



Daily Compliance Activity Report

Trade Date: 01/16/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	AAPL	B	40,000	95.87	n/a	n/a	1,600.00	4.0
B BUCK CAPITAL MGMT		AEOS	B	10,000	34.24	4-Jan	12-Jan	non-brg	5.0
B BUCK CAPITAL MGMT		AMWD	C	10,000	42.82	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	78.89	3-Nov	5-Jan	400.00	4.0
BACKUS	005	APC	S	2,000	41.37	1-Sep	9-Jan	0.00	0.0
THE JAY GOLDMAN	034	ARO	B	25,000	35.91	23-Oct	5-Jan	1,000.00	4.0
B BUCK CAPITAL MGMT		ARRS	S	395,400	13.02	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	035	ASD	B	10,000	46.78	2-Oct	12-Jan	500.00	5.0
BINDER	007	AUO	S	250	13.54	n/a	n/a	0.00	0.0
BACKUS	005	BBY	S	1,000	49.28	13-Dec	10-Jan	0.00	0.0
MAZAMA CAPITAL MGMT.	035	BKD	B	18,175	49.05	n/a	n/a	727.00	4.0
XYLEM GLOBAL	024	BMS	SS	22,000	36.01	n/a	n/a	1,100.00	5.0
CENTURION PARTNERS	249	BONT	B	7,900	37.27	23-Oct	5-Jan	395.00	5.0
MKT MAKER	099	BONT	B	3	37.27	23-Oct	5-Jan	0.00	0.0
PLATTE RIVER CAPITAL	035	BSX	B	12,000	18.30	n/a	22-Apr	480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BWS	B	5,000	51.11	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		CACH	B	12,500	24.00	n/a	n/a	non-brg	5.0
SAC TRADING HOWARD	038	CACH	S	10,000	24.06	n/a	n/a	500.00	5.0
BACKUS	005	CALPINE CORP	S	146,000	92.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	B	80,000	20.55	11-Dec	5-Jan	3,200.00	4.0
ß BUCK CAPITAL MGMT		CBK	B	20,000	20.46	11-Dec	5-Jan	non-brg	2.0
VARDON PARTNERS	035	CCU	B	98,735	36.24	n/a	n/a	4,936.75	5.0
GEORGE WEISS	034	CHS	SS	11,500	21.87	5-Jan	5-Jan	460.00	4.0
ß BUCK CAPITAL MGMT		COLM	SS	15,000	58.45	n/a	n/a	non-brg	5.0
FORCE CAPITAL MGMT	030	COP	S	30,000	64.10	n/a	n/a	900.00	3.0
MATRIX ASSET ADV.	036	COP	B	2,600	63.14	n/a	n/a	104.00	4.0
NEUBERGER BERMAN	238	CRL	S	10,000	44.50	n/a	n/a	500.00	5.0
MERRILL ASSET	032	DEI	S	103,700	26.55	n/a	n/a	5,185.00	5.0
Õ Glenn Redemann		DELL	B	100	0.05	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DELL	B	50	0.10	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DIA	C	79,100	125.44	n/a	n/a	non-brg	2.0
BUCK	015	DIGE	SS	400	49.88	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DKS	SS	20,000	52.06	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		EDA	B	125,000	11.46	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		EDA	B	25,000	11.22	n/a	n/a	non-brg	4.0
MHR CAPITAL MGMT	067	EDA	S	80,000	11.63	n/a	n/a	3,200.00	4.0
MAZAMA CAPITAL MGMT.	035	EDU	S	25,000	36.72	n/a	n/a	1,000.00	4.0
BINDER	007	EFT	S	200	18.99	n/a	n/a	0.00	0.0
WEISS PECK	040	FDC	S	20,000	25.87	n/a	n/a	800.00	4.0
BACKUS	005	FD	S	1,000	38.92	9-Nov	5-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		FRX	S	23,200	53.11	29-Nov	16-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		FRX	S	66,800	53.52	29-Nov	16-Jan	non-brg	5.0
