



## Daily Compliance Activity Report

Trade Date: 09/14/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Glenn Redemann		ACLI	B	3	0.74	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ACLI	B	3	1.23	n/a	n/a	0.00	0.0
WOOSTER CAPITAL	035	AEO	B	50,000	25.46	10-Jul	7-Sep	2,500.00	5.0
IMPALA ASSET MMT	012	AMR	B	266,000	23.96	n/a	n/a	7,980.00	3.0
TRIVIUM CAP MGMT	028	ANN	B	1,500	31.47	6-Aug	7-Sep	60.00	4.0
IMPALA ASSET MMT	012	APA	B	100,000	82.94	n/a	4-Sep	3,000.00	3.0
HIGHBRIDGE CAPITAL	038	APC	B	3,000	50.67	22-Jun	4-Sep	150.00	5.0
ROTHSCHILD ASSET	040	ARW	B	11,200	40.75	n/a	n/a	504.00	4.5
Ⓑ BUCK CAPITAL MGMT		ASD	B	10,000	34.78	17-Aug	14-Sep	non-brg	4.0
Õ Glenn Redemann		BDC	B	2	0.37	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BDC	B	2	0.42	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BDC	SS	2	1.24	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BDC	SS	2	1.55	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BDK	B	2	1.08	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BDK	B	2	1.13	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BDK	SS	2	1.97	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BDK	SS	2	2.34	n/a	n/a	0.00	0.0
FIRST INV MGMT CORP	036	BEAS	B	15,000	13.27	n/a	3-Apr	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Glenn Redemann		BG	B	3	0.80	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BG	B	3	1.38	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BG	SS	3	1.61	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BG	SS	3	2.97	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	BIG	SS	300	30.00	n/a	7-Sep	15.00	5.0
ENTRUST CAPITAL	040	BIG	SS	135,900	29.68	n/a	7-Sep	6,795.00	5.0
ß BUCK CAPITAL MGMT		BONT	B	15,000	24.27	3-Aug	7-Sep	non-brg	4.0
MKT MAKER	099	BONT	B	500	24.10	3-Aug	7-Sep	0.00	0.0
MKT MAKER	099	BONT	S	500	24.24	3-Aug	7-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		BWS	B	10,000	19.99	n/a	n/a	non-brg	1.0
CHARTER OAK	033	CBE	SS	13,000	50.15	19-Jul	19-Jul	650.00	5.0
Õ Glenn Redemann		CBST	B	3	0.14	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CBST	B	3	0.17	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CBST	SS	3	0.73	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CBST	SS	3	0.94	n/a	n/a	0.00	0.0
PROVIDENT INV COUNSEL	048	CEPH	S	74,500	72.75	1-Aug	13-Sep	3,725.00	5.0
MORRISON & FRASIER	040	CERS	S	10,800	7.40	n/a	n/a	540.00	5.0
KORMAN	003	CEUC	S	6,000	4.82	n/a	n/a	0.00	0.0
CASTANEDA	001	CHCG	B	200	4.22	n/a	n/a	0.00	0.0
LEDDY	035	CHCG	B	3,300	3.97	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>HART</b>	<b>056</b>	<b>CHCG</b>	<b>B</b>	<b>250</b>	<b>4.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	039	CHRW	B	7,800	50.98	n/a	n/a	390.00	5.0
IMPALA ASSET MMT	012	CNQ	SS	131,659	75.47	n/a	n/a	3,949.77	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>5,000</b>	<b>47.96</b>	<b>n/a</b>	<b>10-Sep</b>	<b>200.00</b>	<b>4.0</b>
FRIESS MGMT	042	COH	B	192,400	47.63	n/a	10-Sep	8,658.00	4.5
