLATTE RIVER CAPITAL	035	EMC	B	600	14.37	n/a	n/a	24.00	4.0
AO,	01/19	OTC ERROR	099	ILSE	B	15,000	24.53	n/a	n/a	0.00	0.0
AO,CRT	01/19	MILLENIUM PARTNERS	028	ILSE	S	15,000	24.53	n/a	n/a	0.00	0.0
AO,CRT	01/19	OTC ERROR	099	ISLE	S	15,000	25.54	n/a	26-Jan	0.00	0.0
AO,CXL	01/19	MILLENIUM PARTNERS	028	ISLE	S	15,000	25.54	n/a	26-Jan	750.00	5.0
AO,CXL	01/19	PELL RUDMAN/ATLANTIC TR	030	NDN	B	6,000	14.82	16-Jan	16-Jan	0.00	0.0
AO,	01/19	DIAMONDBACK CAP MGMT	232	ORLY	B	75,000	32.34	n/a	n/a	3750.00	5.0
AO,	01/19	MKT MAKER	034	SCHW	S	60	19.13	n/a	n/a	0.00	0.0
AO,	01/19	KARSCH CAPITAL	034	SCHW	S	180,340	19.13	n/a	n/a	5410.20	3.0
AO,CRT	01/18	MKT MAKER	099	ZVZZT	B	100	55.00	n/a	n/a	0.00	0.0
AO,CRT	01/18	MKT MAKER	096	ZVZZT	B	100	60.00	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										-539.80	

TOTAL (Trade Date):	162,837.83
TOTAL (AO, CXL, CRT):	-539.80

TOTAL (RUN DATE) / NFS:	162,298.03
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MRI Securities with Trade Activity on 22-Jan.

CENT

MRI Securities without Trade Activity on 22-Jan.

TRI

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

T-Date = 19%

YTD = 21%

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