



Daily Compliance Activity Report

Trade Date: 04/10/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REICH AND TANG	067	ACLS	B	186,000	7.40	n/a	n/a	3,720.00	2.0
MERRILL ASSET	032	AEM	B	12,200	38.03	n/a	n/a	549.00	4.5
B BUCK CAPITAL MGMT		AEO	B	5,000	30.60	4-Jan	10-Apr	non-brg	5.0
JP MORGAN VENTURES	046	AEO	SS	10,000	30.29	4-Jan	10-Apr	500.00	5.0
SIGMA CAPITAL ASSOCIATES	044	AEO	SS	50,000	30.18	4-Jan	10-Apr	2,500.00	5.0
LISTED ERR	099	AEO	B	50,000	30.18	4-Jan	10-Apr	0.00	0.0
LISTED ERR	099	AEO	S	50,000	30.18	4-Jan	10-Apr	0.00	0.0
BALYASNY ASSET MGMT	044	AGE	S	16,000	71.79	n/a	n/a	800.00	5.0
PATTEN & PATTEN	067	AIG	S	200	66.75	n/a	n/a	10.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	123,800	9.25	n/a	n/a	4,952.00	4.0
SSI INVESTORS	048	AMG	S	13,604	111.59	5-Mar	10-Apr	544.16	4.0
SUNOVA CAPITAL	031	AMG	S	45,665	111.86	5-Mar	10-Apr	2,283.25	5.0
LISTED ERR	099	AMG	B	3,985	112.06	5-Mar	10-Apr	0.00	0.0
LISTED ERR	099	AMG	S	3,445	112.06	5-Mar	10-Apr	0.00	0.0
HUNTER GLOBAL INVESTOR	067	AMX	B	139,000	50.39	n/a	n/a	6,950.00	5.0
SIGMA CAPITAL ASSOCIATES	044	ANF	B	23,000	77.46	2-Feb	10-Apr	1,150.00	5.0
THE JAY GOLDMAN	034	ANF	B	10,000	76.61	2-Feb	10-Apr	400.00	4.0
PRENTICE	038	ANN	SS	19,350	38.73	5-Jan	10-Apr	967.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	044	ANN	S	75,000	38.92	5-Jan	10-Apr	3,750.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	42.07	n/a	10-Apr	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	S	29,900	42.38	n/a	10-Apr	1,121.25	3.8
DALTON GREINER	012	AVZ	B	64,770	23.12	5-Mar	10-Apr	3,238.50	5.0
PRENTICE	038	AZO	SS	6,000	130.43	n/a	n/a	300.00	5.0
MORGAN BANK /JPM	012	BAC	B	932	50.94	11-Jan	13-Mar	27.96	3.0
MISSOURI VALLEY PART	046	BBW	S	20,800	27.05	19-Mar	19-Mar	1,040.00	5.0
SIGMA CAPITAL ASSOCIATES	044	BEBE	S	16,000	18.01	n/a	n/a	800.00	5.0
B BUCK CAPITAL MGMT		BID	S	10,000	47.93	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	BIG	SS	5,000	34.27	9-Mar	10-Apr	200.00	4.0
CIBC ADV.	060	BJ	B	20,000	34.09	n/a	10-Apr	800.00	4.0
FIRST NEW YORK LEDDY	035	BJ	B	15,000	34.06	n/a	10-Apr	900.00	6.0
RBC CAPITAL MARKETS	034	BJ	B	30,000	33.98	n/a	10-Apr	1,500.00	5.0
WHEELER	008	BQI	S	40,000	3.51	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	BYD	B	11,605	48.43	21-Feb	21-Feb	580.25	5.0
BUCK CAPITAL MGMT	001	CBK	S	20,000	19.01	30-Mar	10-Apr	800.00	4.0
PATTEN & PATTEN	067	CCE	S	984	20.57	n/a	n/a	49.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OGORMAN	146	CDX	B	8	0.50	n/a	n/a	0.00	0.0
LANE	012	CECE	B	20,500	14.73	n/a	n/a	1,025.00	5.0
MERRILL ASSET	032	CLF	S	25,500	67.61	n/a	n/a	1,147.50	4.5
SUNOVA CAPITAL	031	CLMS	B	20,000	23.64	12-Mar	10-Apr	1,000.00	5.0
SUNOVA CAPITAL	031	CLMS	SS	30,000	23.06	12-Mar	10-Apr	1,500.00	5.0
PATTEN & PATTEN	067	CL	S	150	65.94	31-Jan	31-Jan	7.50	5.0
PRENTICE	038	COST	SS	13,750	54.50	n/a	9-Mar	687.50	5.0
CROWLEY	061	CPNLQ	B	3,000	2.59	n/a	8-Mar	0.00	0.0
