



## Daily Compliance Activity Report

Trade Date: 08/03/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Glenn Redemann		ADSK	B	2	1.81	n/a	n/a	0.00	0.0
Glenn Redemann		ADSK	B	2	1.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	S	20,000	24.30	10-Jul	13-Jul	800.00	4.0
BUCK CAPITAL MGMT		AEO	S	30,000	23.99	10-Jul	13-Jul	non-brg	5.0
COLUMBIA PARTNERS	028	AIG	B	19,316	61.84	n/a	n/a	772.64	4.0
BUCK CAPITAL MGMT		AMG	B	1,000	117.38	25-Jul	2-Aug	non-brg	5.0
BUCK CAPITAL MGMT		AMG	B	10,000	118.30	25-Jul	2-Aug	non-brg	5.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	69.80	12-Jul	13-Jul	800.00	4.0
COUGAR TRADING	044	ANF	B	10,000	69.77	12-Jul	13-Jul	500.00	5.0
PHILADELPHIA FINANCIAL	033	AN	B	31,242	19.03	n/a	27-Jul	1,562.10	5.0
MAZAMA CAPITAL MGMT.	035	AOS	S	15,300	49.98	18-Jul	18-Jul	612.00	4.0
BUCK CAPITAL MGMT		ARO	SS	10,000	37.79	n/a	13-Jul	non-brg	5.0
COUGAR TRADING	044	ARO	SS	5,000	37.89	n/a	13-Jul	250.00	5.0
THIRD COAST CAPITAL	035	ARO	B	15,000	37.98	n/a	13-Jul	750.00	5.0
ALLEN & CO	032	ASD	S	97,500	38.38	18-Jul	23-Jul	3,900.00	4.0
BUCK CAPITAL MGMT	001	BID	S	31,000	44.74	n/a	n/a	1,240.00	4.0
KNOTT PARTNERS	044	BIG	SS	35,000	25.98	9-Mar	27-Jul	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		BLK	B	5,000	156.74	18-Jul	2-Aug	non-brg	0.0
ß BUCK CAPITAL MGMT		BSC	B	10,000	112.54	n/a	2-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		BSC	B	2,000	108.49	n/a	2-Aug	non-brg	5.0
NATIONAL BK OF CAN	031	BSC	B	20,000	112.96	n/a	2-Aug	800.00	4.0
MAGUIRE	090	BSC	B	500	110.12	n/a	2-Aug	0.00	0.0
KORMAN	003	BVDTA	S	50	3.20	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BWS	B	10,000	20.58	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CAB	C	5,000	23.88	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CAB	C	5,000	25.25	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CACH	S	15,000	16.48	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CHIC	S	10,000	16.93	n/a	n/a	non-brg	5.0
PAKLER	N22	CMG	S	31	98.70	24-Apr	24-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		COH	S	100,000	46.19	n/a	1-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		COH	S	100,000	46.51	n/a	1-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		COH	S	50,000	46.22	n/a	1-Aug	non-brg	2.0
ß BUCK CAPITAL MGMT		CROX	S	10,000	58.48	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CTRN	S	10,000	32.65	n/a	n/a	non-brg	5.0
KNOTT PARTNERS	044	CTRN	B	800	33.00	n/a	n/a	32.00	4.0
MKT MAKER	099	CTRN	B	73	33.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DECK	S	10,000	100.34	n/a	n/a	non-brg	5.0
ZOLIDIS	011	DFZ	S	200	10.36	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DIA	SS	108,300	133.53	n/a	n/a	non-brg	2.0
Õ Philip Franz		DIS	S	25	0.00	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DKS	S	52,300	57.72	n/a	n/a	non-brg	5.0
KNOTT PARTNERS	044	DLTR	B	125,000	39.07	30-May	27-Jul	5,000.00	4.0
WELLS/STRONG LEDDY	035	DRAX	B	37,800	5.05	n/a	n/a	1,512.00	4.0
WCPW	035	DRAX	B	100	5.05	n/a	n/a	4.00	4.0
CAPITAL GROWTH MGMT.	241	DRQ	S	30,000	41.82	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		DSW	B	25,000	32.76	2-Aug	2-Aug	non-brg	5.0
ROTHSCHILD ASSET	040	EAT	S	2,700	27.19	24-Apr	24-Apr	121.50	4.5
MAIRS AND POWER INV	030	EFD	S	20,000	35.88	n/a	n/a	1,200.00	6.0
