



Daily Compliance Activity Report

Trade Date: 01/31/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	ABK	C	100	88.66	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	ABT	B	2,000	53.04	n/a	22-Apr	80.00	4.0
BALYASNY ASSET MGMT	044	AB	B	5,000	89.66	24-Jan	25-Jan	250.00	5.0
COLUMBUS CIRCLE	036	ADS	B	4,300	67.24	n/a	n/a	172.00	4.0
PRINCIPLE CAPITAL	040	AEOS	B	27,000	32.16	4-Jan	12-Jan	810.00	3.0
UBS OCONNOR	031	AEOS	B	50,000	32.61	4-Jan	12-Jan	2,500.00	5.0
AMBER CAPITAL	046	AIN	B	1,000	33.50	n/a	n/a	40.00	4.0
MS PRINCIPAL STRATEGIES	040	ALC	S	6,900	10.93	n/a	n/a	276.00	4.0
B BUCK CAPITAL MGMT		AMWD	C	10,000	44.87	n/a	n/a	non-brg	5.0
JP MORGAN VENTURES	046	ANF	SS	6,500	77.76	3-Nov	5-Jan	325.00	5.0
COLUMBUS CIRCLE	036	APA	B	2,400	72.77	n/a	22-Jan	96.00	4.0
COLUMBUS CIRCLE	036	ATI	B	1,800	102.78	n/a	n/a	72.00	4.0
EFSTATHIOU	044	AUANF	B	20	0.25	n/a	n/a	0.00	0.0
LUCHANSKY	036	AXE	B	200	55.39	26-Dec	30-Jan	0.00	0.0
COLUMBUS CIRCLE	036	BAX	B	4,400	49.36	n/a	22-Apr	176.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	BBBY	SS	25,000	41.67	n/a	n/a	1,250.00	5.0
HARVEST MGMT	039	BBW	S	15,000	30.06	8-Jan	8-Jan	750.00	5.0
CAPITAL GROWTH MGMT.	241	BHI	B	30,000	68.10	n/a	n/a	1,500.00	5.0
AAD CAPITAL	048	BIG	SS	100,000	25.97	16-Nov	18-Jan	4,000.00	4.0
GOLD SACHS SPECIAL SIT	037	BSX	S	150,000	18.37	n/a	22-Apr	7,500.00	5.0
COLUMBUS CIRCLE	036	CAG	B	3,900	25.80	n/a	n/a	156.00	4.0
COLUMBUS CIRCLE	036	CAH	B	1,500	71.32	n/a	n/a	60.00	4.0
ß BUCK CAPITAL MGMT		CAT	C	30,000	64.14	n/a	n/a	non-brg	5.0
MKT MAKER	099	CBEY	B	66	30.12	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	B	10,000	17.82	11-Dec	30-Jan	400.00	4.0
FORCE CAPITAL MGMT	030	CCO	B	40,000	28.57	n/a	n/a	1,200.00	3.0
OGORMAN	146	CC	S	400	20.19	20-Dec	10-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		CDNS	B	20,000	18.72	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CDNS	B	5,500	19.02	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CHIC	C	24,900	30.22	n/a	n/a	non-brg	5.0
LUCHANSKY	036	CHL	B	200	46.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BINDER	007	CLX	SS	100	64.65	5-Dec	26-Jan	0.00	0.0
COLUMBUS CIRCLE	036	CMX	B	3,400	61.11	n/a	n/a	136.00	4.0
BAIRD INVESTMENT	031	COH	S	5,000	45.41	24-Jan	24-Jan	250.00	5.0
THE JAY GOLDMAN	034	COST	B	30,000	55.80	n/a	5-Jan	1,200.00	4.0
J L F ASSET MGMT	039	CPWM	S	48,067	10.24	n/a	n/a	1,922.68	4.0
⌘ BUCK CAPITAL MGMT		CRI	S	25,000	25.28	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CRI	S	27,000	25.25	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CRI	S	48,000	25.40	n/a	n/a	non-brg	2.0
NEUBERGER BERMAN	238	CRRC	B	600	39.40	n/a	n/a	24.00	4.0
GAULT	063	CRR	B	500	36.99	1-Feb	1-Feb	0.00	0.0
FRIESS MGMT	042	CSCO	B	191,300	26.65	n/a	22-Mar	8,608.50	4.5
BINDER	007	CVGW	B	300	10.33	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	CVS	B	9,100	33.60	n/a	n/a	364.00	4.0
COLUMBUS CIRCLE	036	DNA	B	2,600	86.52	n/a	n/a	104.00	4.0
SARAS CAPITAL	038	DSW	B	21,000	39.58	n/a	30-Jan	1,050.00	5.0
GALLEON MGMT LP	033	EL	SS	40,000	47.03	1-Feb	1-Feb	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	EV	S	50,000	34.29	2-Nov	24-Jan	2,500.00	5.0
