



Daily Compliance Activity Report

Trade Date: 03/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|---------------|--------------|----------------|------------|
| COLONIAL FUND LLC | 036 | AEOS | SS | 25,000 | 29.27 | 4-Jan | 5-Mar | 1,250.00 | 5.0 |
| SAC TRADING HOWARD | 038 | AEOS | B | 20,000 | 29.29 | 4-Jan | 5-Mar | 1,000.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | AIQ | S | 13,400 | 6.83 | n/a | n/a | 536.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ANF | B | 15,000 | 74.30 | 2-Feb | 5-Mar | non-brg | 5.0 |
| COUGAR TRADING | 044 | ANF | B | 5,000 | 74.69 | 2-Feb | 5-Mar | 250.00 | 5.0 |
| PRIME LOGIC ADV | 039 | ANF | B | 5,000 | 74.06 | 2-Feb | 5-Mar | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | ANST | C | 5,225 | 30.44 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | 001 | ARO | S | 10,000 | 35.19 | 23-Oct | 5-Mar | 400.00 | 4.0 |
| Õ Ted Wheeler | | ASEI | B | 2000 | 50.75 | n/a | n/a | 0.00 | 0.0 |
| MAZAMA CAPITAL MGMT. | 035 | ATW | S | 1,500 | 50.55 | n/a | n/a | 60.00 | 4.0 |
| LEDDY | 035 | AVZ | S | 2,200 | 22.52 | 5-Mar | 6-Mar | 0.00 | 0.0 |
| PLATTE RIVER CAPITAL | 035 | AWI | B | 29,800 | 49.44 | n/a | n/a | 1,192.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | BEBE | S | 26,000 | 17.49 | n/a | n/a | 1,300.00 | 5.0 |
| B BUCK CAPITAL MGMT | | BONT | B | 15,000 | 46.23 | 9-Feb | 5-Mar | non-brg | 5.0 |
| COUGAR TRADING | 044 | BONT | B | 5,000 | 45.18 | 9-Feb | 5-Mar | 250.00 | 5.0 |
| COUGAR TRADING | 044 | BONT | SS | 5,000 | 46.68 | 9-Feb | 5-Mar | 250.00 | 5.0 |
| SLS CAPITAL LLC | 224 | BSX | S | 130,297 | 15.63 | n/a | 22-Apr | 6,514.85 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| PLATTE RIVER CAPITAL | 035 | BUD | B | 8,500 | 48.20 | n/a | n/a | 340.00 | 4.0 |
| ARIENCE CAPITAL | 036 | BYD | B | 11,565 | 45.07 | 21-Feb | 21-Feb | 578.25 | 5.0 |
| MANNING & NAPIER | 034 | CCMP | S | 26,060 | 31.86 | n/a | 2-Mar | 1,042.40 | 4.0 |
| HIGHFIELDS CAP MGMT | 039 | CCU | B | 185,000 | 35.87 | n/a | n/a | 9,250.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | CDNS | S | 10,000 | 19.54 | n/a | n/a | non-brg | 5.0 |
| CROWLEY | 061 | CHBD | B | 4,500 | 1.05 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | CLE | S | 20,000 | 31.32 | 3-Nov | 5-Mar | 800.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | COH | S | 10,000 | 46.67 | 23-Feb | 23-Feb | non-brg | 5.0 |
| Õ Ted Wheeler | | CPN | S | 100 | 106.25 | n/a | n/a | 0.00 | 0.0 |
| Õ Ted Wheeler | | CPN | S | 40 | 108.00 | n/a | n/a | 0.00 | 0.0 |
| MAZAMA CAPITAL MGMT. | 035 | CPX | S | 2,600 | 19.01 | n/a | n/a | 104.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | CRS | B | 20,000 | 111.71 | n/a | n/a | 1,000.00 | 5.0 |
| KENNEDY CAPITAL | 046 | CSE | S | 73,647 | 24.50 | n/a | n/a | 2,945.88 | 4.0 |
| ASCEND PARTNERS | 033 | CUTR | SS | 25,000 | 33.28 | n/a | n/a | 1,250.00 | 5.0 |
| SAC TRADING HOWARD | 038 | CVS | B | 20,000 | 30.90 | n/a | n/a | 1,000.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | CWTR | B | 5,000 | 17.19 | n/a | n/a | non-brg | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|---------|-------|--------|----------|-------------|------|
