



# Daily Compliance Activity Report

Trade Date: 07/10/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	091	AEO	B	400,000	26.23	10-Jul	10-Jul	20,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>26.10</b>	<b>10-Jul</b>	<b>10-Jul</b>	<b>non-brg</b>	<b>5.0</b>
COUGAR TRADING	044	AEO	B	5,000	26.08	10-Jul	10-Jul	250.00	5.0
GRUBER MACBAINE	033	AEO	B	12,750	26.31	10-Jul	10-Jul	510.00	4.0
ROSEDALE CAPITAL	046	AEO	B	15,000	25.89	10-Jul	10-Jul	750.00	5.0
THE JAY GOLDMAN	034	AEO	S	55,000	26.20	10-Jul	10-Jul	2,200.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>AEO</b>	<b>B</b>	<b>2,000</b>	<b>26.21</b>	<b>10-Jul</b>	<b>10-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>40,000</b>	<b>69.63</b>	<b>n/a</b>	<b>6-Jul</b>	<b>1,600.00</b>	<b>4.0</b>
BEAR STEARNS ASSET MGMT.	033	ANN	C	48,500	35.51	25-May	6-Jul	1,940.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>SS</b>	<b>20,000</b>	<b>35.69</b>	<b>25-May</b>	<b>6-Jul</b>	<b>800.00</b>	<b>4.0</b>
THE JAY GOLDMAN	034	ARO	B	30,000	41.62	n/a	6-Jul	1,200.00	4.0
PENN CAPITAL MGMT	033	ASCA	B	6,020	35.83	n/a	2-May	240.80	4.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>ASD</b>	<b>B</b>	<b>200</b>	<b>59.43</b>	<b>31-May</b>	<b>25-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>JACOB</b>	<b>068</b>	<b>ASD</b>	<b>B</b>	<b>250</b>	<b>59.38</b>	<b>31-May</b>	<b>25-Jun</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	ASF	B	36,400	35.21	n/a	n/a	1,638.00	4.5
MERRILL ASSET	032	AW	S	104,700	13.73	n/a	n/a	4,711.50	4.5
BALYASNY ASSET MGMT	044	BEN	S	25,000	134.62	10-Jul	10-Jul	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>S</b>	<b>10,000</b>	<b>50.07</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		BONT	B	25,000	35.57	6-Jul	6-Jul	non-brg	5.0
PENN CAPITAL MGMT	033	BRL	B	2,810	51.02	9-May	10-Jul	112.40	4.0
Õ Henry Ngan		BSC	B	135	141.00	n/a	27-Jun	0.00	0.0
PENN CAPITAL MGMT	033	BYD	B	2,340	50.58	n/a	27-Apr	93.60	4.0
⌘ BUCK CAPITAL MGMT		CACH	B	20,000	15.00	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		CACH	B	30,000	14.89	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAPITAL	038	CCI	S	181,400	36.93	n/a	n/a	9,070.00	5.0
⌘ BUCK CAPITAL MGMT		CHIC	B	10,000	24.43	n/a	n/a	non-brg	5.0
LOOMIS SALES/BOSTON	036	CHS	S	34,000	24.08	31-May	6-Jul	1,360.00	4.0
CHILTON CAPITAL MGMT.	036	CMCSA	S	132,259	27.81	5-Apr	22-Jun	5,290.36	4.0
⌘ BUCK CAPITAL MGMT		CMRG	S	15,000	10.18	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CMRG	S	20,900	10.16	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CMRG	S	25,000	10.05	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		CMRG	S	39,100	10.11	n/a	n/a	non-brg	1.0
NICHOLAS ADVISORS	034	COV	B	16,000	43.20	n/a	n/a	800.00	5.0
⌘ BUCK CAPITAL MGMT		DBRN	S	20,000	20.41	n/a	n/a	non-brg	5.0
JACOB	068	ETN	B	100	95.34	28-Jun	9-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	FBN	B	34,500	13.85	n/a	n/a	1,552.50	4.5
Ⓐ BUCK CAPITAL MGMT		FL	B	20,000	21.08	24-May	21-Jun	non-brg	5.0
COUGAR TRADING	044	FL	S	5,000	21.36	24-May	21-Jun	250.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	5,000	34.81	21-Jun	21-Jun	200.00	4.0
