



Daily Compliance Activity Report

Trade Date: 01/08/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ACMR	S	29,700	20.01	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		AEOS	S	20,000	32.68	4-Jan	5-Jan	non-brg	5.0
BULL PATH CAPITAL	044	AMTD	B	50,000	16.16	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	73.84	3-Nov	5-Jan	800.00	4.0
FARBER/WEISS PECK	012	ANF	B	19,000	73.83	3-Nov	5-Jan	950.00	5.0
BELMONT GLOBAL ADV	248	ANN	S	18,000	33.77	5-Jan	5-Jan	900.00	5.0
MERRILL LYNCH STRATEGICI	034	ANN	B	25,000	33.56	5-Jan	5-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		ANST	SS	5,000	27.56	n/a	n/a	non-brg	5.0
BROMPTON CROSS	036	APH	B	25,000	62.85	n/a	n/a	1,250.00	5.0
MAZAMA CAPITAL MGMT.	035	ARD	B	12,400	40.00	n/a	n/a	496.00	4.0
MERRILL LYNCH STRATEGICI	034	ARG	B	25,000	40.26	27-Nov	27-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	34.32	23-Oct	5-Jan	400.00	4.0
J L F ASSET MGMT	039	ARO	S	33,400	33.79	23-Oct	5-Jan	1,336.00	4.0
WYCKOFF	013	AVP	S	300	33.35	n/a	5-Dec	0.00	0.0
DSG CAPITAL	225	AVZ	B	3,000	22.84	29-Dec	4-Jan	150.00	5.0
U.S.TRUST COMPANY	012	AVZ	B	54,250	23.00	29-Dec	4-Jan	2,441.25	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	039	BBW	B	10,000	28.12	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		BHI	B	30,000	68.94	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BONT	B	15,000	35.08	23-Oct	5-Jan	non-brg	5.0
NICHOLAS ADVISORS	034	BP	S	15,000	65.07	n/a	n/a	750.00	5.0
CHILTON CAPITAL MGMT.	036	BTH	B	69,523	21.83	n/a	n/a	2,780.92	4.0
⌘ BUCK CAPITAL MGMT		CACH	S	50,000	22.27	n/a	n/a	non-brg	5.0
BUCK	015	CAH	B	500	64.19	n/a	n/a	0.00	0.0
WYCKOFF	013	CAKE	S	200	24.50	n/a	12-Dec	0.00	0.0
⌘ BUCK CAPITAL MGMT		CBK	B	10,000	19.08	11-Dec	5-Jan	non-brg	5.0
RAINIER INV MGMT	035	CBL	S	61,075	42.44	n/a	n/a	3,053.75	5.0
SIGMA CAP BOBBY	044	CC	S	70,000	19.63	20-Dec	5-Jan	3,500.00	5.0
MERRILL LYNCH STRATEGICI	034	CF	S	75,000	26.36	n/a	n/a	3,750.00	5.0
RAINIER INV MGMT	035	CLB	B	40,500	76.89	6-Dec	6-Dec	2,025.00	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	250,000	12.99	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	65,000	13.46	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CMRG	B	85,000	13.08	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	S	20,000	44.01	7-Dec	7-Dec	800.00	4.0
⌘ BUCK CAPITAL MGMT		COLM	SS	10,000	55.85	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	25.28	n/a	n/a	800.00	4.0
MATRIX ASSET ADV.	036	CSCO	S	4,000	28.67	n/a	22-Mar	160.00	4.0
⌘ BUCK CAPITAL MGMT		CWTR	B	20,000	23.51	n/a	n/a	non-brg	5.0
SAILFISH	037	C	B	15,000	55.10	n/a	15-Dec	750.00	5.0
⌘ BUCK CAPITAL MGMT		DKS	S	70,000	49.61	n/a	n/a	non-brg	5.0
BACKUS	005	DSW	S	1,000	37.66	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	ECA	B	20,000	45.74	n/a	n/a	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		EDA	B	25,000	9.48	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		EDA	B	75,000	9.67	n/a	n/a	non-brg	4.0
EFSTATHIOU	044	EDA	B	500	9.50	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	EFA	B	14,000	72.41	n/a	n/a	700.00	5.0
⌘ BUCK CAPITAL MGMT		EGLT	SS	10,000	14.16	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		ENDP	B	10,000	28.26	18-Oct	9-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		ETH	C	55,000	35.12	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	ETN	S	100,260	74.22	16-Oct	28-Dec	4,010.40	4.0