| LATEFF MGMT | 040 | C | B | 1,250 | 50.03 | 11-Jan | 16-Feb | 375.00 | 30.0 |
| LUCHANSKY4 | 036 | DCTH | S | 9,000 | 4.09 | n/a | n/a | 0.00 | 0.0 |
| Ⓐ BUCK CAPITAL MGMT | | DECK | S | 5,000 | 67.39 | n/a | n/a | non-brg | 1.0 |
| ZOLIDIS | 011 | DECK | C | 200 | 67.77 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | DKS | B | 5,000 | 50.63 | n/a | n/a | 200.00 | 4.0 |
| GAULT | 063 | EDA | B | 1,000 | 10.32 | n/a | n/a | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | FCX | B | 20,000 | 53.75 | n/a | n/a | 1,000.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | FD | S | 300,000 | 44.17 | 26-Jan | 5-Mar | 12,000.00 | 4.0 |
| TRIVIUM CAP MGMT | 028 | FD | S | 50,000 | 44.19 | 26-Jan | 5-Mar | 2,000.00 | 4.0 |
| Ⓐ BUCK CAPITAL MGMT | | FLDR | SS | 10,000 | 7.56 | n/a | n/a | non-brg | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | FLR | B | 20,000 | 88.28 | n/a | n/a | 1,000.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | FMR | S | 1,700 | 21.40 | n/a | n/a | 68.00 | 4.0 |
| MAZAMA CAPITAL MGMT. | 035 | FVE | S | 6,800 | 10.75 | n/a | n/a | 272.00 | 4.0 |
| VARDON PARTNERS | 035 | F | B | 15,000 | 7.58 | n/a | n/a | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 10,000 | 37.74 | n/a | 10-Jan | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GCO | S | 10,000 | 37.84 | n/a | 10-Jan | 400.00 | 4.0 |
| Ⓐ BUCK CAPITAL MGMT | | GES | B | 5,000 | 79.22 | n/a | n/a | non-brg | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| LATEFF MGMT | 040 | GE | B | 1,000 | 34.86 | n/a | n/a | 290.00 | 29.0 |
| MAZAMA CAPITAL MGMT. | 035 | GHL | S | 1,100 | 64.64 | n/a | n/a | 44.00 | 4.0 |
| MKT MAKER | 099 | GIII | B | 282 | 19.98 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET | 032 | GS | S | 278,700 | 194.87 | 13-Dec | 28-Feb | 13,935.00 | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | HF | S | 900 | 18.20 | n/a | n/a | 36.00 | 4.0 |
| ASCEND PARTNERS | 033 | HLEX | S | 42,500 | 26.49 | n/a | n/a | 2,125.00 | 5.0 |
| CIBC ADV. | 060 | HMA | SS | 25,000 | 10.28 | 22-Feb | 5-Mar | 1,000.00 | 4.0 |
| MAZAMA CAPITAL MGMT. | 035 | HPY | S | 1,300 | 25.19 | n/a | n/a | 52.00 | 4.0 |
| GALLEON MGMT LP | 033 | HSY | C | 7,500 | 53.95 | n/a | n/a | 375.00 | 5.0 |
| AMBER CAPITAL | 046 | INDM | B | 50,000 | 23.65 | n/a | n/a | 2,000.00 | 4.0 |
| SANDLER CAPITAL | 038 | IRF | S | 60,000 | 41.99 | n/a | n/a | 3,600.00 | 6.0 |
| BUCK CAPITAL MGMT | 001 | JCG | B | 5,000 | 35.68 | 25-Jan | 25-Jan | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JCP | B | 5,000 | 78.84 | 23-Feb | 5-Mar | 200.00 | 4.0 |
| MORGAN STANLEY PRINC 2 | 040 | JNS | SS | 50,000 | 20.17 | 5-Mar | 5-Mar | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JWN | S | 10,000 | 50.83 | 27-Feb | 5-Mar | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|--------|-------|--------|----------|-------------|------|
