



# Daily Compliance Activity Report

Trade Date: 08/14/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	038	ACL	SS	10,000	139.84	26-Jul	14-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	140,000	22.55	10-Jul	10-Aug	5,600.00	4.0
FRIESS MGMT	042	AEO	B	98,400	22.54	10-Jul	10-Aug	4,428.00	4.5
SUNOVA CAPITAL	031	AMG	S	40,000	108.22	25-Jul	10-Aug	2,000.00	5.0
COUGAR TRADING	044	ANF	B	5,000	73.50	12-Jul	10-Aug	250.00	5.0
B BUCK CAPITAL MGMT		ANST	SS	40,300	27.58	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	ARO	S	61,300	32.98	n/a	10-Aug	2,452.00	4.0
STADIA CAPITAL	035	BBY	SS	25,000	43.87	1-May	27-Jul	1,000.00	4.0
Õ Glenn Redemann		BGC	??	3	0.05	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BG	??	3	0.08	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BG	??	3	0.22	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	B	5,000	19.64	n/a	n/a	200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	BWS	S	80,600	19.88	n/a	n/a	3,022.50	3.8
B BUCK CAPITAL MGMT		CACH	S	30,000	15.84	n/a	n/a	non-brg	5.0
ROTHSCHILD ASSET	040	CAT	S	7,920	77.55	n/a	n/a	356.40	4.5
BALYASNY ASSET MGMT	044	CCL	B	25,000	45.33	n/a	26-Jan	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HEALY CIRCLE	044	CCO	SS	4,300	25.05	n/a	n/a	215.00	5.0
<b>BARR</b>	<b>096</b>	<b>CCRT</b>	<b>SS</b>	<b>1,500</b>	<b>22.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CDNS</b>	<b>S</b>	<b>10,000</b>	<b>20.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
BALYASNY ASSET MGMT	044	COH	S	15,000	43.85	n/a	1-Aug	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>20,000</b>	<b>44.03</b>	<b>n/a</b>	<b>1-Aug</b>	<b>800.00</b>	<b>4.0</b>
<b>WYCKOFF</b>	<b>013</b>	<b>CPHI</b>	<b>B</b>	<b>1,000</b>	<b>1.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>PAKLER</b>	<b>N22</b>	<b>CROX</b>	<b>B</b>	<b>128</b>	<b>52.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>B</b>	<b>10,000</b>	<b>23.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
ROCKEFELLER & CO.	045	CVX	S	9,930	82.44	n/a	n/a	496.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>10,000</b>	<b>16.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>S</b>	<b>50,000</b>	<b>55.26</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
BANK OF NEW YORK	040	DSW	B	7,780	32.92	2-Aug	10-Aug	311.20	4.0
WALKER SMITH	031	DSW	B	30,000	31.89	2-Aug	10-Aug	1,500.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>DSW</b>	<b>B</b>	<b>30,000</b>	<b>31.70</b>	<b>2-Aug</b>	<b>10-Aug</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON TRUST CO	033	DUK	B	1,000	18.66	n/a	n/a	90.00	9.0
GALLEON MGMT LP	033	EEM	C	7,500	126.43	n/a	n/a	375.00	5.0
<b>LUCHANSKY</b>	<b>036</b>	<b>FACE</b>	<b>S</b>	<b>300</b>	<b>9.70</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.	
LUCHANSKY1	036	FACE	S	500	9.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FDO	SS	10,000	25.51	9-Aug	10-Aug	400.00	4.0
WAGONHOUND	048	FII	SS	19,560	31.65	n/a	10-Aug	782.40	4.0
BUCK CAPITAL MGMT	001	FL	S	20,000	15.86	24-May	2-Aug	800.00	4.0
ß BUCK CAPITAL MGMT		FOSL	B	10,000	29.58	15-Aug	9-Aug	non-brg	5.0