BACKUS	005	EVST	S	2,000	16.06	n/a	n/a	0.00	0.0
BUCK	015	EVVV	B	1,000	17.35	n/a	n/a	0.00	0.0
BUCK	015	EWJ	B	1,000	14.08	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FDO	C	30,000	29.07	3-Nov	5-Jan	non-brg	5.0
STADIA CAPITAL	035	FD	S	15,500	36.86	9-Nov	5-Jan	620.00	4.0
BARR	096	FLT	S	2,200	1.16	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	FMC	SS	14,000	73.48	n/a	n/a	700.00	5.0
WYPER CAPITAL	044	F	B	30,000	7.71	n/a	n/a	900.00	3.0
MENCKE	055	GDI	S	50	35.75	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	GES	B	10,000	67.27	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		GIII	S	2,104	20.01	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		GM	C	30,000	30.48	n/a	n/a	non-brg	5.0
SAILFISH	037	GM	B	15,000	30.63	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	GPS	SS	20,000	20.77	n/a	5-Jan	800.00	4.0
T. ROWE PRICE	033	GPS	S	150,000	20.26	n/a	5-Jan	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KERN	050	GPS	B	200	20.76	n/a	5-Jan	0.00	0.0
BUCK	015	GQRAL	B	5	0.10	n/a	n/a	0.00	0.0
BUCK	015	GRMN	S	500	53.96	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GYMB	C	30,000	43.17	4-Jan	5-Jan	non-brg	5.0
JETSTREAM GLOBAL FUND LP	065	GYMB	B	7,300	42.82	4-Jan	5-Jan	365.00	5.0
DSG CAPITAL	225	HMA	B	10,000	20.49	n/a	22-Dec	500.00	5.0
⌘ BUCK CAPITAL MGMT		HOS	B	10,000	34.47	n/a	n/a	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	HS	S	17,100	19.98	n/a	n/a	684.00	4.0
MERRILL LYNCH STRATEGICI	034	HUBB	B	25,000	43.42	n/a	n/a	1,250.00	5.0
BACKUS	005	ICON	S	1,000	18.19	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	INTC	S	4,200	21.15	n/a	n/a	168.00	4.0
MISSOURI VALLEY PART	046	ISE	B	5,135	45.20	26-Oct	4-Jan	256.75	5.0
RIVER RUN MGMT	031	ITCD	B	34,800	2.56	n/a	n/a	1,044.00	3.0
⌘ BUCK CAPITAL MGMT		JCP	B	100,000	75.83	10-Nov	5-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		JCP	B	50,000	76.51	10-Nov	5-Jan	non-brg	5.0
ROYCE TRADING	216	KBW	S	2,000	28.47	n/a	n/a	100.00	5.0
ROYCE TRADING	216	KCP	S	8,400	24.15	n/a	3-Nov	420.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAZAMA CAPITAL MGMT.	035	KOG	B	127,500	3.92	n/a	n/a	3,825.00	3.0
NCM CAPITAL MGMT	035	KRON	B	23,600	35.92	n/a	n/a	1,180.00	5.0
EFSTATHIOU	044	LMC	S	100	33.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	26.86	5-Jan	5-Jan	1,200.00	4.0
BARR	096	MEM	B	1,700	4.27	n/a	n/a	0.00	0.0
LEDDY	035	MSI	B	2,000	2.08	n/a	n/a	0.00	0.0
ROYCE TRADING	216	MW	B	24,200	39.13	n/a	n/a	1,210.00	5.0
MERRILL LYNCH STRATEGICI	034	MYE	B	65,000	15.19	n/a	n/a	3,250.00	5.0
BACKUS	005	NDN	S	3,000	12.60	n/a	9-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	NLS	B	358,600	15.49	n/a	n/a	14,344.00	4.0
B BUCK CAPITAL MGMT		NLS	B	80,000	15.65	n/a	n/a	non-brg	2.0
TRIBECA	038	NTRS	B	10,000	59.53	n/a	12-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	ODP	SS	20,000	37.46	n/a	1-Dec	800.00	4.0
DSM CAPITAL PARTNERS	032	OIH	B	10,000	132.96	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	OII	B	20,000	38.21	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	OMX	SS	20,000	49.26	n/a	15-Apr	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EFSTATHIOU	044	OVTI	B	300	13.11	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	PBR	B	10,000	94.64	n/a	n/a	500.00	5.0
