



Daily Compliance Activity Report

Trade Date: 12/14/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AAPL	B	700	89.35	n/a	n/a	35.00	5.0
KENNEDY CAPITAL	046	ABK	S	7,750	87.56	n/a	n/a	310.00	4.0
B BUCK CAPITAL MGMT		AEOS	C	30,000	47.75	15-Nov	5-Dec	non-brg	5.0
WHITE PINE CAPITAL	030	ANAD	B	500	9.12	n/a	n/a	25.00	5.0
B BUCK CAPITAL MGMT		ANF	C	20,000	68.11	3-Nov	1-Dec	non-brg	5.0
FIRST NEW YORK LEDDY	035	ANN	B	10,000	34.11	n/a	1-Dec	600.00	6.0
FRONTPOINT	044	APC	SS	122,000	46.25	1-Sep	13-Dec	6,100.00	5.0
B BUCK CAPITAL MGMT		ARO	S	10,000	31.24	23-Oct	1-Dec	non-brg	5.0
WEINTRAUB CAPITAL MGT.	040	ATVI	B	25,000	17.69	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		AVCI	SS	5,000	7.58	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	BBH	S	100	185.51	n/a	n/a	5.00	5.0
CAXTON PART	040	BBI	B	50,000	5.36	n/a	n/a	2,000.00	4.0
REINHART & MAHONEY	031	BEAS	S	11,530	13.50	n/a	3-Apr	576.50	5.0
B BUCK CAPITAL MGMT		BEBE	B	10,000	20.53	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	BEN	S	5,000	114.01	9-Nov	12-Dec	2.50	0.1
⌘ BUCK CAPITAL MGMT		BHI	S	40,000	76.91	n/a	n/a	non-brg	5.0
BUCK	015	BMR	B	500	29.18	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		BONT	C	20,000	36.31	23-Oct	1-Dec	non-brg	5.0
CENTURION PARTNERS	249	BONT	B	10,000	36.73	23-Oct	1-Dec	500.00	5.0
LEDDY	035	BONT	B	1,650	36.00	23-Oct	1-Dec	0.00	0.0
BALYASNY ASSET MGMT	044	BSC	S	10,000	159.61	15-Dec	15-Dec	500.00	5.0
BUCK	015	BYD	S	300	46.78	12-Dec	12-Dec	0.00	0.0
PATTEN & PATTEN	067	CBT	S	300	41.58	2-Nov	2-Nov	15.00	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	100,000	13.99	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	COH	B	40,000	43.13	7-Dec	7-Dec	1,600.00	4.0
CENTURION PARTNERS	249	COH	B	35,000	43.11	7-Dec	7-Dec	1,750.00	5.0
KENNEDY CAPITAL	046	COH	S	27,400	43.28	7-Dec	7-Dec	1,096.00	4.0
⌘ BUCK CAPITAL MGMT		COLM	SS	20,000	60.22	n/a	n/a	non-brg	2.0
MKT MAKER	099	CORE	S	42	33.53	n/a	n/a	0.00	0.0
BINDER	007	COSI	S	200	5.16	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	CPF	B	4,200	37.46	n/a	n/a	189.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		CRI	B	10,000	27.31	n/a	n/a	non-brg	5.0
WHITE PINE CAPITAL	030	CSCO	B	400	27.27	n/a	22-Mar	20.00	5.0
PATTEN & PATTEN	067	CTXS	S	1,400	28.64	n/a	n/a	70.00	5.0
CENTURION PARTNERS	249	CVS	B	30,000	30.90	n/a	n/a	1.55	0.0
HARVEST MGMT	039	CVS	B	20,000	30.96	n/a	n/a	1,000.00	5.0
Õ Claire Mencke		CYD	S	200	7.18	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DIA	C	40,400	123.95	n/a	n/a	non-brg	3.0
CAXTON PART	040	DIS	S	50,000	34.55	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	DOW	S	200	40.09	n/a	14-Dec	10.00	5.0
HIGHFIELDS CAP MGMT	039	DVR	S	250,000	12.59	n/a	n/a	12,500.00	5.0