BUCK CAPITAL MGMT	001	GCO	S	15,000	40.02	n/a	10-Jan	600.00	4.0
MAZAMA CAPITAL MGMT.	035	GHL	S	17,400	76.24	n/a	n/a	696.00	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	176,900	52.33	n/a	n/a	non-brg	5.0
CSFB GLOBAL PROPRIETARY	035	GLW	S	30,000	20.10	n/a	20-Dec	1,500.00	5.0
BUCK CAPITAL MGMT	001	GPS	SS	100,000	20.05	n/a	5-Jan	4,000.00	4.0
MAGUIRE	039	HD	C	200	40.13	n/a	16-Jan	0.00	0.0
CAPITAL GROWTH MGMT.	241	IBM	S	100,000	100.29	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	ICE	B	500	132.08	n/a	n/a	0.00	0.0
BACKUS	005	ICON	S	1,000	21.16	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		INNO	B	300,000	1.19	n/a	n/a	non-brg	2.0
Ⓐ BUCK CAPITAL MGMT		INTC	B	75,000	22.04	n/a	n/a	non-brg	2.0
BINDER	007	INTC	S	200	21.91	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	17,200	2.53	n/a	n/a	516.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	37.57	n/a	20-Dec	400.00	4.0
HAYGROUND COE	039	JCP	B	62,200	79.50	10-Nov	5-Jan	3,072.50	3.3
BALYASNY ASSET MGMT	044	JNS	B	40,000	21.79	1-Dec	12-Jan	2,000.00	5.0
J L F ASSET MGMT	039	JOSB	S	15,800	32.52	n/a	n/a	632.00	4.0
BUCK CAPITAL MGMT	001	KCP	B	10,000	23.76	n/a	3-Nov	400.00	4.0
XYLEM GLOBAL	024	KMB	SS	19,000	68.76	n/a	n/a	950.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	20,000	45.36	n/a	27-Oct	0.00	0.0
SHAREVEST CAPITAL MGMT.	038	LOW	S	16,300	33.04	n/a	16-Jan	815.00	5.0
REINHART & MAHONEY	031	LRCX	S	19,530	53.06	n/a	n/a	976.50	5.0
DISIPLINED GROWTH INV.	030	LTD	B	9,000	28.15	5-Jan	5-Jan	450.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORCE CAPITAL MGMT	030	LTD	S	10,000	28.23	5-Jan	5-Jan	300.00	3.0
SAILFISH	037	MA	SS	5,000	107.27	n/a	n/a	250.00	5.0
S.A.C. CAPITAL MGMT.	044	MCD	S	25,000	44.58	12-Oct	12-Jan	1,250.00	5.0
FORCE CAPITAL MGMT	030	MGM	S	10,000	70.91	n/a	3-Nov	300.00	3.0
MORRISON & FRASIER	040	MIR	B	66,900	33.21	n/a	n/a	3,345.00	5.0
WEINTRAUB CAPITAL MGT.	040	MIR	B	25,000	33.60	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	035	MWV	B	100,000	29.40	8-Jan	16-Jan	5,000.00	5.0
SCOPUS FUND	039	MWV	B	50,000	29.52	8-Jan	16-Jan	2,500.00	5.0
WD PARTNERS ILP	067	MWV	S	10,000	29.54	8-Jan	16-Jan	500.00	5.0
XYLEM GLOBAL	024	MWV	B	18,000	29.36	8-Jan	16-Jan	900.00	5.0
BUCK	015	MWV	S	1,000	29.39	8-Jan	16-Jan	0.00	0.0
JACOB	068	MWV	S	350	29.39	8-Jan	16-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		NEXC	B	281,800	8.93	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		NEXC	B	75,900	8.91	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	NLS	B	50,000	15.56	n/a	n/a	2,000.00	4.0
BACKUS	005	NWY	S	1,000	14.78	1-Dec	10-Jan	0.00	0.0
RIVER RUN MGMT	031	NYX	SS	20,000	105.80	n/a	n/a	1,000.00	5.0
AMBER CAPITAL	046	ODP	SS	145,000	38.42	n/a	10-Jan	5,800.00	4.0