| BUCK CAPITAL MGMT | 001 | KCP | S | 20,000 | 24.87 | n/a | 28-Feb | 800.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | KCP | S | 30,000 | 24.85 | n/a | 28-Feb | non-brg | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | KNL | S | 5,100 | 23.42 | n/a | n/a | 204.00 | 4.0 |
| MAZAMA CAPITAL MGMT. | 035 | KOG | S | 5,700 | 5.07 | n/a | n/a | 228.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | LCAV | C | 10,000 | 41.67 | n/a | n/a | non-brg | 5.0 |
| LED DY | 035 | LEH | S | 200 | 71.57 | 6-Dec | 28-Feb | 0.00 | 0.0 |
| LATEFF MGMT | 040 | LYO | B | 500 | 30.91 | n/a | 2-Mar | 145.00 | 29.0 |
| AVESTA CAP | 229 | MCD | S | 50,000 | 43.23 | 12-Oct | 6-Feb | 2,500.00 | 5.0 |
| KORMAN | 003 | MSFT | S | 3,000 | 27.87 | n/a | 3-Apr | 0.00 | 0.0 |
| MAZAMA CAPITAL MGMT. | 035 | MTZ | S | 3,800 | 11.08 | n/a | n/a | 152.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | MT | B | 50,000 | 49.63 | n/a | n/a | 2,500.00 | 5.0 |
| ZOLIDIS | 011 | MWRK | S | 300 | 32.07 | n/a | n/a | 0.00 | 0.0 |
| PLATTE RIVER CAPITAL | 035 | NEM | B | 1,000 | 42.92 | n/a | n/a | 40.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | NEXC | B | 5,000 | 10.10 | n/a | n/a | non-brg | 5.0 |
| MAZAMA CAPITAL MGMT. | 035 | NGS | S | 3,300 | 12.70 | n/a | n/a | 132.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | NLS | B | 5,000 | 16.43 | n/a | n/a | 200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|----------------------|------|--------|-----|---------|--------|--------|----------|---------------|
| BUCK CAPITAL MGMT | | NWY | S | 130,000 | 13.81 | 1-Dec | 5-Mar | non-brg 4.0 |
| BUCK CAPITAL MGMT | | NWY | S | 20,000 | 13.90 | 1-Dec | 5-Mar | non-brg 1.0 |
| THE JAY GOLDMAN | 034 | NWY | B | 30,000 | 13.63 | 1-Dec | 5-Mar | 1,200.00 4.0 |
| AMBER CAPITAL | 046 | ODP | B | 50,000 | 33.57 | n/a | 2-Mar | 2,000.00 4.0 |
| U.S.TRUST COMPANY | 012 | PBR | B | 29,000 | 84.75 | n/a | n/a | 1,305.00 4.5 |
| T. ROWE PRICE | 040 | PFE | B | 1,040 | 24.83 | n/a | 31-Mar | 41.60 4.0 |
| TRUST CO/COWEN/CALF. | 040 | PFE | B | 498,960 | 24.83 | n/a | 31-Mar | 19,958.40 4.0 |
| VARDON PARTNERS | 035 | PSS | B | 45,000 | 30.62 | n/a | n/a | 2,250.00 5.0 |
| FIRST NEW YORK LEDDY | 035 | PTMK | S | 14,000 | 12.35 | n/a | n/a | 840.00 6.0 |
| LEDDY | 035 | QID | B | 1,000 | 57.18 | n/a | n/a | 0.00 0.0 |
| WHEELER | 008 | RAE | B | 10,000 | 2.67 | n/a | n/a | 0.00 0.0 |
| BUCK CAPITAL MGMT | | RCII | S | 2,700 | 27.45 | n/a | n/a | non-brg 5.0 |
| KORMAN | 003 | RLF | S | 2,000 | 24.25 | n/a | n/a | 0.00 0.0 |
| COHE & STEERS | 091 | RYN | B | 25,000 | 43.09 | 24-Jan | 24-Jan | 1,250.00 5.0 |
| MKT MAKER | 099 | SCRX | B | 71 | 22.25 | 20-Dec | 5-Mar | 0.00 0.0 |
| AMBER CAPITAL | 046 | SPLS | B | 50,000 | 25.27 | n/a | 2-Mar | 2,000.00 4.0 |
| PORTER-ORLIN-FELDMAN | 044 | SPY | B | 100,000 | 138.83 | n/a | n/a | 5,000.00 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| MKT MAKER | 099 | SSCC | B | 66 | 11.49 | 26-Oct | 25-Jan | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SSI | B | 10,000 | 20.56 | 26-Feb | 5-Mar | 400.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | SSI | B | 20,000 | 20.50 | 26-Feb | 5-Mar | 1,000.00 | 5.0 |
