



Daily Compliance Activity Report

Trade Date: 10/09/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	ABG	B	600	20.84	18-Jun	8-Oct	0.00	0.0
KEEFE BRUYETTE WOODS A	031	AB	S	4,400	91.54	9-Aug	9-Oct	220.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	100,000	24.60	10-Jul	5-Oct	4,000.00	4.0
B BUCK CAPITAL MGMT		AEO	B	20,000	24.60	10-Jul	5-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	60,000	24.46	10-Jul	5-Oct	non-brg	4.0
COUGAR TRADING	044	AEO	B	20,000	24.57	10-Jul	5-Oct	1,000.00	5.0
THE JAY GOLDMAN	034	AEO	S	60,000	24.51	10-Jul	5-Oct	2,400.00	4.0
SSI INVESTORS	048	AGN	B	26,500	67.64	9-Oct	9-Oct	1,060.00	4.0
BASIX	033	AKS	B	17,000	47.94	n/a	n/a	680.00	4.0
BELMONT GLOBAL ADV	248	AMAT	B	10,000	20.91	n/a	n/a	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ANF	S	2,300	83.93	2-Oct	5-Oct	92.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	30,000	33.45	6-Aug	5-Oct	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	237	ANN	B	25,000	33.72	6-Aug	5-Oct	1,250.00	5.0
RHO CAPITAL MGMT	041	ARBA	B	5,000	11.79	n/a	n/a	200.00	4.0
J L F ASSET MGMT	039	ARO	S	12,200	19.17	n/a	5-Oct	488.00	4.0
BASIX	033	BGC	SS	16,000	70.87	n/a	n/a	640.00	4.0
PRINCIPLE CAPITAL	040	BGP	B	135,800	15.71	n/a	n/a	4,074.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
METROPOLITAN CAPITAL	044	BIG	SS	33,700	29.32	n/a	9-Oct	176.47	3.3
MORTAR ROCK	033	BIG	SS	5,000	29.81	n/a	9-Oct	250.00	5.0
ß BUCK CAPITAL MGMT		BJ	C	5,000	36.12	n/a	27-Jul	non-brg	1.0
ß BUCK CAPITAL MGMT		BONT	S	20,000	22.63	3-Aug	5-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		BRNC	S	25,000	14.61	n/a	n/a	non-brg	2.0
KERN	050	BSCJF	S	10	1.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	S	60,000	21.13	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	CHS	S	191,959	14.28	30-Aug	5-Oct	7,678.36	4.0
ß BUCK CAPITAL MGMT		CHS	S	20,000	14.11	30-Aug	5-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		CHS	S	20,000	14.16	30-Aug	5-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		CHS	S	35,000	14.13	30-Aug	5-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		CMRG	C	1,600	9.04	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	COH	B	10,000	44.87	n/a	10-Sep	400.00	4.0
COUGAR TRADING	044	COH	B	5,000	44.89	n/a	10-Sep	250.00	5.0
Õ Neil Stratton		COV	S	25	41.70	n/a	n/a	0.00	0.0
BENCHMARK	028	CPO	B	10,000	48.74	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	CRI	B	20,000	20.75	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		CRI	C	3,300	21.04	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOOVER INV. MGMT	033	CSTR	S	18,600	32.55	n/a	n/a	930.00	5.0
BASIX	033	CTV	SS	15,000	49.68	n/a	n/a	600.00	4.0
BUCK	015	DDR	S	500	57.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DIA	C	5,000	140.70	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	DKS	S	20,000	66.58	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	048	DLM	B	27,600	10.44	n/a	n/a	828.00	3.0
LISTED ERR	099	DLM	S	1,600	10.61	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DLTR	C	2,300	41.23	10-Aug	8-Oct	non-brg	1.0
ARIENCE CAPITAL	036	DST	S	22,000	86.42	n/a	n/a	1,100.00	5.0
LEDDY	035	DXD	B	1,200	44.84	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	ESRX	B	62,900	58.57	n/a	n/a	2,516.00	4.0
IRON HORSE CAPITAL MGMT	038	EXH	B	10,000	83.01	n/a	3-Oct	500.00	5.0
SAXON WOODS ADVISORS	038	EXPD	S	18,000	51.81	n/a	n/a	900.00	5.0
BASIX	033	FAF	B	8,000	37.19	n/a	n/a	320.00	4.0
