



## Daily Compliance Activity Report

Trade Date: 09/17/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOMERSET ADV	044	AEM	B	7,700	47.86	n/a	n/a	385.00	5.0
WHITE PINE CAPITAL	030	AGO	B	850	24.18	n/a	n/a	42.50	5.0
<b>Ö Glenn Redemann</b>		<b>AMGN</b>	<b>B</b>	<b>3</b>	<b>0.89</b>	<b>n/a</b>	<b>26-Jan</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	AMR	B	100,000	23.64	n/a	n/a	3,000.00	3.0
JP MORGAN VENTURES	046	ANN	SS	20,000	32.26	6-Aug	7-Sep	1,000.00	5.0
HIGHBRIDGE CAPITAL	041	APC	B	3,000	50.74	22-Jun	17-Sep	150.00	5.0
COUGAR TRADING	044	ARO	B	5,000	19.02	n/a	7-Sep	250.00	5.0
XYLEM GLOBAL	091	AVY	SS	20,000	56.04	13-Aug	11-Sep	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	BHI	B	30,000	85.98	n/a	n/a	1,500.00	5.0
NATIONAL BK OF CAN	031	BSC	S	5,000	115.29	4-Sep	4-Sep	250.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CACH</b>	<b>S</b>	<b>5,000</b>	<b>16.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
IMPALA ASSET MMT	012	CNI	SS	83,100	55.82	n/a	n/a	2,493.00	3.0
SERENGETI MGMT	030	COF	B	25,000	64.73	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>5,000</b>	<b>46.85</b>	<b>n/a</b>	<b>10-Sep</b>	<b>200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	COH	B	5,000	46.55	n/a	10-Sep	250.00	5.0
THIRD COAST CAPITAL	035	CONN	B	30,000	25.18	n/a	n/a	1,500.00	5.0
ß BUCK CAPITAL MGMT		CTRN	B	10,000	21.81	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DIA	SS	100,000	133.96	n/a	n/a	non-brg	1.0
CROWLEY	061	DUK	S	1,000	18.56	n/a	n/a	0.00	0.0
KAICHER	064	ENER	B	2,000	23.80	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ESS	B	2	1.33	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ESS	B	2	1.80	n/a	n/a	0.00	0.0
IRON HORSE CAPITAL MGMT	038	EXH	B	5,000	77.27	n/a	4-Sep	250.00	5.0
MS PRINCIPAL STRATEGIES	041	FIF	B	12,600	28.00	n/a	n/a	630.00	5.0
LEVIN CAPITAL STRATEGIES	012	FIG	S	12,500	18.76	n/a	n/a	375.00	3.0
BUCK CAPITAL MGMT	001	GES	B	5,000	45.79	n/a	n/a	200.00	4.0
WEISS PECK	040	GE	B	10,000	40.23	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		GTRC	S	10,000	55.77	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	B	5,000	38.05	10-Aug	7-Sep	non-brg	1.0
SERENGETI MGMT	030	HAYZ	B	78,700	4.11	n/a	n/a	3,148.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	HBAN	S	10,000	17.21	n/a	n/a	500.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>HOV</b>	<b>S</b>	<b>3,000</b>	<b>11.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	HUN	S	20,000	26.04	n/a	n/a	800.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>ICON</b>	<b>S</b>	<b>400</b>	<b>22.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>IJR</b>	<b>SS</b>	<b>2,000</b>	<b>67.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
EIDELMAN, FINGER & CO	046	INTC	S	3,000	24.92	n/a	n/a	150.00	5.0
<b>Õ Glenn Redemann</b>		<b>IN</b>	<b>B</b>	<b>3</b>	<b>0.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>IN</b>	<b>B</b>	<b>3</b>	<b>0.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	041	IP	SS	43,000	34.82	4-May	20-Aug	2,150.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>ISLN</b>	<b>B</b>	<b>1,000</b>	<b>9.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>SS</b>	<b>1,800</b>	<b>77.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>SS</b>	<b>200,000</b>	<b>77.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>IWO</b>	<b>SS</b>	<b>1,700</b>	<b>82.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
DEEPHAVEN	031	JCP	SS	10,000	63.38	21-Jun	7-Sep	500.00	5.0
<b>Õ Glenn Redemann</b>		<b>JOSB</b>	<b>B</b>	<b>2</b>	<b>0.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>JOSB</b>	<b>B</b>	<b>2</b>	<b>0.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>JOSB</b>	<b>SS</b>	<b>2</b>	<b>1.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö	Glenn Redemann		JOSB	SS	2	1.33	n/a	n/a	0.00	0.0
	NATIONAL BK OF CAN	031	JPM	S	20,000	45.28	n/a	16-Aug	1,000.00	5.0
	DEEPHAVEN	031	JWN	SS	10,000	48.73	12-Jul	7-Sep	500.00	5.0
	ROBX	033	KFN	S	19,000	15.67	n/a	n/a	570.00	3.0
	XYLEM GLOBAL	091	KMB	B	10,000	68.77	n/a	n/a	500.00	5.0
	BARR	096	KOG	S	2,200	3.40	n/a	n/a	0.00	0.0
	CATAPULT	040	LEH	B	2,500	57.97	12-Jun	4-Sep	125.00	5.0
	CATAPULT	040	LEH	SS	15,000	58.58	12-Jun	4-Sep	750.00	5.0
	RIVER RUN MGMT	031	LVL	B	200,000	4.36	6-Sep	6-Sep	10,000.00	5.0
	BUCK	015	MCO	C	800	43.24	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		MDTL	SS	5,000	9.62	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		MDY	SS	900	156.48	n/a	n/a	non-brg	1.0
	BUCK	015	MDY	S	700	156.21	n/a	n/a	0.00	0.0
	ROBX	033	MGLN	B	20,000	38.07	n/a	n/a	800.00	4.0
Ö	Glenn Redemann		MHK	B	2	0.48	n/a	n/a	0.00	0.0
