



Daily Compliance Activity Report

Trade Date: 02/28/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHALE ROCK CAP	030	AAPL	B	25,000	85.51	n/a	n/a	1,000.00	4.0
GRISANTI BROWN & PARTNER	048	AA	S	23,000	33.15	n/a	n/a	1,150.00	5.0
OGORMAN	146	AB	S	400	85.23	24-Jan	28-Feb	0.00	0.0
BARR	096	ACF	SS	300	24.75	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	044	AIG	B	150	66.32	n/a	n/a	7.50	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	54,900	7.10	n/a	n/a	2,196.00	4.0
IRIDIAN ASSET MGMT.	036	ALU	S	223,400	12.75	n/a	n/a	11,170.00	5.0
BULL PATH CAPITAL	044	AMG	B	42,500	113.53	25-Jan	28-Feb	2,125.00	5.0
B BUCK CAPITAL MGMT		ANF	B	20,000	77.73	2-Feb	22-Feb	non-brg	5.0
B BUCK CAPITAL MGMT		ANF	B	40,000	78.07	2-Feb	22-Feb	non-brg	5.0
B BUCK CAPITAL MGMT	001	ANN	B	10,000	34.50	5-Jan	16-Feb	400.00	4.0
B BUCK CAPITAL MGMT		ANN	C	20,000	34.59	5-Jan	16-Feb	non-brg	5.0
PRINCIPLE CAPITAL	040	ANN	B	57,600	35.23	5-Jan	16-Feb	1,728.00	3.0
CAPITAL GROWTH MGMT.	241	APA	S	6,000	68.94	2-Feb	2-Feb	300.00	5.0
B BUCK CAPITAL MGMT		APC	B	11,700	40.48	27-Feb	27-Feb	non-brg	5.0
CAPITAL GROWTH MGMT.	241	APH	S	8,500	64.58	n/a	n/a	425.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	ATI	S	5,500	102.17	n/a	n/a	275.00	5.0
DSG CAPITAL	225	AVZ	B	10,000	23.82	13-Feb	28-Feb	500.00	5.0
⌘ BUCK CAPITAL MGMT		AZO	C	10,000	124.10	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	BBW	B	5,000	26.53	8-Jan	21-Feb	200.00	4.0
CIBC ADV.	060	BBY	S	30,000	46.44	13-Dec	21-Feb	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		BID	B	10,000	36.58	n/a	n/a	non-brg	5.0
WHEELER	008	BJS	S	3,000	27.11	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	BMS	SS	15,000	33.26	n/a	n/a	750.00	5.0
CAPITAL GROWTH MGMT.	241	BNI	S	4,000	78.93	n/a	n/a	200.00	5.0
WHITE PINE CAPITAL	030	BONT	B	200	48.60	9-Feb	9-Feb	10.00	5.0
BECK MACK & OLIVER LLC	044	BRKB	B	33,514.00		n/a	n/a	0.15	5.0
MORGENS WATERFALL	040	BRL	S	105,000	52.35	26-Jan	27-Feb	5,250.00	5.0
⌘ BUCK CAPITAL MGMT		BSC	B	16,029	152.59	15-Dec	28-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BSC	B	971	153.20	15-Dec	28-Feb	non-brg	1.0
OGORMAN	146	BSC	B	100	152.58	15-Dec	28-Feb	0.00	0.0
ARIENCE CAPITAL	036	BYD	B	11,190	46.38	21-Feb	21-Feb	559.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		CACH	S	10,000	22.52	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CBI	S	200	29.80	n/a	n/a	non-brg	1.0
Õ Henry Ngan		CC	B	620	19.25	20-Dec	23-Feb	0.00	0.0
SAC TRADING HOWARD	038	CHIC	B	25,000	29.09	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	CLE	S	80,000	31.97	3-Nov	23-Feb	3,200.00	4.0
BALYASNY ASSET MGMT	044	CLMS	B	27,600	26.29	30-Jan	28-Feb	1,380.00	5.0
OTC ERROR	099	CLMS	B	20,000	26.26	30-Jan	28-Feb	0.00	0.0
OTC ERROR	099	CLMS	S	20,000	26.29	30-Jan	28-Feb	0.00	0.0
CAPITAL GROWTH MGMT.	241	CNH	S	8,000	37.79	n/a	n/a	400.00	5.0
