



Daily Compliance Activity Report

Trade Date: 10/01/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
LEVIN CAPITAL STRATEGIES	012	ABC	SS	5,000	44.86	n/a	n/a	200.00 4.0
LATEFF MGMT	040	ABG	B	6,000	19.42	18-Jun	1-Oct	660.00 11.0
BALYASNY ASSET MGMT	044	AB	B	10,000	90.13	9-Aug	28-Sep	500.00 5.0
REINHART & MAHONEY	031	ADSK	S	11,575	49.62	n/a	n/a	578.75 5.0
BALYASNY ASSET MGMT	044	AEO	S	10,000	25.68	10-Jul	7-Sep	500.00 5.0
B BUCK CAPITAL MGMT		AEO	S	1,608,900	25.84	10-Jul	7-Sep	non-brg 2.0
B BUCK CAPITAL MGMT		AEO	S	541,100	25.78	10-Jul	7-Sep	non-brg 4.0
COUGAR TRADING	044	AEO	SS	20,000	25.90	10-Jul	7-Sep	1,000.00 5.0
J L F ASSET MGMT	039	AEO	B	102,200	26.08	10-Jul	7-Sep	4,088.00 4.0
POST ROAD CAP	045	AEO	B	27,100	25.89	10-Jul	7-Sep	813.00 3.0
AMBER CAPITAL	046	AKS	S	75,000	44.40	n/a	n/a	3,000.00 4.0
HARVEST MGMT	039	ANN	B	6,000	31.88	6-Aug	7-Sep	300.00 5.0
HARVEST MGMT	039	AVZA	S	5,000	3.41	n/a	n/a	150.00 3.0
CATAPULT	040	AXP	B	5,000	60.49	n/a	n/a	250.00 5.0
B BUCK CAPITAL MGMT		BONT	S	20,000	22.32	3-Aug	7-Sep	non-brg 4.0
HARVEST MGMT	039	BPHX	S	4,000	18.16	n/a	n/a	200.00 5.0
HARVEST MGMT	039	BTN	S	7,500	5.79	n/a	n/a	225.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	CAH	SS	5,000	62.39	n/a	n/a	200.00	4.0
CATTANI	041	CAL	S	1,000	34.00	n/a	n/a	0.00	0.0
MILLER	N23	CFC	B	10	20.08	n/a	n/a	0.00	0.0
STRATTON	N21	CHCG	B	500	3.80	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	CLF	S	9,810	90.59	n/a	n/a	441.45	4.5
GALLEON MGMT LP	033	COF	B	40,000	67.89	n/a	n/a	2,000.00	5.0
HARVEST MGMT	039	COWN	S	3,500	13.86	n/a	n/a	175.00	5.0
LEVIN CAPITAL STRATEGIES	012	CVS	SS	6,000	37.10	n/a	n/a	240.00	4.0
SENTINAL CAPITAL	067	CVS	S	9,000	37.88	n/a	n/a	450.00	5.0
B BUCK CAPITAL MGMT		CWTR	S	30,000	10.68	n/a	n/a	non-brg	4.0
J L F ASSET MGMT	039	CWTR	B	140,000	11.00	n/a	n/a	5,600.00	4.0
B BUCK CAPITAL MGMT		C	B	73,900	45.78	n/a	1-Oct	non-brg	1.0
CATTANI	041	C	S	500	47.48	n/a	1-Oct	0.00	0.0
HARVEST MGMT	039	DGIT	S	2,500	24.51	n/a	n/a	125.00	5.0
WHITTIER CAP	048	DGIT	S	8,140	24.67	n/a	n/a	407.00	5.0
DIAMONDBACK CAP MGMT	232	DHR	S	20,000	83.03	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	DOV	B	10,000	50.90	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DSW	B	10,000	24.94	5-Sep	5-Sep	400.00	4.0
BULL PATH CAPITAL	044	DTV	B	25,000	24.63	21-Sep	25-Sep	1,250.00	5.0
POST ROAD CAP	045	DTV	B	13,000	24.65	21-Sep	25-Sep	390.00	3.0
LEDDY	035	DXD	B	400	45.24	n/a	n/a	0.00	0.0
CHIARMONTE	N10	EFT	B	150	17.19	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		EGLT	SS	5,000	13.10	n/a	n/a	non-brg	4.0
ROBX	033	EYE	B	22,000	30.89	n/a	n/a	660.00	3.0
HARVEST MGMT	039	FBR	S	19,000	4.78	n/a	n/a	570.00	3.0
SLS CAPITAL LLC	224	F	S	490,000	8.36	n/a	1-Oct	14,700.00	3.0
B BUCK CAPITAL MGMT		GIIT	S	8,500	20.61	n/a	n/a	non-brg	1.0
DIAMONDBACK CAP MGMT	232	GM	B	25,000	36.14	4-May	1-Oct	1,250.00	5.0
MAGNETAR FINANCIAL	247	GM	B	50,000	36.20	4-May	1-Oct	2,000.00	4.0
SEAROCK CAPITAL MANAGE	012	GM	S	150,000	36.62	4-May	1-Oct	6,000.00	4.0
LEDDY	035	GM	SS	600	36.05	4-May	1-Oct	0.00	0.0
B BUCK CAPITAL MGMT		GYMB	B	30,000	35.21	10-Aug	7-Sep	non-brg	4.0
HARVEST MGMT	039	HD	B	16,000	33.21	n/a	27-Jul	800.00	5.0
