



Daily Compliance Activity Report

Trade Date: 02/08/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	ALB	B	1,760	82.99	n/a	n/a	70.40	4.0
COLUMBUS CIRCLE	036	AMT	B	4,030	40.37	n/a	n/a	161.20	4.0
TRIBECA/DOUG	040	AMZN	SS	5,000	39.45	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		ANF	B	10,000	79.99	2-Feb	5-Feb	non-brg	5.0
COUGAR TRADING	044	ANF	B	5,000	83.74	2-Feb	5-Feb	250.00	5.0
COUGAR TRADING	044	ANF	SS	15,000	79.45	2-Feb	5-Feb	750.00	5.0
BUCK	015	ANF	C	400	82.81	2-Feb	5-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	ANN	B	20,000	34.96	5-Jan	5-Feb	800.00	4.0
B BUCK CAPITAL MGMT		ANN	C	10,000	35.64	5-Jan	5-Feb	non-brg	5.0
COUGAR TRADING	044	ANN	B	10,000	34.96	5-Jan	5-Feb	500.00	5.0
TRELLUS PARTNERS LP	028	AOS	B	79,800	38.88	21-Dec	8-Feb	3,990.00	5.0
HERMES	048	APOL	S	5,000	47.54	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		ARAY	S	10,000	22.22	n/a	n/a	non-brg	5.0
BARR	096	ARBX	B	2,000	6.30	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	ARO	B	20,000	38.53	23-Oct	5-Feb	1,000.00	5.0
COLUMBUS CIRCLE	036	AVZ	B	4,550	24.44	29-Dec	8-Feb	182.00	4.0
SAC TRADING HOWARD	038	BBW	S	10,000	28.72	8-Jan	8-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BINDER	007	BDK	SS	100	87.76	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	BEBE	B	50,000	18.18	n/a	n/a	2,500.00	5.0
COLUMBUS CIRCLE	036	BG	B	800	78.98	n/a	n/a	32.00	4.0
XYLEM GLOBAL	091	BOW	SS	3,500	27.63	27-Oct	7-Feb	175.00	5.0
LUCHANSKY	036	CALL	B	1,100	3.14	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	CAM	B	2,050	55.05	n/a	n/a	82.00	4.0
COLUMBUS CIRCLE	036	CBG	B	3,310	38.51	n/a	n/a	132.40	4.0
COLUMBUS CIRCLE	036	CBI	B	2,280	30.08	n/a	n/a	91.20	4.0
COLUMBUS CIRCLE	036	CCI	B	3,840	35.14	n/a	n/a	153.60	4.0
LUCHANSKY	036	CC	S	400	21.67	20-Dec	10-Jan	0.00	0.0
B BUCK CAPITAL MGMT		CDNS	B	10,000	20.25	n/a	n/a	non-brg	5.0
PALMYRA CAPITAL	048	CENT	B	32,851	12.63	8-Feb	8-Feb	1,642.55	5.0
COUGAR TRADING	044	CHS	B	15,000	21.66	5-Jan	5-Feb	750.00	5.0
COLUMBUS CIRCLE	036	COH	B	1,720	47.55	24-Jan	24-Jan	68.80	4.0
SAC TRADING HOWARD	038	COST	S	25,000	56.58	n/a	9-Feb	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS O'CONNOR/TOM LEDDY	035	COST	S	50,000	56.12	n/a	9-Feb	2,000.00	4.0
CAXTON PART	040	CPKI	S	50,000	35.43	n/a	n/a	2,000.00	4.0
TRIBECA/DOUG	040	CPO	B	5,000	33.40	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	140,000	24.80	n/a	n/a	5,600.00	4.0
SAILFISH	037	CSX	SS	10,000	37.09	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		CWTR	S	60,000	17.27	n/a	n/a	non-brg	1.0
COLUMBUS CIRCLE	036	CXW	B	2,500	53.74	n/a	n/a	100.00	4.0
FIRST NEW YORK LEDDY	035	DDS	S	10,000	35.52	n/a	n/a	600.00	6.0
DELTEC ASSET MGMT.	040	DHI	B	4,500	28.88	n/a	n/a	225.00	5.0
B BUCK CAPITAL MGMT		DIA	C	10,000	126.55	n/a	n/a	non-brg	1.0
COLUMBUS CIRCLE	036	DST	B	860	71.96	n/a	n/a	34.40	4.0
THIRD COAST CAPITAL	035	EAT	B	30,000	33.50	n/a	23-Jan	1,500.00	5.0
CAXTON PART	040	EBAY	B	25,000	33.28	n/a	n/a	1,000.00	4.0
LEEDS	002	EDGR	B	25,000	3.21	n/a	n/a	0.00	0.0
CROWLEY	061	EEEE	S	2,000	7.81	n/a	n/a	0.00	0.0
CROWLEY	061	EFT	B	700	18.98	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	ENR	B	730	86.69	n/a	n/a	29.20	4.0
RAINIER INV MGMT	035	ESL	B	46,100	39.18	n/a	n/a	2,305.00	5.0
PRINCIPLE CAPITAL	040	EYE	B	134,100	38.53	n/a	n/a	4,023.00	3.0
CROWLEY	061	FCNTX	S	190	66.49	n/a	n/a	0.00	0.0
GAULT	063	FDBV	S	30	1.00	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	FDS	B	2,680	60.12	n/a	n/a	107.20	4.0
BUCK CAPITAL MGMT	001	FD	B	20,000	43.07	26-Jan	5-Feb	800.00	4.0