BUCK	015	EBS	B	1,000	10.32	n/a	n/a	0.00	0.0
GRONET	030	EBS	B	1,000	10.19	n/a	n/a	0.00	0.0
LEEDS	160	EDGR	B	5,000	3.18	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		EGLT	SS	5,000	14.98	n/a	n/a	non-brg	5.0
GOLDMAN SACHS ASSET MGMT	044	EMC	S	1,924,583	13.43	n/a	n/a	38,491.66	2.0
PATTEN & PATTEN	067	EPP	B	200	127.65	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Claire Mencke		ERS	S	300	12.06	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	ERTS	B	364,224	53.27	n/a	n/a	5,463.36	1.5
MAGNETAR FINANCIAL	247	EVC	S	25,200	7.91	n/a	n/a	1,008.00	4.0
PATTEN & PATTEN	067	EWJ	B	4,000	14.17	n/a	n/a	200.00	5.0
BEAR STEARNS ASSET MGMT.	033	FD	B	50,000	38.84	9-Nov	5-Dec	2,000.00	4.0
MOORE CAPITAL	036	FD	B	50,000	39.40	9-Nov	5-Dec	2,000.00	4.0
PATTEN & PATTEN	067	FHN	B	1,000	40.86	n/a	n/a	50.00	5.0
EGS ASSOCIATES LP	059	FL	S	3,000	23.32	n/a	7-Dec	180.00	6.0
NEEDHAM CAP	067	FOSL	S	73,050	22.12	15-Nov	15-Nov	3,652.50	5.0
ß BUCK CAPITAL MGMT		FRX	S	34,000	51.19	29-Nov	14-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		GES	B	10,000	62.56	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GIII	S	4,268	21.69	n/a	n/a	non-brg	1.5
ß BUCK CAPITAL MGMT		GIII	S	50,000	21.60	n/a	n/a	non-brg	2.0
BUCK	015	GLW	S	400	19.93	n/a	13-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		GPS	C	100,000	20.16	n/a	1-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		GPS	C	100,000	20.17	n/a	1-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		GPS	C	50,000	20.22	n/a	1-Dec	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		GPS	C	50,000	20.23	n/a	1-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		GRMN	C	25,000	54.01	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GRMN	C	50,000	53.71	n/a	n/a	non-brg	5.0
FORD FDN.	032	GS	S	40,000	200.27	13-Dec	13-Dec	2,000.00	5.0
KENNEDY CAPITAL	046	HES	S	30,750	52.53	n/a	n/a	1,230.00	4.0
J.W. SELIGMAN	032	HLT	B	106,900	35.12	n/a	n/a	4,276.00	4.0
BELMONT GLOBAL ADV	248	HLYS	S	5,000	32.67	n/a	n/a	250.00	5.0
BUCK	015	HSY	B	150	50.71	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	IBB	S	200	79.41	n/a	n/a	10.00	5.0
Õ Glenn Redemann		ICE	S	8	1.77	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ICON	S	10,000	19.85	n/a	n/a	500.00	5.0
GRONET	030	ILA	B	3,000	4.74	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ISYS	C	15,000	25.09	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	JCP	B	5,000	80.30	10-Nov	1-Dec	200.00	4.0
SAILFISH	037	JNS	SS	10,000	20.98	1-Dec	14-Dec	500.00	5.0
CUMBERLAND	038	JWN	B	25,000	50.22	11-Dec	11-Dec	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	KOG	B	20,000	4.40	n/a	n/a	0.00	0.0
