



Daily Compliance Activity Report

Trade Date: 10/26/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STONERIDGE INV PART	033	AB	B	6,755	83.84	25-Oct	25-Oct	337.75	5.0
BUCK CAPITAL MGMT	001	AEO	B	10,000	22.56	12-Oct	12-Oct	400.00	4.0
COUGAR TRADING	044	AEO	S	10,000	22.51	12-Oct	12-Oct	500.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	238,100	9.36	n/a	n/a	9,524.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	50,000	30.75	6-Aug	12-Oct	2,000.00	4.0
COUGAR TRADING	044	ANN	S	5,000	30.90	6-Aug	12-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	120,000	22.39	n/a	12-Oct	4,800.00	4.0
COUGAR TRADING	044	ARO	B	5,000	22.38	n/a	12-Oct	250.00	5.0
BACKBAY	041	ASH	SS	12,500	61.12	n/a	8-Oct	625.00	5.0
LUCHANSKY2	036	AXE	B	100	75.20	9-Oct	23-Oct	0.00	0.0
CUMBERLAND	038	AXL	S	15,000	23.55	n/a	n/a	600.00	4.0
ROTHSCHILD ASSET	040	BDC	S	21,090	55.26	n/a	n/a	949.05	4.5
SINCLAIR	031	BEHWF	S	10	6.00	n/a	n/a	0.00	0.0
PROVIDENT INV COUNSEL	048	BEN	S	74,275	131.71	25-Sep	25-Oct	3,713.75	5.0
CHILTON CAPITAL MGMT.	036	BER	B	100,000	30.06	n/a	n/a	4,000.00	4.0
EGS ASSOCIATES LP	091	BIG	SS	6,500	23.69	26-Oct	26-Oct	390.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	BKRS	C	1,150	3.04	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BLK	S	8,000	198.91	17-Oct	25-Oct	non-brg	4.0
CHILTON CAPITAL MGMT.	036	BMC	C	47,000	31.98	n/a	n/a	1,880.00	4.0
⚡ BUCK CAPITAL MGMT		CHCG	S	20,000	4.23	n/a	n/a	non-brg	3.0
ASCEND PARTNERS	033	CHS	SS	100,000	13.11	12-Oct	12-Oct	5,000.00	5.0
BUCK	015	CMA	SS	300	46.51	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	COH	B	40,000	35.70	24-Oct	24-Oct	2,000.00	5.0
BUCK CAPITAL MGMT	001	COH	B	20,000	36.09	24-Oct	24-Oct	800.00	4.0
COUGAR TRADING	044	COH	B	35,000	35.69	24-Oct	24-Oct	1,750.00	5.0
ASCEND PARTNERS	033	COLM	C	8,000	50.75	n/a	n/a	400.00	5.0
UBS OCONNOR	031	C	B	125,000	41.82	n/a	16-Oct	3,750.00	3.0
CATTANI	041	C	S	1,000	42.36	n/a	16-Oct	0.00	0.0
AMBER CAPITAL	046	DFS	SS	350,000	18.17	n/a	n/a	14,000.00	4.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	31.86	26-Oct [i]	26-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	120,000	22.89	26-Oct	26-Oct	4,800.00	4.0
⚡ BUCK CAPITAL MGMT		DSW	B	50,000	22.87	26-Oct	26-Oct	non-brg	2.0
CAPITAL GROWTH MGMT.	241	DSX	B	20,000	41.16	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEEPHAVEN	031	DTV	B	30,000	25.62	21-Sep	26-Oct	1,500.00	5.0
WASHINGTON ASSET	048	EDS	S	10,000	21.25	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		EGLT	SS	5,000	12.97	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAPITAL	038	EQIX	SS	33,546	98.74	n/a	n/a	1,677.30	5.0
HIGHBRIDGE CAPITAL	038	EQIX	S	32,154	98.79	n/a	n/a	1,607.70	5.0
GRANITE CAPITAL	045	FHN	B	10,400	25.35	n/a	n/a	520.00	5.0