Ö	Glenn Redemann		MHK	B	2	0.88	n/a	n/a	0.00	0.0
Ö	Glenn Redemann		MHK	SS	2	1.28	n/a	n/a	0.00	0.0
Ö	Glenn Redemann		MHK	SS	2	1.78	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	MMC	S	11,825	24.94	n/a	n/a	591.25	5.0
CATAPULT	040	MS	SS	5,000	64.86	2-Jul	4-Sep	250.00	5.0
SANDLER O'NEILL ASSET	031	MS	B	15,600	64.71	2-Jul	4-Sep	780.00	5.0
FIRST INV MGMT CORP	036	MVSN	B	5,000	22.29	n/a	n/a	250.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>NG</b>	<b>S</b>	<b>500</b>	<b>15.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	NTY	B	10,000	40.34	n/a	n/a	500.00	5.0
MATRIX ASSET ADV.	036	NVLS	B	32,800	26.55	n/a	n/a	1,312.00	4.0
<b>BARR</b>	<b>096</b>	<b>NXG</b>	<b>S</b>	<b>2,000</b>	<b>3.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	PBCT	B	5,000	16.99	n/a	n/a	250.00	5.0
ROTHSCHILD ASSET	040	PCH	B	26,160	41.49	27-Jul	20-Aug	1,177.20	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>S</b>	<b>10,000</b>	<b>27.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>B</b>	<b>72,400</b>	<b>21.20</b>	<b>n/a</b>	<b>n/a</b>	<b>2,896.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PSS</b>	<b>B</b>	<b>7,600</b>	<b>21.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
JP MORGAN VENTURES	046	RIMM	B	10,000	85.71	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	RVI	B	1,925	10.45	n/a	n/a	96.25	5.0
<b>LED DY</b>	<b>035</b>	<b>RVI</b>	<b>S</b>	<b>300</b>	<b>10.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>RYN</b>	<b>S</b>	<b>1,000</b>	<b>43.00</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>S4RETL</b>	<b>C</b>	<b>30,000</b>	<b>402.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>40.3</b>
EPOCH INV MGMT	030	SAPE	B	10,850	6.25	n/a	n/a	434.00	4.0
WHITE PINE CAPITAL	030	SCSS	B	2,200	15.31	n/a	n/a	110.00	5.0
PRINCIPLE CAPITAL	040	SGP	B	30,000	30.19	n/a	n/a	900.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKS</b>	<b>B</b>	<b>10,000</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
BELMONT GLOBAL ADV	248	SMBL	B	20,000	12.91	n/a	n/a	1,000.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>SNCR</b>	<b>B</b>	<b>1,000</b>	<b>38.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SPY</b>	<b>SS</b>	<b>90,000</b>	<b>148.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
ROBX	033	STR	B	44,000	50.68	15-Aug	17-Sep	1,320.00	3.0
CATAPULT	040	TCB	B	12,500	24.27	n/a	n/a	625.00	5.0
<b>Õ Glenn Redemann</b>		<b>TIF</b>	<b>B</b>	<b>3</b>	<b>0.96</b>	<b>31-Aug</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>TIF</b>	<b>B</b>	<b>3</b>	<b>1.01</b>	<b>31-Aug</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>TIF</b>	<b>SS</b>	<b>3</b>	<b>2.21</b>	<b>31-Aug</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Glenn Redemann</b>		<b>TIF</b>	<b>SS</b>	<b>3</b>	<b>2.35</b>	<b>31-Aug</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>TPXMF</b>	<b>B</b>	<b>5</b>	<b>1.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	TPX	S	26,900	33.87	n/a	n/a	807.00	3.0
STRAUSS ASSET MGMT	040	ULTI	B	4,720	31.20	n/a	n/a	236.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	VLCM	SS	8,100	37.85	n/a	n/a	324.00	4.0
WEISS PECK	040	WFC	SS	14,000	35.65	n/a	n/a	7.00	0.1
LISTED ERR	099	WFC	B	800	35.47	n/a	n/a	0.00	0.0
LISTED ERR	099	WFC	S	800	35.47	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	WFT	B	130,000	65.42	n/a	n/a	6,500.00	5.0
DEEPHAVEN	031	WMT	B	10,000	43.27	4-Jun	27-Jul	500.00	5.0
8 BUCK CAPITAL MGMT		WRNC	B	5,000	32.86	18-Jul	29-Aug	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	YUM	SS	40,000	32.44	n/a	24-Apr	1,600.00	4.0
TRIVIUM CAP MGMT	251	ZQK	S	50,000	14.21	n/a	7-Sep	2,000.00	4.0
TOTAL (Trade Date):								61,834.20	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/14	MORRISON & FRASIER	040	CERS	S	10,800	7.40	n/a	n/a	432.00 4.0
AO,CXL	09/14	MORRISON & FRASIER	040	CERS	S	10,800	7.40	n/a	n/a	540.00 5.0
AO,CRT	09/14	IMPALA ASSET MMT	012	CNQ	SS	131,659	75.47	n/a	n/a	3949.77 3.0
AO,CXL	09/14	IMPALA ASSET MMT	012	CNQ	SS	131,659	75.47	n/a	n/a	3949.77 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-108.00</b>

TOTAL (Trade Date) :	61,834.20
TOTAL (AO, CXL, CRT) :	-108.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>61,726.20</b>
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MRI Securities with Trade Activity on 17-Sep. NONE
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MRI Securities without Trade Activity on 17-Sep. LNCR
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 16% YTD = 16%
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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