NEUBERGER BERMAN	036	EIX	S	64,000	55.36	n/a	29-Jun	3,200.00	5.0
DIAMONDBACK CAP MGMT	232	EV	B	25,000	42.12	23-May	2-Aug	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		FL	S	40,000	17.51	24-May	2-Aug	non-brg	5.0
PROSPECTOR PARTNERS LLC	036	GFI	B	25,000	15.84	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GIII	B	20,000	15.28	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GIL	B	50,000	33.19	21-Jun	2-Aug	non-brg	5.0
Õ Philip Franz		GLD	S	200	0.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GPS	C	30,000	17.04	n/a	13-Jul	non-brg	5.0
ß BUCK CAPITAL MGMT		GPS	SS	20,000	16.46	n/a	13-Jul	non-brg	1.0
ß BUCK CAPITAL MGMT		GS	B	10,000	184.45	15-Jun	2-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		GS	B	2,000	183.64	15-Jun	2-Aug	non-brg	5.0
FINANCIAL STOCK LP	028	GS	SS	16,500	185.95	15-Jun	2-Aug	660.00	4.0
Õ Philip Franz		GS	B	100	0.00	15-Jun	2-Aug	0.00	0.0
DAVIDSON TRUST CO	033	HAE	B	1,225	50.37	n/a	n/a	61.25	5.0
DSG CAPITAL	225	HC	B	12,500	23.32	14-Mar	30-Jul	625.00	5.0
NEUBERGER BERMAN	036	HEI	B	12,100	42.42	n/a	n/a	605.00	5.0
ZOLIDIS	011	HLYS	S	100	21.11	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	IHP	B	20,000	65.33	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		IVZ	B	20,000	24.88	2-Aug	2-Aug	non-brg	5.0
MISSOURI VALLEY PART	046	IVZ	B	13,511	24.66	2-Aug	2-Aug	675.55	5.0
ß BUCK CAPITAL MGMT		IWM	SS	186,300	78.04	n/a	n/a	non-brg	2.0
GALLEON MGMT LP	033	IWM	C	10,000	77.41	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		JCG	B	10,000	48.07	22-Jun	22-Jun	non-brg	5.0
COUGAR TRADING	044	JCG	B	5,000	46.16	22-Jun	22-Jun	250.00	5.0
SAC TRADING HOWARD	038	JCG	B	30,000	47.62	22-Jun	22-Jun	1,500.00	5.0
Õ Glenn Redemann		JCI	B	4	1.25	19-Jul	19-Jul	0.00	0.0
Õ Glenn Redemann		JCI	B	4	2.04	19-Jul	19-Jul	0.00	0.0
Õ Glenn Redemann		JCI	SS	4	2.16	19-Jul	19-Jul	0.00	0.0
Õ Glenn Redemann		JCI	SS	4	3.38	19-Jul	19-Jul	0.00	0.0
JP MORGAN VENTURES	046	JCP	B	10,000	67.20	21-Jun	13-Jul	500.00	5.0
IRON HORSE CAPITAL MGMT	038	JNC	S	20,000	61.94	20-Jun	2-Aug	1,000.00	5.0
LISTED ERR	099	JNS	B	1,600	30.48	27-Jul	2-Aug	0.00	0.0
LISTED ERR	099	JNS	S	1,600	30.49	27-Jul	2-Aug	0.00	0.0
⌘ BUCK CAPITAL MGMT		JOSB	S	10,000	33.27	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		JWN	B	10,000	47.03	12-Jul	26-Jul	non-brg	5.0
COUGAR TRADING	044	JWN	B	5,000	47.07	12-Jul	26-Jul	250.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	79,000	58.81	14-Jun	27-Jul	3,160.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	B	1,000	59.28	14-Jun	27-Jul	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KSS	B	80,000	59.03	14-Jun	27-Jul	non-brg	5.0
J L F ASSET MGMT	039	LDG	SS	45,900	47.62	n/a	n/a	1,836.00	4.0
⌘ BUCK CAPITAL MGMT		LEH	B	10,000	57.62	12-Jun	2-Aug	non-brg	5.0
⌘ BUCK CAPITAL MGMT		LEH	B	2,000	58.65	12-Jun	2-Aug	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MAGUIRE</b>	<b>090</b>	<b>LEH</b>	<b>B</b>	<b>500</b>	<b>56.83</b>	<b>12-Jun</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>SS</b>	<b>30,000</b>	<b>35.13</b>	<b>n/a</b>	<b>1-Aug</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MER</b>	<b>B</b>	<b>10,000</b>	<b>70.88</b>	<b>18-Jul</b>	<b>2-Aug</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MER</b>	<b>B</b>	<b>2,000</b>	<b>70.91</b>	<b>18-Jul</b>	<b>2-Aug</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MIR</b>	<b>B</b>	<b>10,000</b>	<b>37.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