CATAPULT	040	IBKR	B	10,000	27.10	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	IPAR	S	500	24.96	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	IVV	B	6,500	154.70	n/a	n/a	260.00	4.0
NATIONAL BK OF CAN	031	IVZ	S	40,000	27.77	8-Aug	28-Sep	1,600.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	40.87	22-Jun	6-Sep	400.00	4.0
⌘ BUCK CAPITAL MGMT		JCP	B	10,000	64.28	21-Jun	7-Sep	non-brg	4.0
COUGAR TRADING	044	JCP	S	5,000	64.36	21-Jun	7-Sep	250.00	5.0
J L F ASSET MGMT	039	JCP	B	46,500	63.66	21-Jun	7-Sep	1,860.00	4.0
KACELA CAPITAL	034	JCP	SS	12,000	63.49	21-Jun	7-Sep	480.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	30,000	33.95	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JWN	S	10,000	46.39	12-Jul	7-Sep	non-brg	4.0
THE JAY GOLDMAN	034	JWN	B	20,000	46.65	12-Jul	7-Sep	800.00	4.0
ZOLIDIS	011	KBH	S	100	25.64	n/a	n/a	0.00	0.0
STRATTON	N21	KEGS	B	200	16.85	23-Jul	1-Oct	0.00	0.0
BARR	096	KOG	S	3,500	3.30	n/a	n/a	0.00	0.0
MORGENS WATERFALL	040	KSS	B	125,000	58.16	27-Sep	27-Sep	3,750.00	3.0
⌘ BUCK CAPITAL MGMT		LAMR	B	10,000	48.70	n/a	n/a	non-brg	4.0
MORGAN LEWIS/MLH	046	LIZ	B	10,000	35.61	n/a	14-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	LLY	C	10,000	58.21	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	LTD	SS	100,000	22.81	16-May	7-Sep	4,000.00	4.0
SEAROCK CAPITAL MANAGE	012	LTD	SS	123,600	22.66	16-May	7-Sep	4,944.00	4.0
CAPITAL GROWTH MGMT.	241	LVS	B	15,000	135.67	n/a	n/a	750.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	S	25,000	44.11	n/a	n/a	1,250.00	5.0
KARSCH CAPITAL	034	MCD	B	114,000	55.67	24-Apr	24-Apr	3,420.00	3.0
BARR	096	MENT	S	1,400	15.40	n/a	n/a	0.00	0.0
BRUNNER	012	MESA	S	6,000	4.40	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	ME	S	25,000	21.01	n/a	n/a	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	MHS	SS	5,000	88.61	n/a	n/a	200.00	4.0
HARVEST MGMT	039	MLNX	S	6,500	19.64	n/a	n/a	325.00	5.0
HARVEST MGMT	039	MOTV	S	5,000	1.70	n/a	n/a	150.00	3.0
SCOPUS FUND	041	MSO	B	50,000	12.42	n/a	n/a	2,500.00	5.0
THE JAY GOLDMAN	034	MSO	S	20,000	12.48	n/a	n/a	800.00	4.0
GAULT	063	MSO	B	1,000	12.25	n/a	n/a	0.00	0.0
DEMARTINI	065	MSO	B	500	12.26	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	MTG	S	27,270	32.89	n/a	n/a	1,363.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MW	SS	20,000	50.53	n/a	n/a	non-brg	4.0
MAGUIRE	039	MZZ	S	100	50.93	n/a	n/a	0.00	0.0
BARR	096	MZZ	S	400	51.30	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		M	B	100,000	32.36	24-Sep	24-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		M	B	115,000	32.45	24-Sep	24-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		M	B	150,000	33.25	24-Sep	24-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		M	B	35,000	32.47	24-Sep	24-Sep	non-brg	2.0
ß BUCK CAPITAL MGMT		M	B	50,000	32.33	24-Sep	24-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		M	B	50,000	32.77	24-Sep	24-Sep	non-brg	4.0
COUGAR TRADING	044	M	S	10,000	33.11	24-Sep	24-Sep	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	M	B	20,000	32.50	24-Sep	24-Sep	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	M	SS	100,000	32.21	24-Sep	24-Sep	5,000.00	5.0