BUCK	015	FITB	C	1,200	29.45	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	FNM	S	100,000	57.91	n/a	n/a	5,000.00	5.0
CHILTON CAPITAL MGMT.	036	FRT	B	16,000	87.69	n/a	n/a	640.00	4.0
RAMIUS CAP	040	FSS	B	42,500	13.28	n/a	n/a	2,125.00	5.0
B BUCK CAPITAL MGMT		FUQI	B	20,000	8.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FUQI	B	40,000	9.29	n/a	n/a	non-brg	4.0
SEAROCK CAPITAL MANAGE	012	GE	SS	184,400	40.30	n/a	n/a	7,376.00	4.0
DELTEC ASSET MGMT.	040	GLW	B	5,000	23.00	n/a	24-Oct	250.00	5.0
PLATTE RIVER CAPITAL	240	GM	B	12,000	36.93	n/a	26-Oct	480.00	4.0
CAPITAL GROWTH MGMT.	241	GNK	B	15,000	72.45	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GPS	SS	30,000	18.44	n/a	12-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		GS	S	15,000	230.45	21-Sep	16-Oct	non-brg	4.0
STRONG/MARK GRONET	030	GTI	S	85,000	19.40	n/a	n/a	3,400.00	4.0
ß BUCK CAPITAL MGMT		GYMB	B	20,000	34.53	10-Aug	18-Oct	non-brg	4.0
PRINCIPLE CAPITAL	040	HNI	SS	44,000	42.62	n/a	n/a	1,760.00	4.0
BUCK	015	IBN	S	1,000	62.13	n/a	n/a	0.00	0.0
JPMSI/TOM LEDDY	035	ICON	B	10,000	19.23	n/a	n/a	500.00	5.0
TRIVIUM CAP MGMT	251	IHP	SS	25,000	62.58	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		IKAN	S	10,000	6.35	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IKAN	S	109,900	6.47	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IKAN	S	50,000	6.21	n/a	n/a	non-brg	2.5
BARR	096	IOM	B	18,600	4.58	n/a	n/a	0.00	0.0
LEDDY	035	ITCD	S	2,000	7.00	n/a	n/a	0.00	0.0
T. ROWE PRICE	243	JAVA	S	2,097,700	5.83	n/a	n/a	52,442.50	2.5
ß BUCK CAPITAL MGMT		JCG	S	70,000	35.82	24-Oct	24-Oct	non-brg	4.0
COUGAR TRADING	044	JCG	B	25,000	36.46	24-Oct	24-Oct	1,250.00	5.0
TRELLUS PARTNERS LP	028	JCI	SS	24,500	42.50	2-Oct	23-Oct	1,225.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JOSB	S	10,000	30.27	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	KSS	SS	25,000	55.95	27-Sep	12-Oct	1,250.00	5.0
BUCK	015	LESAO	S	20	0.55	n/a	n/a	0.00	0.0
NORTHPOINT	030	LKQX	S	4,581	39.66	n/a	n/a	183.24	4.0
BUCK	015	MERXL	S	15	2.55	n/a	n/a	0.00	0.0
LUCHANSKY	036	MMM	B	100	86.09	27-Sep	22-Oct	0.00	0.0
BUCK	015	MON	S	600	95.52	n/a	11-Oct	0.00	0.0
LATEFF MGMT	040	MSFT	S	3,000	35.52	n/a	3-Apr	480.00	16.0
CSFB GLOBAL PROPRIETARY	035	MWV	S	10,000	32.86	31-Jul	26-Oct	500.00	5.0
B BUCK CAPITAL MGMT		M	S	100,000	32.47	24-Sep	12-Oct	non-brg	4.0
COUGAR TRADING	044	M	S	5,000	33.00	24-Sep	12-Oct	250.00	5.0
GRANITE CAPITAL	045	NCC	B	17,500	24.25	n/a	n/a	875.00	5.0
BUCK	015	NCC	S	1,200	23.52	n/a	n/a	0.00	0.0
LUCHANSKY2	036	NDN	S	300	10.13	13-Aug	12-Oct	0.00	0.0
LEDY	035	NEXC	S	1,000	6.39	n/a	n/a	0.00	0.0
