



Daily Compliance Activity Report

Trade Date: 01/18/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GLG PARTNERS	034	AAP	B	50,000	36.99	n/a	n/a	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	035	AA	B	16,000	30.42	n/a	n/a	800.00	5.0
NCM CAPITAL MGMT	035	ACV	S	21,950	23.51	n/a	n/a	1,097.50	5.0
B BUCK CAPITAL MGMT		ADTN	SS	10,000	22.37	n/a	22-Mar	non-brg	5.0
AVENUE CAPITAL MGMT	036	AGP	SS	50,000	36.67	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		AIT	C	20,000	24.69	n/a	n/a	non-brg	5.0
SEMINOLE CAP	036	ALL	S	100,000	64.28	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	78.49	3-Nov	5-Jan	400.00	4.0
BELMONT GLOBAL ADV	248	ANN	S	10,000	34.23	5-Jan	5-Jan	500.00	5.0
REINHART & MAHONEY	031	APA	B	5,075	65.60	n/a	9-Jan	253.75	5.0
ROBERTSON STEVENS BC	033	ARBA	B	30,000	7.72	n/a	n/a	900.00	3.0
BALYASNY ASSET MGMT	044	AVZ	B	5,000	24.23	29-Dec	12-Jan	250.00	5.0
MERRILL ASSET	032	AXL	S	66,300	19.24	n/a	n/a	3,315.00	5.0
WHEELER	008	BJS	B	3,000	26.29	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BRCM	C	50,000	29.60	n/a	n/a	non-brg	5.0
BEAR STEARNS ASSET MGMT.	033	CAKE	B	15,000	27.10	n/a	17-Jan	600.00	4.0
BASS	037	CAKE	B	10,000	26.94	n/a	17-Jan	500.00	5.0
PLATTE RIVER CAPITAL	035	CAT	S	14,100	59.78	n/a	n/a	564.00	4.0
NEUBERGER BERMAN	238	CBI	S	13,800	26.29	n/a	n/a	690.00	5.0
B BUCK CAPITAL MGMT		CBK	B	50,000	20.66	11-Dec	5-Jan	non-brg	5.0
REINHART & MAHONEY	031	CHD	S	7,040	44.56	8-Nov	4-Dec	342.50	4.7
B BUCK CAPITAL MGMT		CHRS	C	40,000	13.03	n/a	18-Jan	non-brg	5.0
BEAR STEARNS ASSET MGMT.	033	CHS	SS	25,000	21.40	5-Jan	5-Jan	1,000.00	4.0
FIRST INV MGMT CORP	036	CIT	B	5,000	56.53	n/a	n/a	250.00	5.0
KAICHER	064	CNXT	B	200	1.99	n/a	n/a	0.00	0.0
STRATIX ASSEST MGMT	035	COHR	B	6,800	29.68	n/a	n/a	340.00	5.0
WHEELER	008	COHR	B	5,000	29.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COHU	SS	5,000	19.56	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	44.69	7-Dec	19-Jan	400.00	4.0
SIGMA CAPITAL ASSOCIATES	034	COH	B	10,000	45.01	7-Dec	19-Jan	500.00	5.0
FIRST INV MGMT CORP	036	CPS	S	12,500	39.43	n/a	n/a	625.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		CROX	B	30,000	48.85	n/a	n/a	non-brg	5.0
RH CAPITAL ASSOCIATES	060	CRR	B	24,500	34.32	n/a	5-Dec	1,225.00	5.0
MORGAN LEWIS/MLH	046	CVX	B	30,000	71.53	n/a	n/a	1,500.00	5.0
ß BUCK CAPITAL MGMT		CWTR	B	50,000	18.54	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CWTR	S	10,000	23.38	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		CWTR	S	22,333	20.00	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CWTR	S	25,000	19.95	n/a	n/a	non-brg	5.0
SIGMA CAPITAL ASSOCIATES	034	DDS	B	3,000	33.81	n/a	n/a	150.00	5.0
Õ Glenn Redemann		DELL	B	30	0.40	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DELL	B	9	1.44	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DELL	S	9	0.04	n/a	n/a	0.00	0.0