WEISS PECK	040	COH	SS	8,800	46.94	n/a	10-Sep	440.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>S</b>	<b>18,800</b>	<b>19.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>S</b>	<b>51,200</b>	<b>19.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KNOTT PARTNERS	044	CROX	SS	15,000	57.83	n/a	n/a	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>10,000</b>	<b>15.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WEISS PECK	040	DHI	S	93,800	13.70	n/a	n/a	4,690.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>C</b>	<b>20,000</b>	<b>41.95</b>	<b>10-Aug</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>C</b>	<b>20,000</b>	<b>41.98</b>	<b>10-Aug</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET	032	DRS	S	10,400	52.50	n/a	n/a	468.00	4.5
KNOTT PARTNERS	044	ELN	SS	75,000	18.25	n/a	n/a	3,750.00	5.0
CHARTER OAK	033	EMR	SS	14,000	48.65	n/a	n/a	700.00	5.0
<b>Ö Glenn Redemann</b>		<b>ESRX</b>	<b>B</b>	<b>3</b>	<b>0.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Ö Glenn Redemann</b>		<b>ESRX</b>	<b>B</b>	<b>3</b>	<b>1.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	FLR	B	104,200	133.07	n/a	n/a	3,126.00	3.0
<b>KORMAN</b>	<b>003</b>	<b>FSIN</b>	<b>S</b>	<b>1,644</b>	<b>11.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	GCO	B	35,000	44.24	n/a	10-Jan	1,400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>31.88</b>	<b>21-Jun</b>	<b>29-Aug</b>	<b>non-brg</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	GNTX	SS	15,000	20.03	24-Jul	31-Aug	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GTRC</b>	<b>S</b>	<b>55,000</b>	<b>56.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>5,000</b>	<b>38.64</b>	<b>10-Aug</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
IMPALA ASSET MMT	012	HERO	SS	350,000	27.08	n/a	n/a	10,500.00	3.0
<b>KAICHER</b>	<b>064</b>	<b>HOV</b>	<b>B</b>	<b>3,000</b>	<b>11.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	IHP	B	15,000	65.11	n/a	n/a	750.00	5.0
GOLDMAN SACHS ASSET MGMT	044	INTU	B	133,551	28.52	n/a	n/a	2,003.27	1.5
HIGHBRIDGE CAPITAL	038	IP	SS	5,000	34.92	4-May	20-Aug	250.00	5.0
IMPALA ASSET MMT	012	JBHT	S	125,000	27.45	n/a	n/a	3,750.00	3.0
<b>BACKUS</b>	<b>005</b>	<b>JCP</b>	<b>B</b>	<b>2,000</b>	<b>64.27</b>	<b>21-Jun</b>	<b>7-Sep</b>	<b>0.00</b>	<b>0.0</b>
PHILADELPHIA FINANCIAL	033	JNC	SS	95,769	62.26	20-Jun	22-Aug	4,788.45	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	038	JWN	SS	15,000	48.67	12-Jul	7-Sep	600.00	4.0
J.W. SELIGMAN	032	KSS	B	113,100	56.77	14-Jun	27-Jul	4,524.00	4.0
HEALY CIRCLE	044	LEH	B	30,000	58.51	12-Jun	4-Sep	1,500.00	5.0
MERRILL ASSET	032	LEN	B	22,700	25.47	n/a	n/a	1,021.50	4.5
MS PRINCIPAL STRATEGIES	040	MAR	SS	32,300	43.53	n/a	n/a	1,615.00	5.0
FIRST INV MGMT CORP	036	MCK	B	10,000	54.02	n/a	n/a	500.00	5.0
<b>Õ Neil Stratton</b>		<b>MIR</b>	<b>S</b>	<b>3</b>	<b>1.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J.W. SELIGMAN	032	MO	S	118,800	66.95	n/a	n/a	4,752.00	4.0
WASHINGTON ASSET	048	MTZ	S	10,700	12.65	n/a	n/a	535.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>20,000</b>	<b>47.62</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>20,000</b>	<b>30.09</b>	<b>13-Jul</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>40,000</b>	<b>30.19</b>	<b>13-Jul</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
TRIVIUM CAP MGMT	028	M	B	2,400	28.74	13-Jul	7-Sep	96.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>NEXC</b>	<b>B</b>	<b>20,000</b>	<b>5.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>NEXC</b>	<b>B</b>	<b>20,000</b>	<b>5.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SANDLER O'NEILL ASSET	031	NTRS	B	25,000	62.09	n/a	16-Aug	1,250.00	5.0