LUCHANSKY	036	FDRXX	S	153,850	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FD	B	10,000	40.78	26-Jan	29-Jan	non-brg	5.0
EGS ASSOCIATES LP	059	FD	B	3,500	40.38	26-Jan	29-Jan	210.00	6.0
FIRST NEW YORK LEDDY	035	FD	B	30,000	41.35	26-Jan	29-Jan	1,800.00	6.0
BUCK CAPITAL MGMT	001	FL	B	150,000	22.30	n/a	19-Jan	6,000.00	4.0
THE JAY GOLDMAN	034	FL	B	25,800	22.39	n/a	19-Jan	1,032.00	4.0
DAWSON	148	GILD	B	100	64.41	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIL	B	5,000	49.01	n/a	n/a	non-brg	5.0
BINDER	007	GLW	S	190	20.60	n/a	29-Jan	0.00	0.0
IRIDIAN ASSET MGMT.	036	GRP	B	4,800	39.45	n/a	n/a	240.00	5.0
COLUMBUS CIRCLE	036	GS	B	1,800	207.87	13-Dec	16-Jan	72.00	4.0
ZANDER CAPITAL MGMT	035	HD	B	6,000	40.95	n/a	16-Jan	240.00	4.0
IVORY CAPITAL	034	HLT	SS	100,000	35.55	n/a	n/a	5,000.00	5.0
COLUMBUS CIRCLE	036	HPQ	B	7,900	43.04	n/a	n/a	316.00	4.0
EFSTATHIOU	044	HRS	S	100	50.41	31-Jan	31-Jan	0.00	0.0
NEUBERGER BERMAN	238	HTLD	S	7,400	16.83	n/a	n/a	296.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	IBM	B	2,200	98.39	n/a	n/a	88.00	4.0
⌘ BUCK CAPITAL MGMT		IKAN	B	20,000	8.13	n/a	n/a	non-brg	5.0
PRINCIPLE CAPITAL	040	INFY	SS	31,700	57.60	n/a	n/a	1,268.00	4.0
MKT MAKER	099	INFY	SS	44	57.60	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		INTC	B	10,000	20.83	n/a	n/a	non-brg	1.0
LUCHANSKY	036	ISE	B	200	41.85	26-Oct	16-Jan	0.00	0.0
EFSTATHIOU	044	ISE	B	100	42.30	26-Oct	16-Jan	0.00	0.0
SINCLAIR	031	ITCD	B	533	2.40	n/a	n/a	0.00	0.0
EFSTATHIOU	044	JMBA	B	400	9.38	n/a	n/a	0.00	0.0
BINDER	007	KEGS	B	300	16.45	n/a	22-Jan	0.00	0.0
OGORMAN	146	KEGS	B	500	16.45	n/a	22-Jan	0.00	0.0
CUMBERLAND	038	KKD	S	50,000	12.72	n/a	n/a	2,000.00	4.0
JENNISON	032	KLAC	S	43,600	48.64	n/a	n/a	1,744.00	4.0
COLUMBUS CIRCLE	036	KO	B	6,000	47.59	n/a	n/a	240.00	4.0
COLUMBUS CIRCLE	036	KSS	B	3,100	70.68	27-Dec	5-Jan	124.00	4.0
NEUBERGER BERMAN	238	KVA	S	19,300	25.12	n/a	n/a	965.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	40,000	32.64	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WD PARTNERS ILP	067	LPX	SS	3,000	23.00	n/a	23-Jan	150.00	5.0
B BUCK CAPITAL MGMT		LTD	B	10,000	28.05	5-Jan	5-Jan	non-brg	5.0
COLUMBUS CIRCLE	036	LVS	B	1,900	102.50	n/a	n/a	76.00	4.0
COLUMBUS CIRCLE	036	MAR	B	2,400	47.89	n/a	n/a	96.00	4.0
COLUMBUS CIRCLE	036	MCD	B	5,200	44.01	12-Oct	24-Jan	208.00	4.0
SAILFISH	037	MCD	B	20,000	44.11	12-Oct	24-Jan	1,000.00	5.0
B BUCK CAPITAL MGMT		MDTL	SS	5,000	12.97	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		MIPS	B	10,000	8.35	n/a	n/a	non-brg	4.0
MATRIX ASSET ADV.	036	MMM	B	7,000	73.60	n/a	30-Jan	280.00	4.0
WHEELER	008	MMM	B	1,000	73.58	n/a	30-Jan	0.00	0.0
BINDER	007	MOT	S	200	19.43	n/a	n/a	0.00	0.0
THAM	030	MRH	B	20,000	17.49	n/a	n/a	800.00	4.0
COLUMBUS CIRCLE	032	MSFT	S	3,100	30.53	n/a	3-Apr	124.00	4.0
JENNISON	032	MSFT	S	335,600	30.53	n/a	3-Apr	13,424.00	4.0
COLUMBUS CIRCLE	036	MS	B	4,700	81.35	20-Dec	16-Jan	188.00	4.0
B BUCK CAPITAL MGMT		MWV	B	10,000	29.73	8-Jan	1-Feb	non-brg	5.0
SCOPUS FUND	039	MWV	B	50,000	30.11	8-Jan	1-Feb	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WD PARTNERS ILP	067	MWV	S	10,000	30.26	8-Jan	1-Feb	500.00	5.0
