



# Daily Compliance Activity Report

Trade Date: 06/28/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	200,000	25.47	n/a	12-Jun	8,000.00	4.0
GLG PARTNERS	034	AEO	B	50,000	25.38	n/a	12-Jun	2,500.00	5.0
STRATIX ASSEST MGMT	035	AM	B	10,000	28.49	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	12,300	41.95	n/a	8-Jun	461.25	3.8
WEINTRAUB CAPITAL MGT.	040	ARO	SS	50,000	41.97	n/a	8-Jun	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		ASD	B	10,000	58.70	31-May	25-Jun	non-brg	1.0
⌘ BUCK CAPITAL MGMT		ASD	B	10,000	59.16	31-May	25-Jun	non-brg	5.0
CROWLEY	061	ASD	B	500	59.01	31-May	25-Jun	0.00	0.0
PAKLER	N22	ASD	B	19	59.00	31-May	25-Jun	0.00	0.0
⌘ BUCK CAPITAL MGMT		AXE	S	25,000	74.89	24-Apr	16-May	non-brg	5.0
BUCK	015	BG	B	500	81.05	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	BONT	S	3,900	40.18	25-May	8-Jun	156.00	4.0
DURANGO INVESTMENTS	031	BRNC	B	20,000	16.45	n/a	n/a	800.00	4.0
FARALLON CAP MGMT	040	BSX	B	190,000	15.50	n/a	22-Apr	7,600.00	4.0
⌘ BUCK CAPITAL MGMT		CCI	B	10,000	35.57	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CCI	B	140,000	35.75	n/a	n/a	non-brg	5.0
BULL PATH CAPITAL	044	CCI	B	25,000	35.34	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		CHIC	B	60,000	26.39	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	034	CHS	SS	31,000	25.06	31-May	8-Jun	1,240.00	4.0
⚡ BUCK CAPITAL MGMT		CMG	S	20,000	82.33	24-Apr	24-Apr	non-brg	5.0
⚡ BUCK CAPITAL MGMT		CMRG	S	200,000	10.41	n/a	n/a	non-brg	5.0
CUMBERLAND	038	COH	SS	60,000	47.53	23-Feb	25-Apr	2,400.00	4.0
⚡ BUCK CAPITAL MGMT		CRI	S	35,400	25.92	n/a	n/a	non-brg	5.0
⚡ BUCK CAPITAL MGMT		CROX	S	40,000	41.40	n/a	n/a	non-brg	5.0
BINDER	007	CSCO	S	300	28.14	n/a	22-Mar	0.00	0.0
BACKUS	005	CSCT	B	2,000	15.00	n/a	n/a	0.00	0.0
WENTWORTH HAUSER VIOLICK	035	CSE	B	100,000	24.63	n/a	n/a	5,000.00	5.0
BEAR STEARNS ASSET MGMT.	033	CVS	S	20,000	36.58	n/a	n/a	800.00	4.0
BACKUS	005	CVS	B	1,000	36.74	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	217	DAL	SS	30,000	19.72	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		DIA	C	220,400	134.47	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	DKS	B	5,000	56.58	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	30,000	35.33	7-May	7-Jun	1,200.00	4.0
BUCK	015	DUK	B	1,500	18.27	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	ED	S	1,000	45.16	n/a	n/a	0.00	0.0
KERN	050	EFT	B	1,000	19.04	n/a	n/a	0.00	0.0
WHEELER	008	EXTR	B	15,000	3.95	n/a	22-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	FL	B	70,000	21.94	24-May	21-Jun	2,800.00	4.0
MAZAMA CAPITAL MGMT.	035	FMR	B	16,400	20.95	n/a	n/a	656.00	4.0
BUCK	015	FPRS	S	2,000	38.92	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		F	C	50,000	9.61	n/a	14-Jun	non-brg	5.0