WHEELER	008	COHR	S	5,000	30.36	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	COH	S	10,000	47.34	23-Feb	23-Feb	500.00	5.0
ß BUCK CAPITAL MGMT		COLM	C	10,000	62.50	n/a	n/a	non-brg	5.0
Õ Doug Rogers		CPN	B	15000	103.25	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	15000	103.25	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	15000	103.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CROX	B	15,000	48.73	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CWTR	B	15,000	18.31	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY	036	DCTH	B	5,000	4.54	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	DDS	B	50,000	33.29	n/a	n/a	2,000.00	4.0
CAPITAL GROWTH MGMT.	241	DE	S	6,400	108.58	n/a	n/a	320.00	5.0
CIBC ADV.	060	DIS	S	20,000	33.58	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DKS	B	5,000	51.94	n/a	n/a	200.00	4.0
BECK MACK & OLIVER LLC	044	DUK	B	3,300	19.59	n/a	n/a	165.00	5.0
⌘ BUCK CAPITAL MGMT		DVN	B	13,800	65.94	9-Feb	9-Feb	non-brg	5.0
BALYASNY ASSET MGMT	044	EVR	SS	16,400	32.00	n/a	n/a	820.00	5.0
⌘ BUCK CAPITAL MGMT		EVST	B	5,000	18.86	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	EV	B	10,000	34.67	2-Nov	28-Feb	500.00	5.0
COUGAR TRADING	044	FDO	SS	5,000	28.94	3-Nov	9-Feb	250.00	5.0
⌘ BUCK CAPITAL MGMT		FD	B	50,000	44.26	26-Jan	28-Feb	non-brg	5.0
DAWSON SANBERG & CO	036	FL	B	300	22.66	n/a	9-Feb	15.00	5.0
SASCO	038	FL	B	164,700	22.66	n/a	9-Feb	8,235.00	5.0
CIBC ADV.	060	GENZ	S	10,000	61.02	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GES	B	5,000	80.87	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		GIII	B	6,000	20.67	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT	001	GIL	B	30,000	51.69	n/a	n/a	1,200.00 4.0
BUCK CAPITAL MGMT	001	GPS	B	20,000	19.03	n/a	27-Feb	800.00 4.0
B BUCK CAPITAL MGMT		GTRC	B	20,000	44.23	n/a	n/a	non-brg 5.0
BARROW HANLEY MEWHINNEY	031	HBI	B	74,100	27.83	n/a	n/a	2,964.00 4.0
GASNER	025	HBP	C	1,000	6.44	n/a	n/a	0.00 0.0
MORRISON & FRASIER	040	HD	S	89,100	39.70	n/a	26-Feb	4,455.00 5.0
LISTED ERR	099	HD	B	2,300	39.69	n/a	26-Feb	0.00 0.0
LISTED ERR	099	HD	S	2,300	39.70	n/a	26-Feb	0.00 0.0
BECK MACK & OLIVER LLC	044	HOFD	B	100	62.00	n/a	n/a	5.00 5.0
MAZAMA CAPITAL MGMT.	035	HPY	S	47,000	24.90	n/a	n/a	1,880.00 4.0
ZOLIDIS	011	ICON	S	500	21.47	n/a	n/a	0.00 0.0
WHITE PINE CAPITAL	030	IFF	B	1,100	46.80	30-Jan	5-Feb	55.00 5.0
LEDDY	035	ISE	B	300	46.26	26-Oct	16-Feb	0.00 0.0
HUNTER GLOBAL INVESTOR	067	IYR	SS	64,000	88.46	n/a	n/a	1,920.00 3.0
B BUCK CAPITAL MGMT		JADE	B	20,000	10.09	n/a	n/a	non-brg 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	JCG	SS	92,800	36.13	25-Jan	25-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		JCG	B	50,000	36.18	25-Jan	25-Jan	non-brg	5.0
LISTED ERR	099	JCG	B	83	36.09	25-Jan	25-Jan	0.00	0.0