Õ Glenn Redemann		FWLT	B	4	2.29	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FWLT	B	4	2.46	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FWLT	SS	4	3.58	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FWLT	SS	4	3.72	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GES	S	15,000	47.88	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GIL	B	15,000	32.53	21-Jun	2-Aug	non-brg	5.0
FRIESS MGMT	042	GME	B	19,100	39.95	n/a	n/a	859.50	4.5
BARR	096	GM	SS	500	34.23	4-May	9-Aug	0.00	0.0
Õ Glenn Redemann		GSF	B	1	1.67	n/a	n/a	0.00	0.0
Õ Glenn Redemann		GSF	B	1	2.20	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GS	B	1,000	170.41	15-Jun	9-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		GYMB	B	10,000	38.49	10-Aug	10-Aug	non-brg	5.0
COUGAR TRADING	044	GYMB	S	5,000	39.52	10-Aug	10-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	GYMB	S	3,000	38.84	10-Aug	10-Aug	180.00	6.0
DAVIDSON TRUST CO	033	HD	B	1,000	33.63	n/a	27-Jul	90.00	9.0
FORD FDN.	032	HON	S	25,000	57.36	19-Jul	19-Jul	1,250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>HON</b>	<b>B</b>	<b>800</b>	<b>56.37</b>	<b>19-Jul</b>	<b>19-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HSTX</b>	<b>S</b>	<b>20,000</b>	<b>19.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
INWOOD CAPITAL	031	ICOC	B	42,900	10.29	n/a	n/a	1,716.00	4.0
MKT MAKER	031	ICOC	B	70	10.29	n/a	n/a	2.80	4.0
XYLEM GLOBAL	091	IP	B	100,000	32.73	4-May	3-Aug	5,000.00	5.0
CUMBERLAND	038	ISIS	S	4,616	11.60	n/a	n/a	184.64	4.0
<b>BARR</b>	<b>096</b>	<b>ITCD</b>	<b>S</b>	<b>3,000</b>	<b>8.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WAGONHOUND	048	IVZ	S	37,950	23.67	8-Aug	10-Aug	1,518.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>JADE</b>	<b>B</b>	<b>2,500</b>	<b>7.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OTC ERROR</b>	<b>099</b>	<b>JADE</b>	<b>B</b>	<b>2,500</b>	<b>6.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>5,000</b>	<b>46.72</b>	<b>22-Jun</b>	<b>6-Aug</b>	<b>200.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JCP</b>	<b>B</b>	<b>20,000</b>	<b>62.35</b>	<b>21-Jun</b>	<b>14-Aug</b>	<b>non-brg</b>	<b>5.0</b>
SSI INVESTORS	048	JCP	B	39,600	63.91	21-Jun	14-Aug	1,584.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>B</b>	<b>5,000</b>	<b>28.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
EATON VANCE MGMT	039	JPM	S	250,000	43.37	n/a	19-Jul	10,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		KSS	B	45,000	57.15	14-Jun	27-Jul	non-brg	5.0
⌘ BUCK CAPITAL MGMT		LEH	B	1,000	54.94	12-Jun	2-Aug	non-brg	5.0
TRUST CO/COWEN/CALF.	040	LSI	B	388,700	6.68	n/a	n/a	15,548.00	4.0
TPG-AXON	040	LYO	B	415,000	44.60	14-May	14-May	20,750.00	5.0
STERLING JOHNSTON	035	MCCC	B	37,000	8.03	7-Aug	14-Aug	1,480.00	4.0
BULL PATH CAPITAL	044	MCD	B	45,000	48.06	24-Apr	24-Apr	2,250.00	5.0
⌘ BUCK CAPITAL MGMT		MDTL	SS	10,000	10.72	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		MDTL	SS	5,000	10.24	n/a	n/a	non-brg	1.0
CAPITAL GROWTH MGMT.	241	MET	B	10,000	61.82	n/a	n/a	500.00	5.0
AMATURO	018	MPEL	B	1,000	12.71	n/a	n/a	0.00	0.0
CAXTON PART	040	MSFT	B	100,000	28.35	n/a	3-Apr	4,000.00	4.0
DSG CAPITAL	225	MTRX	B	2,000	19.98	n/a	n/a	100.00	5.0
BECK MACK & OLIVER LLC	068	NLC	B	20,800	24.85	n/a	n/a	1,040.00	5.0