SCOPUS FUND	039	OI	S	5,000	39.98	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PLCE	B	10,000	25.62	12-Apr	7-Sep	500.00	5.0
KNOTT PARTNERS	044	PRX	B	45,900	19.89	21-May	12-Sep	1,836.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>B</b>	<b>175,900</b>	<b>21.31</b>	<b>n/a</b>	<b>n/a</b>	<b>7,036.00</b>	<b>4.0</b>
COUGAR TRADING	044	PSUN	B	20,000	15.71	n/a	7-Sep	1,000.00	5.0
HOTCHKIS & WILEY	035	PSUN	B	100,000	15.70	n/a	7-Sep	5,000.00	5.0
<b>HART</b>	<b>056</b>	<b>RAD</b>	<b>B</b>	<b>250</b>	<b>4.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	RGC	B	7,000	21.28	n/a	n/a	315.00	4.5
COUGAR TRADING	044	RL	B	5,000	78.37	9-Aug	29-Aug	250.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>ROST</b>	<b>C</b>	<b>10,000</b>	<b>26.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CUMBERLAND	038	RRGB	B	15,000	41.60	n/a	n/a	600.00	4.0
<b>Õ Glenn Redemann</b>		<b>RSH</b>	<b>B</b>	<b>3</b>	<b>0.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>RSH</b>	<b>B</b>	<b>3</b>	<b>0.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>C</b>	<b>220,000</b>	<b>100.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
EPOCH INV MGMT	030	SAPE	B	37,300	6.23	n/a	n/a	1,492.00	4.0
MKT MAKER	030	SAPE	B	76	6.23	n/a	n/a	3.04	4.0
<b>BARR</b>	<b>096</b>	<b>SKF</b>	<b>S</b>	<b>300</b>	<b>84.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>SKS</b>	<b>B</b>	<b>40,000</b>	<b>16.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BACKUS</b>	<b>005</b>	<b>SNEN</b>	<b>S</b>	<b>10,000</b>	<b>2.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	SPLS	B	15,000	22.22	n/a	27-Jul	750.00	5.0
ARIENCE CAPITAL	036	STX	B	27,475	24.39	n/a	n/a	1,373.75	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>S</b>	<b>5,000</b>	<b>15.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAXTON PART	040	TSM	B	250,000	9.98	n/a	n/a	10,000.00	4.0
GARX	301	T	B	64,700	40.49	25-Jul	6-Sep	2,588.00	4.0
CHILTON CAPITAL MGMT.	036	UBA	S	20,000	16.32	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRNC</b>	<b>B</b>	<b>100</b>	<b>32.97</b>	<b>18-Jul</b>	<b>29-Aug</b>	<b>non-brg</b>	<b>1.0</b>
CHARTER OAK	033	WWY	B	34,042	62.07	n/a	n/a	1,702.10	5.0
XYLEM GLOBAL	091	WY	S	20,000	69.47	13-Jul	20-Aug	1,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>131,671.88</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/13	LISTED ERR	099	F	B	25,000	7.71	n/a	13-Sep	0.00 0.0
AO,	09/13	LISTED ERR	099	F	S	25,000	7.63	n/a	13-Sep	0.00 0.0
AO,	09/13	IMPALA ASSET MMT	012	PKX	SS	89,381	163.86	n/a	n/a	2681.43 3.0
AO,CXL	09/12	THE JAY GOLDMAN	034	VZ	SS	35,000	42.13	31-Jul	6-Sep	1400.00 4.0
AO,CRT	09/12	THE JAY GOLDMAN	034	VZ	SS	35,000	42.13	31-Jul	6-Sep	1750.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>3,031.43</b>
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TOTAL (Trade Date) :	131,671.88
TOTAL (AO, CXL, CRT) :	3,031.43

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>134,703.31</b>
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MRI Securities with Trade Activity on 14-Sep. NONE
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MRI Securities without Trade Activity on 14-Sep. CCMP
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BRG comm. as a % of BCM Total Comm. paid.
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**T-Date = 31%**

**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