



Daily Compliance Activity Report

Trade Date: 09/05/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	S	5,000	145.11	n/a	n/a	non-brg	5.0
EFSTATHIOU	044	AAPL	B	100	144.27	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	30,000	24.86	10-Jul	31-Aug	non-brg	5.0
HARVEST MGMT	039	AEO	S	67,200	24.85	10-Jul	31-Aug	3,360.00	5.0
ROSEDALE CAPITAL	046	AEO	B	20,000	25.04	10-Jul	31-Aug	1,000.00	5.0
CHARTER OAK	033	AG	S	6,975	44.06	n/a	n/a	348.75	5.0
SUNOVA CAPITAL	031	AMG	S	20,000	112.84	25-Jul	22-Aug	1,000.00	5.0
FIRST NEW YORK LEDDY	035	AMR	B	18,000	25.37	n/a	n/a	1,080.00	6.0
B BUCK CAPITAL MGMT		ANF	S	30,000	76.84	23-Aug	31-Aug	non-brg	5.0
COUGAR TRADING	044	ANF	B	10,000	77.01	23-Aug	31-Aug	500.00	5.0
TRIBECA	038	APOL	S	28,400	58.48	n/a	n/a	1,136.00	4.0
DAVIDSON TRUST CO	033	APPB	S	1,000	24.80	n/a	n/a	90.00	9.0
COUGAR TRADING	044	ARO	SS	15,000	19.73	n/a	31-Aug	750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	128,300	19.47	n/a	31-Aug	4,811.25	3.8
THE JAY GOLDMAN	034	ARO	B	25,000	19.29	n/a	31-Aug	1,000.00	4.0
MS PRINCIPAL STRATEGIES	040	ASBC	B	23,901	28.10	n/a	n/a	1.40	0.0
BUCK CAPITAL MGMT	001	BWS	S	20,000	22.15	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARIENCE CAPITAL	036	BYD	B	15,520	41.29	2-Aug	2-Aug	776.00	5.0
B BUCK CAPITAL MGMT		CACH	S	10,000	17.05	n/a	n/a	non-brg	5.0
LOCUS WOOD CAPITAL MGMT	044	CHK	B	25,000	33.77	n/a	n/a	1,250.00	5.0
TROUBH PART	067	CMCSA	S	20,000	25.82	5-Apr	4-Sep	1,000.00	5.0
TROUBH PART	067	COF	S	5,000	63.23	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	COH	B	100,000	44.14	n/a	29-Aug	4,000.00	4.0
TROUBH PART	067	CSX	S	10,000	41.44	n/a	n/a	500.00	5.0
COBALT	038	CVS	S	100,000	37.84	n/a	n/a	5,000.00	5.0
TROUBH PART	067	C	S	15,000	46.01	n/a	16-Aug	750.00	5.0
B BUCK CAPITAL MGMT		DDS	C	10,000	21.61	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		DSW	B	130,000	29.31	5-Sep	5-Sep	non-brg	5.0
B BUCK CAPITAL MGMT		DSW	B	60,000	29.44	5-Sep	5-Sep	non-brg	2.0
ENTRUST CAPITAL	040	DSW	B	51,300	29.22	5-Sep	5-Sep	2,565.00	5.0
MAIRS AND POWER INV	030	EFD	S	20,000	36.36	n/a	n/a	1,200.00	6.0
B BUCK CAPITAL MGMT		GES	B	20,000	48.96	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		GIII	B	15,000	18.24	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GIL	B	5,000	32.09	21-Jun	29-Aug	200.00	4.0
Ⓐ BUCK CAPITAL MGMT		GPS	S	100,000	18.78	n/a	31-Aug	non-brg	5.0
J L F ASSET MGMT	039	GPS	S	164,800	18.58	n/a	31-Aug	6,592.00	4.0
SLS CAPITAL LLC	224	GS	B	114,200	178.45	15-Jun	4-Sep	4,568.00	4.0
TRIBECA	038	HAIN	S	8,900	29.38	n/a	n/a	356.00	4.0
CHILTON CAPITAL MGMT.	036	IGT	C	18,000	38.79	n/a	20-Jul	720.00	4.0
PHILADELPHIA FINANCIAL	033	IVZ	B	42,000	24.56	8-Aug	22-Aug	2,100.00	5.0
TYEE/TYGH	035	IVZ	B	120,328	24.54	8-Aug	22-Aug	4,813.12	4.0
Ⓐ BUCK CAPITAL MGMT		JCG	B	6,600	44.55	22-Jun	28-Aug	non-brg	1.0
COUGAR TRADING	044	JCG	S	5,000	48.83	22-Jun	28-Aug	250.00	5.0
COUGAR TRADING	044	JCP	B	5,000	65.63	21-Jun	31-Aug	250.00	5.0
COUGAR TRADING	044	JCP	S	5,000	65.26	21-Jun	31-Aug	250.00	5.0
TROUBH PART	067	JPM	S	15,000	44.16	n/a	16-Aug	750.00	5.0
COUGAR TRADING	044	JWN	B	5,000	47.45	12-Jul	31-Aug	250.00	5.0
COUGAR TRADING	044	JWN	SS	15,000	46.46	12-Jul	31-Aug	0.00	0.0
CUMBERLAND	038	JWN	SS	275,000	47.09	12-Jul	31-Aug	11,000.00	4.0
J L F ASSET MGMT	039	JWN	B	68,100	47.39	12-Jul	31-Aug	2,724.00	4.0