J L F ASSET MGMT	039	FL	S	68,700	15.08	22-Aug	4-Sep	2,748.00	4.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	38.56	12-Sep	12-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	10,000	52.41	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		GYMB	B	20,000	37.08	10-Aug	7-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GYMB	B	30,000	36.89	10-Aug	7-Sep	non-brg	4.0
ROXBURY CAPITAL MGMT	035	GYMB	S	166,000	36.91	10-Aug	7-Sep	6,640.00	4.0
S.A.C. CAPITAL MGMT.	044	GYMB	B	15,000	36.85	10-Aug	7-Sep	750.00	5.0
⌘ BUCK CAPITAL MGMT		HAS	C	2,000	28.63	n/a	n/a	non-brg	1.0
MAGUIRE	090	HGG	B	1,000	13.20	n/a	n/a	0.00	0.0
BUCK	015	IBN	B	1,000	54.99	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		ICON	S	10,000	22.91	n/a	n/a	non-brg	1.0
CAPITAL GROWTH MGMT.	241	IHP	B	30,000	66.06	n/a	n/a	1,500.00	5.0
BUCK	015	INFY	B	1,000	54.25	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		INTC	S	120,000	25.65	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		INTC	S	162,700	25.78	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		INTC	S	200,000	25.62	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		INTC	S	200,000	25.66	n/a	n/a	non-brg	4.0
DEEPHAVEN	031	IVZ	B	15,000	29.58	8-Oct	8-Oct	600.00	4.0
⌘ BUCK CAPITAL MGMT		IWM	C	5,000	83.85	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	JCP	B	10,000	66.79	21-Jun	5-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	JCP	B	3,000	66.94	21-Jun	5-Oct	0.00	0.0
COUGAR TRADING	044	JNY	B	5,000	21.33	n/a	13-Sep	250.00	5.0
COUGAR TRADING	044	JNY	SS	5,000	21.13	n/a	13-Sep	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	JNY	B	75,000	21.28	n/a	13-Sep	3,750.00	5.0
B BUCK CAPITAL MGMT		JOSB	SS	20,000	32.88	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		JWN	S	100,000	48.69	12-Jul	5-Oct	non-brg	4.0
MTB INV ADV	034	JWN	B	23,920	48.92	12-Jul	5-Oct	1,196.00	5.0
UBS OCONNOR	031	JWN	SS	25,000	48.89	12-Jul	5-Oct	750.00	3.0
Õ Neil Stratton		KEG	B	200	15.50	23-Jul	5-Oct	0.00	0.0
BAYH	044	KEG	B	100,000	15.49	23-Jul	5-Oct	5,000.00	5.0
BALYASNY ASSET MGMT	044	KSS	B	20,000	60.13	27-Sep	5-Oct	1,000.00	5.0
COUGAR TRADING	044	KSS	B	40,000	60.09	27-Sep	5-Oct	2,000.00	5.0
SUFFOLK CAPITAL MGMT	040	KSS	B	228,700	60.24	27-Sep	5-Oct	9,148.00	4.0
B BUCK CAPITAL MGMT		LAMR	B	10,000	54.54	n/a	n/a	non-brg	4.0
TOCQUEVILLE ASSET MGMT	048	LEE	B	6,000	17.24	n/a	n/a	360.00	6.0
COUGAR TRADING	044	LIZ	B	5,000	33.87	n/a	14-Sep	250.00	5.0
COUGAR TRADING	044	LIZ	SS	5,000	34.89	n/a	14-Sep	250.00	5.0
THIRD POINT MGMT	044	LIZ	SS	75,000	34.03	n/a	14-Sep	3,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	LIZ	B	50,000	34.50	n/a	14-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	LTD	SS	10,000	21.53	16-May	5-Oct	400.00	4.0
JP MORGAN VENTURES	046	LTD	SS	10,000	21.88	16-May	5-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTM	S	10,000	62.64	n/a	n/a	400.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	50,000	42.13	n/a	n/a	2,500.00	5.0
CATTANI	041	MER	B	300	73.93	5-Oct	5-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	48.62	n/a	n/a	400.00	4.0
LEDDY	035	MZZ	B	700	48.48	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	M	B	10,000	33.72	24-Sep	5-Oct	500.00	5.0
MAGUIRE	090	M	B	6,500	34.01	24-Sep	5-Oct	0.00	0.0
OGORMAN	146	NDN	B	400	12.10	13-Aug	8-Oct	0.00	0.0
REICH AND TANG	067	NFX	S	20,000	50.61	n/a	n/a	1,000.00	5.0
RHO CAPITAL MGMT	041	NIHD	B	1,200	71.70	n/a	n/a	48.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	40,000	6.48	25-May	24-Aug	1,600.00	4.0
BUCK CAPITAL MGMT	001	OXM	B	45,000	28.66	n/a	n/a	1,800.00	4.0
BUCK CAPITAL MGMT		PAG	B	40,000	20.73	n/a	8-Oct	non-brg	4.0
IVORY CAPITAL	034	PBCT	S	300,000	17.69	n/a	n/a	15,000.00	5.0