SINCLAIR	031	OMN	S	1,500	5.21	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PDFS	C	13,500	11.38	n/a	n/a	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	PJC	B	5,100	71.34	n/a	n/a	204.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	100,000	58.60	n/a	5-Jan	non-brg	5.0
B BUCK CAPITAL MGMT		PLCE	S	158,100	58.37	n/a	5-Jan	non-brg	2.0
TRELLUS PARTNERS LP	028	PLCE	B	30,000	58.54	n/a	5-Jan	1,500.00	5.0
TRUST CO OF THE WEST/NY	040	PSUN	B	65,600	21.48	n/a	12-Jan	2,624.00	4.0
B BUCK CAPITAL MGMT		PTT	B	20,000	7.69	n/a	n/a	non-brg	4.0
THIRD POINT MGMT	044	Q	B	200,000	8.50	n/a	n/a	6,000.00	3.0
LOOMIS SALES/BOSTON	036	RGR	S	10,000	9.49	n/a	n/a	200.00	2.0
B BUCK CAPITAL MGMT		SHOO	B	30,000	32.22	n/a	n/a	non-brg	5.0
MFP INVESTORS	032	SKS	S	30,000	18.73	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	34.89	n/a	12-Jan	400.00	4.0
CAXTON PART	040	SNDK	SS	75,000	43.51	n/a	n/a	3,000.00	4.0
FORD FDN.	032	STA	S	50,000	51.26	n/a	n/a	2,500.00	5.0
SAILFISH	037	STX	B	15,000	26.98	n/a	n/a	750.00	5.0
ELM RIDGE ADVISORS	044	SYMC	B	84,000	18.10	n/a	3-Apr	3,360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	035	S	B	5,000	17.09	n/a	n/a	200.00	4.0
FIRST NEW YORK LEDDY	035	TRA	B	20,000	13.60	n/a	n/a	1,200.00	6.0
Ⓐ BUCK CAPITAL MGMT		TWTR	SS	30,000	1.59	n/a	n/a	non-brg	2.0
COLBURN	033	TWTR	S	500	1.57	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		URBN	B	20,000	25.39	7-Dec	5-Jan	non-brg	5.0
MAGUIRE	039	WHT	B	200	1.35	n/a	n/a	0.00	0.0
SAILFISH	037	WMT	B	10,000	47.98	5-Oct	5-Jan	500.00	5.0
SSI INVESTORS	048	WPI	SS	25,000	25.77	11-Jan	11-Jan	1,000.00	4.0
BANK OF NEW YORK	040	WWW	B	11,720	28.00	n/a	12-Jan	527.40	4.5
CSFB GLOBAL PROPRIETARY	035	XLB	S	43,000	35.29	n/a	n/a	2,150.00	5.0
AMBER CAPITAL	046	ZLC	B	26,200	27.75	n/a	n/a	1,048.00	4.0
PEREGRINE	030	ZQK	S	150,000	14.82	8-Sep	11-Jan	7,500.00	5.0
BINDER	007	ZQK	C	400	14.93	8-Sep	11-Jan	0.00	0.0
TOTAL (Trade Date):								110,554.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/12	WHALE ROCK CAP	030	BONT	B	60,000	37.87	23-Oct	5-Jan	2400.00 4.0
AO,CXL	01/12	WHALE ROCK CAP	030	BONT	B	60,000	37.87	23-Oct	5-Jan	1.51 0.0
AO,CRT	01/12	GALLEON MGMT LP	033	BSX	B	100,000	18.37	n/a	22-Apr	5000.00 5.0
AO,CXL	01/12	IRON HORSE CAPITAL MGMT	038	LVLTT	S	80,000	6.74	18-Oct	12-Jan	2400.00 3.0
AO,CXL	01/12	CENTURION PARTNERS	249	OATS	B	30,000	14.78	n/a	n/a	1500.00 5.0
AO,CRT	01/12	CENTURION PARTNERS	249	OATS	B	30,000	14.78	n/a	n/a	1500.00 5.0
TOTAL (AO, CXL, CRT) :										4,998.49

TOTAL (Trade Date) :	110,554.15
TOTAL (AO, CXL, CRT) :	4,998.49

TOTAL (RUN DATE) / NFS :	115,552.64
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MRI Securities with Trade Activity on 16-Jan. NONE

MRI Securities without Trade Activity on 16-Jan. NDN

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

T-Date = 16%

YTD = 23%

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