BUCK	015	CRTX	S	5,000	2.22	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CVX	S	100	77.07	n/a	n/a	5.00	5.0
MORGAN BANK /JPM	012	C	B	864	51.58	11-Jan	13-Mar	25.92	3.0
BUCK CAPITAL MGMT	001	DDS	B	50,000	33.42	n/a	n/a	2,000.00	4.0
ROTHSCHILD ASSET	040	DD	S	54,820	49.16	n/a	10-Apr	2,466.90	4.5
PATTEN & PATTEN	067	DELL	S	350	23.95	n/a	n/a	17.50	5.0
B BUCK CAPITAL MGMT		DKS	B	10,000	58.78	n/a	n/a	non-brg	5.0
Ö Alice Longley		DOW	S	500	46.67	n/a	10-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	DUK	B	6,000	20.87	n/a	n/a	300.00	5.0
IRIDIAN ASSET MGMT.	036	DVN	B	3,600	73.75	9-Feb	5-Apr	180.00	5.0
NEUBERGER BERMAN	036	DW	B	15,000	28.67	n/a	n/a	750.00	5.0
HUNTER GLOBAL INVESTOR	067	EEM	B	82,600	121.17	n/a	n/a	2,478.00	3.0
PATTEN & PATTEN	067	EEP	S	250	57.64	n/a	n/a	12.50	5.0
Ö Glenn Redemann		ENER	B	1	2.20	n/a	n/a	0.00	0.0
Ö Glenn Redemann		ENER	B	1	2.30	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	EWJ	B	32,794	14.70	n/a	n/a	983.82	3.0
PATTEN & PATTEN	067	EWJ	B	1,835	14.74	n/a	n/a	91.75	5.0
IRIDIAN ASSET MGMT.	036	FCX	B	9,000	70.33	n/a	n/a	450.00	5.0
ß BUCK CAPITAL MGMT		FD+DI	SS	1,000	1.30	n/a	n/a	non-brg	300.0
PATTEN & PATTEN	067	FDC	S	940	32.39	n/a	n/a	47.00	5.0
PRENTICE	038	FDO	SS	40,500	30.54	3-Nov	9-Apr	2,025.00	5.0
BUCK CAPITAL MGMT	001	FD	SS	30,000	45.74	26-Jan	10-Apr	1,200.00	4.0
COLONIAL FUND LLC	036	FD	SS	25,000	45.90	26-Jan	10-Apr	1,250.00	5.0
IVORY CAPITAL	034	FD	B	72,000	46.44	26-Jan	10-Apr	3,600.00	5.0
PRENTICE	038	FD	SS	27,500	45.82	26-Jan	10-Apr	2.29	0.0
RBC CAPITAL MARKETS	034	FD	SS	30,000	45.75	26-Jan	10-Apr	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	FED	B	20,000	55.81	n/a	n/a	1,000.00	5.0
LUCHANSKY	036	FSLR	B	100	60.08	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	F	B	2,000	8.16	n/a	5-Apr	100.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	5,000	42.70	n/a	10-Jan	200.00	4.0
B BUCK CAPITAL MGMT		GCO	B	1,000	42.26	n/a	10-Jan	non-brg	1.0
OPPENHEIMER MGMT.	036	GE	S	22,520	34.90	n/a	n/a	900.80	4.0
B BUCK CAPITAL MGMT		GIII	B	10,000	17.60	n/a	n/a	non-brg	5.0
CASTLE ARK	031	GIL	B	70,100	63.03	n/a	2-Apr	4,206.00	6.0
STADIA CAPITAL	035	GIL	S	38,900	63.03	n/a	2-Apr	1,556.00	4.0
B BUCK CAPITAL MGMT		GLBL	S	10,000	19.38	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		GPS	B	50,000	18.28	n/a	10-Apr	non-brg	5.0
SIGMA CAPITAL ASSOCIATES	044	GPS	S	50,000	18.33	n/a	10-Apr	2,500.00	5.0
PRENTICE	038	HD	SS	13,000	38.16	n/a	1-Mar	650.00	5.0
SIGMA CAPITAL ASSOCIATES	044	HIBB	B	10,000	31.37	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		HLYS	B	10,000	30.10	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	HMA	S	600	10.90	5-Mar	5-Mar	30.00	5.0
PATTEN & PATTEN	067	HMC	B	300	34.80	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	HW	S	95	22.05	n/a	n/a	4.75	5.0