SSI INVESTORS	048	FD	S	23,459	42.95	26-Jan	5-Feb	938.36	4.0
CROWLEY	061	FIGRX	S	259	38.64	n/a	n/a	0.00	0.0
GOLDEN TREE	036	FNM	B	17,800	56.21	n/a	n/a	312.31	4.0
CROWLEY	061	FSIIX	S	224	45.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GCO	S	10,000	42.01	n/a	10-Jan	non-brg	5.0
B BUCK CAPITAL MGMT		GCO	S	10,000	42.35	n/a	10-Jan	non-brg	5.0
B BUCK CAPITAL MGMT		GIL	B	20,000	52.85	n/a	n/a	non-brg	5.0
DELTEC ASSET MGMT.	040	GLW	B	14,000	22.53	n/a	8-Feb	700.00	5.0
GRISANTI BROWN & PARTNER	048	GLW	B	34,500	22.47	n/a	8-Feb	1,725.00	5.0
COLUMBUS CIRCLE	036	GME	B	1,160	53.32	n/a	n/a	46.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BELMONT GLOBAL ADV	248	GRS	B	20,000	16.03	n/a	n/a	1,000.00	5.0
DEMARTINI	065	GSAT	S	2,000	10.04	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	GYMB	B	11,500	37.50	4-Jan	9-Feb	690.00	6.0
EFSTATHIOU	044	GYMB	C	200	38.47	4-Jan	9-Feb	0.00	0.0
JACOB	068	GYMB	C	250	38.01	4-Jan	9-Feb	0.00	0.0
COLUMBUS CIRCLE	036	HAS	B	4,310	29.12	n/a	n/a	172.40	4.0
B BUCK CAPITAL MGMT		HBI	SS	10,000	24.99	n/a	n/a	non-brg	5.0
DEMARTINI	065	HC	S	1,000	22.89	n/a	5-Feb	0.00	0.0
STADIA CAPITAL	035	HD	SS	40,000	41.08	n/a	16-Jan	1,600.00	4.0
MERRILL ASSET	032	HHS	B	66,800	26.95	n/a	n/a	3,340.00	5.0
BUCK	015	HIW	S	900	45.23	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	HLT	B	1,650	37.30	n/a	n/a	66.00	4.0
COLUMBUS CIRCLE	036	HLT	S	75,224	37.24	n/a	n/a	3,008.96	4.0
CROWLEY	061	ICHCX	S	620	17.43	n/a	n/a	0.00	0.0
CHARTER OAK	037	IDIX	B	14,300	8.90	n/a	n/a	715.00	5.0
COLUMBUS CIRCLE	036	IFF	B	1,240	48.25	30-Jan	5-Feb	49.60	4.0
BINDER	007	INTC	B	260	21.36	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	IPG	B	4,510	13.13	n/a	n/a	180.40	4.0
LUCHANSKY	036	ISE	S	200	47.00	26-Oct	6-Feb	0.00	0.0
GAULT	063	ISE	S	500	47.45	26-Oct	6-Feb	0.00	0.0
CROWLEY	061	JAOSX	S	337	47.52	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	JCG	B	2,160	36.47	25-Jan	25-Jan	86.40	4.0
EFSTATHIOU	044	JMBA	S	400	10.10	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	JWN	B	1,400	56.69	8-Feb	8-Feb	56.00	4.0
CUMBERLAND	038	JWN	S	20,000	56.71	8-Feb	8-Feb	800.00	4.0
BINDER	007	KEGS	S	140	16.55	n/a	7-Feb	0.00	0.0
TRUST CO/COWEN/CALF.	040	KFT	B	569,620	33.01	n/a	n/a	28,481.00	5.0
NEUBERGER BERMAN	238	KVA	S	30,300	25.64	n/a	n/a	1,515.00	5.0
COLUMBUS CIRCLE	036	LAZ	B	2,480	55.29	n/a	n/a	99.20	4.0
SAC DOUG RODGERS	040	LEH	B	50,000	84.46	6-Dec	16-Jan	2,500.00	5.0
T. ROWE PRICE	033	LEH	S	223,800	84.47	6-Dec	16-Jan	8,952.00	4.0
BARR	096	LEND	SS	500	26.61	n/a	n/a	0.00	0.0
BUCK	015	LESPP	B	5	1.85	n/a	n/a	0.00	0.0
SCHEINER	037	LIZ	C	1,500	44.71	n/a	2-Feb	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	LTD	B	40,000	29.13	5-Jan	9-Feb	1,600.00	4.0
HERMES	048	LUV	S	20,000	15.18	n/a	n/a	1,000.00	5.0
COLUMBUS CIRCLE	036	MAN	B	800	75.48	n/a	n/a	32.00	4.0
TRIBECA/DOUG	040	MAR	SS	5,000	50.84	n/a	n/a	200.00	4.0
HAYGROUND COE	039	MCD	SS	54,700	44.25	12-Oct	6-Feb	2,735.00	5.0
COLUMBUS CIRCLE	036	MDR	B	2,300	51.40	n/a	n/a	92.00	4.0
⌘ BUCK CAPITAL MGMT		MDTL	B	12,500	15.09	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		MDTL	B	70,000	15.43	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		MDTL	SS	1,443	15.06	n/a	n/a	non-brg	5.0
PZENA INV ADV	044	MET	B	4,150	63.79	n/a	n/a	166.00	4.0
⌘ BUCK CAPITAL MGMT		MLNX	S	5,000	19.64	n/a	n/a	non-brg	5.0
COLUMBUS CIRCLE	036	MTD	B	760	84.77	n/a	n/a	30.40	4.0
CSFB GLOBAL PROPRIETARY	035	MWV	S	40,000	31.06	8-Jan	1-Feb	2,000.00	5.0
⌘ BUCK CAPITAL MGMT		NCMI	S	2,400	25.62	n/a	n/a	non-brg	1.0