MKT MAKER	099	NTRI	B	25	29.93	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARIENCE CAPITAL	036	NTY	C	13,000	36.05	n/a	n/a	650.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	108,900	6.62	25-May	18-Oct	4,356.00	4.0
BUCK CAPITAL MGMT		NWY	B	3,850	6.65	25-May	18-Oct	non-brg	1.0
KAICHER	064	ONNN	S	100	12.22	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	PRA	B	11,600	53.45	n/a	n/a	580.00	5.0
MERRILL ASSET	032	PTV	B	24,200	26.76	n/a	n/a	1,089.00	4.5
COUGAR TRADING	044	PVH	S	10,000	46.66	13-Aug	29-Aug	500.00	5.0
UBS OCONNOR	031	PZN	SS	44,200	19.48	n/a	n/a	1,326.00	3.0
DIAMONDBACK CAP MGMT	232	RDN	B	25,000	10.82	n/a	n/a	1,250.00	5.0
J L F ASSET MGMT	039	RSH	SS	14,356	19.15	n/a	n/a	574.24	4.0
BUCK CAPITAL MGMT		SKS	B	10,000	18.91	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	SKX	S	40,000	24.22	n/a	13-Mar	2,000.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	62.09	n/a	27-Jul	800.00	4.0
BUCK CAPITAL MGMT		TRID	C	25,000	7.54	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TRLG	B	20,000	15.74	n/a	n/a	non-brg	4.0
LEHMAN PROPRIETARY TRAD	041	TRV	S	67,673	50.82	n/a	n/a	2,706.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		TWB	B	30,000	29.45	2-Oct	2-Oct	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	217	TWC	S	50,000	29.66	26-Oct	26-Oct	2,500.00	5.0
MILLENIU PARTNERS	028	T	S	10,000	41.37	21-Sep	26-Oct	500.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	23.10	23-Oct	23-Oct	250.00	5.0
MILLENIU PARTNERS	028	VZ	B	25,000	45.65	21-Sep	26-Oct	1,250.00	5.0
MATRIX ASSET ADV.	036	WYE	S	12,500	49.15	n/a	31-Mar	500.00	4.0
T. ROWE PRICE	243	XMSR	S	215,700	15.13	n/a	n/a	8,628.00	4.0
BUCK	015	ZMH	B	600	69.02	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	10,000	12.69	n/a	7-Sep	400.00	4.0
TOTAL (Trade Date) :								181,521.45	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/18	BUCK CAPITAL MGMT	001	ARO	B	10,000	20.43	n/a	12-Oct	400.00 4.0
AO,CXL	10/18	BUCK CAPITAL MGMT	001	ARO	B	10,000	20.43	n/a	12-Oct	400.00 4.0
AO,	10/25	MERRILL LYNCH STRATEGICI	034	DPTR	SS	40,000	18.85	n/a	n/a	1600.00 4.0
AO,CXL	10/25	BALYASNY ASSET MGMT	044	VC	S	10,000	5.83	n/a	25-Oct	500.00 5.0
AO,CRT	10/25	BALYASNY ASSET MGMT	044	VC	S	10,000	5.83	n/a	25-Oct	400.00 4.0

TOTAL (AO, CXL, CRT) :	1,500.00
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TOTAL (Trade Date) :	181,521.45
TOTAL (AO, CXL, CRT) :	1,500.00

TOTAL (RUN DATE) / NFS :	183,021.45
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MRI Securities with Trade Activity on 26-Oct. BIG, DKS, DSW, TWC

MRI Securities without Trade Activity on 26-Oct. ACL, BWA, CMCSA, MCCC

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

T-Date = 48%

YTD = 18%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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