Õ Glenn Redemann		ICE	B	10	2.51	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ICE	B	10	2.70	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ICE	S	10	3.63	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ICE	S	10	4.13	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	IDC	B	13,000	25.09	n/a	n/a	650.00	5.0
MERRILL ASSET	032	IFC	S	13,200	17.98	n/a	n/a	594.00	4.5
PATTEN & PATTEN	067	INTC	B	2,000	20.46	n/a	n/a	100.00	5.0
BUCK	015	ISEDJ	B	7	0.75	n/a	n/a	0.00	0.0
BUCK	015	ISE	S	700	48.44	n/a	27-Mar	0.00	0.0
LEDDY	035	ISE	S	300	48.71	n/a	27-Mar	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	15,000	3.47	n/a	n/a	450.00	3.0
PATTEN & PATTEN	067	JNJ	S	70	61.58	n/a	22-Apr	3.50	5.0
PATTEN & PATTEN	067	JNPR	B	60	20.89	n/a	22-Mar	3.00	5.0
SANDLER O'NEILL ASSET	031	JNS	SS	25,000	23.56	5-Apr	10-Apr	1,250.00	5.0
ß BUCK CAPITAL MGMT		JOSB	B	5,000	35.08	n/a	n/a	non-brg	1.0
Õ Glenn Redemann		JSN	S	547	18.56	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	JWN	S	10,000	54.65	27-Feb	10-Apr	400.00	4.0
PRENTICE	038	JWN	SS	9,000	54.85	27-Feb	10-Apr	450.00	5.0
BUCK	015	KFT	S	553	30.81	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	044	KSWS	B	15,000	27.86	n/a	13-Mar	750.00	5.0
BALYASNY ASSET MGMT	044	LM	B	10,000	96.10	10-Apr	10-Apr	500.00	5.0
B BUCK CAPITAL MGMT		LTD	B	30,000	27.06	2-Mar	10-Apr	non-brg	5.0
B BUCK CAPITAL MGMT		MDTL	C	10,000	18.84	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	MER	S	60	86.57	19-Jan	13-Mar	3.00	5.0
CIBC ADV.	060	MOT	B	50,000	17.60	n/a	n/a	2,000.00	4.0
MORGAN BANK /JPM	012	MS	B	633	80.43	22-Mar	22-Mar	18.99	3.0
PATTEN & PATTEN	067	MS	S	74	80.27	22-Mar	22-Mar	3.70	5.0
SAGE ASSET MGMT	012	NCC	SS	142,300	35.94	n/a	n/a	7,115.00	5.0
PLATTE RIVER CAPITAL	240	NDN	S	21,968	15.24	16-Jan	10-Apr	878.72	4.0
PATTEN & PATTEN	067	NOK	S	150	23.80	n/a	n/a	7.50	5.0
BUCK	015	NQN	B	3,400	14.29	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	044	NWY	S	3,000	15.37	23-Mar	10-Apr	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GARX	030	NWY	S	38,400	15.16	23-Mar	10-Apr	1,536.00	4.0
IVORY CAPITAL	034	ONNN	SS	250,000	9.47	n/a	n/a	10,000.00	4.0
MERRILL LYNCH STRATEGICI	034	OXY	SS	20,000	50.25	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	PBW	B	12,110	19.36	n/a	n/a	605.50	5.0
CAPITAL GROWTH MGMT.	241	PCU	B	40,000	78.19	n/a	n/a	2,000.00	5.0
PEREGRINE	030	PDLI	S	4,400	21.81	n/a	n/a	176.00	4.0
PEREGRINE	030	PFWD	S	3,600	14.23	n/a	n/a	144.00	4.0
TROUBH PART	067	PHH	S	6,900	30.50	n/a	n/a	345.00	5.0
PATTEN & PATTEN	067	PHO	B	12,660	18.90	n/a	n/a	633.00	5.0
⚡ BUCK CAPITAL MGMT		PLCE	B	10,000	53.97	n/a	10-Apr	non-brg	0.4
⚡ BUCK CAPITAL MGMT		PLCE	B	4,432	53.83	n/a	10-Apr	non-brg	0.4
PEREGRINE	030	PLMD	S	1,700	41.17	n/a	n/a	68.00	4.0
PEREGRINE	030	PLXT	S	4,400	10.56	n/a	n/a	176.00	4.0
PEREGRINE	030	PMCS	S	6,800	7.09	n/a	n/a	272.00	4.0
PEREGRINE	030	PMTC	S	4,000	18.78	n/a	n/a	160.00	4.0
AMBER CAPITAL	046	PPG	B	54,000	70.76	n/a	10-Apr	2,160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PEREGRINE	030	PRFT	S	1,700	22.80	n/a	n/a	68.00	4.0