T. ROWE PRICE	033	NKE	B	49,500	103.10	n/a	n/a	1,980.00	4.0
⌘ BUCK CAPITAL MGMT		NLS	S	30,000	18.20	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	NSR	B	2,010	30.79	n/a	n/a	80.40	4.0
B BUCK CAPITAL MGMT		NWY	S	20,000	14.58	1-Dec	5-Feb	non-brg	5.0
SAILFISH	037	ODP	B	15,000	37.31	n/a	23-Jan	750.00	5.0
COLUMBUS CIRCLE	036	OI	B	4,000	23.38	n/a	n/a	160.00	4.0
COLUMBUS CIRCLE	036	PCP	B	1,480	91.99	n/a	n/a	59.20	4.0
CAXTON PART	040	PSPT	B	15,000	24.29	n/a	n/a	600.00	4.0
COUGAR TRADING	044	PSUN	S	10,000	19.30	n/a	7-Feb	500.00	5.0
WEINTRAUB CAPITAL MGT.	040	PSUN	S	66,800	19.17	n/a	7-Feb	3,340.00	5.0
COLUMBUS CIRCLE	036	PVH	B	1,950	55.22	18-Jan	18-Jan	78.00	4.0
ACT II PARTNERS	067	Q	SS	162,800	8.19	n/a	n/a	6,512.00	4.0
BINDER	007	RDEN	S	100	21.59	5-Feb	5-Feb	0.00	0.0
CAXTON PART	040	RGC	B	20,000	22.53	n/a	n/a	800.00	4.0
PZENA INV ADV	044	RNR	B	7,575	53.50	n/a	n/a	303.00	4.0
COLUMBUS CIRCLE	036	ROP	B	2,600	52.73	n/a	n/a	104.00	4.0
BINDER	007	RSH	B	400	22.51	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	RSTI	B	10,774	63.02	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		SDXC	B	1,000	17.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		SDXC	B	150,000	19.63	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		SDXC	B	25,000	17.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		SDXC	B	500	17.00	n/a	n/a	non-brg	0.0
LEEDS	002	SHOO	B	5,000	31.15	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	SKS	B	30,000	20.35	n/a	n/a	1,500.00	5.0
MANNING & NAPIER	034	SMF	S	2,000	19.28	n/a	n/a	80.00	4.0
MANNING & NAPIER	034	SMG	S	117,400	54.67	24-Jan	24-Jan	4,696.00	4.0
BARR	096	SNCR	S	800	15.20	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	SPW	B	880	70.35	n/a	n/a	35.20	4.0
⌘ BUCK CAPITAL MGMT		SPY	C	10,000	145.08	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SSI	B	5,000	22.24	9-Jan	5-Feb	non-brg	5.0
LEEDS	002	SSI	B	8,000	22.51	9-Jan	5-Feb	0.00	0.0
COLUMBUS CIRCLE	036	STJ	B	1,870	42.70	n/a	n/a	74.80	4.0
COLUMBUS CIRCLE	036	SWY	B	2,280	36.01	n/a	n/a	91.20	4.0
BUCK CAPITAL MGMT	001	TBL	S	25,000	29.26	15-Nov	12-Jan	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		TBL	S	25,000	29.46	15-Nov	12-Jan	non-brg	2.0
MANNING & NAPIER	034	TEN	B	25,470	24.72	n/a	n/a	1,018.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	TMO	B	2,640	49.32	n/a	n/a	105.60	4.0
CASTLEROCK	040	TOL	B	46,500	33.43	n/a	n/a	1,860.00	4.0
ß BUCK CAPITAL MGMT		TRLG	S	7,900	18.42	n/a	n/a	non-brg	5.0
LUCHANSKY	036	TWTC	B	300	23.74	8-Feb	8-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		TXN	SS	10,000	30.95	n/a	n/a	non-brg	5.0
CRAMER ROSENTHAL/SCOTT	012	TYC	S	34,000	31.80	n/a	6-Feb	1,700.00	5.0
SAILFISH	037	UNP	SS	10,000	100.61	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	WRNC	B	15,000	27.56	18-Jan	18-Jan	750.00	5.0
JP MORGAN VENTURES	046	WSM	SS	15,000	35.06	n/a	n/a	750.00	5.0
ß BUCK CAPITAL MGMT		WTSLA	B	100,000	5.80	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WTSLA	B	147,100	5.95	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WTSLA	B	20,000	5.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WTSLA	B	200,000	6.09	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WTSLA	B	300,000	5.95	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WTSLA	B	80,000	5.80	n/a	n/a	non-brg	4.0
MCCARTAN	028	XOHO	B	600	4.34	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	130,000	14.50	9-Feb	9-Feb	5,200.00	4.0
ß BUCK CAPITAL MGMT		ZQK	S	14,300	13.05	9-Feb	9-Feb	non-brg	1.0