| COLUMBUS CIRCLE | 036 | STJ | B | 78,375 | 39.45 | n/a | n/a | 3,135.00 | 4.0 |
| BUCK CAPITAL MGMT | | TGT | B | 5,000 | 60.67 | n/a | 28-Feb | non-brg | 5.0 |
| SAC TRADING HOWARD | 038 | TGT | SS | 15,000 | 60.43 | n/a | 28-Feb | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TWB | S | 5,000 | 34.90 | 22-Feb | 22-Feb | 200.00 | 4.0 |
| U.S.TRUST COMPANY | 012 | TYC | B | 56,000 | 30.03 | n/a | 6-Feb | 2,520.00 | 4.5 |
| FRANKLIN FUND OF CALIFOR | 033 | T | S | 239,800 | 36.25 | 26-Jan | 5-Mar | 11,990.00 | 5.0 |
| MORGAN LEWIS/MLH | 046 | UNFI | SS | 15,000 | 28.83 | n/a | n/a | 750.00 | 5.0 |
| PILOT ADV | 038 | UNP | B | 22,100 | 96.88 | n/a | n/a | 884.00 | 4.0 |
| LEDDY | 035 | URBN | S | 300 | 25.11 | 7-Dec | 9-Feb | 0.00 | 0.0 |
| LUCHANSKY1 | 036 | USG | S | 200 | 51.65 | n/a | 5-Mar | 0.00 | 0.0 |
| GALLEON MGMT LP | 033 | VLO | SS | 10,000 | 55.62 | n/a | n/a | 500.00 | 5.0 |
| PLATTE RIVER CAPITAL | 035 | VZ | B | 2,000 | 36.60 | 22-Dec | 5-Mar | 80.00 | 4.0 |
| MORGAN LEWIS/MLH | 046 | WFMI | SS | 25,000 | 46.04 | n/a | n/a | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------------|----------|---------------|-------------|------------|-------------------|----------------|------------|
| B BUCK CAPITAL MGMT | | WTSLA | B | 30,000 | 5.96 | n/a | n/a | non-brg | 4.0 |
| CHILTON CAPITAL MGMT. | 036 | WYE | B | 200,115 | 49.12 | n/a | 31-Mar | 8,004.60 | 4.0 |
| MATRIX ASSET ADV. | 036 | XOM | S | 8,400 | 70.35 | n/a | n/a | 336.00 | 4.0 |
| INTEGRITY CAPITAL MGMT | 039 | ZQK | S | 15,000 | 13.48 | 9-Feb | 1-Mar | 450.00 | 3.0 |
| MAZAMA CAPITAL MGMT. | 035 | ZQK | S | 14,900 | 13.54 | 9-Feb | 1-Mar | 596.00 | 4.0 |
| TOTAL (Trade Date): | | | | | | | 152,376.98 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|
| AO,CRT | 03/02 | WAGONHOUND | 048 | EWS | S | 43,400 | 11.48 | n/a | n/a | 1302.00 3.0 |
| AO,CXL | 03/02 | WAGONHOUND | 048 | EWS | S | 43,400 | 11.48 | n/a | n/a | 1736.00 4.0 |
| AO,CRT | 03/01 | MERRILL LYNCH STRATEGICI | 034 | PLLL | B | 100,000 | 20.58 | n/a | n/a | 4000.00 4.0 |
| AO,CXL | 03/01 | MERRILL LYNCH STRATEGICI | 034 | PLLL | B | 100,000 | 20.58 | n/a | n/a | 5000.00 5.0 |
| AO, | 03/01 | MKT MAKER | 097 | SCRX | B | 4 | 23.25 | 20-Dec | 5-Mar | 0.00 0.0 |
| AO, | 03/02 | WHITTIER CAP | 048 | TWTR | B | 8,177 | 1.42 | n/a | n/a | 245.31 3.0 |
| AO,CXL | 03/02 | AMBER CAPITAL | 046 | ZLC | B | 40,000 | 26.61 | n/a | n/a | 2000.00 5.0 |
| AO,CRT | 03/02 | AMBER CAPITAL | 046 | ZLC | B | 40,000 | 26.61 | n/a | n/a | 1600.00 4.0 |

TOTAL (AO, CXL, CRT) :**-1,588.69**

TOTAL (Trade Date):

152,376.98

TOTAL (AO, CXL, CRT):

-1,588.69

TOTAL (RUN DATE) / NFS:**150,788.29**

MRI Securities with Trade Activity on 5-Mar.

AVZ, JNS

MRI Securities without Trade Activity on 5-Mar.

AB, AMG, CLMS, WDR, WPL

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

T-Date = 27%

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