



# Daily Compliance Activity Report

Trade Date: 09/24/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	ADBE	B	800	41.55	n/a	n/a	48.00	6.0
BRENCOURT	028	AES	S	200,000	20.10	n/a	n/a	10,000.00	5.0
AMBER CAPITAL	046	AKS	S	50,000	43.42	n/a	n/a	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	AKS	S	50,000	42.64	n/a	n/a	2,500.00	5.0
SANDLER O'NEILL ASSET	031	AMG	S	20,000	122.27	25-Jul	19-Sep	1,000.00	5.0
MERRILL LYNCH STRATEGICI	034	AOC	B	45,000	43.83	n/a	n/a	2,250.00	5.0
MERRILL ASSET	032	AOI	S	36,244	7.03	n/a	n/a	1,630.98	4.5
WENTWORTH HAUSER VIOLICH	033	BCS	B	81,870	49.84	n/a	n/a	4,093.50	5.0
JP MORGAN VENTURES	046	BEBE	SS	10,000	15.20	n/a	n/a	500.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>BEBE</b>	<b>S</b>	<b>302</b>	<b>15.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KERN</b>	<b>050</b>	<b>BHP</b>	<b>S</b>	<b>100</b>	<b>76.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRIGHTPOINT CAP	067	BIG	SS	18,000	31.14	n/a	7-Sep	720.00	4.0
WHITE PINE CAPITAL	030	BONT	S	2,575	25.36	3-Aug	7-Sep	128.75	5.0
MERRILL LYNCH STRATEGICI	034	BSC	SS	17,500	115.60	4-Sep	21-Sep	875.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWS</b>	<b>B</b>	<b>10,000</b>	<b>20.83</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.	
ß BUCK CAPITAL MGMT		CACH	S	5,000	17.90	n/a	n/a	non-brg	4.0
GOLDMAN SACHS ASSET MGMT	044	CBG	B	47,000	28.48	n/a	n/a	705.00	1.5
PRINCIPLE CAPITAL	040	CCOI	S	25,000	23.35	n/a	n/a	750.00	3.0
MERRILL LYNCH STRATEGICI	034	CFC	SS	100,000	19.18	n/a	n/a	5,000.00	5.0
ß BUCK CAPITAL MGMT		CHS	B	17,654	14.75	30-Aug	7-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		CHS	B	25,000	14.73	30-Aug	7-Sep	non-brg	2.5
ß BUCK CAPITAL MGMT		CHS	B	32,000	14.75	30-Aug	7-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		CHS	B	350,000	14.77	30-Aug	7-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		CHS	B	75,000	14.75	30-Aug	7-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		CHS	B	75,346	14.77	30-Aug	7-Sep	non-brg	1.0
MAZAMA CAPITAL MGMT.	035	CNS	S	29,500	35.66	n/a	n/a	1,180.00	4.0
BEAR STEARNS ASSET MGMT.	033	COH	SS	29,100	48.03	n/a	10-Sep	1,164.00	4.0
ß BUCK CAPITAL MGMT		CROX	S	10,000	62.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CROX	S	4,500	62.04	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CWTR	S	20,000	11.54	n/a	n/a	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	C	SS	42,500	46.79	n/a	20-Sep	2,125.00	5.0
HIGHBRIDGE CAPITAL	038	DADE	SS	1,220	76.27	n/a	n/a	61.00	5.0
WEISS PECK	040	DBRN	B	32,870	17.19	n/a	n/a	1,643.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MKT MAKER</b>	<b>099</b>	<b>DBRN</b>	<b>B</b>	<b>9</b>	<b>17.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
METROPOLITAN CAPITAL	044	DSW	B	31,000	27.91	5-Sep	5-Sep	1,240.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>DXD</b>	<b>B</b>	<b>400</b>	<b>47.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EGLT</b>	<b>SS</b>	<b>500</b>	<b>13.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	EMN	B	13,500	66.81	n/a	n/a	675.00	5.0
SANDLER O'NEILL ASSET	031	EV	B	50,000	39.94	23-May	19-Sep	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FLDR</b>	<b>SS</b>	<b>20,000</b>	<b>4.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>20,000</b>	<b>36.67</b>	<b>12-Sep</b>	<b>12-Sep</b>	<b>non-brg</b>	<b>2.5</b>
LEVIN CAPITAL STRATEGIES	012	F	S	65,000	8.41	n/a	13-Sep	1,300.00	2.0
<b>LEDDY</b>	<b>035</b>	<b>F</b>	<b>SS</b>	<b>1,500</b>	<b>8.46</b>	<b>n/a</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
