



## Daily Compliance Activity Report

Trade Date: 08/31/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	100,000	25.58	10-Jul	31-Aug	non-brg	5.0
BUCK CAPITAL MGMT		AEO	B	124,700	25.68	10-Jul	31-Aug	non-brg	2.0
BUCK CAPITAL MGMT		AEO	B	300	25.51	10-Jul	31-Aug	non-brg	1.0
BUCK CAPITAL MGMT		AEO	B	34,200	25.70	10-Jul	31-Aug	non-brg	2.0
BUCK CAPITAL MGMT		AEO	B	70,000	25.79	10-Jul	31-Aug	non-brg	5.0
BUCK CAPITAL MGMT		AEO	B	90,800	25.70	10-Jul	31-Aug	non-brg	5.0
J L F ASSET MGMT	039	AEO	B	77,000	25.81	10-Jul	31-Aug	3,080.00	4.0
PLATTE RIVER CAPITAL	240	AGN	B	12,000	60.32	1-Aug	27-Aug	480.00	4.0
NEW JERSEY DIV OF INV.	220	AIR	B	30,000	31.03	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	21.11	n/a	31-Aug	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	50,400	20.89	n/a	31-Aug	1,890.00	3.8
MATTHES CAPITAL MGMT	033	BBBY	SS	10,000	34.43	n/a	n/a	3.99	0.0
MATTHES CAPITAL MGMT	033	BEBE	SS	10,000	13.90	n/a	n/a	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	BG	S	5,000	91.15	n/a	n/a	200.00	4.0
LISTED ERR	099	BJ	B	5,000	34.75	10-Apr	27-Jul	0.00	0.0
BARR	096	BQI	B	3,000	4.95	n/a	n/a	0.00	0.0
BARR	096	BQI	S	1,500	5.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	S	35,000	22.37	n/a	n/a	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BWS	S	15,128	22.50	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BWS	S	41,325	22.75	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		BWS	S	5,000	22.47	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CACH	S	10,000	16.96	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	CBK	B	14,600	12.51	7-Jun	31-Aug	584.00	4.0
ASCEND PARTNERS	033	CHS	SS	34,200	16.03	30-Aug	31-Aug	1,710.00	5.0
MATTHES CAPITAL MGMT	033	CHS	SS	10,000	15.61	30-Aug	31-Aug	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	CLI	B	10,000	41.31	n/a	n/a	400.00	4.0
BRIGHTPOINT CAP	067	COH	B	110,000	44.32	n/a	29-Aug	5,500.00	5.0
BUCK CAPITAL MGMT	001	COH	B	25,000	44.28	n/a	29-Aug	1,000.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	20.15	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		CTRN	B	224,100	21.57	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CTRN	B	5,400	21.48	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CWTR	S	50,000	12.76	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		DLTR	S	50,000	42.13	10-Aug	30-Aug	non-brg	5.0
BUCK CAPITAL MGMT	001	DSW	S	10,000	30.48	2-Aug	10-Aug	400.00	4.0
ß BUCK CAPITAL MGMT		DSW	S	80,400	30.48	2-Aug	10-Aug	non-brg	5.0
U.S.TRUST COMPANY	012	DVN	B	55,000	75.49	18-Jul	20-Jul	2,475.00	4.5
PILOT ROCK	028	FCX	S	132,854	87.72	n/a	n/a	5,314.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATTHES CAPITAL MGMT	033	FDO	SS	15,000	29.04	9-Aug	10-Aug	600.00	4.0
ß BUCK CAPITAL MGMT		GIL	B	5,000	32.52	21-Jun	29-Aug	non-brg	5.0
BARR	096	GLD	B	300	66.64	n/a	n/a	0.00	0.0
POST ROAD CAP	068	GM	SS	14,500	30.90	4-May	31-Aug	580.00	4.0
ß BUCK CAPITAL MGMT		GPS	S	50,000	18.63	n/a	31-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		GTRC	S	10,000	56.32	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GYMB	B	10,000	39.88	10-Aug	23-Aug	non-brg	5.0
BUCK	015	HET	S	800	85.85	8-Aug	8-Aug	0.00	0.0