NICHOLAS ADVISORS	034	GS	B	4,600	220.27	15-Jun	15-Jun	230.00	5.0
Ⓐ BUCK CAPITAL MGMT		GYMB	B	50,000	40.50	n/a	4-Jun	non-brg	5.0
CAXTON PART	040	HD	S	275,000	40.63	n/a	20-Jun	11,000.00	4.0
HIGHFIELDS CAP MGMT	039	HD	B	61,000	40.19	n/a	20-Jun	3,050.00	5.0
SEAROCK CAPITAL MANAGE	012	HD	B	24,800	40.76	n/a	20-Jun	992.00	4.0
LISTED ERR	099	HD	B	20	40.19	n/a	20-Jun	0.00	0.0
ROBX	302	ICON	B	38,000	21.88	n/a	n/a	1,140.00	3.0
CSFB GLOBAL PROPRIETARY	035	IP	B	25,000	39.18	4-May	14-Jun	1,250.00	5.0
SANDLER O'NEILL ASSET	031	JNS	B	30,000	29.75	7-Jun	25-Jun	1,500.00	5.0
Ⓐ BUCK CAPITAL MGMT		JOSB	S	100,000	42.88	n/a	n/a	non-brg	5.0
Ⓐ BUCK CAPITAL MGMT		KSS	C	20,000	67.77	14-Jun	10-Jul	non-brg	5.0
Ⓐ BUCK CAPITAL MGMT		LAVA	S	10,000	14.15	n/a	n/a	non-brg	5.0
Ⓐ BUCK CAPITAL MGMT		LBTYA	S	10,000	43.09	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>LBTYK</b>	<b>S</b>	<b>10,000</b>	<b>41.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
NICHOLAS ADVISORS	034	LEH	S	14,000	72.74	12-Jun	14-Jun	700.00	5.0
WAGONHOUND	048	LEH	B	9,110	72.53	12-Jun	14-Jun	364.40	4.0
PENN CAPITAL MGMT	033	LH	B	1,835	80.12	n/a	n/a	73.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>C</b>	<b>20,000</b>	<b>37.24</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>5.0</b>
REINHART & MAHONEY	031	LZ	B	1,100	65.22	n/a	n/a	55.00	5.0
PMAC	044	MCO	SS	3,000	60.37	n/a	n/a	150.00	5.0
<b>KERN</b>	<b>050</b>	<b>MERGO</b>	<b>B</b>	<b>20</b>	<b>1.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NICHOLAS ADVISORS	034	MER	S	12,000	84.14	20-Apr	14-Jun	600.00	5.0
PENN CAPITAL MGMT	033	MGLN	B	3,655	46.86	n/a	n/a	146.20	4.0
PENN CAPITAL MGMT	033	MIR	B	2,175	42.48	n/a	n/a	87.00	4.0
NICHOLAS ADVISORS	034	MS	B	14,000	71.88	2-Jul	2-Jul	353.59	2.5
IMPALA ASSET MMT	012	MT	B	150,000	65.35	n/a	n/a	4,500.00	3.0
PRINCIPLE CAPITAL	040	MW	B	60,000	51.92	n/a	n/a	2,400.00	4.0
PILOT ADV	038	M	S	40,000	40.47	6-Jul	6-Jul	1,600.00	4.0
TRIBECA	038	NAL	B	25,000	14.59	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		NEXC	B	10,000	10.82	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	NLS	S	70,000	12.01	n/a	n/a	2,800.00	4.0
PENN CAPITAL MGMT	033	OI	B	3,370	36.25	n/a	n/a	134.80	4.0
BUCK CAPITAL MGMT	001	OXM	S	20,000	44.03	n/a	n/a	800.00	4.0
GRONET	PCH	PCH	B	40	42.85	26-Jun	26-Jun	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		PERY	B	10,000	32.92	n/a	n/a	non-brg	1.0
HOOVER INV. MGMT	033	PLCE	S	57,200	44.88	12-Apr	9-Jul	2,860.00	5.0
REINHART & MAHONEY	031	PMD	B	1,000	20.40	n/a	n/a	50.00	5.0
REINHART & MAHONEY	031	PRGS	B	2,000	31.95	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	80,000	31.61	n/a	n/a	3,200.00	4.0
MAGNETAR FINANCIAL	247	PSS	B	15,600	31.87	n/a	n/a	624.00	4.0
Ⓐ BUCK CAPITAL MGMT		PSUN	S	282,500	21.55	n/a	6-Jul	non-brg	5.0
COUGAR TRADING	044	PSUN	S	10,000	21.49	n/a	6-Jul	500.00	5.0
ZOLIDIS	011	RCKY	SS	500	18.55	n/a	n/a	0.00	0.0
EFSTATHIOU	044	RCKY	SS	300	18.67	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	RSH	B	37,820	33.65	n/a	n/a	1,701.90	4.5