CUMBERLAND	038	DKS	B	10,000	51.96	n/a	n/a	400.00	4.0
GRONET	030	EBS	S	1,000	13.91	n/a	n/a	0.00	0.0
BUCK	015	EFA	B	200	72.97	n/a	n/a	0.00	0.0
BLACKROCK/BOSTON	037	EFD	B	35,100	26.77	n/a	n/a	351.00	1.0
ß BUCK CAPITAL MGMT		EGLT	SS	5,000	14.21	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		ESV	B	7,500	48.52	n/a	n/a	non-brg	5.0
TRIBECA	038	ETFC	B	10,000	24.74	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORCE CAPITAL MGMT	030	EXP	S	30,000	44.41	n/a	n/a	900.00	3.0
MATTHES CAPITAL MGMT	033	FDO	B	25,000	31.34	3-Nov	5-Jan	1,000.00	4.0
BUCK CAPITAL MGMT	001	FD	B	20,000	39.46	9-Nov	5-Jan	800.00	4.0
BARR	096	FLT	S	3,000	1.38	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FL	B	5,000	21.99	n/a	19-Jan	250.00	5.0
CSFB GLOBAL PROPRIETARY	035	GE	B	15,000	37.49	n/a	n/a	750.00	5.0
⌘ BUCK CAPITAL MGMT		GIII	B	5,000	21.97	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIL	B	60,000	51.80	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GPS	SS	20,000	19.94	n/a	5-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GSF	B	7,500	55.00	n/a	n/a	non-brg	5.0
DKR CAPITAL	048	HMA	B	86,000	20.89	18-Jan	18-Jan	3,440.00	4.0
GRONET	030	HMA	B	2,000	20.81	18-Jan	18-Jan	0.00	0.0
OGORMAN	146	HMA	B	400	20.83	18-Jan	18-Jan	0.00	0.0
SAILFISH	037	IBM	S	8,000	99.71	n/a	n/a	400.00	5.0
BUCK	015	ICE	B	150	127.79	n/a	n/a	0.00	0.0
DAVT	033	INTC	S	2,700	20.65	n/a	n/a	162.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	IOM	B	3,000	3.74	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ISIL	SS	10,000	23.12	n/a	n/a	non-brg	1.0
TRI SUN CAPITAL	012	IWO	SS	5,000	77.91	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		JCG	B	15,000	36.30	n/a	20-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		JCG	B	30,000	36.57	n/a	20-Dec	non-brg	5.0
FORD FDN.	032	JNJ	B	25,000	66.97	n/a	22-Apr	1,250.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	34.60	n/a	26-Oct	800.00	4.0
SIGMA CAPITAL ASSOCIATES	034	JNY	S	120,000	34.99	n/a	26-Oct	6,000.00	5.0
BUCK CAPITAL MGMT	001	KCP	B	27,800	23.97	n/a	3-Nov	1,112.00	4.0
ß BUCK CAPITAL MGMT		KNXA	C	20,000	31.82	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	69.83	27-Dec	5-Jan	400.00	4.0
WHALE ROCK CAP	030	KSS	B	100,000	69.50	27-Dec	5-Jan	4,000.00	4.0
BALYASNY ASSET MGMT	044	LAZ	B	5,000	51.31	n/a	n/a	250.00	5.0
TRIBECA	038	LFG	B	1,900	60.65	n/a	n/a	76.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	20,000	45.92	n/a	27-Oct	800.00	4.0
FORD FDN.	032	LLY	B	25,000	52.97	n/a	n/a	1,250.00	5.0
NCM CAPITAL MGMT	035	LRCX	B	8,825	46.51	n/a	n/a	441.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	MA	S	110,000	105.97	n/a	n/a	5,500.00	5.0
⚡ BUCK CAPITAL MGMT		MBFGIM	B	30,000	26.50	n/a	n/a	non-brg	5.3
LOCUS WOOD CAPITAL MGMT	044	MBI	SS	16,500	71.52	n/a	n/a	660.00	4.0