BUCK CAPITAL MGMT		PERY	S	10,000	25.71	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		PLCE	B	100,000	22.88	26-Sep	5-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		PLCE	B	271,900	21.85	26-Sep	5-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	34,000	22.01	26-Sep	5-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	94,100	21.16	26-Sep	5-Oct	non-brg	2.0
⌘ BUCK CAPITAL MGMT		PLCE	C	50,000	20.55	26-Sep	5-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PLCE	C	80,000	20.92	26-Sep	5-Oct	non-brg	4.0
COUGAR TRADING	044	PLCE	S	5,000	19.62	26-Sep	5-Oct	250.00	5.0
WHEELER	008	PMD	B	4,000	16.75	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PSS	S	30,000	21.26	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	PSUN	S	5,000	16.56	n/a	5-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	51.88	13-Aug	29-Aug	400.00	4.0
COUGAR TRADING	044	PVH	B	10,000	52.19	13-Aug	29-Aug	500.00	5.0
COUGAR TRADING	044	PVH	SS	10,000	52.47	13-Aug	29-Aug	500.00	5.0
LEDDY	035	PVH	B	200	51.82	13-Aug	29-Aug	0.00	0.0
SUN AMERICA ASSET MGMT	030	QCOM	S	62,500	42.22	n/a	n/a	3,125.00	5.0
WHITE PINE CAPITAL	030	RCKY	S	3,600	10.11	n/a	n/a	180.00	5.0
WEISS PECK	040	RDEN	SS	8,200	27.00	n/a	17-Aug	410.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	74.60	9-Aug	29-Aug	1,200.00	4.0
BUCK CAPITAL MGMT	001	RL	S	30,000	74.57	9-Aug	29-Aug	1,200.00	4.0
COUGAR TRADING	044	RL	SS	5,000	76.30	9-Aug	29-Aug	250.00	5.0
CR INTRINIC INVESTMENT	044	SCRX	SS	45,000	27.39	27-Apr	9-Oct	2,250.00	5.0
⌘ BUCK CAPITAL MGMT		SPY	C	5,000	155.60	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALLEON MGMT LP	033	SSCC	C	65,000	12.06	4-May	21-Sep	3,250.00	5.0
BUCK CAPITAL MGMT	001	SSI	S	100,000	17.80	3-Aug	5-Oct	4,000.00	4.0
BUCK CAPITAL MGMT		SSI	S	20,000	17.77	3-Aug	5-Oct	non-brg	4.0
NORTHPOINT	030	TAXI	S	370	11.00	n/a	n/a	14.80	4.0
SCOPUS FUND	041	TIN	S	5,000	56.75	21-Sep	21-Sep	250.00	5.0
BUCK CAPITAL MGMT		TLB	C	20,000	17.99	n/a	23-Aug	non-brg	4.0
MORGAN LEWIS/MLH	046	TSO	B	10,000	51.56	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		TWB	S	10,000	31.57	2-Oct	2-Oct	non-brg	1.0
BUCK CAPITAL MGMT		TWB	S	40,000	31.66	2-Oct	2-Oct	non-brg	4.0
COUGAR TRADING	044	TWB	SS	5,000	32.79	2-Oct	2-Oct	250.00	5.0
CATAPULT	040	UCBH	SS	5,000	19.50	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	URBN	B	10,000	24.05	31-Jul	10-Aug	500.00	5.0
COUGAR TRADING	044	URBN	B	15,000	23.96	31-Jul	10-Aug	750.00	5.0
TRELLUS PARTNERS LP	028	VC	B	79,500	5.27	n/a	n/a	2,385.00	3.0
MERRILL ASSET	032	WBS	S	8,100	44.50	n/a	n/a	405.00	5.0
DALTON GREINER	012	WRNC	S	37,805	40.60	19-Sep	28-Sep	1,890.25	5.0
BUCK	015	YUM	S	300	38.11	n/a	24-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ADV	038	ZINC	B	30,000	22.44	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	14.79	n/a	7-Sep	2,000.00	4.0
TOTAL (Trade Date):								134,102.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/21	ROBX	033	ACIW	B	29,000	23.70	n/a	n/a	870.00 3.0
AO,CXL	10/08	COUGAR TRADING	044	ARO	S	20,000	19.75	n/a	5-Oct	1000.00 5.0
AO,CRT	10/08	OPTIMUM INV ADV	030	LNCR	B	8,000	35.80	17-Sep	5-Oct	320.00 4.0
AO,CXL	10/08	OPTIMUM INV ADV	030	LNCR	B	8,000	35.80	17-Sep	5-Oct	40000.00 500.0
TOTAL (AO, CXL, CRT) :										-41,550.00

TOTAL (Trade Date) :	134,102.88
TOTAL (AO, CXL, CRT) :	-41,550.00

TOTAL (RUN DATE) / NFS:	92,552.88
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MRI Securities with Trade Activity on 9-Oct.

AGN

MRI Securities without Trade Activity on 9-Oct.

AOS, ASD, AXE, ETN, GR, GWW, HON, HRS, HSC, MLI, TYC

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

T-Date = 30%

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