MATRIX ASSET ADV.	036	MS	B	9,000	62.82	2-Jul	2-Aug	360.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>79,500</b>	<b>176.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>17.7</b>
J L F ASSET MGMT	039	MW	SS	39,300	47.75	n/a	n/a	1,572.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>120,000</b>	<b>35.17</b>	<b>13-Jul</b>	<b>13-Jul</b>	<b>non-brg</b>	<b>5.0</b>
JP MORGAN VENTURES	046	M	SS	10,000	35.34	13-Jul	13-Jul	500.00	5.0
<b>PAKLER</b>	<b>N22</b>	<b>NILE</b>	<b>B</b>	<b>38</b>	<b>79.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IVORY CAPITAL	034	NOK	B	150,000	29.64	n/a	n/a	7,500.00	5.0
FARALLON CAP MGMT	040	NRG	S	250,000	39.87	n/a	n/a	10,000.00	4.0
COUGAR TRADING	044	NWY	B	30,000	9.28	25-May	25-May	1,500.00	5.0
COUGAR TRADING	044	NWY	S	30,000	8.94	25-May	25-May	1,500.00	5.0
MAZAMA CAPITAL MGMT.	035	NZ	S	10,600	15.92	n/a	n/a	424.00	4.0
JP MORGAN VENTURES	046	OXM	S	20,500	39.46	n/a	n/a	1,025.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	PCL	S	1,300	39.03	10-Jul	24-Jul	65.00	5.0
ß BUCK CAPITAL MGMT		PERY	B	20,000	28.08	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		PERY	B	5,000	27.77	n/a	n/a	non-brg	1.0
Õ Glenn Redemann		PJC	B	4	0.66	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PJC	B	4	0.67	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PJC	SS	4	1.80	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PJC	SS	4	1.88	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	PJC	SS	25,000	46.92	n/a	n/a	1,250.00	5.0
STRAUSS ASSET MGMT	040	PRXI	SS	10,000	15.81	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		PSUN	B	35,000	16.58	n/a	13-Jul	non-brg	5.0
COUGAR TRADING	044	PSUN	B	10,000	15.85	n/a	13-Jul	500.00	5.0
SAC TRADING HOWARD	038	PTRY	S	10,000	31.70	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	PVH	B	31,700	53.32	31-May	31-May	1,585.00	5.0
GALLEON MGMT LP	033	RKH	SS	5,000	144.54	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	88.93	21-Jun	27-Jun	400.00	4.0
ß BUCK CAPITAL MGMT		RL	S	20,000	87.97	21-Jun	27-Jun	non-brg	5.0
GALLEON MGMT LP	033	RTH	SS	5,000	100.41	n/a	n/a	250.00	5.0
ZOLIDIS	011	SDS	B	200	55.56	n/a	n/a	0.00	0.0
Õ Glenn Redemann		SID	B	3	0.90	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Glenn Redemann		SID	B	3	1.11	n/a	n/a	0.00	0.0
Glenn Redemann		SID	SS	3	1.91	n/a	n/a	0.00	0.0
Glenn Redemann		SID	SS	3	2.45	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	SKX	S	63,200	20.81	n/a	13-Mar	3,160.00	5.0
BUCK CAPITAL MGMT		SPY	SS	98,600	147.26	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SSI	S	181,300	16.85	3-Aug	3-Aug	non-brg	5.0
BUCK CAPITAL MGMT		SSI	S	25,000	17.12	3-Aug	3-Aug	non-brg	5.0
COUGAR TRADING	044	SSI	SS	5,000	17.42	3-Aug	3-Aug	250.00	5.0
PATTEN & PATTEN	067	SSP	S	550	41.05	n/a	n/a	27.50	5.0
CIRCLE T PART	035	STP	B	25,000	39.66	n/a	n/a	1,250.00	5.0
MISSOURI VALLEY PART	046	STT	B	7,121	66.61	n/a	n/a	356.05	5.0
PLATTE RIVER CAPITAL	240	S	B	15,000	20.26	n/a	n/a	600.00	4.0
KORMAN	003	THI	S	5,000	31.20	24-Apr	24-Apr	0.00	0.0