PATTEN & PATTEN	067	MMC	B	2,075	30.69	n/a	n/a	103.75	5.0
SLS CAPITAL LLC	224	MOT	B	200,000	18.65	n/a	n/a	10,000.00	5.0
JP MORGAN VENTURES	046	MRT	B	10,000	18.13	n/a	n/a	500.00	5.0
AVENUE CAPITAL MGMT	036	MWV	B	44,500	29.19	8-Jan	16-Jan	2,670.00	6.0
⚡ BUCK CAPITAL MGMT		MWV	B	10,000	29.25	8-Jan	16-Jan	non-brg	5.0
CSFB GLOBAL PROPRIETARY	035	MWV	B	34,000	29.22	8-Jan	16-Jan	1,700.00	5.0
BUCK	015	MWV	S	500	29.12	8-Jan	16-Jan	0.00	0.0
FORD FDN.	032	MYL	B	50,000	20.70	n/a	18-Jan	2,500.00	5.0
PEREGRINE	030	NDN	B	134,100	14.57	16-Jan	16-Jan	6,705.00	5.0
⚡ BUCK CAPITAL MGMT		NEXT	C	20,000	10.94	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		NEXT	SS	10,000	11.20	n/a	n/a	non-brg	5.0
SIGMA CAPITAL ASSOCIATES	034	NKE	B	8,500	99.87	n/a	n/a	425.00	5.0
BUCK CAPITAL MGMT	001	NLS	B	10,000	15.40	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	10,000	14.88	1-Dec	10-Jan	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING HOWARD	038	PBY	SS	13,000	14.66	n/a	n/a	650.00	5.0
Õ Manny Korman		PCN	S	1500	16.21	n/a	n/a	0.00	0.0
LEEDS	002	PERY	S	307	26.50	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	PFCB	B	30,000	39.80	n/a	12-Dec	1,200.00	4.0
ß BUCK CAPITAL MGMT		PH	C	15,000	80.17	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		PLCE	S	18,300	57.46	n/a	5-Jan	non-brg	2.0
ß BUCK CAPITAL MGMT		PLCE	S	21,100	57.35	n/a	5-Jan	non-brg	5.0
ß BUCK CAPITAL MGMT		PLCE	S	23,167	56.88	n/a	5-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	S	25,000	57.55	n/a	5-Jan	non-brg	5.0
BUCK	015	QQQQ	S	300	43.98	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RIG	B	7,500	75.45	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	RL	S	10,000	82.17	7-Dec	8-Jan	400.00	4.0
ß BUCK CAPITAL MGMT		SHOO	B	15,000	31.92	n/a	n/a	non-brg	5.0
KAICHER	064	SLR	B	500	3.37	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SWN	B	5,000	34.76	7-Aug	11-Jan	non-brg	5.0
WHEELER	008	SWN	B	3,000	34.06	7-Aug	11-Jan	0.00	0.0
SIGMA CAPITAL ASSOCIATES	034	TGT	B	10,000	60.89	n/a	5-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAICHER	064	TRMM	B	500	2.36	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	TWB	B	15,000	37.07	9-Jan	9-Jan	750.00	5.0
B BUCK CAPITAL MGMT		TXN	SS	20,000	28.55	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		TXN	SS	30,000	28.40	n/a	n/a	non-brg	5.0
SARAS CAPITAL	038	TYC	S	62,500	31.41	2-Oct	15-Nov	3,125.00	5.0
WD PARTNERS ILP	067	UNT	B	5,000	46.00	7-Aug	11-Jan	250.00	5.0
B BUCK CAPITAL MGMT		URBN	B	10,000	25.21	7-Dec	5-Jan	non-brg	5.0
NEUBERGER BERMAN	238	VNO	S	4,600	120.30	n/a	n/a	230.00	5.0
REINHART & MAHONEY	031	VSEA	B	14,310	40.32	n/a	n/a	715.50	5.0
SANDLER O'NEILL ASSET	031	WDR	B	35,000	26.48	12-Jan	12-Jan	1,750.00	5.0
HOLLIS CAPITAL	040	WPI	B	1,900	25.70	11-Jan	18-Jan	95.00	5.0
WAGONHOUND	048	WPI	SS	6,800	25.75	11-Jan	18-Jan	272.00	4.0
