



Daily Compliance Activity Report

Trade Date: 02/01/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BALYASNY ASSET MGMT	044	AB	S	15,000	91.08	24-Jan	2-Feb	750.00 5.0
MS PRINCIPAL STRATEGIES	040	ALC	S	22,600	11.12	n/a	n/a	1,130.00 5.0
DEMARTINI	065	AMCC	B	5,000	3.46	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		AMWD	C	10,000	45.25	n/a	n/a	non-brg 5.0
CENTURION PARTNERS	249	ANF	B	10,000	80.49	3-Nov	5-Jan	500.00 5.0
PILOT ROCK	028	ANN	B	75,000	35.04	5-Jan	5-Jan	3,000.00 4.0
OGORMAN	146	ANQOS	B	7	0.80	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	36.20	23-Oct	5-Jan	800.00 4.0
B BUCK CAPITAL MGMT		ASD	S	20,000	53.25	1-Feb	1-Feb	non-brg 5.0
CSFB GLOBAL PROPRIETARY	035	ASD	S	50,000	52.74	1-Feb	1-Feb	2,500.00 5.0
BINDER	007	AUO	B	150	13.68	n/a	n/a	0.00 0.0
THE JAY GOLDMAN	034	AVY	B	12,750	68.78	n/a	29-Jan	510.00 4.0
BALYASNY ASSET MGMT	044	AVZ	S	5,000	24.88	29-Dec	1-Feb	250.00 5.0
HIGHBRIDGE CAPITAL	038	BBT	SS	14,000	42.68	n/a	n/a	700.00 5.0
BALYASNY ASSET MGMT	044	BEN	S	15,000	120.53	9-Nov	1-Feb	750.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	BOW	B	45,000	27.11	27-Oct	23-Jan	1,800.00	4.0
BUCK CAPITAL MGMT	001	BWS	SS	5,000	53.94	n/a	n/a	200.00	4.0
MS PRINCIPAL STRATEGIES	040	CBEY	B	18,500	28.52	n/a	n/a	925.00	5.0
MAIRS AND POWER INV	030	CEN	S	20,000	30.19	n/a	n/a	1,200.00	6.0
NEUBERGER BERMAN	238	CERN	S	7,600	44.91	n/a	n/a	304.00	4.0
ARIENCE CAPITAL	036	CHS	SS	24,240	21.31	5-Jan	5-Jan	1,212.00	5.0
SECOND CURVE	031	COF	B	50,000	79.94	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	46.31	24-Jan	24-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	125,000	25.42	n/a	n/a	5,000.00	4.0
NEUBERGER BERMAN	238	CRRC	B	621	39.43	n/a	n/a	24.84	4.0
RH CAPITAL ASSOCIATES	060	CRR	B	30,000	43.57	1-Feb	1-Feb	1,500.00	5.0
GAULT	063	CRR	S	500	44.91	1-Feb	1-Feb	0.00	0.0
FRIESS MGMT	042	CSCO	B	97,700	26.60	n/a	22-Mar	4,396.50	4.5
B BUCK CAPITAL MGMT		DBRN	B	40,000	22.82	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		DECK	B	15,000	58.50	n/a	n/a	non-brg	5.0
Ö Glenn Redemann		DELL	S	10	2.9500	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	DELL	S	116,500	24.11	n/a	n/a	4,660.00	4.0
J L F ASSET MGMT	039	DHI	S	70,600	29.91	n/a	n/a	2,824.00	4.0
⌘ BUCK CAPITAL MGMT		DIA	C	20,000	126.71	n/a	n/a	non-brg	1.0
GAULT	063	EGHT	B	10,000	1.44	n/a	n/a	0.00	0.0
GAULT	063	EGHT	S	10,000	1.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	B	45,600	47.29	1-Feb	1-Feb	1,824.00	4.0
LUCHANSKY	036	FDRXX	S	18,169	1.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FD	B	230,000	41.84	26-Jan	29-Jan	9,200.00	4.0
FIRST NEW YORK LEDDY	035	FD	B	20,000	41.81	26-Jan	29-Jan	1,200.00	6.0
⌘ BUCK CAPITAL MGMT		FL	B	20,000	22.67	n/a	19-Jan	non-brg	5.0