PEREGRINE	030	PRSC	S	2,000	24.01	n/a	n/a	80.00	4.0
SIGMA CAPITAL ASSOCIATES	044	PSS	B	7,000	34.34	n/a	n/a	350.00	5.0
MERRILL ASSET	032	PVA	B	6,900	77.30	n/a	n/a	310.50	4.5
SYSTEMATIC FINANCIAL MGT	035	PVH	S	20,000	58.50	28-Mar	28-Mar	750.00	3.8
PEREGRINE	030	PXD	S	1,300	46.86	13-Feb	13-Feb	52.00	4.0
IRIDIAN ASSET MGMT.	036	PX	B	7,800	63.44	n/a	2-Mar	390.00	5.0
PEREGRINE	030	QSFT	S	3,400	16.36	n/a	n/a	136.00	4.0
PEREGRINE	030	QTM	S	16,400	2.75	n/a	n/a	656.00	4.0
PEREGRINE	030	RACK	S	2,900	13.66	n/a	n/a	116.00	4.0
PATTEN & PATTEN	067	RF	S	19	34.75	n/a	n/a	0.95	5.0
PATTEN & PATTEN	067	RSG	S	450	27.19	n/a	n/a	22.50	5.0
PEREGRINE	030	RTIX	S	4,200	7.89	n/a	n/a	168.00	4.0
BUCK	015	RYN	B	800	43.26	24-Jan	19-Mar	0.00	0.0
B BUCK CAPITAL MGMT		SDXC	B	20,000	17.41	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	SEED	B	40	9.02	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SHY	S	350	80.11	n/a	n/a	17.50	5.0
PEREGRINE	030	SKYW	S	3,000	27.92	n/a	n/a	120.00	4.0
PEREGRINE	030	SLAB	S	2,100	30.30	n/a	n/a	84.00	4.0
PEREGRINE	030	SMBI	S	2,100	19.19	n/a	n/a	84.00	4.0
PEREGRINE	030	SMMX	S	1,700	17.40	n/a	n/a	68.00	4.0
PEREGRINE	030	SNTS	S	6,200	7.65	n/a	n/a	248.00	4.0
PATTEN & PATTEN	067	SPY	S	50	144.63	n/a	n/a	2.50	5.0
SENECA CAPITAL LP NY	028	SPY	B	42,000	144.84	n/a	n/a	2,100.00	5.0
PATTEN & PATTEN	067	STI	S	250	80.02	n/a	n/a	12.50	5.0
MORGAN BANK /JPM	012	STT	B	552	66.91	n/a	n/a	16.56	3.0
PEREGRINE	030	TESO	S	3,300	27.98	n/a	n/a	132.00	4.0
B BUCK CAPITAL MGMT		TGT	B	25,000	60.96	n/a	8-Mar	non-brg	5.0
BUCK	015	TIN	B	500	60.31	26-Feb	20-Mar	0.00	0.0
PATTEN & PATTEN	067	TIP	B	7,525	100.37	n/a	n/a	376.25	5.0
BELMONT GLOBAL ADV	248	TRA	SS	30,000	18.16	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	TROW	S	20,000	48.61	n/a	10-Apr	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	044	TWB	B	60,000	36.50	22-Feb	22-Feb	3,000.00	5.0
PATTEN & PATTEN	067	TWTC	B	4,625	21.30	8-Feb	4-Apr	231.25	5.0
U.S.TRUST COMPANY	012	TYC	B	110,000	32.19	n/a	6-Feb	4,950.00	4.5
PATTEN & PATTEN	067	T	S	100	39.35	26-Jan	5-Apr	5.00	5.0
PATTEN & PATTEN	067	UTX	S	100	64.32	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	WB	B	1,925	54.12	n/a	n/a	96.25	5.0
⌘ BUCK CAPITAL MGMT		WMT	B	30,000	48.03	n/a	21-Mar	non-brg	5.0
⌘ BUCK CAPITAL MGMT		WMT	B	40,000	48.30	n/a	21-Mar	non-brg	5.0
CIRCLE T PART	035	WMT	S	10,000	48.04	n/a	21-Mar	500.00	5.0
⌘ BUCK CAPITAL MGMT		WSO	S	36,000	51.02	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		WSO	S	5,000	50.73	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		WSO	S	5,000	51.23	n/a	n/a	non-brg	5.0
HUNTER GLOBAL INVESTOR	067	XLFF	B	83,600	35.88	n/a	n/a	2,508.00	3.0
BRIGHTPOINT CAP	067	YUM	SS	10,000	59.06	n/a	13-Feb	500.00	5.0
⌘ BUCK CAPITAL MGMT		ZQK	S	20,000	12.17	9-Mar	13-Mar	non-brg	5.0
SIGMA CAPITAL ASSOCIATES	044	ZUMZ	B	17,000	41.84	n/a	n/a	850.00	5.0