Ⓐ BUCK CAPITAL MGMT		RTH	SS	179,500	105.68	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>SS</b>	<b>250,000</b>	<b>105.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
REINHART & MAHONEY	031	RX	B	2,200	32.34	n/a	n/a	110.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>SDS</b>	<b>S</b>	<b>600</b>	<b>51.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>10,000</b>	<b>28.40</b>	<b>n/a</b>	<b>13-Mar</b>	<b>400.00</b>	<b>4.0</b>
GLG PARTNERS	034	SSI	B	50,000	19.99	25-May	6-Jul	2,500.00	5.0
STRAUSS ASSET MGMT	040	STP	SS	5,000	38.94	n/a	n/a	250.00	5.0
SEMINOLE CAP	036	S	S	150,000	21.68	n/a	n/a	7,500.00	5.0
PMAC	044	TARR	SS	6,100	8.45	n/a	n/a	305.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>TARR</b>	<b>SS</b>	<b>64</b>	<b>8.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	TDY	B	1,500	47.24	n/a	n/a	75.00	5.0
<b>OGORMAN</b>	<b>146</b>	<b>TGTSU</b>	<b>S</b>	<b>5</b>	<b>2.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRONBOUND CAPITAL	012	TIN	B	5,000	63.20	14-Jun	14-Jun	250.00	5.0
DALTON GREINER	012	TJX	B	47,355	29.11	21-Mar	6-Jul	2,367.75	5.0
WAGONHOUND	048	TJX	B	22,430	28.99	21-Mar	6-Jul	897.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TLB</b>	<b>SS</b>	<b>20,000</b>	<b>24.88</b>	<b>n/a</b>	<b>29-Jun</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>B</b>	<b>10,000</b>	<b>21.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
GRUBER MACBAINE	033	TROW	B	20,000	52.34	n/a	25-Jun	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	TROW	B	40,000	51.46	n/a	25-Jun	2,000.00	5.0
IMPALA ASSET MMT	012	TSO	SS	81,100	60.14	n/a	n/a	2,433.00	3.0
MORGAN LEWIS/MLH	046	T	S	10,000	39.82	25-Apr	10-Jul	500.00	5.0
MS PRINCIPAL STRATEGIES	040	UCBI	B	14,518	25.50	n/a	n/a	725.90	5.0
CSFB GLOBAL PROPRIETARY	035	UFS	S	90,000	10.97	n/a	n/a	4,500.00	5.0
PENN CAPITAL MGMT	033	UHS	B	2,045	61.01	n/a	29-Jun	81.80	4.0
⚡ BUCK CAPITAL MGMT		URBN	B	100,000	22.18	2-Apr	11-May	non-brg	5.0
DAVIDSON TRUST CO	033	USB	B	1,200	33.11	n/a	n/a	108.00	9.0
MERRILL ASSET	032	VQ	B	39,800	18.94	n/a	n/a	1,791.00	4.5
⚡ BUCK CAPITAL MGMT		WRNC	S	20,000	38.61	20-Jun	20-Jun	non-brg	5.0
⚡ BUCK CAPITAL MGMT		WTSLA	B	20,000	5.66	n/a	n/a	non-brg	4.0
WAGONHOUND	048	XLU	SS	16,730	39.79	n/a	n/a	669.20	4.0
TOTAL (Trade Date) :								128,445.30	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/09	MKT MAKER	099	ATRI	B	50	102.00	n/a	n/a	0.00 0.0
AO,CRT	07/09	METROPOLITAN CAPITAL	044	BWS	B	2,300	24.95	n/a	n/a	115.00 5.0
AO,	07/09	FIRST PACIFIC ADV	048	FINL	S	361,600	8.30	n/a	2-Jul	14464.00 4.0
AO,CXL	07/09	REINHART & MAHONEY	031	PMD	B	6,200	20.37	n/a	n/a	0.00 0.0
AO,CRT	07/09	REINHART & MAHONEY	031	PMD	B	6,200	20.37	n/a	n/a	310.00 5.0

**TOTAL (AO, CXL, CRT) :****14,889.00**

TOTAL (Trade Date):

128,445.30

TOTAL (AO, CXL, CRT):

14,889.00

**TOTAL (RUN DATE) / NFS:****143,334.30****MRI Securities with Trade Activity on 10-Jul.****AEO, BEN****MRI Securities without Trade Activity on 10-Jul.****IVZ, PCL**



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

T-Date = 12%

YTD = 17%

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