



Daily Compliance Activity Report

Trade Date: 09/27/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	AKAM	S	29,100	28.19	n/a	n/a	1,455.00	5.0
AMBER CAPITAL	046	AKS	S	75,000	44.23	n/a	n/a	3,000.00	4.0
WILLOW CREEK	033	ALU	B	25,000	9.73	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	AMG	SS	15,000	126.14	25-Jul	25-Sep	750.00	5.0
PECONIC PARTNERS	036	ANN	SS	100,000	32.19	6-Aug	7-Sep	5,000.00	5.0
MERRILL ASSET	032	AOI	S	26,000	6.64	n/a	n/a	1,170.00	4.5
CROWLEY	061	ASD	B	500	34.86	17-Aug	14-Sep	0.00	0.0
MEISENBACH CAP MGMT	041	AVP	S	10,000	36.29	24-Sep	24-Sep	300.00	3.0
SIGMA CAPITAL ASSOCIATES	237	BBBY	SS	25,000	33.38	n/a	n/a	1,250.00	5.0
CATAPULT	040	BBT	SS	10,000	40.86	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	BEN	S	2,000	125.73	25-Sep	25-Sep	100.00	5.0
BUCK	015	BG	B	400	105.35	n/a	n/a	0.00	0.0
ZOLIDIS	011	BKRS	SS	150	4.94	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BONT	S	30,000	22.75	3-Aug	7-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	BWS	B	15,000	19.79	n/a	n/a	600.00	4.0
LUCHANSKY1	036	CHL	B	100	83.97	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	COST	S	15,000	61.04	n/a	27-Jul	600.00	4.0
CATAPULT	040	CPB	B	14,000	37.19	n/a	n/a	560.00	4.0
ß BUCK CAPITAL MGMT		CROX	B	5,000	64.81	n/a	n/a	non-brg	4.0
REINHART & MAHONEY	031	CVD	S	12,230	78.01	n/a	n/a	611.50	5.0
KORMAN	003	DSW	B	2,000	26.48	5-Sep	5-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		EGLT	SS	1,600	13.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		EGLT	SS	8,400	13.09	n/a	n/a	non-brg	1.0
ARIENCE CAPITAL	036	EK	B	50,400	27.16	n/a	n/a	2,520.00	5.0
BUCK	015	EMS	S	700	29.55	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	EXP	S	20,000	35.76	n/a	n/a	1,000.00	5.0
DEMARTINI	065	FBR	S	2,000	4.77	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	FII	S	25,000	39.62	n/a	25-Sep	1,250.00	5.0
ß BUCK CAPITAL MGMT		FLDR	SS	10,000	4.53	n/a	n/a	non-brg	3.0
GALLEON MGMT LP	033	FLY	S	30,000	22.97	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	FLY	S	142,120	22.96	n/a	n/a	7,106.00	5.0
LEVIN CAPITAL STRATEGIES	012	F	S	22,036	8.83	n/a	13-Sep	661.08	3.0
⌘ BUCK CAPITAL MGMT		GIII	S	10,000	20.56	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GPS	C	100,000	18.55	n/a	7-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GYMB	B	5,000	36.18	10-Aug	7-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		ICON	S	10,000	24.26	n/a	n/a	non-brg	4.0
SUN AMERICA ASSET MGMT	030	INTC	B	50,000	25.74	n/a	n/a	2,500.00	5.0
BRIGHTPOINT CAP	067	JCG	SS	15,000	44.04	22-Jun	6-Sep	600.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	5,000	43.40	22-Jun	6-Sep	200.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	3,900	34.46	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JOSB	S	96,100	34.19	n/a	n/a	non-brg	4.0
TURETSKY	063	KONG	S	3,000	6.25	n/a	n/a	0.00	0.0
BRANDWINE	033	KSS	B	24,400	56.76	27-Sep	27-Sep	1,098.00	4.5
EMP ERROR	099	KSS	B	2,000	56.75	27-Sep	27-Sep	0.00	0.0
EMP ERROR	099	KSS	S	2,000	56.75	27-Sep	27-Sep	0.00	0.0
OGORMAN	146	LEH	S	1,000	62.45	12-Jun	20-Sep	0.00	0.0
STADIA CAPITAL	035	LIZ	SS	53,000	34.90	n/a	14-Sep	2,120.00	4.0
DISIPLINED GROWTH INV.	030	LTD	S	1,900	22.96	16-May	7-Sep	95.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		LTM	S	5,000	60.51	n/a	n/a	non-brg	4.0
DISCIPLINED GROWTH INV.	030	LVLTT	S	10,900	4.74	6-Sep	21-Sep	327.00	3.0
STERLING JOHNSTON	035	MCCC	S	100,000	7.31	21-Sep	21-Sep	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		MDTL	SS	15,000	11.93	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAPITAL	038	ME	S	50,000	21.47	n/a	n/a	2,500.00	5.0