BARR	096	KOG	B	5,000	4.37	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	69.97	10-Nov	1-Dec	1,200.00	4.0
HARVEST MGMT	039	KSS	B	10,000	70.22	10-Nov	1-Dec	500.00	5.0
ß BUCK CAPITAL MGMT		LAMR	B	10,000	63.48	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		LCAPA	S	44,254	96.55	n/a	n/a	non-brg	5.0
BALYASNY ASSET MGMT	044	LEH	B	25,000	75.57	6-Dec	15-Dec	1,250.00	5.0
BALYASNY ASSET MGMT	044	LM	B	10,000	96.97	31-Jul	12-Dec	500.00	5.0
TRIVIUM CAP MGMT	028	LOW	SS	20,000	31.13	n/a	21-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	40,000	31.15	1-Dec	1-Dec	1,600.00	4.0
ß BUCK CAPITAL MGMT		MBFGIM	B	15,000	26.18	n/a	n/a	non-brg	5.2
KENNEDY CAPITAL	046	MEDI	B	18,600	32.23	n/a	n/a	744.00	4.0
GALLEON MGMT LP	033	MER	B	15,000	89.50	17-Oct	12-Dec	750.00	5.0
EFSTATHIOU	044	MIR	S	200	31.87	n/a	n/a	0.00	0.0
EFSTATHIOU	044	MOT	B	200	20.71	n/a	n/a	0.00	0.0
MKT MAKER	099	MTRX	S	300	16.36	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MWRK	C	10,000	41.43	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	38.14	n/a	n/a	400.00	4.0
SEMINOLE CAP	036	NBR	B	100,000	32.79	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	NEM	B	2,300	47.44	n/a	n/a	115.00	5.0
BALYASNY ASSET MGMT	044	NITE	S	6,500	19.15	n/a	n/a	325.00	5.0
PATTEN & PATTEN	067	NOK	S	3,500	20.44	n/a	n/a	175.00	5.0
B BUCK CAPITAL MGMT		NTES	C	40,000	17.90	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		OIH	SS	10,000	149.85	n/a	n/a	non-brg	1.5
PATTEN & PATTEN	067	PBE	B	1,300	18.32	n/a	n/a	65.00	5.0
SOMERSET ADV	044	PEIX	SS	25,000	17.51	n/a	n/a	1,250.00	5.0
KACELA CAPITAL	034	PG	SS	7,000	63.39	15-Dec	15-Dec	280.00	4.0
B BUCK CAPITAL MGMT		PTEN	S	40,000	26.16	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	51.99	22-Nov	22-Nov	400.00	4.0
WHEELER	008	PXPL	S	11,350	2.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		QQQQ	C	40,000	44.44	n/a	n/a	non-brg	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT	039	RAD	B	50,000	5.49	n/a	n/a	1,500.00	3.0
GABELLI FUNDS	037	RDA	B	15,000	16.84	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	RL	B	30,000	79.30	7-Dec	7-Dec	1,200.00	4.0
MAGUIRE	090	SFUN	B	2,500	18.35	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	SHLD	B	5,000	175.50	n/a	n/a	250.00	5.0
MFP INVESTORS	032	SKS	S	30,000	17.59	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	SLB	B	350	68.31	n/a	n/a	17.50	5.0
KENNEDY CAPITAL	046	SPR	B	26,450	30.70	n/a	n/a	1,058.00	4.0
BUCK CAPITAL MGMT		SPY	C	35,100	142.75	n/a	n/a	non-brg	3.0
MKT MAKER	099	SSCC	B	51	11.09	26-Oct	14-Dec	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	STI	B	170,310	84.73	n/a	n/a	3,406.20	2.0
GRONET	030	STKL	B	1,000	9.40	n/a	n/a	0.00	0.0