BELMONT GLOBAL ADV	248	KMX	SS	55,000	23.14	n/a	10-Jan	2,750.00	5.0
LUCID PARTNERS	067	LM	B	7,000	84.91	24-Jul	22-Aug	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BECK MACK & OLIVER LLC	068	LUK	B	17,700	44.81	n/a	n/a	885.00	5.0
TRIBECA	038	LULU	S	8,900	34.06	n/a	n/a	356.00	4.0
ELM RIDGE ADVISORS	044	MAT	B	306,600	21.75	n/a	n/a	12,264.00	4.0
TRIBECA	038	MGM	S	2,400	83.22	n/a	3-Aug	96.00	4.0
EFSTATHIOU	044	MOT	S	500	17.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MSMSBMVR	C	12,500	180.66	n/a	n/a	non-brg	18.1
B BUCK CAPITAL MGMT		MVRX	C	25,000	172.19	n/a	n/a	non-brg	17.2
BUCK CAPITAL MGMT	001	M	B	10,000	30.59	13-Jul	31-Aug	400.00	4.0
CAPITAL GROWTH MGMT.	241	NUE	B	1,400	52.77	n/a	n/a	70.00	5.0
RIVER RUN MGMT	031	OII	SS	30,000	71.57	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		PERY	S	20,000	28.01	n/a	n/a	non-brg	5.0
AVESTA CAP	229	PG	B	25,000	65.11	4-Sep	4-Sep	1,250.00	5.0
B BUCK CAPITAL MGMT		RL	B	10,000	78.48	9-Aug	29-Aug	non-brg	5.0
COUGAR TRADING	044	RL	S	5,000	79.05	9-Aug	29-Aug	250.00	5.0
TRI SUN CAPITAL	012	SDS	S	3,000	55.02	n/a	n/a	120.00	4.0
ZOLIDIS	011	SDS	B	300	54.64	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRIBECA	038	SHLD	B	7,200	136.34	n/a	n/a	288.00	4.0
FRIESS MGMT	042	SKS	S	17,995	15.73	n/a	n/a	809.78	4.5
BUCK CAPITAL MGMT	001	SKX	B	10,000	19.46	n/a	13-Mar	400.00	4.0
KAICHER	064	SNCR	S	2,000	36.26	n/a	n/a	0.00	0.0
CROSS CAPITAL	028	SUG	S	50,864	29.59	n/a	n/a	2,543.20	5.0
LISTED ERR	099	SWM	B	200	22.17	n/a	n/a	0.00	0.0
LISTED ERR	099	SWM	S	200	22.16	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	SWN	B	5,000	39.80	n/a	4-Sep	200.00	4.0
HARVEST MGMT	039	TJX	S	35,000	29.48	13-Jul	31-Aug	1,750.00	5.0
HEALY CIRCLE	044	TJX	B	10,000	29.38	13-Jul	31-Aug	500.00	5.0
MATTHES CAPITAL MGMT	033	TLB	SS	10,000	20.09	n/a	23-Aug	400.00	4.0
TROUBH PART	067	TWX	S	25,000	19.03	n/a	n/a	1,250.00	5.0
MATRIX ASSET ADV.	036	TYC	B	7,500	43.49	6-Aug	7-Aug	300.00	4.0
TRIBECA	038	UNFI	B	30,400	26.51	n/a	n/a	1,216.00	4.0
B BUCK CAPITAL MGMT		URBN	B	20,000	22.37	31-Jul	10-Aug	non-brg	5.0
EATON VANCE MGMT	039	UTX	B	125,000	73.50	n/a	n/a	5,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	039	WAG	B	144,214	45.09	n/a	n/a	4,326.42	3.0
CAPITAL GROWTH MGMT.	241	WDC	S	15,000	23.30	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	60,000	14.14	n/a	n/a	3,000.00	5.0
WHITE PINE CAPITAL	030	WMT	S	2,000	42.56	4-Jun	27-Jul	100.00	5.0
TRIBECA/DOUG	040	WRLD	B	5,000	30.60	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		WRNC	B	20,000	34.02	18-Jul	29-Aug	non-brg	5.0
WHITE PINE CAPITAL	030	WYN	S	1,400	31.58	n/a	n/a	70.00	5.0
TRI SUN CAPITAL	012	XLY	B	4,000	36.67	n/a	n/a	160.00	4.0
CAPITAL GROWTH MGMT.	241	X	B	2,200	93.90	n/a	n/a	110.00	5.0
MS PRINCIPAL STRATEGIES	040	ZION	B	2,200	70.84	n/a	n/a	110.00	5.0
B BUCK CAPITAL MGMT		ZQK	B	50,000	12.76	n/a	30-Aug	non-brg	5.0
TRIBECA	038	ZUMZ	S	16,800	47.18	n/a	n/a	672.00	4.0
TOTAL (Trade Date):								112,437.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT):									0.00

TOTAL (Trade Date):	112,437.92
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	112,437.92
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MRI Securities with Trade Activity on 5-Sep.
DSW

MRI Securities without Trade Activity on 5-Sep.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 16%
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