EGS ASSOCIATES LP	059	WRNC	B	3,500	26.80	18-Jan	18-Jan	210.00	6.0
JP MORGAN VENTURES	046	WRNC	B	15,000	26.67	18-Jan	18-Jan	750.00	5.0
SIGMA CAPITAL ASSOCIATES	034	WRNC	B	2,500	26.76	18-Jan	18-Jan	125.00	5.0
MATTHES CAPITAL MGMT	033	WSM	SS	5,000	34.48	n/a	n/a	200.00	4.0
AMBER CAPITAL	046	ZLC	B	25,000	27.78	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC TRADING HOWARD	038	ZQK	S	20,000	14.58	8-Sep	11-Jan	1,000.00	5.0
TOTAL (Trade Date):								96,471.25	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/17	SCHEINER	037		B	100,000	80.13	n/a	n/a	0.00 0.0
AO,CXL	01/17	MCCARTAN	028		B	10,000	80.13	n/a	n/a	0.00 0.0
AO,CXL	01/17	GAULT	063		B	60,000	80.13	n/a	n/a	0.00 0.0
AO,CXL	01/17	LUCHANSKY1	036		B	10,000	80.13	n/a	n/a	0.00 0.0
AO,CXL	01/17	SCHEINER	037		B	100,000	80.13	n/a	n/a	0.00 0.0
AO,CRT	01/17	GRONET	030		B	50,000	80.13	n/a	n/a	0.00 0.0
AO,CRT	01/17	OGORMAN	046		B	10,000	80.13	n/a	n/a	0.00 0.0
AO,CXL	01/17	GRONET	030		B	50,000	80.13	n/a	n/a	0.00 0.0
AO,CRT	01/17	MCCARTAN	028		B	10,000	80.13	n/a	n/a	0.00 0.0
AO,CXL	01/17	OGORMAN	046		B	10,000	80.13	n/a	n/a	0.00 0.0
AO,CRT	01/17	GAULT	063		B	60,000	80.13	n/a	n/a	0.00 0.0
AO,CRT	01/17	LUCHANSKY1	036		B	10,000	80.13	n/a	n/a	0.00 0.0
AO,CRT	01/12	MKT MAKER	048	CWCO	S	77	23.85	n/a	n/a	0.00 0.0
AO,CRT	01/12	WASHINGTON ASSET	048	CWCO	S	3,700	23.85	n/a	n/a	185.00 5.0
AO,CXL	01/12	WASHINGTON ASSET	048	CWCO	S	3,777	23.85	n/a	n/a	188.85 5.0
AO,CRT	01/17	MKT MAKER	099	DR	B	161	22.97	n/a	n/a	0.00 0.0
AO,CXL	01/17	MKT MAKER	099	DR	B	161	22.97	n/a	n/a	0.00 0.0
AO,CXL	01/17	BAIRD INVESTMENT	031	EV	S	395	34.46	2-Nov	16-Jan	0.00 0.0
AO,CRT	01/17	BAIRD INVESTMENT	031	EV	S	395	34.46	2-Nov	16-Jan	19.75 5.0
AO,	01/17	DSG CAPITAL	225	HMA	S	20,000	20.80	18-Jan	18-Jan	1000.00 5.0
AO,CXL	01/17	GLENHILL CAPITAL	038	KSS	B	72,000	67.81	27-Dec	5-Jan	3600.00 5.0
AO,CRT	01/17	GLENHILL CAPITAL	038	KSS	B	72,400	67.81	27-Dec	5-Jan	3620.00 5.0
AO,CXL	01/12	CIRCLE T PART	035	MCD	B	6,900	44.37	12-Oct	17-Jan	276.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/12	CIRCLE T PART	035	MCD	B	6,900	44.37	12-Oct	17-Jan	276.00 4.0
AO,CRT	01/17	HIGHBRIDGE CAPITAL	038	SII	SS	2,300	36.65	n/a	n/a	115.00 5.0
AO,CXL	01/17	HIGHBRIDGE CAPITAL	038	SII	SS	2,300	36.65	n/a	n/a	115.00 5.0
AO,CRT	01/17	FIRST INV MGMT CORP	036	WFC	B	11,400	36.24	n/a	n/a	570.00 5.0
AO,CXL	01/17	FIRST INV MGMT CORP	036	WFC	B	11,400	36.24	n/a	n/a	570.00 5.0

TOTAL (AO, CXL, CRT) : **1,035.90**

TOTAL (Trade Date) : 96,471.25

TOTAL (AO, CXL, CRT) : 1,035.90

TOTAL (RUN DATE) / NFS: **97,507.15**

MRI Securities with Trade Activity on 18-Jan.

HMA, WRNC

MRI Securities without Trade Activity on 18-Jan.

JCI, JWN, PVH

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

T-Date = 15%

YTD = 22%

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