EFSTATHIOU	044	STKL	B	300	9.34	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	SVU	S	20,000	35.51	n/a	n/a	1,200.00	6.0
MKT MAKER	099	SVVS	B	155	37.55	n/a	n/a	0.00	0.0
CASTLE ARK	031	SWN	S	155,883	39.90	7-Aug	22-Nov	9,352.98	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	SWN	S	100	39.50	7-Aug	22-Nov	5.00	5.0
EFSTATHIOU	044	TIBX	S	500	9.65	n/a	3-Apr	0.00	0.0
B BUCK CAPITAL MGMT		TIN	S	35,000	44.70	n/a	15-Dec	non-brg	5.0
IRONBOUND CAPITAL	012	TIN	B	238,000	44.76	n/a	15-Dec	11,900.00	5.0
RAMIUS CAP	040	TIN	B	30,000	44.83	n/a	15-Dec	1,500.00	5.0
S.A.C. CAPITAL MGMT.	044	TIN	B	15,000	44.07	n/a	15-Dec	750.00	5.0
BUCK	015	TLB	B	800	25.83	18-Oct	16-Nov	0.00	0.0
LOOMIS SALES/BOSTON	036	TPX	SS	60,650	20.86	n/a	n/a	3,032.50	5.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	43.52	5-Sep	8-Dec	400.00	4.0
VANDER MOOLEN	040	TWX	S	5,000	21.63	n/a	n/a	250.00	5.0
CENTURION PARTNERS	249	VFC	B	15,000	81.95	n/a	n/a	750.00	5.0
TRIVIUM CAP MGMT	028	WAG	SS	20,000	44.61	n/a	n/a	800.00	4.0
SAILFISH	037	WB	B	10,000	56.26	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	WFR	B	700	42.74	n/a	n/a	35.00	5.0
BALYASNY ASSET MGMT	044	WSH	B	5,000	40.84	n/a	n/a	250.00	5.0
CAMBIAR CAP	046	WU	B	250,000	22.91	n/a	n/a	10,000.00	4.0
Õ Claire Mencke		WWVY	S	300	19.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	WYE	B	200	51.36	n/a	31-Mar	10.00	5.0
Ⓕ BUCK CAPITAL MGMT		WY	S	23,000	69.01	21-Sep	15-Dec	non-brg	5.0
BUCK CAPITAL MGMT	001	ZQK	S	20,000	14.06	8-Sep	7-Dec	800.00	4.0
Ⓕ BUCK CAPITAL MGMT		ZUMZ	B	10,000	29.55	n/a	n/a	non-brg	5.0
TOTAL (Trade Date):							161,748.25		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/13	OTC ERROR	096	GYMB	B	10,000	39.65	1-Dec	1-Dec	0.00 0.0
AO,CRT	12/13	OTC ERROR	099	GYMB	SS	10,000	39.60	1-Dec	1-Dec	0.00 0.0
AO,	12/13	FIRST NEW YORK LEDDY	035	GYMB	SS	10,000	39.65	1-Dec	1-Dec	600.00 6.0
AO,CXL	12/13	FIRST NEW YORK LEDDY	035	GYMB	SS	10,000	39.60	1-Dec	1-Dec	600.00 6.0
AO,	12/13	LEVIN CAPITAL STRATEGIES	012	GYMB	SS	5,000	39.98	1-Dec	1-Dec	150.00 3.0
AO,CXL	12/13	LEVIN CAPITAL STRATEGIES	012	GYMB	SS	5,000	39.98	1-Dec	1-Dec	150.00 3.0
AO,	12/11	RIVER RUN MGMT	031	ITCD	B	5,000	2.48	n/a	n/a	150.00 3.0
AO,CXL	12/11	FRONTPOINT	044	NBL	SS	167,000	52.15	n/a	n/a	0.00 0.0
AO,CRT	12/11	FRONTPOINT	044	NBL	SS	167,000	52.15	n/a	n/a	8350.00 5.0

TOTAL (AO, CXL, CRT) :**8,500.00**

TOTAL (Trade Date) :

161,748.25

TOTAL (AO, CXL, CRT) :

8,500.00

TOTAL (RUN DATE) / NFS:**170,248.25****MRI Securities with Trade Activity on 14-Dec.
NONE**

MRI Securities without Trade Activity on 14-Dec.

AMG, PCH, SHPGY

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

T-Date = 14%

YTD = 23%

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