Õ Glenn Redemann		NVDA	B	7	0.58	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	B	7	1.23	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	SS	7	1.09	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	SS	7	1.94	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON TRUST CO	033	NVS	B	950	52.83	n/a	n/a	85.50	9.0
TRUST CO/COWEN/CALF.	040	OATS	S	10,000	15.04	n/a	n/a	400.00	4.0
HIGHFIELDS CAP MGMT	039	ODP	B	150,000	22.82	n/a	27-Jul	6,000.00	4.0
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>1,500</b>	<b>9.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>C</b>	<b>2,900</b>	<b>9.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>B</b>	<b>20,000</b>	<b>27.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
S.A.C. CAPITAL MGMT.	044	PFE	B	25,000	23.88	n/a	31-Mar	1,250.00	5.0
<b>Õ Glenn Redemann</b>		<b>PH</b>	<b>B</b>	<b>1</b>	<b>1.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>PH</b>	<b>B</b>	<b>1</b>	<b>1.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>PRU</b>	<b>S</b>	<b>2</b>	<b>9.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	PVH	B	25,000	50.86	13-Aug	13-Aug	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>5,000</b>	<b>50.96</b>	<b>13-Aug</b>	<b>13-Aug</b>	<b>200.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	RCL	B	25,000	38.50	27-Jul	27-Jul	1,250.00	5.0
CUMBERLAND	038	RESP	S	5,400	46.06	n/a	n/a	216.00	4.0
COUGAR TRADING	044	RL	B	5,000	79.88	9-Aug	9-Aug	250.00	5.0
DAVIDSON TRUST CO	033	RYL	S	2,000	32.25	n/a	n/a	120.00	6.0
FRIESS MGMT	042	SCHW	S	1,859,100	18.04	n/a	n/a	83,659.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	B	10,000	18.57	n/a	13-Mar	400.00	4.0
BARR	096	SNPS	S	4,000	25.14	n/a	n/a	0.00	0.0
ROCKEFELLER & CO.	045	SPY	S	1,050	143.66	n/a	n/a	52.50	5.0
WELLS/STRONG LEDDY	035	SR	B	17,900	12.69	n/a	n/a	716.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	20,000	16.47	3-Aug	10-Aug	800.00	4.0
BUCK CAPITAL MGMT		SSI	S	20,000	16.40	3-Aug	10-Aug	non-brg	5.0
CAPITAL GROWTH MGMT.	241	SWY	S	20,000	31.67	n/a	n/a	1,000.00	5.0
DAVIDSON TRUST CO	033	TFX	S	1,350	72.99	n/a	n/a	121.50	9.0
BUCK CAPITAL MGMT	001	TJX	B	10,000	27.14	13-Jul	13-Aug	400.00	4.0
COUGAR TRADING	044	TJX	B	5,000	27.21	13-Jul	13-Aug	250.00	5.0
ROCKEFELLER & CO.	045	TOT	S	12,825	72.59	n/a	n/a	641.25	5.0
BUCK CAPITAL MGMT		TRLG	B	5,000	18.35	n/a	n/a	non-brg	5.0
SUNOVA CAPITAL	031	TROW	B	25,000	49.49	n/a	10-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	5,000	37.22	2-Jul	6-Aug	200.00	4.0
MANNING & NAPIER	034	UL	B	148,240	29.74	n/a	n/a	5,929.60	4.0
LUCHANSKY	036	UNTD	B	1,000	14.25	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		URBN	B	40,000	20.91	31-Jul	10-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		URBN	B	50,000	20.70	31-Jul	10-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		URBN	B	60,000	20.87	31-Jul	10-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		VFC	SS	20,000	86.00	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		VMW	S	1,000	52.00	n/a	n/a	non-brg	5.0
STRONG/WELL HOWARD	038	VMW	S	37,300	52.00	n/a	n/a	1,492.00	4.0
BARR	096	WM	SS	400	34.76	n/a	n/a	0.00	0.0
ROCKEFELLER & CO.	045	XOM	S	3,000	82.43	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	30,000	12.94	9-Mar	27-Jun	1,200.00	4.0
ß BUCK CAPITAL MGMT		ZQK	S	30,000	12.81	9-Mar	27-Jun	non-brg	5.0
TOTAL (Trade Date):							207,265.79		



### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/10	NEUBERGER BERMAN	036	AAPL	B	470	125.47	n/a	n/a	18.80 4.0
AO,CXL	08/10	NEUBERGER BERMAN	036	AAPL	B	470	125.47	n/a	n/a	23.50 5.0
AO,CRT	08/10	NEUBERGER BERMAN	036	AKAM	B	900	33.82	n/a	n/a	36.00 4.0
AO,CXL	08/10	NEUBERGER BERMAN	036	AKAM	B	900	33.82	n/a	n/a	45.00 5.0
AO,CRT	08/10	NEUBERGER BERMAN	036	ARRS	B	1,600	14.91	n/a	n/a	64.00 4.0
AO,CXL	08/10	NEUBERGER BERMAN	036	ARRS	B	1,600	14.91	n/a	n/a	80.00 5.0
AO,CRT	08/13	KORMAN	003	CXTI	S	5,000	3.15	n/a	n/a	0.00 0.0
AO,CXL	08/13	KORMAN	003	CXTI	S	10,000	3.06	n/a	n/a	0.00 0.0
AO,CRT	08/13	KORMAN	003	CXTI	S	5,000	2.98	n/a	n/a	0.00 0.0
AO,CRT	08/13	SIGMA CAPITAL ASSOCIATES	044	DRI	B	38,800	42.37	24-Apr	24-Apr	1940.00 5.0
AO,CXL	08/13	WALKER SMITH	031	DSW	B	30,000	31.57	2-Aug	10-Aug	0.00 0.0
AO,CRT	08/13	WALKER SMITH	031	DSW	B	30,000	31.57	2-Aug	10-Aug	1500.00 5.0
AO,	08/13	LISTED ERR	099	HET	B	34,500	83.84	8-Aug	8-Aug	0.00 0.0
AO,CRT	08/13	LISTED ERR	097	HET	S	34,500	83.82	8-Aug	8-Aug	0.00 0.0
AO,	08/13	EPOCH INV MGMT	030	HET	S	34,500	83.84	8-Aug	8-Aug	1380.00 4.0
AO,CXL	08/13	LEDDY	035	JADE	S	2,500	6.84	n/a	n/a	0.00 0.0
AO,CRT	08/13	OTC ERROR	035	JADE	S	2,500	6.84	n/a	n/a	0.00 0.0
AO,CRT	08/10	NEUBERGER BERMAN	036	LEAP	B	1,400	60.05	n/a	n/a	56.00 4.0
AO,CXL	08/10	NEUBERGER BERMAN	036	LEAP	B	1,400	60.05	n/a	n/a	70.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/13	EPOCH INV MGMT	030	S	S	10,600	19.01	n/a	n/a	424.00 4.0
AO,	08/13	HIGHFIELDS CAP MGMT	039	S	S	200,000	18.91	n/a	n/a	8000.00 4.0
AO,CRT	08/13	ROCKEFELLER & CO.	091	SPY	S	1,000	146.30	n/a	n/a	50.00 5.0
AO,CXL	08/13	ROCKEFELLER & CO.	091	SPY	S	1,000	146.30	n/a	n/a	5.00 0.0
AO,	08/13	SUNOVA CAPITAL	031	TROW	B	25,000	52.03	n/a	10-Aug	1250.00 5.0
AO,CXL	08/13	LISTED ERR	099	XOM	S	8,500	83.70	n/a	n/a	425.00 5.0
AO,	08/13	DAVIDSON TRUST CO	033	XRAY	S	2,200	38.47	n/a	n/a	132.00 6.0

<b>TOTAL (AO, CXL, CRT) :</b>	<b>14,202.30</b>
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TOTAL (Trade Date) :	207,265.79
TOTAL (AO, CXL, CRT) :	14,202.30

<b>TOTAL (RUN DATE) / NFS:</b>	<b>221,468.09</b>
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MRI Securities with Trade Activity on 14-Aug. NONE
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MRI Securities without Trade Activity on 14-Aug.
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NONE

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

T-Date = 40%

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