BRIGHTPOINT CAP	067	GES	SS	15,000	47.74	n/a	n/a	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>47.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>5,000</b>	<b>20.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
CASTLE ARK	031	GLW	B	2,000	24.01	n/a	14-Sep	120.00	6.0
REICH AND TANG	067	GLW	B	5,000	24.24	n/a	14-Sep	250.00	5.0
GOLDMAN SACHS ASSET MGMT	044	GOOG	S	34,980	567.84	n/a	n/a	699.60	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>SS</b>	<b>100,000</b>	<b>18.44</b>	<b>n/a</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>GTRC</b>	<b>S</b>	<b>10,000</b>	<b>56.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET	032	HCC	B	25,600	27.96	n/a	n/a	1,152.00	4.5
PEREGRINE	030	HK	S	3,400	16.82	n/a	n/a	136.00	4.0
CASTLE ARK	031	HPQ	B	100	50.54	n/a	n/a	6.00	6.0
PEREGRINE	030	HTCH	S	1,600	25.05	n/a	n/a	64.00	4.0
BENNETT LAWRENCE	045	ICLR	B	10,100	52.10	n/a	n/a	454.50	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>ICON</b>	<b>S</b>	<b>10,000</b>	<b>23.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PEREGRINE	030	IDEV	S	7,700	6.72	n/a	n/a	308.00	4.0
PEREGRINE	030	IDTI	S	1,800	15.36	n/a	n/a	72.00	4.0
PEREGRINE	030	ILMN	S	700	52.83	n/a	n/a	28.00	4.0
PEREGRINE	030	INFN	S	2,100	18.02	n/a	n/a	84.00	4.0
PEREGRINE	030	ISIS	S	3,500	14.79	n/a	n/a	140.00	4.0
PEREGRINE	030	ISSC	S	2,100	18.73	n/a	n/a	84.00	4.0
PEREGRINE	030	ITC	S	800	50.10	n/a	n/a	32.00	4.0
MATRIX ASSET ADV.	036	JNJ	S	3,300	65.01	n/a	22-Apr	132.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VISIUM/BALY HOWARD	038	JNY	S	50,000	21.29	n/a	13-Sep	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>30,000</b>	<b>36.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>KBH</b>	<b>C</b>	<b>1,000</b>	<b>26.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PEREGRINE	030	KERX	S	1,900	9.80	n/a	n/a	76.00	4.0
BARON ASSET MGMT*	012	KMX	B	50,000	21.01	n/a	10-Jan	2,500.00	5.0
PEREGRINE	030	KNXA	S	1,600	30.55	n/a	n/a	64.00	4.0
AVESTA CAP	229	KR	S	25,000	28.40	n/a	n/a	1,250.00	5.0
STADIA CAPITAL	035	LIZ	SS	9,900	34.60	n/a	14-Sep	396.00	4.0
PEREGRINE	030	LKQX	S	1,400	34.53	n/a	n/a	56.00	4.0
PEREGRINE	030	LNUX	S	6,300	2.62	n/a	n/a	252.00	4.0
PEREGRINE	030	LSE	S	3,000	10.49	n/a	n/a	120.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>20,000</b>	<b>23.26</b>	<b>16-May</b>	<b>7-Sep</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LULU</b>	<b>S</b>	<b>17,100</b>	<b>39.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NEW YORK LEDDY	035	LVLTT	B	15,000	4.62	6-Sep	21-Sep	900.00	6.0
MS PRINCIPAL STRATEGIES	041	MAR	S	5,000	44.91	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PEREGRINE	030	MBLX	S	1,100	24.56	n/a	n/a	44.00	4.0
ARIENCE CAPITAL	036	MCK	SS	24,200	56.04	n/a	n/a	1,210.00	5.0
⌘ BUCK CAPITAL MGMT		MDTL	SS	10,000	10.17	n/a	n/a	non-brg	4.0
LIGHTHOUSE FIN/QUAD	046	MNST	S	10,000	33.49	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		MOS	C	10,000	50.55	n/a	n/a	non-brg	4.0
PEREGRINE	030	MTSN	S	3,000	9.54	n/a	n/a	120.00	4.0
PEREGRINE	030	MTZ	S	3,600	13.47	n/a	n/a	144.00	4.0
PEREGRINE	030	MVSN	S	2,200	23.51	n/a	n/a	88.00	4.0
⌘ BUCK CAPITAL MGMT		MW	SS	10,000	49.41	n/a	n/a	non-brg	4.0
LEDDY	035	MZZ	B	400	53.96	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		M	B	30,000	33.45	24-Sep	24-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		M	B	90,000	33.25	24-Sep	24-Sep	non-brg	4.0
EGS ASSOCIATES LP	091	M	B	5,000	33.38	24-Sep	24-Sep	300.00	6.0
PRINCIPLE CAPITAL	040	M	B	25,000	32.78	24-Sep	24-Sep	750.00	3.0
SOROS	036	M	B	53,931	33.05	24-Sep	24-Sep	2,157.24	4.0
PEREGRINE	030	NDN	S	4,300	10.92	13-Aug	7-Sep	172.00	4.0