KORMAN	003	FL	B	3,000	22.66	n/a	19-Jan	0.00	0.0
TRIBECA	038	FRO	SS	15,000	33.55	n/a	n/a	600.00	4.0
⌘ BUCK CAPITAL MGMT		FRX	S	34,300	56.10	29-Nov	29-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GCO	S	130,000	40.10	n/a	10-Jan	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GCO	S	60,000	40.19	n/a	10-Jan	non-brg	5.0
PILOT ADV	038	GHS	SS	23,600	19.38	n/a	n/a	1,180.00	5.0
⌘ BUCK CAPITAL MGMT		GIL	B	10,000	50.60	n/a	n/a	non-brg	5.0
BINDER	007	GLW	S	200	20.87	n/a	29-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	GS	B	5,000	213.58	13-Dec	16-Jan	250.00	5.0
COUGAR TRADING	044	GYMB	SS	10,000	43.80	4-Jan	5-Jan	500.00	5.0
GALLEON MGMT LP	033	HF	S	15,000	19.36	n/a	n/a	750.00	5.0
NEUBERGER BERMAN	238	HS	B	24,400	19.64	n/a	n/a	1,220.00	5.0
NEUBERGER BERMAN	238	HTLD	S	4,200	16.80	n/a	n/a	168.00	4.0
DIAMONDBACK CAP MGMT	232	IGT	B	25,000	44.37	n/a	19-Jan	1,250.00	5.0
MAGUIRE	090	ILE	B	20,000	3.05	n/a	n/a	0.00	0.0
AAD CAPITAL	048	INFY	SS	16,600	58.64	n/a	n/a	664.00	4.0
GENERAL ELECTIC CO	033	INTC	B	25,000	21.06	n/a	n/a	1,125.00	4.5
BINDER	007	INTC	S	150	21.05	n/a	n/a	0.00	0.0
BANK OF NEW YORK	040	ISE	B	4,440	41.40	26-Oct	1-Feb	199.80	4.5
GAULT	063	ISE	B	500	43.07	26-Oct	1-Feb	0.00	0.0
DEMARTINI	065	ISE	B	500	43.08	26-Oct	1-Feb	0.00	0.0
SINCLAIR	031	ITCD	B	500	2.40	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	JAH	S	4,000	36.82	n/a	n/a	200.00	5.0
NEUBERGER BERMAN	238	JBL	S	100,000	24.07	n/a	n/a	5,000.00	5.0
HIGHBRIDGE CAPITAL	038	KEY	SS	18,000	38.24	n/a	n/a	900.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	KFT	C	25,000	34.21	n/a	n/a	1,250.00	5.0
ß BUCK CAPITAL MGMT		KNXA	C	10,000	37.39	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	KWD	B	40,000	32.87	n/a	n/a	1,600.00	4.0
ß BUCK CAPITAL MGMT		LAVA	B	5,000	9.00	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		LAVA	B	5,000	9.28	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LAVA	S	61,900	9.96	n/a	n/a	non-brg	5.0
BALYASNY ASSET MGMT	044	LM	B	5,000	103.80	n/a	1-Feb	250.00	5.0
CAXTON PART	040	LOW	SS	100,036	34.27	n/a	16-Jan	4,001.44	4.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	28.34	5-Jan	5-Jan	1,200.00	4.0
EFSTATHIOU	044	LUV	B	500	15.06	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	MCD	S	10,000	44.32	12-Oct	24-Jan	500.00	5.0
ß BUCK CAPITAL MGMT		MDTL	SS	10,000	13.06	n/a	n/a	non-brg	5.0
FINANCIAL STOCK LP	028	MEL	S	52,320	42.88	5-Dec	18-Jan	2,092.80	4.0
ß BUCK CAPITAL MGMT		MIPS	B	50,000	8.45	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NTRI	B	5,000	43.60	n/a	n/a	non-brg	5.0
DEMARTINI	065	NUVO	S	5,000	3.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NWY	S	20,000	14.74	1-Dec	10-Jan	800.00	4.0
ATLAS CAPITAL	012	ODP	B	65,000	37.61	n/a	23-Jan	3,250.00	5.0