MERRILL LYNCH STRATEGICI	034	PBR	SS	10,000	95.81	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		PDFS	SS	13,500	13.87	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		PERY	SS	5,000	26.65	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		PERY	SS	5,000	26.80	n/a	n/a	non-brg	5.0
WYCKOFF	013	PSUN	S	200	19.86	n/a	5-Jan	0.00	0.0
MERRILL LYNCH STRATEGICI	034	RDC	B	30,000	31.25	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		RIG	B	15,000	76.08	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		ROST	C	20,000	31.32	n/a	n/a	non-brg	5.0
HARVEST MGMT	039	RTH	SS	10,000	99.08	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	RVI	S	40,100	18.65	n/a	n/a	2,005.00	5.0
BACKUS	005	RVI	S	2,000	18.72	n/a	n/a	0.00	0.0
ZOLIDIS	011	SHOE	C	3,000	7.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	S	35,000	33.72	n/a	8-Jan	non-brg	5.0
FRIESS MGMT	042	SKX	B	28,600	34.03	n/a	8-Jan	1,287.00	4.5
CAXTON PART	040	SNDK	B	100,000	44.58	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	SPY	S	74,390	140.84	n/a	n/a	2,231.70	3.0
⌘ BUCK CAPITAL MGMT		SSI	B	30,000	29.66	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	TBL	S	95,800	30.15	15-Nov	7-Dec	3,832.00	4.0
⌘ BUCK CAPITAL MGMT		TBL	S	50,000	30.03	15-Nov	7-Dec	non-brg	5.0
J L F ASSET MGMT	039	TLB	B	84,400	23.47	18-Oct	16-Nov	3,376.00	4.0
PRINCIPLE CAPITAL	040	TLB	S	32,500	23.21	18-Oct	16-Nov	975.00	3.0
BACKUS	005	TRI	S	1,000	40.56	17-Oct	4-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		TSCO	B	20,000	46.72	n/a	n/a	non-brg	5.0
J L F ASSET MGMT	039	TUES	B	14,962	16.20	n/a	n/a	598.48	4.0
SENTINAL CAPITAL	067	TYC	S	5,000	30.63	2-Oct	15-Nov	250.00	5.0
ROXBURY CAPITAL MGMT	035	UCO	B	25,000	57.80	11-Oct	29-Nov	1,000.00	4.0
ADAGE CAPITAL MGMT	030	URBN	B	100,000	23.36	7-Dec	5-Jan	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	100,000	23.40	7-Dec	5-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		URBN	B	220,000	23.52	7-Dec	5-Jan	non-brg	5.0
JETSTREAM GLOBAL FUND LP	065	URBN	S	58,600	23.40	7-Dec	5-Jan	2,930.00	5.0
KEEFE BRUYETTE WOODS A	031	WDR	SS	21,000	26.70	15-Dec	4-Jan	1,050.00	5.0
GALLEON MGMT LP	033	WMT	B	18,200	47.14	5-Oct	5-Jan	910.00	5.0
MERRILL LYNCH STRATEGICI	034	XOM	B	20,000	72.67	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	XRX	S	239,900	17.05	n/a	n/a	7,197.00	3.0
SCHEINER	037	ZQK	SS	3,000	15.40	8-Sep	15-Dec	0.00	0.0
TOTAL (Trade Date):							121,612.25		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/05	GRUBER MACBAINE	033	AEOS	SS	13,000	33.38	4-Jan	5-Jan	520.00 4.0
AO,CXL	01/05	GRUBER MACBAINE	033	AEOS	SS	13,000	33.38	4-Jan	5-Jan	6.50 0.1
AO,CXL	01/05	CENTURION PARTNERS	249	BONT	B	10,000	35.30	23-Oct	5-Jan	500.00 5.0
AO,CRT	01/05	AMBER CAPITAL	046	GBBK	B	75,000	26.18	n/a	n/a	3000.00 4.0
AO,CXL	01/05	AMBER CAPITAL	046	GBBK	B	75,000	26.18	n/a	n/a	3000.00 4.0
AO,	01/05	GOLDMAN SACHS ASSET MGMT	044	MOT	S	174,050	18.80	n/a	n/a	6962.00 4.0
AO,CRT	01/05	BALYASNY ASSET MGMT	039	MTB	B	5,000	120.64	n/a	n/a	250.00 5.0
AO,CXL	01/05	J L F ASSET MGMT	039	MTB	B	5,000	120.64	n/a	n/a	250.00 5.0

TOTAL (AO, CXL, CRT) :**6,975.50**

TOTAL (Trade Date) :**121,612.25****TOTAL (AO, CXL, CRT) :****6,975.50**

TOTAL (RUN DATE) / NFS:**128,587.75**

MRI Securities with Trade Activity on 8-Jan. NONE
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MRI Securities without Trade Activity on 8-Jan.

BBW , HET, MWV

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

T-Date = 23%

YTD = 31%

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