ß BUCK CAPITAL MGMT		GCO	C	137,400	52.87	n/a	10-Jan	non-brg	5.0
ß BUCK CAPITAL MGMT		GIII	B	15,000	15.91	n/a	n/a	non-brg	5.0
MAGNETAR FINANCIAL	031	GM	SS	25,000	37.90	4-May	4-May	1,000.00	4.0
BARR	096	GNSM	B	3,200	2.30	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GPI	B	20,000	41.19	27-Apr	2-May	non-brg	5.0
BUCK	015	GS	B	200	218.66	15-Jun	15-Jun	0.00	0.0
ß BUCK CAPITAL MGMT		GYMB	B	5,000	40.25	4-Jan	4-Jun	non-brg	5.0
BUCK	015	HCBK	S	2,000	12.36	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	IOSP	S	5,000	61.84	n/a	n/a	200.00	4.0
<b>BACKUS</b>	<b>005</b>	<b>ISE</b>	<b>S</b>	<b>1,000</b>	<b>65.66</b>	<b>30-Apr</b>	<b>14-Jun</b>	<b>0.00</b>	<b>0.0</b>
BLUE HARBOR	036	IVZ	S	4,000	26.21	14-Jun	25-Jun	200.00	5.0
GALLEON MGMT LP	033	IWM	C	5,000	83.79	n/a	n/a	250.00	5.0
MATRIX ASSET ADV.	036	JNJ	B	5,000	61.50	n/a	22-Apr	200.00	4.0
<b>OGORMAN</b>	<b>146</b>	<b>KEGS</b>	<b>S</b>	<b>1,000</b>	<b>18.19</b>	<b>n/a</b>	<b>21-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>71.38</b>	<b>14-Jun</b>	<b>14-Jun</b>	<b>non-brg</b>	<b>5.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LAMR</b>	<b>B</b>	<b>5,000</b>	<b>62.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LAVA</b>	<b>S</b>	<b>20,000</b>	<b>14.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>B</b>	<b>10,000</b>	<b>38.39</b>	<b>n/a</b>	<b>2-May</b>	<b>400.00</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LTM</b>	<b>B</b>	<b>30,000</b>	<b>54.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
MS PRINCIPAL STRATEGIES	040	MAR	B	24,400	43.39	n/a	n/a	1,220.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>MRU+TV</b>	<b>B</b>	<b>500</b>	<b>1.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSM</b>	<b>B</b>	<b>7,700</b>	<b>53.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>64,400</b>	<b>198.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>39.7</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHOTTENFELD/KEVIN	046	M	B	15,000	39.55	17-May	8-Jun	750.00	5.0
⚡ BUCK CAPITAL MGMT		NLS	S	30,000	12.35	n/a	n/a	non-brg	5.0
⚡ BUCK CAPITAL MGMT		NLS	S	90,000	12.24	n/a	n/a	non-brg	5.0
SCOPUS FUND	039	NP	S	35,000	41.11	14-Jun	14-Jun	1,750.00	5.0
DAVIDSON KEMPNER ADVISOR	217	NWA	SS	120,000	22.49	n/a	n/a	6,000.00	5.0
CAPITAL GROWTH MGMT.	241	OII	B	40,000	53.11	n/a	n/a	2,000.00	5.0
KAICHER	064	ONNN	S	100	10.85	n/a	n/a	0.00	0.0
VAN KAMPEN ADV	031	ORCL	B	750,000	19.99	n/a	n/a	22,500.00	3.0
BUCK CAPITAL MGMT	001	OXM	S	10,000	45.43	n/a	n/a	400.00	4.0
CAPITAL GROWTH MGMT.	241	PCU	S	20,000	92.70	n/a	n/a	1,000.00	5.0
MATRIX ASSET ADV.	036	PFE	B	5,000	25.54	n/a	31-Mar	200.00	4.0
PRINCIPLE CAPITAL	040	PLCE	S	101,500	52.04	12-Apr	8-Jun	4,060.00	4.0
⚡ BUCK CAPITAL MGMT		PRO	S	25,000	12.64	n/a	n/a	non-brg	5.0
THE JAY GOLDMAN	034	ROST	B	10,000	30.95	n/a	n/a	400.00	4.0