UBS O'CONNOR/TOM LEDDY	035	ODP	SS	25,000	37.57	n/a	23-Jan	1,250.00	5.0
THE JAY GOLDMAN	034	OI	S	15,000	23.04	n/a	n/a	600.00	4.0
FRIESS MGMT	042	ORCL	B	191,700	17.15	n/a	n/a	8,626.50	4.5
⌘ BUCK CAPITAL MGMT		PERY	SS	5,000	29.60	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PLCE	B	25,760	55.27	n/a	25-Jan	non-brg	2.0
⌘ BUCK CAPITAL MGMT		PLCE	B	34,240	57.51	n/a	25-Jan	non-brg	5.0
ROSENBERG	034	PLCE	S	100	58.85	n/a	25-Jan	0.00	0.0
LUCHANSKY	036	PLCE	S	200	59.88	n/a	25-Jan	0.00	0.0
LAPIDES ASSET MGMT	037	PQE	S	10,000	11.31	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		PSUN	S	45,300	19.83	n/a	12-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		PTEN	S	20,000	24.16	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	55.54	18-Jan	18-Jan	400.00	4.0
TRIBECA/DOUG	040	RJF	S	12,800	32.01	n/a	n/a	512.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	84.30	2-Feb	2-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	RL	S	5,000	84.28	2-Feb	2-Feb	200.00	4.0
WHALE ROCK CAP	030	RSC	S	24,418	16.31	n/a	n/a	976.72	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	SBUX	S	174,380	34.63	n/a	1-Feb	10,462.80	6.0
S.A.C. CAPITAL MGMT.	044	SBUX	B	19,000	34.57	n/a	1-Feb	950.00	5.0
⚡ BUCK CAPITAL MGMT		SHOO	B	39,500	30.31	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		SHOO	B	77,000	30.37	n/a	n/a	non-brg	5.0
PIVOT CAP	034	SIX	B	22,500	5.75	n/a	n/a	900.00	4.0
MFP INVESTORS	032	SKS	S	101,300	19.29	n/a	n/a	5,065.00	5.0
⚡ BUCK CAPITAL MGMT		SKX	B	11,200	35.46	n/a	12-Jan	non-brg	5.0
KAICHER	064	SNCR	B	3,000	15.07	n/a	n/a	0.00	0.0
BARR	096	SNCR	B	800	15.08	n/a	n/a	0.00	0.0
MAGUIRE	090	SNWL	B	15,000	8.73	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SPY	C	20,000	144.52	n/a	n/a	non-brg	1.0
NEUBERGER BERMAN	238	SRX	B	101,300	21.63	n/a	n/a	5,065.00	5.0
BALYASNY ASSET MGMT	044	SSCC	B	50,000	11.30	26-Oct	25-Jan	2,500.00	5.0
GRISANTI BROWN & PARTNER	048	SSCC	B	66,000	11.61	26-Oct	25-Jan	3,300.00	5.0
GRISANTI BROWN & PARTNER	048	SSCC	C	71,300	11.20	26-Oct	25-Jan	3,565.00	5.0
IRONBOUND CAPITAL	012	SSCC	SS	74,200	11.15	26-Oct	25-Jan	3,710.00	5.0
BUCK CAPITAL MGMT	001	SSI	B	15,000	21.27	9-Jan	9-Jan	600.00	4.0
ENDEAVOUR CAPITAL	035	STKL	S	50,000	11.00	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAILFISH	037	SWN	SS	8,700	38.62	n/a	22-Jan	435.00	5.0
KACELA CAPITAL	034	TGT	B	8,000	61.79	n/a	5-Jan	320.00	4.0
COLUMBUS CIRCLE	036	TJX	S	190,808	28.60	6-Oct	1-Feb	7,632.32	4.0
⌘ BUCK CAPITAL MGMT		TSCO	B	30,000	47.15	n/a	n/a	non-brg	5.0
LUCHANSKY	036	TSU	B	300	34.72	n/a	n/a	0.00	0.0
MERRILL ASSET	032	VG	S	50,000	5.65	23-Jan	23-Jan	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		VIRL	B	7,600	8.00	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WDR	B	10,000	25.67	12-Jan	1-Feb	non-brg	5.0