GAULT	063	MIR	S	64	41.58	n/a	n/a	0.00	0.0
WHEELER	008	MNZDS	S	50	5.40	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MSMSBMVR	C	139,600	180.37	n/a	n/a	non-brg	18.0
⌘ BUCK CAPITAL MGMT		MVRX	C	293,700	169.72	n/a	n/a	non-brg	17.0
CSFB GLOBAL PROPRIETARY	035	MWV	B	70,000	29.89	31-Jul	21-Sep	3,500.00	5.0
BUCK CAPITAL MGMT	001	MW	SS	15,000	51.33	n/a	n/a	600.00	4.0
MERRILL LYNCH STRATEGICI	034	MW	SS	25,000	51.09	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		M	B	50,000	32.07	24-Sep	24-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		NEXC	B	20,000	6.90	n/a	n/a	non-brg	2.5
PROSPECTOR PARTNERS LLC	036	NWEC	B	10,000	27.32	n/a	n/a	2,776.00	30.4
BELMONT GLOBAL ADV	248	OFG	B	30,000	11.60	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	OXY	B	50,000	64.54	n/a	n/a	2,000.00	4.0
PERRY PARTNERS	041	PAYX	B	30,000	41.83	n/a	n/a	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		PERY	S	5,000	28.04	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PERY	S	5,000	28.12	n/a	n/a	non-brg	1.0
PROSPECTOR PARTNERS LLC	036	PFE	B	25,000	24.71	n/a	31-Mar	1,000.00	4.0
JPMSI/TOM LEDDY	035	PVH	B	20,000	51.34	13-Aug	29-Aug	1,000.00	5.0
FIRST NEW YORK LEDDY	035	Q	S	5,000	9.30	n/a	n/a	300.00	6.0
WHEELER	008	RLOG	B	5,000	5.61	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		RTH	C	60,000	100.20	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RTH	SS	248,500	100.28	n/a	n/a	non-brg	1.0
EFSTATHIOU	044	SIMG	B	600	5.36	n/a	n/a	0.00	0.0
WILLOW CREEK	033	SKX	B	15,250	21.22	n/a	13-Mar	762.50	5.0
CAPITAL GROWTH MGMT.	241	SLB	B	20,000	104.72	n/a	n/a	1,000.00	5.0
NORTHPOINT	030	TAXI	S	2,100	10.97	n/a	n/a	84.00	4.0
MKT MAKER	099	TAXI	B	1	10.97	n/a	n/a	0.00	0.0
CASTLE ARK	031	TIF	B	81,460	53.07	31-Aug	31-Aug	4,887.60	6.0
DISCIPLINED GROWTH INV.	030	TJX	S	2,200	29.52	21-Sep	21-Sep	110.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ADV	038	TOL	S	58,500	19.83	n/a	n/a	2,340.00	4.0
B BUCK CAPITAL MGMT		TRLG	S	20,000	17.50	n/a	n/a	non-brg	4.0
CATAPULT	040	TSN	SS	27,000	17.96	n/a	n/a	1,080.00	4.0
STERLING JOHNSTON	035	TWB	B	19,200	32.95	23-Aug	14-Sep	960.00	5.0
MEISENBACH CAP MGMT	041	UAUA	S	10,000	46.00	n/a	n/a	300.00	3.0
CROWLEY	061	WBC	S	333	46.20	n/a	14-Aug	0.00	0.0
SCOPUS FUND	041	WNC	SS	17,500	11.81	n/a	n/a	875.00	5.0
JPMSI/TOM LEDDY	035	WRNC	B	5,000	38.70	19-Sep	19-Sep	250.00	5.0
PECONIC PARTNERS	036	WSM	C	78,000	33.00	n/a	n/a	3,900.00	5.0
DKR CAPITAL	048	XLF	B	30,000	34.17	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		ZQK	S	30,000	14.49	n/a	7-Sep	non-brg	4.0
TOTAL (Trade Date) :								78,098.68	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/25	STARK ASSET MGMT	031	GM	B	10,000	34.65	4-May	13-Sep	400.00 4.0
AO,CRT	09/25	STARK ASSET MGMT	031	GM	B	10,000	34.65	4-May	13-Sep	400.00 4.0
AO,CRT	09/25	BUCK CAPITAL MGMT	001	MW	SS	3,700	48.10	n/a	n/a	148.00 4.0
AO,CXL	09/25	BUCK CAPITAL MGMT	001	MW	SS	3,700	48.10	n/a	n/a	148.00 4.0
AO,CRT	09/26	MERRILL LYNCH STRATEGICI	034	PLCE	B	5,000	25.80	26-Sep	26-Sep	200.00 4.0
AO,CXL	09/26	MERRILL LYNCH STRATEGICI	034	PLCE	B	5,000	25.80	26-Sep	26-Sep	250.00 5.0

TOTAL (AO, CXL, CRT) :	-50.00
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TOTAL (Trade Date) :	78,098.68
TOTAL (AO, CXL, CRT) :	-50.00

TOTAL (RUN DATE) / NFS:	78,048.68
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MRI Securities with Trade Activity on 27-Sep. KSS

MRI Securities without Trade Activity on 27-Sep. MMM
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 1%

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