ELM RIDGE ADVISORS	044	HW	SS	54,811	16.60	n/a	n/a	2,192.44	4.0
Õ William Katz		IAI	B	475	49.43	n/a	n/a	0.00	0.0
BUCK	015	IBN	B	500	44.38	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCP	S	5,000	69.01	21-Jun	31-Aug	250.00	5.0
ß BUCK CAPITAL MGMT		JOSB	B	70,000	30.27	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		JPM	C	3,100	44.69	n/a	16-Aug	non-brg	5.0
BUCK CAPITAL MGMT	001	JWN	B	30,000	48.72	12-Jul	31-Aug	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	JWN	SS	125,000	48.49	12-Jul	31-Aug	5,000.00	4.0
BARR	096	KANA	B	1,800	3.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	59.14	14-Jun	27-Jul	1,200.00	4.0
ß BUCK CAPITAL MGMT		LULU	B	5,000	34.02	n/a	n/a	non-brg	5.0
CAPITAL GROWTH MGMT.	241	MAN	S	288,300	69.61	n/a	n/a	14,415.00	5.0
LISTED ERR	099	MAN	B	1,000	68.98	n/a	n/a	0.00	0.0
LISTED ERR	099	MAN	S	1,000	69.08	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MDTL	SS	10,000	10.47	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MSMSBMVR	C	12,500	184.70	n/a	n/a	non-brg	18.5
ß BUCK CAPITAL MGMT		MVRX	C	30,000	177.82	n/a	n/a	non-brg	17.8
BUCK CAPITAL MGMT	001	M	B	250,000	31.42	13-Jul	31-Aug	10,000.00	4.0
ß BUCK CAPITAL MGMT		M	B	100,000	31.62	13-Jul	31-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		NEXC	B	20,000	6.85	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	NTY	B	10,000	36.73	n/a	n/a	400.00	4.0
CAPITAL GROWTH MGMT.	241	NUE	B	2,500	53.64	n/a	n/a	125.00	5.0
COUGAR TRADING	044	NWY	B	20,000	6.53	25-May	24-Aug	1,000.00	5.0
MKT MAKER	099	ORCL	S	1,000	20.25	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		PERY	S	30,000	27.17	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		PERY	S	5,000	27.32	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		PSS	B	50,000	23.41	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	RL	B	25,000	75.30	9-Aug	29-Aug	1,000.00	4.0
CUMBERLAND	038	RRGB	B	15,000	38.51	n/a	n/a	600.00	4.0
BUCK	015	RYN	B	1,000	42.94	n/a	2-Aug	0.00	0.0
⌘ BUCK CAPITAL MGMT		S4RETL	C	17,500	408.73	n/a	n/a	non-brg	40.9
BARR	096	SKF	B	100	83.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	40,000	19.79	n/a	13-Mar	1,600.00	4.0
BARR	096	STT	SS	600	60.75	n/a	n/a	0.00	0.0
DURANGO INVESTMENTS	031	UNT	B	40,000	49.07	n/a	23-Aug	1,600.00	4.0
LEVIN CAPITAL STRATEGIES	012	WB	B	14,600	49.01	n/a	n/a	584.00	4.0
BUCK CAPITAL MGMT	001	WSM	B	15,000	33.50	n/a	n/a	600.00	4.0
⌘ BUCK CAPITAL MGMT		ZQK	B	50,000	13.29	n/a	30-Aug	non-brg	5.0
COUGAR TRADING	044	ZQK	B	5,000	13.34	n/a	30-Aug	250.00	5.0

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**TOTAL (Trade Date):**

**71,233.59**

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Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/30	LISTED ERR	099	BJ	S	5,000	34.76	10-Apr	27-Jul	0.00 0.0
AO,	08/30	SIGMA CAPITAL ASSOCIATES	044	WSM	B	21,200	32.77	n/a	n/a	1060.00 5.0
TOTAL (AO, CXL, CRT):										1,060.00

TOTAL (Trade Date):	71,233.59
TOTAL (AO, CXL, CRT):	1,060.00

TOTAL (RUN DATE) / NFS:	72,293.59
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MRI Securities with Trade Activity on 31-Aug.  
NONE

MRI Securities without Trade Activity on 31-Aug.  
TIF

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