LISTED ERR	099	JCG	S	83	36.10	25-Jan	25-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	81.12	23-Feb	23-Feb	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		JCP	B	50,000	80.64	23-Feb	23-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		JOSB	B	10,000	30.79	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		JWN	B	15,000	52.28	27-Feb	27-Feb	non-brg	5.0
COUGAR TRADING	044	JWN	S	5,000	51.88	27-Feb	27-Feb	250.00	5.0
⌘ BUCK CAPITAL MGMT		KBLHW	B	100,000	0.88	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KBLH	B	100,000	5.62	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	KCP	B	10,000	23.57	n/a	28-Feb	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	KCP	C	12,500	25.08	n/a	28-Feb	500.00	4.0
PHILADELPHIA FINANCIAL	031	KMX	SS	9,172	52.43	n/a	10-Jan	458.60	5.0
⌘ BUCK CAPITAL MGMT		LAMR	B	15,000	64.31	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		LAVA	B	10,000	10.08	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		LEH	B	300	75.24	6-Dec	28-Feb	non-brg	1.0
⌘ BUCK CAPITAL MGMT		LEH	B	58,600	74.57	6-Dec	28-Feb	non-brg	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	44.88	n/a	28-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	LIZ	C	15,600	43.65	n/a	28-Feb	780.00	5.0
BECK MACK & OLIVER LLC	044	LUK	B	400	28.17	n/a	n/a	20.00	5.0
CAPITAL GROWTH MGMT.	241	LVS	S	6,600	86.15	n/a	n/a	330.00	5.0
CIBC ADV.	060	MDT	B	15,000	50.72	n/a	22-Apr	600.00	4.0
LEDDY	035	MWV	B	600	30.35	8-Jan	1-Feb	0.00	0.0
BELMONT GLOBAL ADV	248	NCX	B	20,000	31.54	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	NDAQ	B	10,000	29.48	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		NDSN	C	20,000	48.74	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		NEXC	B	30,000	10.40	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		NLS	B	5,000	17.03	n/a	n/a	non-brg	5.0
LEDDY	035	NLS	B	600	17.27	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	NOK	B	84,000	21.82	n/a	n/a	4,200.00	5.0
B BUCK CAPITAL MGMT		NYT	C	20,000	24.59	n/a	n/a	non-brg	5.0
CASTLE ARK	031	PETM	S	164,004	30.25	n/a	n/a	9,840.24	6.0
B BUCK CAPITAL MGMT		PH	C	10,000	82.81	n/a	n/a	non-brg	5.0
GAULT	063	PZZA	S	500	29.57	n/a	28-Feb	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BECK MACK & OLIVER LLC	044	QCOM	B	200	40.30	n/a	n/a	10.00	5.0
B BUCK CAPITAL MGMT		RCII	C	30,000	28.48	n/a	n/a	non-brg	5.0
BECK MACK & OLIVER LLC	044	RDSA	B	800	66.72	n/a	n/a	40.00	5.0
WHALE ROCK CAP	030	RTH	B	48,000	102.39	n/a	n/a	1,920.00	4.0
DENVER INST. ADV	046	SCRX	B	40,000	22.89	20-Dec	27-Feb	2,000.00	5.0
B BUCK CAPITAL MGMT		SDXC	B	10,000	18.89	n/a	n/a	non-brg	5.0
BECK MACK & OLIVER LLC	044	SE	B	2,700	25.46	n/a	n/a	135.00	5.0
WANG	192	SHOO	B	100	29.16	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	SLB	S	8,900	63.14	n/a	n/a	445.00	5.0
BUCK CAPITAL MGMT	001	SSI	B	20,000	21.93	26-Feb	26-Feb	800.00	4.0
FIRST NEW YORK LEDDY	035	SSI	B	10,000	22.01	26-Feb	26-Feb	600.00	6.0