TOTAL (Trade Date):

136,072.58

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/07	SIGMA CAPITAL ASSOCIATES	044	A	SS	25,000	32.40	n/a	n/a	1250.00	5.0
AO,CXL	02/07	SIGMA CAPITAL ASSOCIATES	044	A	SS	25,000	32.40	n/a	n/a	1250.00	5.0
AO,CRT	02/07	PRINCIPLE CAPITAL	040	AVP	B	40,000	37.24	7-Feb	7-Feb	1200.00	3.0
AO,CXL	02/07	PRINCIPLE CAPITAL	040	AVP	B	40,000	37.24	7-Feb	7-Feb	2000.00	5.0
AO,	02/07	PIEDRA CAPITAL	031	CHS	B	2,490	21.67	5-Jan	5-Feb	124.50	5.0
AO,	02/07	COLONIAL FUND LLC	036	DPZ	B	25,000	31.52	n/a	17-Jan	1250.00	5.0
AO,CXL	02/07	THE JAY GOLDMAN	034	NWY	B	15,000	14.77	1-Dec	5-Feb	600.00	4.0
AO,	02/07	THE JAY GOLDMAN	034	NWY	B	15,000	14.77	1-Dec	5-Feb	0.00	0.0
AO,	02/07	MANNING & NAPIER	034	SMG	S	142,300	54.70	24-Jan	24-Jan	5692.00	4.0
AO,CRT	02/07	SIGMA CAPITAL ASSOCIATES	044	YUM	B	45,000	60.96	12-Dec	17-Jan	2250.00	5.0
AO,CXL	02/07	SIGMA CAPITAL ASSOCIATES	044	YUM	B	45,000	60.96	12-Dec	17-Jan	2250.00	5.0
TOTAL (AO, CXL, CRT) :										5,666.50	

TOTAL (Trade Date) :	136,072.58
TOTAL (AO, CXL, CRT) :	5,666.50

TOTAL (RUN DATE) / NFS:	141,739.08
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MRI Securities with Trade Activity on 8-Feb.

CENT, JWN, TWTC

MRI Securities without Trade Activity on 8-Feb.

ACL, DLTR

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

T-Date = 19%

YTD = 21%

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