TOTAL (Trade Date):

133,358.47

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/09	WAGONHOUND	048	CLMS	SS	15,000	23.66	12-Mar	10-Apr	600.00 4.0
AO,CRT	04/05	CATAPULT	040	CVS	B	25,000	34.55	n/a	n/a	1000.00 4.0
AO,CXL	04/05	CATAPULT	040	CVS	B	25,000	34.55	n/a	n/a	1250.00 5.0
AO,CRT	04/09	CUMBERLAND	038	KSS	B	12,300	78.01	27-Dec	8-Mar	492.00 4.0
AO,CXL	04/09	CUMBERLAND	038	KSS	B	12,300	78.01	27-Dec	8-Mar	615.00 5.0
AO,CRT	04/09	CUMBERLAND	038	KSS	S	4,800	77.92	27-Dec	8-Mar	192.00 4.0
AO,CXL	04/09	CUMBERLAND	038	KSS	S	4,800	77.92	27-Dec	8-Mar	240.00 5.0
AO,	04/09	THIRD COAST CAPITAL	035	PAYX	S	25,000	37.73	n/a	n/a	1250.00 5.0

TOTAL (AO, CXL, CRT) : **229.00**

TOTAL (Trade Date) : **133,358.47****TOTAL (AO, CXL, CRT) :** **229.00**

TOTAL (RUN DATE) / NFS: **133,587.47**

MRI Securities with Trade Activity on 10-Apr.

LM

MRI Securities without Trade Activity on 10-Apr.

BEN

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

T-Date = 20%

YTD = 18%

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