SANDLER O'NEILL ASSET	031	WDR	B	6,700	25.64	12-Jan	1-Feb	335.00	5.0
BINDER	007	WLVT	S	500	1.53	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	WSM	C	45,000	35.38	n/a	n/a	2,250.00	5.0
⌘ BUCK CAPITAL MGMT		WTSLA	B	50,000	6.41	n/a	n/a	non-brg	4.0
MAGUIRE	090	XIDE	B	15,000	7.60	n/a	n/a	0.00	0.0
BARR	096	XIDE	B	900	7.50	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	XLI	B	84,000	35.94	n/a	n/a	4,200.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	315,000	14.19	8-Sep	11-Jan	12,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ß BUCK CAPITAL MGMT		ZQK	S	1,851	14.20	8-Sep	11-Jan	non-brg 1.0
ß BUCK CAPITAL MGMT		ZQK	S	19,700	14.20	8-Sep	11-Jan	non-brg 2.0
ß BUCK CAPITAL MGMT		ZQK	S	50,000	14.27	8-Sep	11-Jan	non-brg 5.0
ß BUCK CAPITAL MGMT		ZUMZ	B	10,000	32.73	n/a	n/a	non-brg 5.0
TOTAL (Trade Date):							161,266.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/31	UBS O'CONNOR/TOM LEDDY	035	AEOS	B	50,000	32.61	4-Jan	12-Jan	2500.00 5.0
AO,CXL	01/31	UBS OCONNOR	031	AEOS	B	50,000	32.61	4-Jan	12-Jan	2500.00 5.0
AO,CRT	01/31	MS PRINCIPAL STRATEGIES	040	ALC	S	69,200	10.93	n/a	n/a	2768.00 4.0
AO,CXL	01/31	MS PRINCIPAL STRATEGIES	040	ALC	S	6,900	10.93	n/a	n/a	276.00 4.0
AO,CRT	01/31	LISTED ERR	099	BSX	S	100	18.36	n/a	22-Apr	0.00 0.0
AO,CXL	01/31	BINDER	007	CVGW	B	300	10.33	n/a	n/a	0.00 0.0
AO,CRT	01/31	BINDER	007	CVGW	B	300	10.33	n/a	n/a	0.00 0.0
AO,	01/31	COLUMBUS CIRCLE	036	DVN	B	3,000	70.11	1-Sep	22-Jan	120.00 4.0
AO,	01/31	COLUMBUS CIRCLE	036	EMR	B	3,300	44.51	n/a	n/a	132.00 4.0
AO,	01/31	COLUMBUS CIRCLE	036	GES	B	1,500	71.15	n/a	n/a	60.00 4.0
AO,CRT	01/31	MKT MAKER	099	INFY	SS	44	57.60	n/a	n/a	0.00 0.0
AO,CXL	01/31	MKT MAKER	099	INFY	SS	44	57.60	n/a	n/a	0.00 0.0
AO,CRT	01/31	AAD CAPITAL	048	INFY	SS	31,700	57.60	n/a	n/a	1268.00 4.0
AO,CXL	01/31	PRINCIPLE CAPITAL	040	INFY	SS	31,700	57.60	n/a	n/a	1268.00 4.0
AO,CXL	01/31	COLUMBUS CIRCLE	032	MSFT	S	3,100	30.53	n/a	3-Apr	124.00 4.0
AO,	01/31	JENNISON	032	MSFT	S	3,100	30.53	n/a	3-Apr	124.00 4.0
AO,CXL	01/31	XYLEM GLOBAL	024	TWP	SS	600	26.76	n/a	n/a	30.00 5.0
AO,	01/31	DIDI	030	TWTC	B	50	22.75	n/a	23-Jan	2.50 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	01/31	DISIPLINED GROWTH INV.	030	TWTC	B	40,550	22.75	n/a 23-Jan	2027.50 5.0

TOTAL (AO, CXL, CRT): 4,804.00

TOTAL (Trade Date): 161,266.72

TOTAL (AO, CXL, CRT): 4,804.00

TOTAL (RUN DATE) / NFS: 166,070.72

MRI Securities with Trade Activity on 1-Feb.
ASD, CRR, EL

MRI Securities without Trade Activity on 1-Feb.
JNS, WPL

BRG comm. as a % of BCM Total Comm. paid.
 T-Date = 48%
 YTD = 22%

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