BUCK CAPITAL MGMT		TJX	B	30,000	27.93	13-Jul	13-Jul	non-brg	5.0
J L F ASSET MGMT	039	TJX	B	103,400	27.94	13-Jul	13-Jul	4,136.00	4.0
BUCK CAPITAL MGMT		URBN	S	20,000	20.62	31-Jul	31-Jul	non-brg	5.0
COUGAR TRADING	044	URBN	S	10,000	21.05	31-Jul	31-Jul	500.00	5.0
STADIA CAPITAL	044	VFC	B	15,000	88.42	n/a	n/a	600.00	4.0
WILLIAM BLAIR	031	VPRT	B	15,800	35.12	n/a	n/a	632.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IVORY CAPITAL	034	VRSN	B	50,000	29.41	n/a	n/a	2,500.00	5.0
ALLEN & CO	032	WBC	S	32,500	48.26	n/a	n/a	1,300.00	4.0
B BUCK CAPITAL MGMT		WDR	B	10,000	24.93	13-Jul	2-Aug	non-brg	5.0
T. ROWE PRICE	243	WDR	B	8,600	24.58	13-Jul	2-Aug	344.00	4.0
ZOLIDIS	011	WMT	S	200	46.35	4-Jun	27-Jul	0.00	0.0
B BUCK CAPITAL MGMT		WY	B	15,000	68.28	13-Jul	13-Jul	non-brg	5.0
BUCK CAPITAL MGMT	001	ZQK	S	10,000	13.28	9-Mar	27-Jun	400.00	4.0
TOTAL (Trade Date):								86,815.59	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/02	ROBERTSON OPP CAPITAL	031	ASD	S	10,000	38.02	18-Jul	23-Jul	400.00 4.0
AO,	08/02	WEISS PECK	040	ASD	S	9,900	38.03	18-Jul	23-Jul	396.00 4.0
AO,CXL	08/02	STRAUSS ASSET MGMT	040	HYC	S	30,000	4.78	n/a	n/a	1500.00 5.0
AO,CRT	08/02	STRAUSS ASSET MGMT	040	HYC	S	30,000	4.78	n/a	n/a	1500.00 5.0
AO,CRT	08/02	DAVIDSON KEMPNER ADVISOR	217	NCC	SS	168,000	29.65	n/a	n/a	8400.00 5.0
AO,CXL	08/02	DAVIDSON KEMPNER ADVISOR	217	NCC	SS	168,000	29.65	n/a	n/a	8400.00 5.0
AO,CRT	08/02	MATTHES CAPITAL MGMT	033	SHOO	SS	10,000	27.51	n/a	n/a	400.00 4.0
AO,CXL	08/02	MATTHES CAPITAL MGMT	033	SHOO	SS	20,000	27.51	n/a	n/a	1000.00 5.0
<b>AO,CRT</b>	<b>08/02</b>	<b>MKT MAKER</b>	<b>099</b>	<b>TRMP</b>	<b>S</b>	<b>40</b>	<b>5.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CRT	08/02	RIVER RUN MGMT	031	TRMP	B	30,100	5.94	n/a	n/a	1204.00 4.0
AO,CXL	08/02	RIVER RUN MGMT	031	TRMP	B	30,060	5.94	n/a	n/a	1202.40 4.0
AO,CRT	07/17	CSFB GLOBAL PROPRIETARY	035	WBC	B	50,000	56.23	n/a	n/a	2500.00 5.0
AO,CRT	07/17	DSG CAPITAL	225	WBC	B	9,667	56.00	n/a	n/a	483.35 5.0
AO,CRT	07/18	PIVOT CAP	034	WBC	B	18,000	54.14	n/a	n/a	900.00 5.0
AO,CRT	07/20	PIVOT CAP	034	WBC	S	18,000	51.84	n/a	n/a	900.00 5.0
AO,CXL	08/02	ROBERTSON OPP CAPITAL	031	WBC	B	10,000	48.23	n/a	n/a	400.00 4.0
AO,CRT	07/17	SOCIETY GENERALE	040	WBC	S	7,000	58.00	n/a	n/a	350.00 5.0
AO,CRT	07/25	SOCIETY GENERALE	040	WBC	SS	2,000	50.27	n/a	n/a	80.00 4.0
AO,	08/02	WEISS PECK	040	WBC	B	10,000	48.23	n/a	n/a	400.00 4.0
AO,CXL	07/17	CSFB GLOBAL PROPRIETARY	035	WBCWI	B	50,000	0.00	n/a	n/a	2500.00 5.0
AO,CXL	07/17	DSG CAPITAL	225	WBCWI	B	9,667	0.00	n/a	n/a	483.35 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/18	PIVOT CAP	034	WBCWI	B	18,000	0.00	n/a	n/a	900.00 5.0
AO,CXL	07/20	PIVOT CAP	034	WBCWI	S	18,000	0.00	n/a	n/a	900.00 5.0
AO,CXL	07/17	SOCIETY GENERALE	040	WBCWI	S	7,000	0.00	n/a	n/a	350.00 5.0
AO,CXL	07/25	SOCIETY GENERALE	040	WBCWI	S	2,000	0.00	n/a	n/a	80.00 4.0

**TOTAL (AO, CXL, CRT) :** **-602.40**

TOTAL (Trade Date): 86,815.59  
TOTAL (AO, CXL, CRT): -602.40

**TOTAL (RUN DATE) / NFS:** **86,213.19**

MRI Securities with Trade Activity on 3-Aug.  
**SSI**

MRI Securities without Trade Activity on 3-Aug.  
**BONT, WPI**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 7%  
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