PEREGRINE	030	NETL	S	1,200	34.70	n/a	n/a	48.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PEREGRINE	030	NUAN	S	1,500	18.62	n/a	n/a	60.00	4.0
PEREGRINE	030	NXTM	S	1,900	14.50	n/a	n/a	76.00	4.0
DIAMONDBACK CAP MGMT	232	NX	S	50,000	46.52	n/a	n/a	2,500.00	5.0
BELMONT GLOBAL ADV	248	OFG	B	20,000	11.13	n/a	n/a	1,000.00	5.0
PEREGRINE	030	OMCL	S	2,300	27.36	n/a	n/a	92.00	4.0
<b>KERN</b>	<b>050</b>	<b>PCU</b>	<b>S</b>	<b>100</b>	<b>122.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>S</b>	<b>10,000</b>	<b>29.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	PKG	B	50,000	27.16	19-Jul	21-Sep	2,500.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>SS</b>	<b>10,000</b>	<b>24.79</b>	<b>n/a</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
WEISS PECK	040	PLCE	S	31,190	24.78	n/a	7-Sep	1,559.50	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>PSS</b>	<b>B</b>	<b>10,000</b>	<b>21.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>50,000</b>	<b>76.05</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
WAGONHOUND	048	RL	S	15,035	76.52	9-Aug	29-Aug	601.40	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RSH</b>	<b>SS</b>	<b>30,000</b>	<b>21.79</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>SS</b>	<b>140,000</b>	<b>101.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>SS</b>	<b>150,000</b>	<b>102.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RVI</b>	<b>S</b>	<b>20,000</b>	<b>10.92</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.	
GRONET	030	SEA	B	2,000	13.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	S	120,000	16.58	n/a	n/a	4,800.00	4.0
KERN	050	SLB	S	100	104.26	n/a	n/a	0.00	0.0
BUCK	015	TGTJU	B	6	1.19	n/a	n/a	0.00	0.0
BUCK	015	TGT	S	600	65.07	n/a	27-Jul	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	20,000	22.08	31-Jul	10-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	20,000	22.11	31-Jul	10-Aug	non-brg	4.0
STADIA CAPITAL	035	VFC	SS	25,000	82.87	n/a	n/a	1,000.00	4.0
CASTLE ARK	031	VLO	B	900	71.30	n/a	n/a	54.00	6.0
VARDON PARTNERS	035	VZ	B	16,945	44.12	21-Sep	21-Sep	847.25	5.0
CASTLE ARK	031	WFT	B	400	66.61	n/a	n/a	24.00	6.0
JPMSI/TOM LEDDY	035	WRNC	B	15,000	37.81	19-Sep	19-Sep	750.00	5.0
MERRILL LYNCH STRATEGICI	034	WSH	B	50,000	40.68	n/a	n/a	2,500.00	5.0
BRENCOURT	028	WU	S	66,352	20.71	n/a	n/a	3,317.60	5.0
MERRILL LYNCH STRATEGICI	034	XL	B	25,500	77.60	n/a	n/a	1,275.00	5.0
DIAMONDBACK CAP MGMT	232	X	S	30,000	104.46	n/a	n/a	1,500.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DOUBLE V/PBX	044	YHOO	S	1,200	26.38	n/a	n/a	60.00	5.0
MKT MAKER	099	YHOO	B	46	25.65	n/a	n/a	0.00	0.0
MKT MAKER	099	YHOO	S	46	26.38	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								90,865.82	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/21	ROBX	033	ACIW	B	29,000	23.70	n/a	n/a	870.00 3.0
AO,	09/21	LISTED ERR	099	AKS	B	63	43.33	n/a	n/a	0.00 0.0
AO,	09/21	MILLENIUUM PARTNERS	028	DHR	SS	10,000	82.80	n/a	n/a	500.00 5.0
AO,	09/21	ALLEN & CO	032	GLW	S	63,750	23.80	n/a	14-Sep	2550.00 4.0
AO,	09/21	MATRIX ASSET ADV.	036	JNJ	S	700	65.45	n/a	22-Apr	35.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,955.00</b>

TOTAL (Trade Date):	90,865.82
TOTAL (AO, CXL, CRT):	3,955.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>94,820.82</b>
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MRI Securities with Trade Activity on 24-Sep.

**M**

MRI Securities without Trade Activity on 24-Sep.

**AVP, SIAL**

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

T-Date = 15%

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