ARIENCE CAPITAL	036	STX	B	41,375	26.54	n/a	n/a	2,068.75	5.0
B BUCK CAPITAL MGMT		SWN	B	11,300	38.68	n/a	1-Mar	non-brg	5.0
CAPITAL GROWTH MGMT.	241	SWY	S	18,000	34.58	n/a	n/a	900.00	5.0
BECK MACK & OLIVER LLC	044	SYI	B	300	32.56	n/a	29-Jan	15.00	5.0
FARALLON CAP MGMT	040	S	S	130,000	19.45	n/a	n/a	3,900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		TAM	C	29,800	29.26	n/a	n/a	non-brg	5.0
Ⓐ BUCK CAPITAL MGMT		TGT	B	30,000	60.52	n/a	28-Feb	non-brg	5.0
XYLEM GLOBAL	091	TIN	S	15,000	60.17	26-Feb	26-Feb	750.00	5.0
BECK MACK & OLIVER LLC	044	TMM	B	3,000	2.95	n/a	n/a	90.00	3.0
RAINIER INV MGMT	035	TRMB	S	103,600	26.56	n/a	n/a	4,144.00	4.0
Ⓐ BUCK CAPITAL MGMT		TSCO	B	15,000	51.09	n/a	n/a	non-brg	5.0
WHITTIER CAP	048	TWTR	B	22,620	1.42	n/a	n/a	678.60	3.0
MKT MAKER	099	TWTR	B	64	1.42	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	TXT	S	6,000	92.31	n/a	n/a	300.00	5.0
CAPITAL GROWTH MGMT.	241	T	S	20,000	36.50	26-Jan	1-Mar	1,000.00	5.0
LEDDY	035	T	S	250	36.57	26-Jan	1-Mar	0.00	0.0
GULF STREAM EQUITY MGMT	049	UMC	S	5,000	3.29	n/a	n/a	250.00	5.0
BECK MACK & OLIVER LLC	044	VZ	B	300	36.73	22-Dec	28-Feb	15.00	5.0
BECK MACK & OLIVER LLC	044	WAB	B	300	32.10	n/a	n/a	15.00	5.0
MAGUIRE	039	WEN	SS	200	32.09	12-Dec	5-Feb	0.00	0.0
MAGUIRE	090	WHT	B	10,000	2.15	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BECK MACK & OLIVER LLC	044	WMB	B	400	26.95	n/a	n/a	20.00	5.0
BECK MACK & OLIVER LLC	044	WMT	B	200	48.25	n/a	21-Feb	10.00	5.0
IRIDIAN ASSET MGMT.	036	WM	S	62,500	42.99	n/a	n/a	3,125.00	5.0
B BUCK CAPITAL MGMT		WTSIA	B	70,000	6.04	n/a	n/a	non-brg	4.0
XYLEM GLOBAL	091	WY	S	10,000	85.40	15-Dec	9-Feb	500.00	5.0
GRISANTI BROWN & PARTNER	048	X	S	3,000	87.99	n/a	n/a	150.00	5.0
TOTAL (Trade Date):							108,020.34		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/27	TYEE/TYGH	035	AMG	S	61,400	115.61	25-Jan	28-Feb	2456.00 4.0
AO,	02/27	RIDGECRST PARTNERS	035	BONT	S	5,000	49.23	9-Feb	9-Feb	250.00 5.0
AO,	02/27	PLATTE RIVER CAPITAL	035	EFA	B	89,100	75.70	n/a	n/a	3564.00 4.0
AO,CRT	02/27	PERSHING SQUARE	028	IYR	S	60,500	88.06	n/a	n/a	2420.00 4.0
AO,CXL	02/27	PERSHING SQUARE	028	IYR	S	60,500	88.06	n/a	n/a	2420.00 4.0
AO,CXL	02/27	MKT MAKER	099	JCG	S	83	35.68	25-Jan	25-Jan	0.00 0.0
AO,	02/27	EMINENCE CAPITAL	038	NOK	B	300,000	21.79	n/a	n/a	15000.00 5.0
AO,CXL	02/27	WHITTIER CAP	048	TWTR	B	2,300	1.42	n/a	n/a	69.00 3.0
AO,CRT	02/27	WHITTIER CAP	048	TWTR	B	2,300	1.42	n/a	n/a	69.00 3.0
TOTAL (AO, CXL, CRT) :										21,270.00
TOTAL (Trade Date) :										108,020.34
TOTAL (AO, CXL, CRT) :										21,270.00
TOTAL (RUN DATE) / NFS:										129,290.34

MRI Securities with Trade Activity on 28-Feb.
NONE

MRI Securities without Trade Activity on 28-Feb.
MCCC

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 17%
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