ZANDER CAPITAL MGMT	035	MWV	B	9,000	29.91	8-Jan	1-Feb	360.00	4.0
THAM	030	NAL	B	5,000	15.75	n/a	n/a	200.00	4.0
COLUMBUS CIRCLE	036	NWL	B	5,300	29.52	n/a	n/a	212.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	30,000	14.63	1-Dec	10-Jan	1,200.00	4.0
BARR	096	OPY	S	400	36.00	n/a	n/a	0.00	0.0
FRIESS MGMT	042	ORCL	B	192,500	17.12	n/a	n/a	8,662.50	4.5
GAULT	063	PDCCV	B	50	1.00	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	PEP	B	4,300	65.08	n/a	n/a	172.00	4.0
ROARING BLUE LION MGMT	012	PLCE	B	3,400	54.01	n/a	25-Jan	136.00	4.0
NCM CAPITAL MGMT	035	PTI	S	11,900	23.58	n/a	n/a	595.00	5.0
BINDER	007	RDEN	B	300	19.12	7-Nov	7-Nov	0.00	0.0
Õ Manny Korman		RLF	B	1000	27.8600	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	RSC	S	10,000	16.35	n/a	n/a	400.00	4.0
SARAS CAPITAL	038	RVI	S	35,000	19.37	n/a	n/a	1,750.00	5.0
THE JAY GOLDMAN	034	SKX	B	25,000	35.23	n/a	12-Jan	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BINDER	007	TOL	B	105	33.00	n/a	n/a	0.00	0.0
XYLEM GLOBAL	024	TWP	SS	30,600	26.77	n/a	n/a	1,530.00	5.0
VANDER MOOLEN	040	TYC	B	5,000	31.75	n/a	15-Nov	250.00	5.0
WHITE PINE CAPITAL	030	UCO	S	14,425	59.55	11-Oct	22-Jan	721.25	5.0
NEUBERGER BERMAN	238	UNT	S	43,900	48.09	31-Jan	31-Jan	2,195.00	5.0
HAYGROUND COE	039	WFMI	B	75,000	43.45	n/a	n/a	3,750.00	5.0
BAIRD INVESTMENT	031	WFT	B	1,640	40.23	n/a	n/a	82.00	5.0
PERRY PARTNERS	035	WSM	B	75,000	34.53	n/a	n/a	3,750.00	5.0
SAILFISH	037	WYE	B	10,000	49.16	n/a	31-Mar	500.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	75,000	14.23	8-Sep	11-Jan	3,000.00	4.0
ß BUCK CAPITAL MGMT		ZQK	S	200,000	14.23	8-Sep	11-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		ZQK	S	28,600	14.21	8-Sep	11-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		ZQK	S	407,000	14.22	8-Sep	11-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		ZUMZ	B	10,000	31.95	n/a	n/a	non-brg	5.0
TOTAL (Trade Date):							112,818.93		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/30	SUNOVA CAPITAL	031	CLMS	B	51,000	27.76	30-Jan	30-Jan	2550.00 5.0
AO,CXL	01/30	SUNOVA CAPITAL	031	CLMS	B	51,000	27.76	30-Jan	30-Jan	2550.00 5.0
AO,	01/30	EAGLE ASSET MGMT	044	CRR	B	37,145	36.80	1-Feb	1-Feb	1485.80 4.0
AO,	01/29	ALLEN & CO	032	CSCO	S	75,000	26.22	n/a	22-Mar	3000.00 4.0
AO,CRT	01/25	MS PRINCIPAL STRATEGIES	040	NAV	SS	28,200	40.36	n/a	n/a	1410.00 5.0
AO,CXL	01/25	MS PRINCIPAL STRATEGIES	040	NAV	SS	28,200	40.36	n/a	n/a	1128.00 4.0
AO,CRT	01/30	GABELLI FUNDS	037	RDA	B	19,000	16.94	n/a	n/a	950.00 5.0
AO,CXL	01/30	GABELLI FUNDS	037	RDA	B	19,000	16.94	n/a	n/a	950.00 5.0
AO,CRT	01/30	DISIPLINED GROWTH INV.	030	TWTC	B	4,300	22.91	n/a	23-Jan	215.00 5.0
AO,CXL	01/30	DISIPLINED GROWTH INV.	030	TWTC	B	4,300	22.91	n/a	23-Jan	215.00 5.0

TOTAL (AO, CXL, CRT) :**4,767.80**

TOTAL (Trade Date) :

112,818.93

TOTAL (AO, CXL, CRT) :

4,767.80

TOTAL (RUN DATE) / NFS:**117,586.73**

MRI Securities with Trade Activity on 31-Jan.

HRS, UNT

MRI Securities without Trade Activity on 31-Jan.

ARG, CL, DBD, HSC, STR, WWW

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

T-Date = 25%

YTD = 20%

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