STADIA CAPITAL	035	M	B	26,600	33.17	24-Sep	24-Sep	1,064.00	4.0
THE JAY GOLDMAN	034	M	S	25,000	32.35	24-Sep	24-Sep	1,000.00	4.0
TRIVIU CAP MGMT	251	M	B	69,700	32.67	24-Sep	24-Sep	2,788.00	4.0
TROUBH PART	067	M	B	52,100	32.64	24-Sep	24-Sep	2,605.00	5.0
MAZAMA CAPITAL MGMT.	035	NGS	S	3,500	18.47	n/a	n/a	140.00	4.0
BELMONT GLOBAL ADV	248	NOA	B	86,405	17.72	n/a	n/a	4,320.25	5.0
SATELLITE ASSET MGMT	012	NTY	B	40,000	40.86	n/a	n/a	1,600.00	4.0
CAPITAL GROWTH MGMT.	241	NUE	S	22,200	59.13	n/a	n/a	1,110.00	5.0
BELMONT GLOBAL ADV	248	OFG	B	45,000	11.82	n/a	n/a	2,250.00	5.0
IRON HORSE CAPITAL MGMT	038	OXPS	S	20,000	26.79	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRON HORSE CAPITAL MGMT	038	PBG	B	25,000	37.20	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		PERY	S	20,000	27.66	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	PKG	S	25,000	29.96	19-Jul	21-Sep	1,250.00	5.0
RAINIER INV MGMT	035	PKG	B	35,000	29.72	19-Jul	21-Sep	1,750.00	5.0
METROPOLITAN CAPITAL	044	PSS	B	12,100	21.46	n/a	n/a	605.00	5.0
HARVEST MGMT	039	PSUN	B	17,000	15.04	n/a	7-Sep	850.00	5.0
ASCEND PARTNERS	033	PVH	S	15,000	53.71	13-Aug	29-Aug	750.00	5.0
MAGNETAR FINANCIAL	247	QCOM	B	200,000	42.09	n/a	n/a	4,000.00	2.0
HARVEST MGMT	039	RSH	B	14,000	21.12	n/a	n/a	700.00	5.0
DIAMONDBACK CAP MGMT	232	RYL	B	35,000	22.27	n/a	n/a	1,750.00	5.0
MAGUIRE	039	SDS	S	100	49.64	n/a	n/a	0.00	0.0
OGORMAN	146	SKF	B	800	76.13	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SSI	S	20,000	18.48	3-Aug	7-Sep	800.00	4.0
CATAPULT	040	STT	S	5,000	70.32	n/a	n/a	250.00	5.0
NORTHPOINT	030	TAXI	S	7,600	11.01	n/a	n/a	304.00	4.0
BUCK	015	TGTJM	B	6	1.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY	036	TIBX	S	500	7.46	n/a	3-Apr	0.00	0.0
SATELLITE ASSET MGMT	012	TIF	B	15,000	53.99	1-Oct	1-Oct	600.00	4.0
⚡ BUCK CAPITAL MGMT		TJX	B	20,000	29.22	21-Sep	21-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TRLG	B	10,000	16.89	n/a	n/a	non-brg	4.0
HARVEST MGMT	039	TSCO	B	5,000	46.66	n/a	n/a	250.00	5.0
DC CAPITAL	044	UAUA	S	50,770	47.00	n/a	n/a	2,538.50	5.0
LEVIN CAPITAL STRATEGIES	012	URBN	B	15,000	22.08	31-Jul	10-Aug	450.00	3.0
JP MORGAN VENTURES	046	VLCM	SS	10,000	41.63	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	6,000	27.68	13-Jul	25-Sep	300.00	5.0
DIAMONDBACK CAP MGMT	232	X	S	10,000	107.58	n/a	n/a	500.00	5.0
COUGAR TRADING	044	ZQK	S	5,000	14.72	n/a	7-Sep	250.00	5.0
TOTAL (Trade Date) :							127,200.45		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/28	SARAS CAPITAL	038	AN	B	100,000	17.59	n/a	27-Jul	5000.00 5.0
AO,CXL	09/27	ALLEN & CO	032	APC	B	37,500	53.20	22-Jun	1-Oct	1500.00 4.0
AO,CRT	09/27	ALLEN & CO	032	APC	B	37,500	53.20	22-Jun	1-Oct	1500.00 4.0
AO,CRT	09/28	MKT MAKER	099	TRMP	S	13	6.44	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										5,000.00

TOTAL (Trade Date) :	127,200.45
TOTAL (AO, CXL, CRT) :	5,000.00

TOTAL (RUN DATE) / NFS:	132,200.45
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MRI Securities with Trade Activity on 1-Oct.

TIF

MRI Securities without Trade Activity on 1-Oct.

VG

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

T-Date = 6%

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