SCHOTTENFELD/KEVIN	046	SBUX	S	10,000	26.63	24-Apr	24-Apr	500.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	29.40	n/a	13-Mar	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		SPY	C	192,000	150.91	n/a	n/a	non-brg	2.0
GALLEON MGMT LP	033	SPY	C	5,000	150.81	n/a	n/a	250.00	5.0
DE SHAW	040	SUNW	SS	500,000	5.12	n/a	n/a	15,000.00	3.0
LISTED ERR	099	S	B	15,000	21.06	n/a	n/a	0.00	0.0
LISTED ERR	099	S	S	15,000	21.05	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	TIF	B	100,000	52.59	1-Jun	13-Jun	4,000.00	4.0
KERN	050	TIN	B	100	61.33	14-Jun	14-Jun	0.00	0.0
⌘ BUCK CAPITAL MGMT		TJX	B	20,000	27.42	21-Mar	8-Jun	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TJX	B	50,000	27.34	21-Mar	8-Jun	non-brg	5.0
PIVOT CAP	034	TJX	S	10,400	27.06	21-Mar	8-Jun	520.00	5.0
⌘ BUCK CAPITAL MGMT		TSCO	B	5,000	52.62	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TWB	B	50,000	45.08	23-May	23-May	non-brg	5.0
BACKUS	005	TYC	S	2,000	33.81	19-Jun	19-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	UAG	B	20,000	21.59	n/a	9-May	800.00	4.0
BEAR STEARNS ASSET MGMT.	033	URBN	S	20,000	24.43	2-Apr	11-May	800.00	4.0
CLOVIS CAPITAL	012	USTR	SS	15,000	67.08	23-May	23-May	750.00	5.0
SANDLER O'NEILL ASSET	031	WDR	B	2,400	26.20	5-Mar	25-Jun	120.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		WSO	B	15,000	55.06	n/a	n/a	non-brg 5.0
TOTAL (Trade Date):							105,233.25	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/27	BRIGHTPOINT CAP	067	AAP	B	20,000	40.22	n/a	n/a	800.00 4.0
AO,	06/27	GENERAL ELECTIC CO	033	C	S	24,999	50.85	n/a	14-Jun	1125.00 4.5
AO,CRT	06/27	MS PRINCIPAL STRATEGIES	040	CFC	B	4,000	35.50	n/a	n/a	200.00 5.0
AO,CXL	06/27	MS PRINCIPAL STRATEGIES	040	CFC	B	4,000	35.50	n/a	n/a	1.78 0.0
AO,	06/27	NICOLAS APPLGATE	048	INXI	S	5,000	9.06	n/a	n/a	150.00 3.0
AO,CRT	06/27	BUCK CAPITAL MGMT	001	LTM	B	15,000	53.77	n/a	n/a	600.00 4.0
AO,CXL	06/27	BUCK CAPITAL MGMT	001	LTM	B	10,000	53.77	n/a	n/a	400.00 4.0
AO,CRT	06/27	STRAUSS ASSET MGMT	040	TAST	S	15,000	15.21	n/a	n/a	750.00 5.0
AO,CXL	06/27	STRAUSS ASSET MGMT	040	TAST	S	15,000	15.21	n/a	n/a	750.00 5.0
AO,CXL	06/27	MS PRINCIPAL STRATEGIES	040	VLY	B	3,972	22.60	n/a	n/a	1.13 0.0
AO,CRT	06/27	MS PRINCIPAL STRATEGIES	040	VLY	B	3,972	22.60	n/a	n/a	198.60 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,670.69</b>

TOTAL (Trade Date) :	105,233.25
TOTAL (AO, CXL, CRT) :	2,670.69

<b>TOTAL (RUN DATE) / NFS:</b>	<b>107,903.94</b>
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MRI Securities with Trade Activity on 28-Jun.  
NONE

MRI Securities without Trade Activity on 28-Jun.  
ETN

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 13%  
YTD = 17%

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